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Potential Global Partners for Smaller-Scale Contingencies

A. Martin Lidy, Project Leader
M. Michele Cecil
Sara Lechtenberg-Kasten
Shawn E. Messick
Samuel H. Packer

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PROGRAM ANALYSIS
AND EVALUATION

January 16, 2001

MEMORANDUM FOR DISTRIBUTION LIST

SUBJECT: Potential Global Partners For Smaller-Scale Contingency Operations

Attached is a report prepared by the Institute for Defense Analyses (IDA) in support of ongoing efforts to improve DoD's understanding of the implications of U.S military involvement in Smaller-Scale Contingency (SSC) operations.

Increasingly, U.S. military forces involved in SSC operations have come to realize the need for coordinating with and utilizing the capabilities of other organizations in such contingencies. These other organizations include elements of non-DoD U.S. Government departments and agencies, the civil and military elements of allied and non-allied governments, United Nations organizations, Non-Government Organizations, Inter-Governmental and International Organizations, and indigenous host nation organizations.

The attached report is intended to serve as a resource for DoD planners, resource managers, analysts, and operational commanders who have responsibilities involving SSCs. The report should help such officials better understand the potential capabilities of non-DoD organizations and how those organizations could contribute to SSC operations.

Please address questions or comments to me (703-697-0373), my colleague CDR Aasgeir Gangsaas (703-697-0584), or Mr. Martin Lidy (703-845-2411), the author of the report.

This document is approved for unlimited distribution and can be downloaded electronically from the Defense Technical Information Center (DTIC).

Milton L. Tulkoff
Director
Regional Assessments and Modeling Division

Attachment

INSTITUTE FOR DEFENSE ANALYSES

IDA Document D-2349

Potential Global Partners for Smaller-Scale Contingencies

A. Martin Lidy, Project Leader
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Sara Lechtenberg-Kasten
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PREFACE

This document was prepared by the Institute for Defense Analyses (IDA) for the Office of the Secretary of Defense, Director, Program Analysis and Evaluation (PA&E), in partial fulfillment of the task "U.S. Military Involvement in Smaller-Scale Contingency Operations." IDA's task is one of several contracted and in-house efforts supporting the sponsor's development of an analytical foundation for examining opportunities and challenges arising from U.S. military involvement in future smaller-scale contingency operations, particularly where forces are employed with allied civilian and military organizations. This document was developed as a resource to help the Department of Defense planners, resource managers, and operators understand and take into account the potential capabilities that this large and disparate international community often contributes to smaller scale contingencies or that might be employed in coordinated engagement strategies to mitigate conditions that could result in future contingencies.

The IDA Technical Review Committee was chaired by Mr. Thomas P. Christie and consisted of Mr. Arthur E. Dewey, MG William Farmen, USA (Ret.), BG William Fedorochko, Jr. USA (Ret.), and Mr. Dayton Maxwell.

POTENTIAL GLOBAL PARTNERS FOR SMALLER-SCALE CONTINGENCIES

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POTENTIAL GLOBAL PARTNERS FOR SMALLER-SCALE CONTINGENCIES INTRODUCTION

A. BACKGROUND

The principal mission of U.S. military forces is to fight the nation's wars and bring them to a successful end. These forces have been structured, equipped, and trained to accomplish these tasks with or without allied military assistance. The military has a dominant role in Major Theater Wars (MTWs), and the hierarchical structure of the military forces has been organized and staffed to conduct armed conflict in an environment where the role of civilian agencies is minimal until the war has been won.

Throughout our nation's history, however, the same forces have often been tasked to conduct Military Operations Other Than War (MOOTW) during Smaller-Scale Contingencies (SSCs). These operations involve responses and resource expenditures that fall between peacetime engagement activities and MTW. Typically, they involve civilian agencies of the U.S. Government (USG) as well as a number of other organizations. As shown in left side of Figure 1, during MTWs the role of the military forces dominates that played by civilian participants. The right side of the same figure shows how these roles are reversed when military capabilities are used in a supporting role to augment or complement civilian participants.

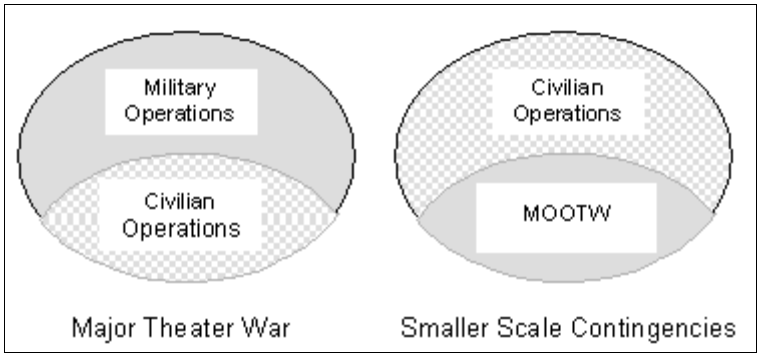

Figure 1. The Role of Military Forces in Major Theater War and Smaller-Scale Contingencies

Since the end of the Cold War, the international environment has changed and military forces have increasingly been employed to assist in the resolution of SSCs. The U.S. National Security Strategy[1] recognizes this requirement and points out that these operations will likely pose the most frequent challenge for U.S. forces and cumulatively require significant commitments over time.

A major factor in the changed global environment is the way nations interact. The term most often used to describe this new operating environment is "complex." The most prominent aspects of this environment include challenges to the sovereignty of states, the recognition of the transnational character of many problems, and the increasing importance and role of information. The new operating environment is not only defined by the complexity of the issues to be resolved, but also by the requirement for all institutions engaged in their resolution – both state and non-state actors – to act and interact cooperatively in support of peace, security, and national interests. These aspects of complexity – typically including the need for immediate conflict resolution and humanitarian assistance as well as longer term development of institutions and economic capacity – have had a far reaching impact on how governmental and non-governmental actors respond during these contingencies.

Although the new global environment still includes conflict among warring factions within a state, challenges typically occur below the threshold of armed conflict between nations, and they are handled as smaller-scale contingencies rather than major theater wars. SSC operations generally require outside intervention within the affected state by both civilian and military resources to achieve successful resolution. In these contingencies, military forces conduct MOOTW under direction of civilian authorities, and must coordinate their efforts and collaborate with a large number of other organizations to achieve unity of effort.

The group of organizations providing resources to support contingency operations will likely include a number of other non-Department of Defense (DoD) agencies of the USG. In most cases it will also include elements from the United Nations (UN) Secretariat and its operating agencies. Inter-Governmental Organizations (IGOs), International Organizations (IOs), Non-Governmental Organizations (NGOs), and other coalition partners are also potential interagency participants that can and often do provide

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1 National Security Strategy for New Century, December 1999.

resources needed to resolve these contingencies.[2] These operations place a premium on the ability of the U.S. military to work closely and effectively with other USG agencies, the diverse set of coalition partners responding to the specific contingency, and the available institutions and factions within the host nation.

To provide a more comprehensive understanding of which U.S. military resources are likely to be employed in SSC operations and the potential substitutability of the non-DoD resources, the Institute for Defense Analyses has been tasked by the sponsor to respond to following questions:

- **Question 1**: What are the strengths, weaknesses, and unique capabilities of the U.S. military that affect U.S. involvement in SSC operations, particularly those in which non-DoD organizations may be involved?
- **Question 2**: What types of non-DoD organizations is the U.S. military likely to be collaborating with in the range of potential future SSC operations, and what is the typical nature of the involvement?
- **Question 3**: What changes to the current force structure and/or doctrine would better enable U.S. military forces to contribute to SSC operations, and collaborate more effectively with non-DoD organizations?
- **Question 4**: What factors affect backfilling a U.S. military withdrawal from a posture of engagement in SSCs, and what resources and capabilities could be shifted to non-DoD organizations?
- **Question 5**: How much and what type of residual military support would the U.S. likely need to provide to remaining organizations following a U.S. withdrawal?

B. OBJECTIVES

This paper is the third in a series of documents[3] that respond to these questions. The focus of this paper is on the second question. It identifies which responding organizations, other than those provided by the DoD, are likely to be involved in SSC operations when U.S. military forces may be employed. **This paper is a compendium**

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[2] The World Food Program (WFP), the International Organization for Migration (IOM), the International Committee of the Red Cross (ICRC), and CARE are a few examples of potential interagency participants.

[3] See IDA Documents D-2166, "The United States' Military Role in Smaller Scale Contingencies," August 1999, and D-2277, "Exercise Rainbow Serpent After Action Report," January 1999, both produced by the Institute for Defense Analyses and available from the Defense Technical Information Center.

of the major organizations and describes briefly their responsibilities and capabilities when employed. Due to the varied and dynamic nature of SSCs, it is not possible to provide a prescription for which mix of responding organizations will enter into the next SSC. Just as SSCs change each day, the organizations that respond to SSCs are constantly evolving. The document is intended to provide a useful reference both for those examining broader DoD resource issues and those planning the U.S. military responses to specific SSC operations or regional engagement strategies. The goal is to provide greater understanding within the DoD of the other capabilities that are potentially available to provide a multinational and multi-dimensional response during the various types of contingencies.

C. SCOPE

This document is intended as an analytical resource to assist staffs at both DoD headquarters and operational commands to understand and take into account the capabilities that global partners can contribute to contingency operations. This information should enable DoD senior leaders and staff to assess better the planning and programmatic impacts of future SSC operations. The research focused on the organizations and resources outside of the DoD that are likely to be employed in SSC operations. The document is a compilation of the extensive research of historical and ongoing operations and the mandates and capabilities of the organizations that have participated in these operations, including many in which the U.S. military was not involved. The discussions attempt to provide greater understanding by grouping the disparate entities that share common characteristics and describing their capabilities and limitations. The community is dynamic and this document provides a "snapshot" in time, but sources are listed to enable readers to locate more current information as required.

D. ORGANIZATION OF DOCUMENT

The information in this document appears in an encyclopedia-like format in two volumes, nine chapters, and ten appendices. In Volume I, following the Executive Summary, Chapter I describes the operating environment for smaller-scale contingencies and introduces the key groups of participants that are likely to be encountered in these contingencies. Chapter II describes the U.S. Government (USG) interagency planning and coordinating mechanisms and the non-DoD organizations, responsibilities, and capabilities. Chapter III identifies and describes the responsibilities, procedures, coordinating mechanisms, and capabilities of the United Nations (UN) Secretariat and

operating agencies. Chapter IV provides similar information on Inter-Governmental Organizations.

While the UN and Inter-Governmental Organizations are formed, directed, and funded by member nations, private organizations also participate in these operations. The next two chapters address organizations that are established and directed by private citizens. Chapter V describes the recognized International Organizations and Chapter VI addresses Non-Governmental Organizations.

Chapter VII identifies and describes the involvement of major donor nations in developmental and humanitarian assistance and their role in military and public security interventions. Chapter VIII describes the growing involvement of the for profit business community in SSCs. Finally, Chapter IX discusses various arrangements employed to provide a workable interface between the military and non-military organizations for all types in SSCs.

Appendices provide a list of abbreviations and acronyms, references used to develop the paper, and a glossary of terms used by the military and civilian communities. Additional appendices provide detailed information on various aspects of SSC operations. These include the U.S. Federal Emergency Management Agency force list and movement requirements for domestic disaster response elements, the Military and Civil Defense Assets for disaster response and the peacekeeping Standby Arrangements System developed by the UN, the Terms of Reference for the UN Humanitarian Coordinator, operational procedures used by selected international community members in response to nuclear and chemical accidents or emergencies, the response capabilities of the IOs, and supplemental information on NGOs.

POTENTIAL GLOBAL PARTNERS FOR SMALLER-SCALE CONTINGENCIES EXECUTIVE SUMMARY

A. INTRODUCTION

This paper is the third in a series of documents[1] that have been developed to provide a more comprehensive understanding of which military resources are likely to be employed in SSC operations, and to clarify the potential substitutability of non-DoD resources during operations involving both military and civilian assets. This document is intended as a resource to enable senior DoD leaders and staff officers at both departmental headquarters and operational commands to understand the capabilities and limitations of these civilian organizations so they can be taken into account when planning or programming departmental resources for these operations. Due to the varied and dynamic nature of SSCs, it is not possible to provide a prescription for which mix of responding organizations will enter into the next operation. Instead, this document serves as a reference tool to guide planners and programmers through the complex community so that more informed decision can be made within the constraints of a specific situation. The paper provides a "snapshot" in time for what is a very dynamic group of actors, but sources of information are documented to enable readers to locate more current information when required.

B. OPERATING ENVIRONMENT

Today's security environment is no longer shaped by concerns over global war between superpowers, but instead is based on the potential for less likely MTWs or more frequent and wide-ranging SSCs.[2] Because the operational environment in which SSCs

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1 See IDA Documents D-2166, "The United States' Military Role in Smaller Scale Contingencies," August 1999, and D-2277, "Exercise Rainbow Serpent After Action Report," January 1999, both produced by the Institute for Defense Analyses and available from the Defense Technical Information Center.

2 Joint Pub 3-07 identifies the following types of MOOTW that could require the use of military resources: arms control, combating terrorism, support to counter-drug operations, enforcement of sanctions, maritime intercept operations, enforcing exclusion zones, ensuring freedom of navigation

are conducted is somewhat different that the one military forces became accustomed to during the Cold War, it is important to highlight these differences.

This environment is still dominated by the system of sovereign nation states. In the past, the operating environment was relatively stable on the surface because it was dominated by the two superpowers and their allies. The more visible turbulence and periodic crises generally occurred in countries where the superpowers competed for influence. Below that threshold, however, many nations were faced with internal political and economic challenges caused by local political crises, civil or regional wars, and man-made or natural disasters. These less visible situations were frequently handled by the neutral members of the international community or by surrogates of the superpowers. In today's environment, the direct competition between superpowers has essentially disappeared, and these regional or local situations termed complex contingencies – situations involving both conflict and humanitarian components – have often surfaced and become more visible to the entire international community.

These contingencies frequently occur in weakened or failed states and cause chaotic situations that require intervention by the international community to resolve. In the past, the code of international conduct, first established by the Treaty of Westphalia in 1648, applied. This code forbids interference in the internal affairs of another state. If an intervention was carried out, it was usually accompanied by a declaration of war. Interventions today are not based on declarations of war, but rather on UN Security Council resolutions. They typically occur when the internal conflict threatens regional stability or abuses of human rights become so widespread that fleeing refugees or internally displaced persons create large scale man-made humanitarian disasters affecting a region.

Another difference is the increasing transnational scope of the problems faced by these nations. For example, internal conflicts, such as those in Africa, quickly spread across national boundaries.[3] In response, economic and social development traditionally has been funded on a country-by-country basis, but in the new environment many of the

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and overflight, humanitarian assistance, military support to civil authorities, nation assistance, support to counterinsurgency, noncombatant evacuation operations, peace operations (including peacekeeping, peace enforcement, preventative diplomacy, peace making, and peace building), protection of shipping, recovery operations, show of force, strikes and raids, and support to insurgency.

3 The Congo, Angola, Zambia, Uganda, Rwanda, Sierra Leone, and Liberia are recent examples where these problems have occurred.

problems, such as countering drugs, terrorists, or international crime, require regional or international solutions.

The increasing role of the media and access to global information has also had an impact on the operational environment. Crises are seen simultaneously on television screens by both the public and the decision makers who must take action. This instant visibility increases the importance of public diplomacy, both to shape the perceptions at the outset of the crisis and to maintain support for the actions during the crisis.

The complex contingency environment is also complicated by the plethora of players typically found in SSC operations. In the past, if the political situation became intractable and war was declared, the role of the military was dominant. In today's environment, the role of the military is generally characterized as one of support to civilian authorities. In this environment, political leaders retain control and apply military resources along with civilian resources to achieve their objectives. To carry out its assigned tasks, the military must coordinate and collaborate with a large number of civilian organizations from the U.S. Government and other donor nations, the UN and other Inter-Governmental, International, or Non-Governmental Organizations, as well as firms from the private sector hired to perform selected tasks. Each of these participants brings unique capabilities and resources to the operation, and all efforts must be coordinated to achieve unity of effort. The key characteristics of four categories of potential partners are captured in Table ES-1 and discussed in detail in following chapters.

The authority, mandate, and responsibility of the many partners also varies. Authority forms the legal basis for all organizations operating in the environment, and, with the mandate, has an impact on how, what, where, and why an organization does something. Organizations are also responsible or accountable to some authority for the actions they take. Governments are responsible to their legislatures and public. The IGOs and IOs are responsible to their member states or donors, respectively. NGOs are responsible to their boards of directors and their donors, whether private, governmental agencies, or IGOs.

Table ES-1. Key Characteristics of Potential Global Partners

Characteristics	IGO	IO	NGO	Business
Formed for a specific purpose	X	X	X	X
Consultative body of National Governments	X			
Formed under international Humanitarian Law or Custom and recognized as a sovereign entity		X		
Directed by representatives of National Governments	X			
Directed by private citizens		X	X	X
Funded by National Governments	X	X	X	X
Funded by private institutions or individuals		X	X	X
Not for profit entity	X	X	X	
For profit entity				X

Because there is no central authority for a multinational contingency operation, but rather a collection of essentially sovereign authorities with differing objectives, it is more difficult to achieve unity of effort during planning or execution of these operations. Civilian agencies operate through a process of collaboration, cooperation, and consultation rather than the traditional military command and control process. Information and intelligence are two sides of the same coin because both support decision making. Both civilian and military organizations must share information in this environment if common understanding and unity of effort are to be achieved.

Security is another characteristic that is different in today's geopolitical climate. Many of today's contingencies require the application of military force to establish military security in the region. Military security may often be accomplished quickly by a superior military force that is capable of separating factions and demobilizing their military capabilities. Public security and civil law and order, on the other hand, are more difficult to establish because the institutions upon which they are based – police, judiciary, and penal institutions – often must be rebuilt. There is an inextricable link between security and stability. Unless both components of security are in place, stability and progress towards nation building will be elusive and continued military presence will be required.

Capacity is another concept that must be understood in this environment. Few organizations or governments can devote the financial resources to maintain robust

standing capabilities to respond to these situations. Capabilities they do have are usually already committed to ongoing contingencies. Some materials commonly required for emergency situations are stockpiled, but most large civilian organizations rely on in-place standby procedures to expand their capabilities when necessary. This system works when the contingency grows slowly, but when the requirement is to respond to a rapid onset natural disaster such as a large earthquake or tropical storm or man-made complex contingencies, the capabilities of the standing military forces often become the only option immediately available to national leaders.

Underlying any contingency response is funding; without financial resources very little can be done. Funding is largely provided by donor nations through special assessments for UN Security Council resolutions, Official Development Assistance, or national emergency response procedures. Some UN agencies have authority to provide small amounts to affected nations to cover immediate emergency response activities and IOs and NGOs have access to private donors. The more affluent donor nations play a major role in shaping this environment.

The SSC environment is significantly different from that for which U.S. military forces have been trained, especially its senior leaders. The majority of training and doctrine has been aimed at warfighting on the modern battlefield, but initiatives are underway within the DoD to increase awareness of the SSC operating environment. Progress is slow, and experience is rapidly lost. Most SSCs occur in remote locations under difficult conditions and the military is often the last organization to arrive. When forces are committed, it is typically to a desperate situation with ill-defined objectives, and with little real understanding of the actual situation on the ground and the role of other participants. In such an environment, both the military and civilian participants must work together. To do so, they must understand and gain confidence in each other prior to a contingency so that when *ad hoc* coalitions are formed in a crisis, they can work together and achieve unity of effort. Joint, combined, and interagency exercises provide the opportunity for cooperative learning and sharing.

C. U.S. GOVERNMENT INTERAGENCY PARTICIPANTS

The U.S. interagency is not a formal structure, but rather an established process for coordinating executive branch decisions that involve multiple agencies. Because most SSCs involve more than one agency, the interagency process is usually invoked to bring together the appropriate agencies with the capabilities needed to resolve the specific contingency.

When the nature of the problem is an enduring one, the organizational arrangements, responsibilities, and procedures of the Interagency participants are formally documented in what are termed Presidential Decision Directives (PDDs) or a federal response plan. When the contingency is a unique event that has security implications, the National Security Council (NSC) and its organizational framework will be convened. Created in 1947 to respond to the national strategy of containment employed during the Cold War, the NSC has been faced with a growing number of unique SSCs. As currently configured, however, it is not well organized to respond to today's strategy based on engagement and the large number of contingencies it is called upon to address.

The key USG interagency players, apart from the DoD, are described in Chapter II. The focus is on their major responsibilities in foreign SSCs or domestic emergencies. Some agencies have large roles in these operations, but others such as the Departments of Agriculture, Commerce, Health and Human Services, Transportation, and Treasury and the Environmental Protection Agency, have responsibilities and unique capabilities that may often play a role in a specific SSC. The Congress also performs important roles by funding and providing oversight for SSC operations.

D. UNITED NATIONS PARTICIPANTS

Chapter III describes the organization of United Nations, emphasizing the elements that have a role in SSCs. The UN, created in June 1945, is the largest and most complex Inter-Governmental Organization, currently encompassing 188 member nations. The UN Organization (UNO) is the arrangement established by the UN Charter. The UN System (UNS) includes the UNO but adds the programs, funds, and other bodies that have been created over the years by the member nations to carry out the work of the UN.

The six principal organs of the UNO include the General Assembly and the Security Council, the Economic and Social Council (ECOSOC), the International Court of Justice, the Trusteeship Council, and the Secretariat. The Secretary General is an administrator who supports the deliberative processes of the principal organs. The Secretary General heads the UN Secretariat with its 13 separate elements, such as the Department of Peace Keeping Operations (DPKO) and the Office for the Coordination of Humanitarian Affairs (OCHA). Member nations fund the budget of the Secretariat proportionally through regular contributions based on wealth of the member. The operations authorized by the Security Council impose mandatory contributions on members, over and above the normal budget.

The programs, funds, and specialized agencies that are included in the UNS are not under the control of the Secretary General, but instead report to boards of directors formed from participating member nations. There are 39 UN Programs, such as the UN Commissioner for Refugees (UNHCR), UN Development Program (UNDP), and the World Food Program (WFP). In addition, there are 18 UN Specialized Agencies, such as the World Health Organization (WHO), the International Bank for Reconstruction and Development (IBRD), and the World Meteorological Organization (WMO). Two additional organizations are independent and autonomous, but operate under the aegis of the UNS: the International Atomic Energy Agency (IAEA) and the World Trade Organization (WTO). All of these programs, funds, and specialized agencies are funded by member nations through separate budgets.

The chapter also describes the coordination mechanisms within the UNS and UNO. Coordination among the member states and the UN agencies is achieved through a number of committees and other organs. Resource mobilization in such an environment for in-kind contributions, personnel services, and funding is a major effort. Interagency coordination is another difficult task that maintains the linkages between the Security Council, ECOSOC, and the functionally organized Executive Committees that report to the Secretary General. In addition to these coordination measures, which largely occur at UN Headquarters located in New York and Geneva, coordination must extend to the UN participating agencies in the field at the scene of the SSC. Usually, coordination at that level is achieved through a Resident Coordinator, Humanitarian Coordinator, or Special Representative of the Secretary General, depending on the nature of the contingency.

The Secretariat and the funds, programs, and other bodies of the UNS often become involved in SSCs. DPKO has a role in forming peacekeeping missions and UN Civilian Police contingents for these operations. It has established a Standby Arrangement System to facilitate rapid assembly of such a force. OCHA has a role in coordinating the international response to rapid onset disasters and has developed the Military Civil Defense Assets (MCDA) system to facilitate the assembly and deployment of resources in these situations or during complex emergencies. The United Nations Children's Fund (UNICEF), UNHCR, WFP, and WHO have response capabilities that are frequently employed during SSCs, and other agencies also contribute their functional expertise to these operations. For longer term economic and social development required by an SSC, both the UNDP and the IRDB (the World Bank) play a major role along with the other UN agencies.

E. INTER-GOVERNMENTAL ORGANIZATION PARTICIPANTS

Inter-Governmental Organizations (IGOs) frequently play an important role in SSCs and are discussed in Chapter IV. IGOs are formed by nations with common interests. These organizations come in a variety of forms and frequently fulfill a number of functions. Three categories of IGOs are addressed: those with a global focus or that span multiple regions, those with a regional focus, and those financial institutions that have both global and regional responsibilities.

The IGOs with a worldwide focus have been established to address issues that have a global reach, such as migration, international criminal activity, or economic development. Others bring together member nations from more than a single region that share a common culture or language. Another group in this category focuses on arms control issues or the prohibition of certain types of weapons or materials used for weapons. Examples include the International Organization for Migration (IOM), the Organization for Economic Cooperation and Development (OCED), the Commonwealth of Nations (CWN), and the Organization for the Prohibition of Chemical Weapons (OPCW).

Many of the regional IGOs have security and economics as their main, but rarely sole, function. Often they are intended to enhance consultation, but some have increased their responsibilities for conflict prevention or peace support operations as a recognized regional arrangement under Chapter VIII of the UN Charter. Examples of regional IGOs include the North Atlantic Treaty Organization (NATO), Association of Southeast Asian Nations (ASEAN), Gulf Cooperation Council (GCC), Western European Union (WEU), Organization for Security and Cooperation in Europe (OSCE), Caribbean Community (CARICOM), and Economic Community of West African States (ECOWAS).

Financial institutions such as the World Bank, the International Monetary Fund (IMF), and Bank for International Settlements (BIS) have global responsibilities. They work with a number of regional banks to make available economic resources to enable nations to accomplish economic and social development. Examples of regional banks include the African Development Bank and the Caribbean Development Bank.

F. INTERNATIONAL ORGANIZATION PARTICIPANTS

While many organizations use the term international in their name, the International Organizations (IOs) discussed in Chapter V meet a unique set of criteria. In contrast to IGOs, they are private entities governed by private citizens rather than

governmental representatives. Unlike other non-governmental organizations, IOs derive their authority from international law or custom, are recognized as international entities and granted privileges and immunities from national laws by nations, and are authorized to issue their own travel documents. They also operate internationally on the basis of neutrality and impartiality and use a distinctive insignia representing the protection extended by international convention or custom. They also hold observer status in the UN General Assembly. Three organizations currently meet these criteria: the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and the Sovereign Military Hospitaler Order of Malta (SMOM).

The International Movement of Red Cross and Red Crescent Societies includes not only the ICRC and the IFRC, but also the 170 national societies worldwide. The role of the ICRC is to protect and assist the victims of armed conflict, while that of the IFRC is to coordinate the International Movement's response capabilities during natural and technological disasters and chronic and acute pathogen emergencies. The ICRC normally works independently of the national societies, whereas the strength of the IFRC is its ability to draw on the resources of those societies when performing disaster relief. The IFRC has developed procedures and standards for Emergency Response Units (ERUs) to assist the national societies to provide "off-the-shelf" capabilities promptly in a disaster. The roles of the ICRC and IFRC are by definition separate, but during recent complex contingencies, the difference in their roles has often become blurred.

SMOM is the world's oldest humanitarian organization, founded in 1099 by the armies of the First Crusade. It uses the Maltese Cross as its insignia. It is an Order of the Catholic Church focused on charity and humanitarian assistance. To perform these tasks in the modern world, the Order has developed a number of capabilities in national chapters that have been employed during recent SSCs. The Emergency Corps of the Order of Malta (ECOM) also has emergency response units available to meet the needs of affected populations. The Order is unique in that it can operate in a military and civilian mode and has supported both civilian and military casualties.

G. NON-GOVERNMENTAL ORGANIZATION PARTICIPANTS

A fundamental tenet of democratic society is the freedom of its citizens to express their views individually or collectively to influence the government or society. Citizens form political parties to place like-minded people in government, labor unions and veterans' organizations are formed to protect benefits of their members, and other groups

seek to expand or limit legislation on issues such as abortion and gun control. These groups are all Non-Governmental Organizations (NGOs) formed and operated by private citizens. Currently, there are estimated to be more than 2 million NGOs operating in the U.S.

This report, however, focuses on a smaller group of NGOs that military forces are likely to encounter during SSC operations. These NGOs have traditionally worked on humanitarian and development problems, but over the past half century they have expanded into other areas such as human rights protection and other advocacy issues, citizen diplomacy (referred to as track two or multi-track NGOs), or religious, academic, and scientific activities related to humanitarian or developmental issues.

Current estimates[4] suggest there are possibly as many as 32,000 NGOs formed in developed nations (northern hemisphere or global NGOs) that work in less developed nations, and as many as 80,000 NGOs in less developed nations (southern hemisphere, national, or local NGOs) to work on local problems. About 15 to 20 global NGOs have full service capabilities and operate in 70 or more countries with annual budgets of $100 million or more.[5] Others have more limited capabilities but may play an important role during SSCs. Another important consideration is that NGOs are usually already operating in areas by the time military forces are deployed and can be useful sources of information on the local situation.

The NGOs and military cultures are almost direct opposites, and there is a large gap in knowledge and understanding of the other community. Both need to work together to improve communications and to achieve unity of effort in an affected area. Because there is no agreed definition for an NGO, Chapter VI provides a description of what these organizations are. It also explains how they are structured and managed, how they are accredited and affiliated, and where they obtain funding. The chapter identifies the unique characteristics of NGOs, describes their role in shaping international policies, and lists the key criticisms of NGOs. The chapter also provides an overview of actions to improve accountability of NGOs. Appendix J contains supplemental information on this group of organizations.

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4 World Disasters Report 1997, International Federation of Red Cross and Red Crescent Societies, CH-1211 Geneva, Switzerland, 1997.

5 Preventing Deadly Conflict Final Report, Carnegie Commission on Preventing Deadly Conflict, Washington, DC, December 1997.

H. MAJOR PARTICIPATING DONOR NATIONS

Donor nations provide the resources that make the international community function. The 21 member nations that form the Development Assistance Committee of OECD are the principal contributors, but several other nations also provide assistance. The contributions for economic and social development, given either bilaterally or multilaterally as Official Development Assistance, are focused on specific programs and targeted to nations and regions that are in keeping with the donor's national objectives. Humanitarian assistance is also provided by donor nations and other responding organizations of the international community. When disasters occur, the assistance is provided on a non-political basis and without compensation to meet the needs of the affected population. While the total amount of official aid has declined recently, it has been more than compensated for through increasing private investments. Private investments, however, require a stable and secure environment to make the risks acceptable to the investors.

In addition to development and humanitarian assistance, donor nations also contribute to military security interventions. A secure environment requires both military security from hostile forces and public security from criminal activities and human rights abuses. Nations must agree to take collective action when another nation is confronted by these problems, and donors have cooperated to develop a UN system to support peacekeeping operations. When peace enforcement is required, the military task is more complex and is usually conducted by a lead nation and other willing partners as an *ad hoc* coalition or by a regional alliance of nations with sufficient capabilities to ensure success. A discussion of donor nation contributions to UN peacekeeping operations and non-UN authorized peacekeeping operations is covered, followed by a discussion of donor nation contribution to peace enforcement and regional military security programs.

Unfortunately, the public security component is a more difficult and longer term task that requires the building of responsive institutions and the rule of law. Donors and the international community have not had as much success with the public security sector as they have with the military sector, and this delay often requires the military forces to remain deployed even though their military security tasks have been completed. One factor contributing to this problem is the lack of integrated planning of military and public security activities. Another is the long time required to assemble an international civilian police force. The successful employment of Multinational Specialized Units during complex contingencies since 1998 suggests that this concept may provide the missing capabilities.

I. RESOURCES FROM THE BUSINESS COMMUNITY

With the globalization of the world economy, the role of business in contingency operations has expanded. Because of their forward presence and in-country knowledge, they can be a useful source of information for intervening military forces, especially during planning. During execution, they might be able to provide or arrange locally for critical resources needed by the force. Five types of commercial operators are discussed in Chapter VIII.

The first group of businesses includes contractors used by the DoD to support forward deployed military forces. Each military department has its own program: the Army's Logistic Civil Augmentation Program (LOGCAP), the Navy's Construction Capabilities Contract (CONCAP), and the Air Force's Contract Augmentation Program (AFCAP). These programs provide life support, construction capabilities, maintenance, transportation, and other functions such as medical and communications.

A second group of businesses have created what is termed by some as the "disaster industry." This is a loose conglomeration of companies and middle men, generally European-based, that supply the needs of victims and relief givers. These companies include small manufacturers, pharmaceutical firms, auto dealers, and suppliers of humanitarian materials.

The third group includes businesses that work for other USG agencies. These firms usually provide training, consultant services, or management for large scale projects. Some of these firms also provide contingency and recovery planning services. In certain cases, commercial firms will be employed to recruit, train, equip, and deploy the USG contribution of civilian police to contingency operations.

Another group includes public-private partnerships. Commercial businesses, when it is in their interest, will partner with governments at the national or local level to accomplish specific projects that benefit the recipient organization. These partnerships leverage capabilities available in advanced economies and frequently provide support to local health and education programs, civilian institution building, and introduction of new technology.

Many of the other SSC participants will also contract with firms to provide them with the supplies and services their organizations need to perform their tasks. When the local security situation is poor, these firms may be the only protection available to the population until military forces arrive. In some cases, specialized firms may engage directly in combat operations for a government using mercenaries.

Military planners should be aware of the various types of commercial organizations, the role they might play, and their potential contribution to SSCs. Contact with key firms in troubled areas prior to or early in a crisis situation might provide useful planners with local insights. Such contact can often be facilitated through the Commerce Officer in the American Embassy or the local American Chamber of Commerce.

J. MILITARY COMMAND AND CONTROL AND COORDINATION AND COLLABORATION WITH CIVILIAN ORGANIZATIONS

Military and civilian organizations, although structured differently, must work together in various types of SSC operations. To achieve unity of effort, both communities have recognized these differences and have established or are developing organizational arrangements to facilitate coordination and collaboration between the two groups. Both communities need to understand how the other is organized and operates and where interfaces can be established so that these differences can become transparent during planning and operation. Chapter IX describes the military, civil-military, and civilian arrangements that are often used during SSCs.

When military forces are employed, whether for MTWs or SSCs, they are generally tailored and grouped into various types of task forces. These organizational arrangements include concepts for single Service, joint, joint interagency, and combined joint task forces, depending on which elements are involved in the operation. During operations, civil-military coordination is effected through the creation of various types of *ad hoc* centers such as a Civil-Military Operations Center, a Humanitarian Operations Center, or an On-Site Operations Coordination Center. Within the USG, a Multi-Agency Support Team concept is being developed to enable the various agencies, country teams, and forces to plan and conduct SSC operations more effectively. On the civilian non-governmental side, several groups, coalitions, or associations have been formed to provide a coordinating mechanism among the large number disparate organizations.

In order to collaborate effectively with the diverse number of entities in a specific SSC, commanders and staff must be prepared to identify the specific organizations that have existing operations or are preparing a response. Commanders and staff can access this information by contacting USG partners, UN agencies and NGO umbrella associations. For UN authorized operations, UN Security Council Representatives, DPKO, and UN Department of Political Affairs (DPA) will provide information on the mandate and identify the other military participants that will be involved in the SSC. The UN Office for the Coordination of Humanitarian Affairs (OCHA) is another key

collaboration point. Both the OCHA Complex Emergency Response Branch in Geneva and the OCHA New York element should be contacted to identify which humanitarian response organizations and NGO are involved and the tasks they have agreed to perform. To gain information on logistics infrastructure and capabilities in the affected area, military staffs should contact the WFP Augmented Logistics Intervention Team for Emergencies (ALITE) located in Rome, Italy prior to deployment to the area.

At the same time that commanders contact these entities, it is possible to plan for collaboration with civilian organizations. The use of information technology and the Internet has enabled many civilian organizations to compile and make available very useful information to assist with planning and responding to SSCs. This chapter also identifies a number of these civilian networks, data bases, and systems that could provide useful information during planning and execution of SSC operations. Examples include the Relief Web, Integrated Regional Information Network (IRIN), and the Global disaster Information Network (GDIN). The U.S. Agency for International Development also operates an on-line system called Volunteers in Technical Assistance (VITANet). The World Health Organization has developed an automated system to track relief supplies from origin to destination which is being adapted worldwide and should provide more accurate accounting of supplies delivered and effective accountability of donor provided relief during emergency situations. In addition, there are environmental data bases as well as those related to meteorological conditions, maritime distress and safety, health, and food shortage and famine early warning.

Many agencies, especially OCHA, have web-based data bases on-line that identify rescue teams and other response organizations, stockpiles of relief items, and protocols to facilitate customs requirements during emergency situations. These capabilities have enhanced significantly the exchange of vital information within the civilian response community, and can be accessed by military planners to provide a better understanding of available resources.

K. RECOMMENDATIONS

In major theater wars, the military focus is typically on the threat the force is likely to encounter. The capabilities of the threat will determine the size of the force that will be needed. Allied military forces are integrated into the operation as part of the friendly forces in a coalition, and generally reduce the size of the force the U.S. military must provide. During humanitarian or peace operations, the capabilities of the friendly forces – civilian as well as military – must also be integrated into the military planning

and execution of these operations. The friendly capabilities made available for the contingency will shape the resources that the U.S. military will be called upon to provide to accomplish the assigned mission. This paper has described the large and diverse international community of potential "friendly forces" and their capabilities that are likely to be involved in these types of SSCs. Unfortunately, this information is not now comprehensively incorporated into the U.S. military planning and programming activities related to SSCs. Planning and programming guidance issued within the DoD should direct that these capabilities and their availability be taken into account during current and future planning and programming activities.

> ***Recommendation 1*** *– The DoD should incorporate into its future analysis of SSCs the potential contributions of its global partners. The planning and programming guidance issued within the DoD should direct that the capabilities and availability of these partners be taken into account both during operational planning and programmatic studies.*

Distributing this paper widely to those with responsibility for developing plans and analyzing programs within the Office of the Secretary of Defense, the Joint Staff, the Services, and the staffs of the unified combatant commands would enable these staffs to make use of this information immediately. The military education system, however, should also include this information in its curriculum so that future staff officers and commanders understand these capabilities and limitations, and integrate the potential capabilities into their plans and programs.

> ***Recommendation 2 –*** *The DoD should incorporate into its educational programs for leaders at all echelons training on the responsibilities and capabilities of USG agencies other than DoD, UN agencies, IGOs, IOs, NGOs, and businesses they will likely encounter during smaller scale contingency operations, so that military planning and execution of these operations will be accomplished on an informed basis.*

The cultures of the military and civilian communities are disparate and there is little knowledge and understanding of the others' motivations and capabilities. Exercises are an excellent way to help these diverse groups understand the others' capabilities and to learn to work together to achieve unity of effort. Military exercise planners do not typically have experience with the diverse civilian international community and make assumptions about that community that are not always accurate or realistic. Civilian involvement in military exercises can correct this shortcoming, but it must begin with early planning and continue during the development of the major scenario events, not merely during the exercise play.

Recommendation 3 – *Major Service, joint, and combined exercises employing SSC scenarios should incorporate knowledgeable members of the international civilian community during the design, planning, and execution of exercises so these events will be played in as realistic a setting as possible and the experience will prepare the military participants for their role in similar civilian-led operations.*

CHAPTER I

SMALLER-SCALE CONTINGENCY OPERATING ENVIRONMENT

I. SMALLER-SCALE CONTINGENCY OPERATING ENVIRONMENT

An important foundation for conducting military operations other than war (MOOTW) during smaller-scale contingencies (SSCs) is the need to understand the environment in which these operations will be conducted. The capacity, desire, and responsiveness of the non-military participants and the type of support they can provide are nested in issues of national and institutional interests, funding arrangements, institutional mandates or authorizations, and public diplomacy. This section describes this operating environment and introduces the other participants who will likely respond during SSCs. The discussion also summarizes how participants view their functions, capacities, and obligations, and how they coordinate their actions internally and externally. Subsequent chapters of this report provide more detail on the major participants and their capabilities within the SSC environment.

A. COMPLEX CONTINGENCIES

While SSCs cover a wide range of different types of MOOTW, those that involve the employment of military and civilian capabilities in what have been termed complex contingencies[1] present the greatest challenge to military commanders and their staffs. Complex contingencies predominantly occur in situations occasioned by a weak or failed state. That the state itself is in a weakened or chaotic condition, in itself, presents a host of challenges to the state-centric international system. Formulating a national or multinational response to these crises involves the management of multi-dimensional operations. Usually the response will require immediate actions to establish a secure environment and to meet the humanitarian needs of the victims so that the longer term activities, focused on establishing responsible and capable institutions within the state, can be accomplished. In a weak or failed state, the multi-dimensional response should work towards restoring the capacity of the host government's institutions in the

[1] As discussed in Presidential Decision Directive 56 (PDD-56), a complex contingency is "a contingency involving territorial disputes, armed ethnic conflicts, or civil wars that pose threats to regional or international peace, may be accompanied by natural or manmade disasters causing massive human suffering, and requiring multi-dimensional operations to resolve effectively."

diplomatic, military, political, civil law and order, public security, economic, public diplomacy, education, human rights, and social development sectors so the state can regain self-sufficiency and meet the needs of its citizens.

B. THE INTERNATIONAL STATE SYSTEM

The international state system has been built around the nation-state. A nation-state is formed when a political organization representing a relatively homogeneous people gains recognition of its authority within its borders by other nation-states. Such recognition entitles the new nation-state to participate in the international system of law; to execute treaties, conventions, and covenants; and to use the title sovereign. The body of international laws and conventions regarding human rights and humanitarian assistance, however, is focused on the right of the individual to life, security, health, opportunity, and the right to receive assistance. The existing international state system is challenged when some states do not respect the human rights of their citizens established by these laws and conventions.

Historically, a sovereign state acted as the sole representative of its inhabitants within the international system. An international code of state conduct has existed since the Treaty of Westphalia in 1648 prohibiting one state from interfering with the affairs of another. Other states could only intervene within the sovereign borders of a non-compliant state by declaring war and using force to compel compliance. Recently, however, states or groups of states have increasingly challenged the sovereignty of some troubled states and intervened within the recognized borders without a formal declaration of war. The interventions were deemed essential because the affected states violated the human rights of their citizens and failed to meet their basic human needs. The interventions were aimed at protecting individual rights and delivering assistance to needy citizens, thereby bypassing the state, which ostensibly held such responsibility. These troubled states are usually classified as failed, weak, conflicted, or repressive,[2] and

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[2] The UNHCR Paper "Reintegration in the Transition from War to Peace" provides the following state classifications:

Failed State – A state lacking centralized authority and a situation of general anarchy, such that there is no authority to provide effective national protection.

Weak State – A state that has a semblance of authority, but is unable to exercise effective power over all of its territory. Authority may be limited geographically, or in terms of the ability to carry out state functions (e.g., provision of services, or maintenance of law and order).

Conflicted or Contested State – A state that is not necessarily weak, but in which there is a conflict between groups for control of the state or specific geographic areas within the state. The state may be willing to extend national protection only to persons from particular groups or regions.

the focus of the international state system has gradually evolved from the notion of the inviolability of any sovereign state to a more selective position that ensures the protection of human rights and provides for the basic needs of the citizens in troubled states.[3] When a troubled state continues to hold power, and warlords ignore historical conventions, the international community becomes the only realistic source of protection, relief assistance, and rehabilitation for the population.

Intervention by others through humanitarian aid and development within a state has not always been constructive. Decisions to intervene often have been based on the politics of the victims, or on other goals of the government or organization providing the aid. Humanitarian aid from external sources may also be a substitute for multinational political consensus. When a decision or agreement on overt diplomatic and military steps cannot be reached, aid is often seen as a less controversial or less politically costly response. Instead of taking action within international diplomatic or political channels, states will fund non-governmental organizations (NGOs) and multilateral institutions to achieve their objectives.

In most cases, the recipient nation's government is widely perceived as being part of the problem. Donor governments, given the shrinking pool of available aid money, bypass inefficient, corrupt, or uncooperative governments, and work directly through NGOs and United Nations (UN) agencies. This often results in the creation of a parallel structure of outside services delivered to the citizens. While it is a government's responsibility to care for all of its population, the international community focuses only on selective elements of society which it deems vulnerable. Moreover, the management structures for implementing these programs do not take a countrywide view nor are there any types of regulation, standardization of services, or agreed methodologies to guide these efforts. The nature of the international state system is to promote peaceful transition and envisions an end state in which there is accountability and capacity within state governments to respond to citizens. The international institutions are not encouraged to take the further step of creating parallel administrations, but rather look to organizations that can cover emergency needs with a vision toward improving the capacity of the government to provide vital services.

Repressive State – A state that exercises authority but does not extend protection to all of its citizens. Repressive states command strong central authority, and are able to crush potential rebellions and outbreaks of violent conflict.

3 See Strategic Forum 166 "Humanitarian Intervention: The Case for Legitimacy," July 1999.

Relief and development policies of donor governments follow national policies that attempt to maintain accountability of funds while avoiding the vicissitudes of weak or failed states. On the other hand, diplomatic and political leaders often continue with state-to-state diplomacy, even when the recipient state is weak or failed. The issue of government recognition, and the prerogative of every sovereign nation, creates the potential for great confusion. Often the donor nations will respond with varying degrees of recognition. In these situations, the question of sovereignty sometimes creates confusion, suspicion, and inconsistencies on the ground where the services and supplies are provided to the victims. Military commanders, as well as other providers of assistance, can find themselves open to criticism if their concept of relations with governmental authorities differs from those of the other responding organizations.

C. GROWING TRANSNATIONAL PROBLEMS

Peace operations, humanitarian assistance, and economic and social development are traditionally funded on a country-by-country basis. **Since the end of the Cold War, however, policy makers have had to grapple with a growing realization that many problems cannot be managed only at the local level when the causes of the problems are regional or international.** Similarly, intrastate warfare is now recognized as a threat to regional stability and prosperity. Issues such as complicity of neighboring states tend to be overlooked as a digression from the immediate problem in the affected state or viewed as a problem that is diplomatically impracticable to solve at that time. Moreover, the international mechanisms for raising and disbursing money for assistance – military, humanitarian, and development – are generally based on earmarked contributions for specific countries or projects. The inherent lack of flexibility in these arrangements, to respond to rapidly evolving crises that span a region or several states, makes the effective allocation of resources difficult, and often creates a reactive versus proactive mindset in implementing organizations. Furthermore, donor governments may find that their own internal policies and associated procedures are at odds, creating situations where political and military objectives are not synchronized with humanitarian and development objectives.

D. THE INCREASING IMPORTANCE AND ROLE OF INFORMATION

International media and global information systems increasingly shape the focus and perspective of foreign policy makers as well as the public. When television screens around the world are filled with the terrible images of starving children and suffering

adults, the best part of our humanity demands that we spare no effort to feed the hungry, care for the ailing, and shelter the homeless even though the country may be of no immediate concern to the national interests. The result is a reduction in response time available to governments and compression of the decision making cycle. It is as though the international response system has become "the 100 yard dash, over and over again. And no matter how many times you win, you have to race again the next day. And if you loose by one hundredth of a second, it can be as though you lost by an hour."[4] It places a premium on public diplomacy, both to shape perceptions at the outset of a crisis and to maintain support during the crisis.

E. POTENTIAL PARTICIPANTS

Apart from organizations founded on international treaty or by states, there is no commonly accepted basis for naming and classifying the various international and national participants. Classifications also differ from country-to-country. For example, considerable debate continues among academics, policy-makers, government offices, and NGOs as to which organizations fit the definition of "International Organization." A similar debate focuses on how to define and categorize NGOs.[5] A typology of organizations potentially available to support SSCs can help to order that which would otherwise be a bewildering array of interests, authorities, and responses. The approach[6] used in this paper is more reflective of the diversity of actors and their methods of response. The categories identified include Governmental Organizations (GOs), Inter-Governmental Organizations (IGOs), International Organizations (IOs), Non-Governmental Organizations (NGOs), and the Private Sector. Although it would be possible to merge several of the above categories into a single International Organization chapter, for greater clarity, the various organizations that fit within the definition of International Organization are addressed in separate chapters.

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4 "A Manifesto for the Fast World" by Thomas Friedman, *New York Times Magazine*, 28 March 1999, page 42.

5 Previously, the U.S. Department of State (DoS) classified international participants as either "State-actors" or "Non-State-actors." However, given the growth, diversification, and increasing influence of non-state actors and other groups, such a distinction is no longer useful on its own.

6 The Carnegie Commission on Preventing Deadly Conflict (CCPDC) suggested using a division between those actors that can be classified as governmental and those that belong to civil society. This paper builds on this distinction and incorporates existing classifications into broad categories based on constituting authority and organizational foundation.

1. Governmental Organizations

By definition, these organizations are governmental entities and are provided from the subsidiary departments and agencies of governments. U.S. and other governments have developed national level response teams and mechanisms which can deploy and operate in the field.

Recognizing these entities and the distinction between them and other players is critical to perceiving how these organizations operate and where they can have influence within the system. Examples of U.S. GOs are the U.S. Agency for International Development (USAID), the Federal Emergency Management Agency (FEMA), and other departments and agencies of the USG, as well as any subsidiary offices and teams which they might deploy. Other sovereign governments also maintain technical and functional capacities either as an adjunct to their regular functions or through special standby arrangements such as specialized reserve or auxiliary organizations. An illustrative list of other nations' GOs with humanitarian and development focus follows:

- **Australia**: Australian Agency for International Development (AAID)
- **Canada:** Canadian International Development Agency (CIDA)
- **Denmark:** Danish International Development Agency (DANIDA)
- **Germany:** *Technische Hilfs Werkung* (THW) and *Gesellschaft für Teknische Zusammenarbeit* (GTZ)
- **Japan:** Japan International Cooperation Agency (JICA)
- **Russia:** State Committee of Russian Federation for Civil Defense, Emergencies, and Elimination of Consequences of National Disasters (EMERCOM)
- **Sweden:** Swedish International Development Agency (SIDA) and Swedish Rescue Service Agency (SRSA)
- **Switzerland:** Swiss Disaster Relief Agency (SDRA)
- **United Kingdom:** Department for International Development (DfID).

2. Inter-Governmental Organizations

IGOs are consultative bodies of national governments formed for cooperation in economic, political, security, general dialogue, or cultural purposes. The IGOs, based on their charters, function to promote common policies and implement international agreements, resolve disputes, promote conflict resolution, conduct preventive diplomacy, promote economic cooperation, share information, and/or promote collective security.

They are most often perceived by the general public through the implementing arms of their Secretariat or other special programs. The IGOs function at international and regional levels. Examples of the types of organizations in this category include:

a. Organizations with Global Focus or That Span Multiple Regions

The United Nations and its associated programs and autonomous institutions is the most inclusive IGO with approximately 188 member nations. Another IGO with a global focus and mandate is the International Organization for Migration (IOM) established by governments (67 members and 47 observers) to address problems associated with the movement of migrating personnel, including refugees and displaced persons. Because of its size and complexity, the UN is discussed separately in Chapter III while the other IGOs are addressed in Chapter IV.

b. Organizations with Regional Focus

Most IGOs are focused on regional concerns that generally fall into three broad categories: security issues, economic issues, and general political or cultural issues. However, these categories are not mutually exclusive, and the charters of many IGOs address concerns in more than a single category.

1) Security Organizations:

Examples of consultative bodies that address regional security issues include the following:

- Association of Southeast Asian Nations (ASEAN) Regional Forum
- North Atlantic Treaty Organization (NATO)
- Organization for African Unity (OAU)
- Organization of American States (OAS)
- Organization for Security and Cooperation in Europe (OSCE)
- Western European Union (WEU).

2) Economic Organizations:

Examples of consultative bodies that address regional economic issues include the following:

- Asia-Pacific Economic Cooperation (APEC) Group
- Economic Community of West African States (ECOWAS)

- European Union[7] (EU)
- Gulf Cooperative Council (GCC)
- Inter-Governmental Authority on Development (IGAD)
- *Mercado Común del Sur* (MERCOSUR)
- Organization for Economic Cooperation and Development (OECD)
- Southern Africa Development Community (SADC).

3) Dialogue and Cooperation Groups:

Examples of consultative groups formed to conduct general dialogue or established to address political issues or to facilitate cultural associations on a regional basis include the following:

- Arab League
- Association of Southeast Asian Nations (ASEAN)
- Black Sea Economic Cooperation Zone
- The Commonwealth
- Gulf Cooperative Council (GCC)
- Inter-Governmental Authority on Development (IGAD)
- *La Francophonie*
- Non-aligned Movement (NAM)
- Organization of the Islamic Conference (OIC)
- Organization for Security and Cooperation in Europe (OSCE)
- South Asian Association for Regional Cooperation (SAARC)
- Southern Africa Development Community (SADC).

c. International and Regional Financial Institutions:

Governments have established a number of financial institutions with international and regional focus. The Bretton Woods Institutions (BWI) – the World Bank[8] and the International Monetary Fund (IMF) – are part of the UN system. These

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7 The European Union has established the European Community Humanitarian Office (ECHO) which serves as the administrator for humanitarian and development programs carried out both within the EU and in other regions of the world.

8 Officially the International Bank for Reconstruction and Development (IBRD).

institutions, together with the network of regional financial institutions,[9] have a major interest and role to play in helping to prevent or cope with mass violence and/or behavior destabilizing to the international system. Recently the World Bank has published guidelines for governments on working with NGOs as a vital part of recovery planning and support for broadening the democratic base of the country discussed in more detail in Chapter III. Additionally, the Bank has formed new elements within its organization to deal with NGOs, and has developed special response procedures for the Bank's involvement in conflict situations. The BWI focus and objectives make them an important IGO partner in the response strategy formulation for many SSCs.

3. International Organizations

IOs are private international bodies, deriving their authority from international agreements to which states are signatory. They do not have the competence to negotiate treaties. They have executive bodies formed by private citizens who represent the nations that are party to the agreements, but the governments do not oversee the operations of the IO or approve its projects. The IOs are recognized as international legal entities with privileges and immunities from national laws, and are authorized to issue their own travel documents for their staff. They also hold observer status in the UN General Assembly. Apart from these special authorizations, IOs work in the same functional areas as some of the largest NGOs described below. There are three international organizations currently recognized. These are:

- International Committee of the Red Cross (ICRC)
- International Federation of Red Cross and Red Crescent Societies (IFRC)
- The Sovereign Military Hospitaler Order of Malta (SMOM).

4. Non-Governmental Organizations

The NGOs have earned greater prominence in the post-Cold War period. They range from long established and well-funded bodies to newly established, and sometimes short lived, single interest groups. The general term NGO[10] refers both to organizations

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[9] Other associated regional financial institutions include the Inter American Development Bank, the African Development Bank, Asian Development Bank, and the European Bank for Reconstruction and Development.

[10] In the USAID Registration Guidelines, an NGO is any association of individuals, other than a government agency, pursing a common purpose. It is usually an organization based in the U.S., in the host country, or in a third country, engaged in voluntary charitable or development assistance

from developed countries, often called "Northern NGOs," and local organizations in affected countries that are called "Southern NGOs."[11] The 1997 World Disaster Report published by the IFRC cites UN and World Bank sources that estimate there are more than 32,000 Northern and 80,000 Southern NGOs. Enumerating and cataloging the total NGO population is a never ending task given their fluid nature.[12] For example, the number of NGOs attending the recent International Conference on Women held in Beijing was over 35,000.

The NGOs, an institutional expression of civil society, are important to the political health of virtually all countries, and their current and potential contributions to the prevention of deadly conflict, especially mass violence within states, is rapidly becoming one of the hallmarks of the post-Cold War era. Traditionally, NGOs have primarily been associated with humanitarian and development work. However, this definition overlooks the variety of organizations and the varying roles they play. The NGOs are generally formed under a specific country's laws as non-profit, professional, charitable, religious, or educational institutions or foundations.

The current definition for NGOs used in Joint Pub 1-02[13] is based on the somewhat outdated United Nations terminology which focuses solely on development and relief functions, and only those organizations with an international perspective that originate in developed nations. It is important to keep in mind that there are both global and local NGOs, and these organizations play a wide variety of roles within civil

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operations including, but not limited to, services of relief, rehabilitation, disaster assistance, development assistance, welfare training, or coordination of such services in the fields of health, nutrition, agriculture, industry, environment, ecology, refugee services, emigration, resettlement, and development of capabilities of indigenous institutions to meet basic needs. The term NGO is generally synonymous with Private Voluntary Organization (PVO), with the latter more commonly used to refer to a U.S.-based NGO.

11 Some NGOs from the developed nations differentiate themselves from local organizations by calling themselves "International" or "expatriate" NGOs as contrasted with "National", "Local", or "Indigenous" NGOs.

12 The OECD maintains one of the most comprehensive registries of NGOs engaged in development throughout the world; see the two volume "Directory of Non-Governmental Organizations Active in Sustainable Development."

13 Transnational organizations of private citizens that maintains a consultative status with the Economic and Social Council of the United Nations. Non-governmental organizations may be professional associations, foundations, multinational businesses, or simply groups with a common interest in humanitarian activities (development an relief). "Non-governmental organizations" is a term normally used by non-United States organizations. (Source: Joint Pub 1-02)

society.[14] Examples of six major categories of NGOs, based on the roles they perform, follow.[15]

a. Humanitarian and Development Organizations:

- Cooperative for American Relief Everywhere (CARE)
- Catholic Relief Services (CRS)
- *Medecins sans Frontieres* (MSF)
- National Democratic Institute (NDI)
- Oxford Committee for Famine Relief (Oxfam)
- Save the Children Fund (SCF).

b. Human Rights and Other Advocacy Groups:

- Amnesty International (AI)
- Human Rights Watch (HRW)
- International Campaign to Ban Land Mines.

c. Track Two/Multi-Track[16] or Citizen Diplomacy Organizations:

- Carter Center International Negotiation Network[17]
- Conflict Management Group (CMG)
- Institute for Multi-Track Diplomacy[18]
- International Alert (IA)
- International Crisis Group (ICG)
- Project on Ethnic Relations
- Search for Common Ground (SCG).

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14 Part of the difficulty in understanding NGOs is the absence of standardized terminology. For the purposes of this text, NGOs with operations in multiple countries are called global NGOs and NGOs with operations in a single country are called local NGOs.

15 This categorization is used by the Carnegie Commission on Preventing Deadly Conflict.

16 Track Two, Multi-Track, and Citizen Diplomacy are terms used to refer to private sector diplomacy. These activities are often used by leaders who want to take informal soundings of adversaries' intentions.

17 The Carter Center also maintains an exhaustive index of NGOs involved in conflict prevention.

18 This organization maintains a list of more than 450 groups with similar focus.

d. Faith-Based Institutions:

Many religious institutions operate NGOs to provide disaster relief and humanitarian assistance to needy communities. These NGOs operate predominantly at the operational and tactical levels and have a religious imperative.[19] They often employ members of the local community and available religious infrastructure to deliver their assistance to the needy.[20] Examples include the following organizations:

- Adventist Development and Relief Agency (ADRA)
- Catholic Relief Services (CRS)
- Islamic African Relief Agency (IARA)
- Lutheran World Relief (LWR).

In many crises religious leaders and interfaith groups have formed strong negotiating bodies of great moral influence. The leadership for these groups is most often local, although there are large international organizations such as the World Council of Churches, with its subsidiary regional councils, and others such as the All Africa Conference of Churches and the Community of *Sant'Egidio*. National level organizations are typified by the Inter-Religious Council in the former Yugoslavia and the Inter-Faith Mediation Council in Liberia.

e. Academic and Scientific Community:

Many universities and private organizations have established non-profit organizations that address the types of problems encountered during complex contingencies. These organizations conduct research and publish critiques and findings for the public. They also host conferences and meetings to gather information and to provide a forum for other organizations on particular issues. Examples of these organizations are listed below:

- African Center for Conflict Resolution and Development (ACCORD)
- Brookings Institute

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19 The Carnegie Commission report on Preventing Deadly Conflict identified five factors that gave these institutions an advantage over some of the other NGOs: (1) a clear message that resonates with their followers; (2) a longstanding and pervasive presence on the ground; (3) a well-developed infrastructure that often includes a sophisticated communications network connecting local, national, and international offices; (4) a legitimacy for speaking out on crisis issues; and (5) a traditional orientation to peace and goodwill.

20 Some of these organizations may provide assistance only to members or potential members of their faith.

- Center for Strategic and International Studies (CSIS)
- Cato Institute
- Swedish International Peace Research Institute (SIPRI)
- University programs such as George Mason University's Program on Peacekeeping Policy, Brown University's Humanitarianism and War Project, and Tufts University's Feinstein International Famine Center.

f. Philanthropic Foundations:

A few non-profit philanthropic foundations provide funds to various organizations to assist with institution building and development of democratic societies. The Ford Foundation, the Rockefeller Foundation, and the Soros Foundation are examples of NGOs in this category.

5. Private Sector Participants

Two additional groups in the private sector have a major role in most SSCs. The media – television, radio, and the press – will influence the public and the policy makers within both the affected nation and the international community. The business community also can help the nation achieve a more rapid recovery.

a. The Media

As noted earlier, the rapid dissemination of information by the media acts to form public opinion and inform policy decision making. The media's influence as a whole is enormous, particularly its ability to report events in real time. Most often the term media is used to refer to international media organizations. All too frequently this view overlooks the role of national and local media organizations in the crisis area. Because of this local influence, the media's role in disseminating erroneous information or inflammatory propaganda has become an issue of great significance during some contingency operations. Information warfare is the term used by military and diplomatic sources to describe strategies to conduct public diplomacy as well as psychological operations (PSYOP) aimed at influencing and/or creating favorable attitudes and behavior in target populations. Such strategies also can be employed to counteract erroneous and inflammatory propaganda.

b. Business Community

As governments have turned to IGOs, IOs, and NGOs to act as implementers for their program and policy objectives, so too have they turned to the for-profit business community. This community's involvement in SSCs should be viewed from two perspectives.

The first category includes those companies that are contracted as service providers by the government. One familiar example of this type of business is the U.S. Army's Logistical Civil Augmentation Program (LOGCAP). This organization performs tasks under contract to support the requirements of army forces deployed during a contingency. Similarly, USAID and the European Commission have begun making greater use of the private sector by contracting with for profit consulting firms for in-country management of large scale, multidisciplinary programs such as reconstruction, resettlement, demobilization, and reintegration. The business community has played an integral role in all phases, and is able to provide needed expertise without the same "mission creep" considerations that come into play when the military is tasked. Another example in this category includes those companies such as Executive Outcomes from South Africa, Sandline International from the UK, or Military Professional Resources Incorporated (MPRI) from the U.S. that provide military assessments, weapons acquisitions, and training for governments. The first two companies have also supported governments through direct involvement in combat.

The second category includes international businesses that go abroad in search of natural resources and less expensive labor. They will respond to a crisis in order to protect their financial interests. During recent disasters in the Caribbean and Central America, multinational businesses provided land, sea, and air transport to assist with the delivery of supplies to the victims. They also assisted with the debris removal and construction of roads and bridges that were essential to their operations. During complex contingencies, businesses will remain in place as long as the factions allow them access to resources and do not threaten their security. Some international businesses have been criticized for their insensitivity to human rights and their lack of interest in conflict resolution. However, these same businesses bring needed hard currency to the area, provide employment for local workers, and often donate resources to the state and individuals. Businesses, whether international or local, have responsibilities to the community where they reside. Civil law and order and public security, however, are essential if businesses are to operate effectively in an affected nation.

F. ORGANIZATIONAL AUTHORITY, MANDATE, RESPONSIBILITY, AND OPPORTUNITY

All organizations operate under guiding policies and mandates. This guidance can be in the form of a government's constitution and laws, an organization's charter, a corporate mission statement, or other forms of protocols. These documents translate into the organization's concepts of authority, mandate, responsibility and opportunity.

Authority is usually an attribute of GOs, IGOs, and IOs. It refers to the specific national legal basis for a state or other instruments – such as treaties, charters, or conventions for IGOs and IOs – that are backed by the states that were signatory to these agreements. Authority provides *de jure* justification for actions, funding, and policies. Like other legal instruments, these documents and arrangements are subject to interpretation. In many cases the application of customary law, as practiced, has provided significant expansion of authorities on a *de facto* basis.

Mandate is an aspect of authority yet also independent. Authority and mandate both have a direct impact on how, where, and why an organization does something. If a particular need does not coincide with an organization's perception of itself, then that organization does not respond. For example, the mandate of the UN High Commissioner for Refugees (UNHCR) is one of protection for refugees. Organizations frequently use the mandate argument as justification that compels them to act or constrains them from acting in certain situations. IOs have internationally agreed mandates for performance, against which they can be held accountable. However, mandate also comprises institutional bias, traditional operational perspectives, and deference to sovereign governments.

Authority is delegated to various levels within any organization. Some NGOs will delegate complete flexibility to alter or change their projects to field workers, but in other cases, the field workers have no authority to change. The level of authority within an organization can vary by office, country, or project, but is usually a function of the mandate and the current funding.

Responsibility is often interpreted as accountability. All organizations are responsible and accountable to some level of authority for their programs, actions, and budgets. For NGOs this authority is a board of directors and their private, GO, and IGO contributors. The GOs are responsible to their legislatures and public. The IGOs and IOs are responsible to their member states or donors. However, despite these mechanisms, holding an organization accountable is only as effective as the will to raise the issue. It is

all too common a practice in international operations to apply the "glass house" theory – avoid criticizing others in order to avoid unwanted criticism in return. Such an environment creates structural problems of unwarranted formalities and elaborate methods of indirectly dealing with issues. For example, UN reports are usually loath to state any derogatory findings concerning member states.[21]

The humanitarian NGOs, while compelled by their leadership to relevant action, actually perform work based on opportunities which they develop or identify. Often humanitarian organizations work under situation specific grants. It is essential for many of them to find financial opportunities which coincide with donor GO and IGO funding priorities. The NGO fund raising activities revolve around the publicity created by crises.[22] Hence, opportunity influences prioritization of effort and level of response.

1. Command, Control, Coordination, Collaboration, Cooperation, or Consultation

During complex contingencies, the participating organizations each have their own internal command and control relationships, but most of these arrangements are not comparable to military structures. For example, most organizations have reporting channels, but these do not necessarily imply the degree or quality of control exercised by the military in its command and control arrangements. Instead, these organizations have asymmetries that result in multiple lines of internal authority and stovepipe arrangements. Internal actions are most often accomplished through cooperation, collaboration, and consultation rather than command.

When these diverse organizations come together in one area of operation, there often will be no clear lines of authority among them. Typically, a coordinating authority or body is established[23] and it coordinates with its members to accomplish its mandate. Within the military hierarchy, the coordinating body approach can be successful because of the established command relationships and appellate procedures that can be invoked; but, when applied to a group of civilian organizations, each with different internal

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21 One example is the set of humanitarian reports from the UN operations in Iraq which cite "special circumstances" for the Northern Governorates (Iraqi provinces), when in reality they are forced to operate under an internal blockade imposed by the Iraqi government.

22 NGOs which are extensively privately-funded; for example, those connected to religious institutions, do have a funding base that is independent of government funding.

23 One example is a Humanitarian Assistance Coordination Center (HACC) directed by a UN official with a standing liaison committee to formulate policy, core groups to address topical issues, sector and regional liaisons, and a Civil-Military Operations Center (CMOC) as described in the Multi-Service Procedures for Humanitarian Assistance Operations.

authority and decision-making arrangements, such an approach is more difficult to implement. Many civilian organizations resist any efforts to exert outside control over their operations or to effect control under the guise of coordination. Instead, the more workable relationship among these organizations is one of collaboration and consultation. These relationships are equally applicable at the strategic, operational, and tactical echelons.

In the international arena, organizations frequently attempt to coordinate activities and work together employing collaboration and consultation.[24] The problems arise during contingency operations when participants believe they should not participate or that they possess sufficient resources, stature, and capacity to stand alone. Such attitudes can be held by donor nations, IGOs, or NGOs. For example, UN agencies prefer to remain aloof from NGOs when making policy decisions. The ICRC will assert mandate as its *raison d'etre* and its justification for a self-enforced isolation. Even NGOs, such as MSF, will assert their independence when they can.[25] There usually will also be separate coordination structures for political-military and humanitarian-development efforts. This separation is considered essential to safeguard humanitarian actors from most political backlashes and to preserve the humanitarian agenda. **The essence of coordination in this environment is commitment to information sharing and general respect for the consultative process. Successful coordinators will be able strike a balance between raising issues with relevant actors and seeking solutions on one hand, and avoiding settling for the lowest common denominator or for an unsatisfactory solution that raises no objections on the other.**

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[24] The USAID Office of Development Partners and Office of Private and Voluntary Cooperation are working with a new model called intersectoral partnerships. An alliance is formed with NGOs and the host government to establish strategic goals and implement plans for a country. The key to intersectoral partnerships is collaboration. The NGOs are also forming their own networks and partnerships to strengthen their voice when dealing with donor nations and IGOs. For example, Friends of the Earth, Environmental Defense Fund, National Wildlife Federation, and Sierra Club joined forces to lobby Congress and eventually the World Bank. In addition, IOs are working to form better partnerships with NGOs. These partnerships have focused on sharing information. For example, the Association for Progressive Communications provides services and support to link people, issues, resources, and tools for action. The theme of the 50th Annual UN/DPI and NGO Conference held in September 1997 was "Building Partnerships."

[25] MSF recently ended participation in the InterAction Disaster Response Committee due to MSF concerns over contacts between InterAction, the USG, and the U.S. military.

2. Intelligence, Information, and Advocacy

Information and intelligence[26] are two sides of the same coin. Where intelligence supports government decision making, so too does information support IGO, IO, and NGO decision making. As IGOs, IOs, and NGOs engage in conflict prevention, early warning, and other efforts aimed at preventing conflict, information and intelligence requirements converge. The IOs and NGOs also use information to undertake advocacy or public diplomacy to influence policy makers in GOs and IGOs. Academic and research institutions play a significant role in producing major analytic products as tools for advocacy efforts. Added to this process is the role of the media. As an independent civil society group, media institutions play an ever greater role in informing public opinion and setting the agenda for policy makers.

Information is also a commodity. The control of information collected by agencies is seen as proprietary, directly forming the basis for program funding requests. Hence organizations have frequent discrepancies in their information, reflecting exaggeration of numbers or success, or covering up failings, or providing other safeguards for their turf. Some organizations have been known to continue to insist on relief aid for their areas even though the need is less acute than in other areas for fear of letting down recipients whom they view as their constituencies.

3. Security in the Operational Area

A common characteristic of complex contingencies is a lack of security caused by armed warring factions, corrupt military or police, or a breakdown of civil law and order. These situations are typically caused by a failed, weak, or conflicted state that lacks the capacity to provide for civil law and order and public security, or a repressive state that uses violence and criminal activities to accomplish its ends. From lessons learned in recent SSCs, the USG is calling for better coordination and cooperation on security issues. Presidential Decision Directive 71, "Strengthening Criminal Justice Systems In Support of Peace Operations and Other Complex Contingencies" highlights the security problems and outlines the USG policy for addressing them.

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[26] Information – 1. Facts, data, or instructions in any medium of forum. 2. The meaning that a human assigns to data by means of the known conventions used in their representations. (Source: Joint Pub 1-02)

Intelligence – 1. The product resulting from the collection, processing, integration, analysis, evaluation, and interpretation of available information concerning foreign countries or areas. 2. Information and knowledge about an adversary obtained through observation, investigation, analysis, or understanding. (Source: Joint Pub 1-02)

The breakdown in security is often caused or aggravated by a number of different actors with individual allegiances and no stake in civil order for the failed, weak or conflicted state. These actors can be classified into five distinct groups,[27] each with different motivations. It is difficult to restore civil law and order and public security without first identifying which group or groups are involved, and then developing strategies to deal with them.

The first group is made up of followers drawn from the underclass of the society. They are "losers" with little education, and no stake in peace, who lack skills to earn a living by legal means, and thrive on tumult. When the breakdown in civil law and order or conflict lengthens, a reluctant second group is formed from young men who formerly pursued productive lives, but who are now drawn or pushed to violence because more productive options have been closed to them by the prevailing conditions. The third group is formed by those individuals who are true believers in a cause – religious, ideological, ethnic, nationalistic – and are ready to advance their cause. The fourth group is made up of disposed military men who become mercenaries and sell their services to the side that can afford them without regard to cause. Because of specialized training and experience, even a small group of mercenaries can increase the lethality of the crisis. The last group represents the opportunistic leaders who view the conflict as a chance to enhance their own status and wealth, and often use repressive measures to achieve their goals. They are masters of timing and surprise who will agree to anything until the envoy's back is turned. They lead and manipulate the other groups to retain power.

When two or more factions oppose each other, control of the population is often a key strategic objective of the leaders. They will direct violence and coercion at citizens as a key tactical weapon. One or more factions will also seek to control valuable resources and profit, often at the expense of the brutally treated populace. The breakdown in law and order also fosters disregard for international humanitarian and human rights standards; for example, the members of the local Red Cross or Red Crescent chapters might no longer be respected, and instead become aiming points for the locals. In some cases, relief workers[28] might be used as bait to lure the weakened population to feeding or medical treatment centers where they can be attacked or

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27 See "Soldier vs. Warrior: The Modern Mismatch," by Ralph Peters, *The Washington Post,* 7 March 1999.

28 During recent situations in Africa, Columbia, and Chechnya, relief workers also have been taken hostage or killed for no apparent reason.

terrorized. Relief supplies are then seized for the political or financial benefit of the factions or corrupt officials. In Liberia, the repeated mass looting of all NGO and UN equipment, supplies, and vehicles directly supported the warlords' ability to wage war. Some authors have described this war economy activity as "harvesting."[29]

In such a complex environment, humanitarian providers often face a real dilemma concerning how to obtain security so they can operate effectively. In Somalia, for example, "technicals" provided by local warlords were hired by many participating organizations to ensure security. Siding either with external military forces or those of one of the factions to achieve security can separate the relief workers from the population they wish to serve. Many IOs and NGOs have initiated security training programs to educate their workers and make them more sensitive to these issues. The focus of this training is to preserve the IO and NGO "image" while making the staff more conscious of these issues, not to build capacity to become an armed camp. UN agencies have also provided security officers to review local practices, establish internal security measures, and prepare evacuation plans for their missions.

G. CONCEPTS OF CAPACITY

Usually, organizational publicity advertises capacity and resources without regard to any limitations. However, most organizational core competencies can be implemented at only a very limited level and for a short duration without external funding. Hence it is important to understand the elements that form an organization's capacity.

1. Internal and Expandable Capacity

Because labor is expensive, most larger relief organizations have some sort of standby arrangements to increase capabilities rapidly when a crisis occurs. Many organizations have lists of on-call personnel that provide for a rapid initial response. Some organizations also maintain limited stockpiles of relief items that can be moved immediately to the scene of the contingency. Full-scale programs that require resources beyond these limited, immediately available capabilities, however, depend on external funding. The actual capacity to respond rapidly to crises for all but the largest of organizations is limited to very low level effort because of the costs associated with building and maintaining such a capacity.

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[29] See "Outsourcing Wars," *Foreign Policy,* February 1998

2. Personnel Resources

Many personnel associated with these organizations are experienced, dedicated, and well qualified, often including doctors, nurses, and other trained professionals. However, one of the frequent critiques of NGOs and the UN is their failure to retain experienced personnel. Because of the costs associated with maintaining a permanent staff, many NGOs retain only a limited core staff of administrative and support personnel. Critics have also commented on the small number of qualified core staff personnel used on crisis teams by the UN who often rotate from disaster to disaster while other less qualified staff cannot be used to respond.

During emergencies the core NGO staffs are augmented through outside recruitment or by hiring individual consultants or contractors. NGOs that have development programs in affected countries, often must struggle to convert program staff to handle immediate relief and rebuilding functions after a disaster occurs. The UN uses other mechanisms, including seconding of personnel from one organization to another or from a national government to the UN, as is frequently done by Scandinavian governments to support UN agencies during contingencies. Most of the personnel forming the UN Disaster Assessment and Coordination (UNDAC) teams and the On-Site Operations Coordination Center (OSOCC) are provided by standby arrangements from other governments or are drawn from lists of UN Volunteers (UNV).

3. Material Resources

Most large emergency response organizations maintain stockpiles or packages of humanitarian relief resources and related capabilities that are ready for immediate deployment. The U.S. Government, through the Office of Foreign Disaster Assistance (OFDA) and the U.S. Department of Agriculture (USDA), maintain stockpiles of both food and non-food items[30] in the U.S. and at overseas locations for distribution to needy populations. The UN – through the Office for the Coordination of Humanitarian Affairs (OCHA) and its operating agencies such as the World Health Organization (WHO), the World Food Programme (WFP), and the UNHCR – maintain stockpiles of food, medicines, and non-food items in regional warehouses that can be rapidly loaded onto aircraft and delivered to needy populations. The IFRC has equipped and trained a number of emergency support units within the national Red Cross and Red Crescent

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[30] Non-food items typically include relief items such as blankets, plastic sheeting, hand tools, and plastic water containers with purification tablets.

chapters that can be called upon to respond in large scale disasters. Large NGOs such as MSF and Oxfam also maintain pre-configured packages of standardized equipment relating to their specialties.[31]

Beyond the immediate response capability, however, larger commodity requirements or equipment and vehicles required for the operation need some guarantees of funding. Moving equipment and resources from one emergency site to another is also problematic.[32] The UN agency equipment is often tied to projects and in many cases, is turned over to the host government when the project is completed.[33] Similarly, NGO equipment purchased for a specific project in many cases becomes the property of the respective donor government mission which has authorized and funded the project. Often the donor government promises to turn over the equipment to the host government at the conclusion of the project. Except for large self-financed organizations that can purchase their own equipment, such resources must be bought new or rented with each mission. In some cases, host government military forces and irregular factions have been known to hijack UN and NGO vehicles. In some instances, the UN agency has actively sought the return of the vehicles, but other UN agencies are lax in their pursuit of the responsible parties.

4. Funding

Capacity is contingent upon funding. The donor nations are key, but their actions are often constrained by political considerations and bureaucratic procedures that must be followed.

a. Donor Nations

In this environment, donor nations are the principal source for most international assistance providers. While some funding that comes to the assistance providers is from

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31 NGOs keep stockpiles of emergency relief commodities, but put a priority on purchasing goods locally when possible. By purchasing commodities on the local market, NGOs seek to help local economies re-bound.

32 One obstacle in utilizing vehicles and equipment in multiple emergencies centers on determining where the excess commodities can be best used and what logistical arrangements are needed.

33 One exception is a maintenance and warehouse facility established in Italy under the UN Standby Arrangement System for peacekeeping operations. This facility reconditions and stores residual vehicles, shelters, and support equipment used by previous missions until required by new missions.

private donations, the majority generally comes from donor nations.[34] Donor nations provide funding to the UN in the Assessed Regular Budget, Assessed Peacekeeping Budget and by voluntary contributors. Most international assistance providers do not generate income on their own. For example, the UNHCR depends on the USG for about 33 percent of its operating budget to conduct its programs.[35] The ICRC receives about 72 percent of its funding from donor nations and nearly 10 percent from its national chapters.[36] Many NGOs, based on their charters, also receive direct funding from their national governments to carry out specific programs, but some NGOs limit the amount of governmental funding that can be used to preserve a degree of organizational independence. Even private sector assistance providers[37] depend on donor nations for direct or indirect funding. Because potential donor nations have limited funds for international assistance, they must establish priorities and determine the most effective channels for distributing these funds to accomplish their objectives.

Governments and IGOs frequently differentiate between relief and emergency funding and longer term development funding.[38] Both types of assistance count towards the UN target of 0.7 percent of industrialized nations' Gross National Product (GNP) to be spent on overseas aid for an agreed list of developing countries. As the principal source for all relief and development funding, donor governments directly influence operational reality or unreality on the ground. This influence often politicizes the operating environment and results in bureaucrats determining when an emergency ends based on political considerations rather than when the actual needs of the affected population have been met.

Donor nations use different methods to prioritize the spending of their foreign assistance funds. In the USG, the legislative branch determines spending priorities. Congress delegates limited powers to the executive branch – the President, DoS,

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34 This section focuses primarily on cash assistance and contributions. There are other assistance mechanisms such as food aid, loans, loan guarantees, endowments, etc.

35 The Department of State Bureau of Population, Refugees, and Migration Orientation Manual states that bureau alone provides 20 to 25 percent of UNHCR annual needs. Other USG agencies also contribute to UNHCR. These funds are separate from the annual UN assessments for the operating budget or for special assessments for UN Security Council authorized operations.

36 ICRC Annual Report, 1997.

37 Private sector firms that engage in providing assistance are for profit and not NGOs.

38 Relief funds and development funds come from different budget line items and this distinction creates a divide between the relief and development communities. Some recent discussion has centered on combining relief and development into one category.

Department of Defense (DoD), USAID, etc. – to enable them to take action in emergencies or to establish priorities among competing demands within their areas of responsibility. The agencies then determine whether it is in the best interest of the U.S. to give direct assistance to the troubled state on a bilateral basis or through multilateral channels by passing the funds to UN agencies, IGOs, IOs, NGOs, or private sector actors to accomplish the desired outcome.[39] In other countries, the priorities can be established solely by their legislative branch or by the executive branch through one or more agencies. In the case of the European Union, many of the individual nations contribute directly to international assistance providers and the European Commission also contributes on behalf of the entire union.

b. USG Funding

Funds authorized and appropriated by Congress for the various executive agencies sometimes overlap or leave gaps. For example, the Bureau of Population, Refugee, and Migration (PRM) at DoS and the Bureau of Humanitarian Affairs at USAID (including OFDA and the Office of Transition Initiatives (OTI)) receive funds from different appropriations to "provide" for refugees. These agencies must coordinate their activities closely to eliminate the potential redundancies and to ensure there are no gaps. They conduct both program and "strategic objective" coordination meetings, to focus the funding of these agencies. Typically, the PRM funds are channeled to UNHCR, ICRC, or IOM, while nearly all of the BHR funds are channeled directly to NGOs, both local and international.

In addition to the regular appropriations from Congress, some agencies receive special appropriations. For example, the Emergency Refugee and Migration Assistance Fund[40] (ERMA) is a no year appropriation that the President can draw upon "to meet unexpected urgent refugee and migration needs" if important to the national interest. These funds are managed by PRM on behalf of the President. The same type of appropriation is used for the International Disaster Assistance Fund[41] (IDAF) intended for natural and man-made disaster "relief and rehabilitation, including assistance relating to disaster preparedness, and to the prediction of, and contingency planning for natural

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39 For a basic explanation of U.S. fiscal law, see Chapter 25 of the U.S. Army Operational Law Handbook, 1998. For a more detailed explanation, see the General Accounting Office's Principals of Federal Appropriation Laws (2nd Edition, multiple volumes, 1992 with updates posted annually).

40 See 1999 Congressional Presentation for Foreign Operations, p. 997.

41 22 USC 2292a-1.

disasters abroad."[42] This fund is managed by OFDA. The availability of these special funds is vital to ensure the USG can provide a timely response in emergency situations.

Well meaning legislation or political intervention can also adversely influence the USG response during contingencies. For example, in 1993, USAID and OFDA could not use a special appropriation for the Former Yugoslavia humanitarian relief effort to buy blankets, because the legal interpretation was that these items were not authorized. When dealing with funding of complex contingencies, there are times that the assistance providers will feel the direct personal involvement of Congress. One example is as follows:

> USAID-Ethiopia wanted to purchase all-terrain vehicles to support the TGE Demobilization Commission, and found that those produced by Toyota were the most suitable for the country and the easiest to service. Pressure from senior members of Congress forced USAID-Ethiopia to procure vehicles from Chrysler, which does not provide parts and repair service in Addis Ababa.[43]

To avert such a problem, it is imperative to conduct a professional field assessment prior to procuring equipment.

c. Methods of Funding

For international programs, funding falls into many different categories, and there are various financial instruments used to transfer these funds. A donor country can fund a project using bilateral or multilateral assistance mechanisms.[44] Each assistance provider has internal regulations, documents, and legal instruments, which describe the methods for transferring funds. The following is a brief list of instruments that maybe used by non-DoD assistance providers:

1) Contracts

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42 22 USC 2292 and 22 USC 2292a.

43 See "Fostering Farewell to Arms: Primary Lessons Learned in the Demobilization and Reintegration of Combatants," Kimberly Mahling Clark, Center for Development, March 1996.

44 Bilateral assistance means that the donor nation will give assistance to affected foreign nation or subdivision thereof (e.g., ministry, state or local government). In many cases donor nations use NGOs and contractors in bilateral funding mechanisms. The donor nation channels the funding to the intermediary NGO/contractor and the NGO/contractor is responsible for implementing the program in the recipient country. Multilateral assistance means that the donor nation will contribute to an IGO or IO for a particular reason. Generally, the multilateral assistance does not impose limitations on the methods or purposes.

This is the most common form of agreement between a federal agency and a non-federal domestic entity. The USG is generally required by law to contract for services and products on a competitive basis. The entire contracting process is regulated by the Federal Acquisition Regulation (FAR).[45] A contract is used for the purpose of directly benefiting the USG and/or its agencies, meaning that it is a support mechanism to allow the agencies to function.

2) Grants and Cooperative Agreements

These methods refer to assistance instruments to transfer money, property, services, or anything of value to accomplish a public or statutory purpose. A grant does not expect substantial involvement of the government agency. A cooperative agreement, on the other hand, anticipates substantial involvement[46] in the project by the government agency.[47] Agencies typically encourage competition for these agreements but it is not required. There are several types of grants and cooperative agreements but the detailed description is beyond the scope of this paper.

3) Trust Fund

This instrument is used primarily by the UN and its implementing agencies.[48] The Trust Fund is established by the Secretary-General, but is usually administrated by an implementing office such as Department of Peace-Keeping Operations (DPKO). The purpose of the fund is to allow member states to make voluntary contributions to the UN for a particular cause like "Conflict Prevention in Africa" so that the contributions can be pooled and leveraged to make the cause more attainable.[49]

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45 For brief introduction, see the Operational Law Handbook, Chapter 26, 1998.

46 Substantial involvement can include: approval of the recipients implementation plans, approval of specified key personnel, joint implementation, approval of the recipients monitoring and evaluation plans and agency authority to stop a construction activity.

47 Defined by 31 USC 6301-6305 (Federal Grant and Cooperative Agreement Act). See also OMB Circular A-110 (Uniform Administrative Requirements for Grants and Agreements Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations), A-122, A-121, A-133.

48 The Trust Fund is administered in compliance with the United Nations Financial Rules and Regulations. See Financial Regulations 6.6 and 6.7.

49 The World Bank is managing trust funds in Bosnia, Sierra Leone, and other post-conflict countries.

5. Responsiveness

A frequent complaint in many emergencies is the perception of a need for speed when undue haste might actually be counterproductive. Certainly speed is necessary when lives are at immediate risk (for example, when searching for survivors buried under rubble). In other situations, disaster relief and humanitarian assistance should be provided after the needs have been clearly identified and coordinated among respondents to minimize duplication of effort.[50] Obviously, there is a trade-off between timeliness and efficiency that must be weighed in each situation.

In part, the perception that rapid response is always required is heightened by media coverage and the desire of participants to be seen to be doing something. Unfortunately, the media often provides only a limited analysis of the factors involved in the specific situation. Media coverage typically focuses on statistics and journalists are quick to highlight snags in relief operations. Some critics have decried the numbers game resulting from public relations, fund raising, and reporting demands that portray food, medicine, and tents delivered to target populations as having a direct impact on saving lives. The result is frequently a logistics exercise measured in tons delivered and numbers of people vaccinated.

Another factor is what has been called the "law of the tool," where the response is determined by quickly bringing to bear whatever tools happen to be available rather than the tools that would be the most appropriate. For example, excess pharmaceutical supplies and agricultural surpluses might be provided rather than cash to support programs or local agricultural purchases to reinstate a cash economy. Some critics trace the numbers game to traditional relief practices that are the legacy of post-World War II Europe, where the military dominated the logistics systems and the drawdown of surpluses set the standard in doctrine and public perception of what a relief operation should accomplish. Responsiveness is often reported in the media by trucks unloading supplies or planes air-dropping supplies, not by low visibility conflict resolution efforts or other technical assistance that addresses the root problems of the affected population.

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[50] A needs assessment identifies resources and services for immediate emergency measures to save and sustain lives of the affected population. It is conducted at the site of a disaster or at the location of a displaced population. A quick response based on this information should help reduce excessive death rates and stabilize the nutritional, health, and living conditions among the population at risk. A quick response to urgent needs must never be delayed because a comprehensive assessment has not yet been completed. (Source: OFDA's Field Operations Guide).

H. FOREIGN AND DOMESTIC OPERATIONS

The U.S. military forces employed in SSCs will encounter different authority structures and coordinating arrangements in foreign operations versus domestic ones. The federal response to domestic contingencies is normally in support of state and local government requests for federal assistance. This environment is defined by the relationship between the federal and state governments, as well as the authorities and mandates of government agencies and departments. On the other hand, U.S. participation in foreign SSCs is governed not only by the various international laws, treaties, and conventions, but also by political considerations as defined by national interests, domestic interest groups, and diplomatic acceptability. In situations where the contingency occurs in a weak or failed state, the responding actors may be required to establish parallel government services and functions, while rebuilding the host government institutions.

I. CONCEPTS OF COORDINATION

Coordination among participants involves obligation, competition, and collaboration, occasionally touched with overtones of suspicion. In most rapid-moving SSCs confusion reigns partly because of the constant changes in the affected area, which require at times, complete alteration of strategies. Defining hierarchies, as suggested by Joint Pub 3-08, is often more a reflection of the military need to determine who is in charge, rather than representative of the reality on the ground. Personalities can also play a significant role in defining relations between organizations, and an organization's self-perception can be an indication of how they approach other organizations.

1. Internal U.S. Government

Recent successes and failures in SSC operations have resulted in a number of Presidential Decision Directives (PDDs) laying out how U.S. policy will be managed. These efforts, on a range of subjects, define coordination mechanisms and relations between various entities of the U.S. government and are described in more detail in the next chapter. Strategic national efforts focus on the National Security Council (NSC) mechanisms such as the Principles and Deputies Committees as well as the Interagency Working Groups. Domestic emergencies rely on the Federal Response Plan with predefined agency responsibilities and committee memberships.

Commanders and planners should look to two recent PDDs to understand the internal USG coordination mechanisms. These include PDD-56, Managing

Complex Contingency Operations, and PDD-71, Strengthening Criminal Justice Systems in Support of Peace Operations. PDD-25, U.S. Policy on Reforming Multilateral Peace Operations, and PDD-64, Humanitarian Demining also have relevance to SSCs.

Management of the U.S. interagency efforts at the operational level sometimes includes establishment of Joint Interagency Task Forces (JIATFs) like those currently used in the counterdrug efforts. Recently, a Multi-Agency Support Team (MAST) concept has been proposed by the DoD to facilitate the coordination between the national and theater echelons and between the civilian and military organizations within the theater during SSC operations. *Ad hoc* structures such as the Civil Military Operations Center (CMOC) have also been tailored to specific operations to meet the needs of a civil-military interface at the tactical echelon. Furthermore, field experience with civilian and military coalition operations has reinforced the need for and refocused attention on the role of qualified liaison officers as an indispensable tool for building trust and holding coalitions together.

2. Diplomatic Coordination

Outside of established IGO mechanisms, informal associations of governments are typically formed around specific issues. These are often formed as "Friends of ____," "Support Group," or "Contact Group."[51] These associations of interested governments, may include a Special Representative of the Secretary General, and bring resources and national interests to bear on specific problems. These informal associations of interested parties form quasi-international Working Groups at the diplomatic level.

3. Coordination of Humanitarian Assistance and Development Activities

Various fora exist to support coordination and cooperation among the diverse participants. Among NGOs, three main consortia exist to provide collaborative working environments and a vehicle for generating advocacy and policy recommendations. InterAction in the U.S., the International Council of Voluntary Agencies (ICVA) based in

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[51] For example, concerned governments formed in 1992 a Contact Group to develop common polices and to promote a negotiated settlement of the conflict in the former Yugoslavia. Members of the Contact Group include France, Germany, Russia, the United Kingdom, and the United States. In December 1995, another *ad hoc* organization, the Peace Implementation Council (PIC), was formed to address the issues related to implementing the Dayton Agreement; its membership includes the Contact Group, but added Canada, Italy, Japan, and the European Commission.

Geneva, and the United Kingdom-based Standing Committee on Humanitarian Response (SCHR) have been formed to achieve coordination among their members, and between their consortium and GOs and IGOs. All three of these NGO consortia are members of the UN's Interagency Standing Committee (IASC) which is described in more detail in the UN chapter of this paper.

The UN is a consultative body which has recently expanded its outreach to NGOs. The Economic and Social Council (ECOSOC), one of the six principal organs of the UN, has established a formal consultative status for soliciting views of NGOs in its deliberations, and 1,500 NGOs have consultative status with the council. **Additionally the IASC, chaired by the UN Emergency Relief Coordinator – the Under-Secretary-General for Humanitarian Affairs – is a consultative body for coordinating humanitarian action at the strategic level in response to complex and major emergencies.** The members of the IASC include six UN operational agencies – the UN Development Programme (UNDP), the UN Children's Fund (UNICEF), the food and Agriculture Organization (FAO), WFP, WHO, and UNHCR – and has recently included the World Bank as a member. In addition to its members, the IASC has extended standing invitations to the International Organization of Migration (IOM), the ICRC and IFRC, the UN High Commissioner for Human Rights (UNHCHR), the Representative of the Secretary-General on Internally Displaced Persons (IDPs), and the three NGO consortia to attend its meetings. The IASC members are supported by the OCHA staff. The IASC makes critical recommendations to the UN Security Council on matters of humanitarian support as well as determining the appointment of a UN Humanitarian Coordinator (HC) for a specific crisis.

At the operational echelon in country or regionally, the UN humanitarian response is headed by the designated Humanitarian Coordinator (HC). During peacetime, when development is the key focus of the UN, a Resident Coordinator (RC) heads the UN system in country. The RC is usually designated from the UNDP which has responsibilities for overseeing UN developmental activities in these states. Normally, in times of crisis the RC also serves as the HC. However, the IASC determines when this occurs and whether an independent HC should be appointed. Neither the RC nor the HC exercise any authority over the other UN operating agencies. Their authority is functional, and based more on goodwill and personality than on legally vested authority. Outside agencies should reinforce this process, using the HC or RC as their primary focal point for coordinating their efforts. Approaching individual agencies will often directly involve the outside organization in interagency internal politics.

Humanitarian needs are generally identified and compiled in a strategy and funding document known as the UN Consolidated Appeal (CAP). The CAP may be preceded by a Flash Appeal for a fast breaking crisis. These appeals are generally launched at a formal Donors Conference or Pledging Conference where donor governments make known their funding intentions.

When a peacekeeping mission is authorized by the UN Security Council, a Special Representative of the Secretary General (SRSG) is appointed to head the UN Mission. As the senior representative of the UN in country, other UN agencies are obliged to support him/her; however, the SRSG holds no control over their programs and policies. In these situations, the HC or RC advise the SRSG, but report directly to OCHA or the UNDP in New York. The UN Secretary-General will usually designate one agency to act as the lead for all. OCHA will coordinate the CAP and has responsibility for responding to donor nations.

Once a viable national government is in place, the UNDP provides technical assistance in producing a Country Strategy Note (CSN) to serve as a strategic blueprint of the development priorities and requirements for the country. At this point, the World Bank and the IMF hold separate consultations, and a Donors Conference or Round Table is held where the affected country presents its requirements and contributions are coordinated among donors.

4. Center of Gravity

A "center of gravity" or mandate is one of the key elements that can influence the success or contribute to the failure of a complex contingency operation. As noted earlier, coordination should involve the host country government. When the state is weak, contested, or failed, the international community feels obliged to step in and take over the responsibilities of the state to its citizens.[52] Moral obligation, however, does not translate directly into functional responsibility. While UN agencies, IOs, and NGOs all have core competencies, they are focused at the project level. Given the significant overlap in capabilities to provide services, the clear division of responsibility among participants often is lost in arguments over mandate. This results in the lack of a clear parallel authority to fill the vacuum left by the weakened or failed national government. In these situations, the center of gravity is the donors because they wield the real power for

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[52] Recent air operations in Serbia by NATO members suggest that some nations are willing to employ military measures to force repressive regimes to provide for the needs of all of their citizens.

motivating organizations on the ground. To rectify this system, many interest groups have suggested that donors should require grantees to specify in proposals their support for and participation in coordination efforts. In other cases, integrating donor field teams into an overarching coordination structure may be the best means of achieving some level of coordination. To facilitate such a level of cooperation, suspicions among the recipient government, donors, and aid providers would need to be lessened and closer collaboration and consultation encouraged among this group.

J. SUMMARY AND CONCLUSIONS

The shift from the bipolar world of the Cold War to the less ordered world we see today requires an adjustment in perception by civilian and military leaders. The challenge to the orderly world of nation-states by non-state actors has increased the importance for those in the diplomatic, military, humanitarian, political, economic, education, and human rights sectors to work together to solve the root causes of the crisis during a complex contingency. The U.S. Government players are not, and should not be, the only players involved in these contingencies. Senior commanders must establish contact with the UN agencies early in the planning and continue communications to ensure coordination and collaboration. Coalitions must be formed and the participants must exercise consultation and collaboration rather than trying to control the other members, whether the coalition member is a GO, IGO, IO, NGO, or the host nation. The coalition objectives are to achieve unity of effort and enduring solutions to the problems. Successful coalitions are based on understanding, shared information, and trust among members. The subsequent chapters of this document are intended to provide greater understanding of the capabilities that the wide range of potential coalition partners in SSC operations might be able to provide. Conducting workshops, seminars, and exercises with military and civilian participants can contribute to mutual understanding of capabilities, help to establish procedures for sharing information, and build trust among the organizations that could likely be involved in future SSCs.

CHAPTER II

U.S. GOVERNMENT INTERAGENCY PARTICIPANTS

II. U.S. GOVERNMENT INTERAGENCY PARTICIPANTS

Within the U.S. government, the interagency is not a formal structure but rather an established process for coordinating executive branch decisions that involve multiple agencies. Because each major issue that must be addressed involves a different set of participants in the decision-making process, formal and informal guidelines have been established for this process. The formal guidelines are published by the President. Each President tailors his guidelines to both the roles he expects the interagency participants to carry out and the issues that must be decided. The current administration uses Presidential Decision Directives (PDDs) to document its policy guidance.

A. NATIONAL SECURITY FRAMEWORK

The senior interagency organization is the NSC established by the National Security Act of 1947.[1] The mission of the NSC is to serve as the principal forum for consideration of national security policy issues requiring Presidential determination. The NSC administers the interagency process for national security matters in accordance with the formal guidance contained in Presidential Decision Directives (PDD)-2 and informal guidance provided as the process is implemented.

The NSC statutory membership includes the President, the Vice President, and the Secretaries of State and Defense. The Chairman of the Joint Chiefs of Staff (CJCS) and the Director of Central Intelligence (DCI) serve as advisors by statute. Additional members identified in the PDD[2] include the Assistant to the President for National Security Affairs, the Chief of Staff to the President, the Assistant to the President for Economic Policy, the U.S. Representative to the United Nations, the Secretary of Treasury, and, when invited, the Attorney General. Other secretaries or agency heads also may be invited to participate in NSC meetings as required. Because of the close linkage between defense and economic issues, the NSC and the National Economic Council (NEC), another formal senior interagency organization, will coordinate their activities as necessary.

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1 As amended by the National Security Acts 50 USC 401, et al.

2 Issued 21 January 1993, the PDD reorganized the National Security Council.

Because the formulation of critical policy considerations may require extensive research and analysis, the NSC structure shown in Figure II-1 provides organizational options to focus various levels of expertise from the interagency community on these issues. For example, the NSC may form a Principals Committee (PC), if required. The PC is chaired by the Assistant to the President for National Security Affairs with the Secretaries of Defense and State or their deputies as alternates, along with the Assistant to the President for Economic Policy, the CJCS, the DCI, and the U.S. Representative to the United Nations as members. The Secretary of Treasury and the Attorney General may be invited to participate in the PC deliberations as required. The NSC may also form a Deputies Committee (DC) chaired by the Deputy Assistant to the President for National Security Affairs with membership from designated agencies at the deputies level. In certain situations, it may be necessary to establish an Executive Committee (ExComm) or *ad hoc* or permanent Interagency Working Groups (IWGs) to assist with the formulation of policy options and recommendations, and to oversee their execution. This organizational arrangement provides the NSC with a wide range of management options from which to select as a contingency unfolds.

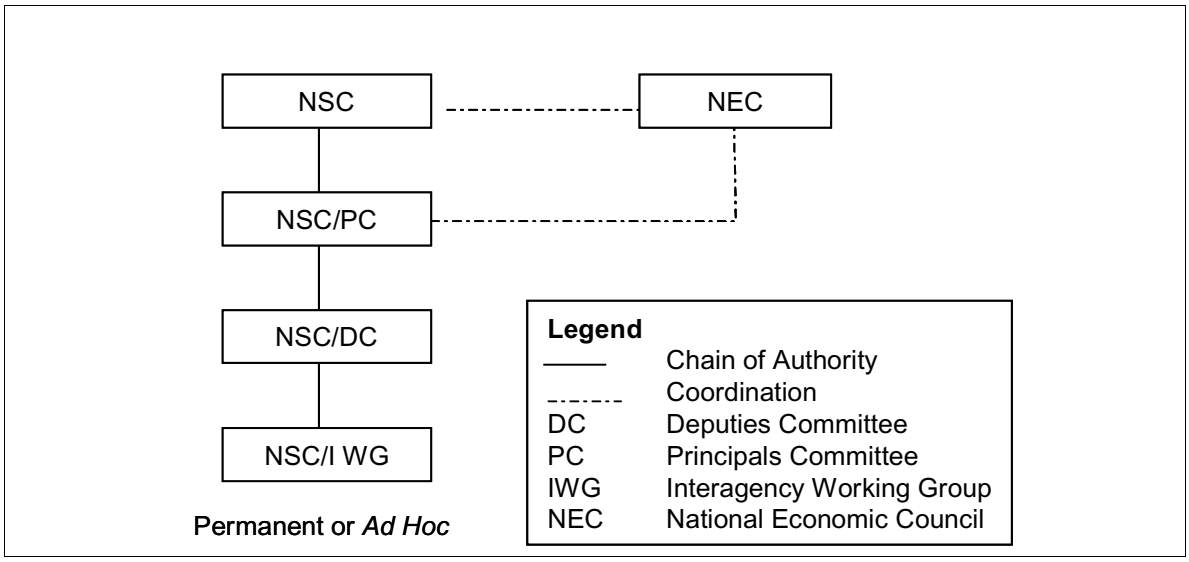

Figure II-1. United States National Security Council Structure

B. ESTABLISHED CONTINGENCY RESPONSE ORGANIZATIONAL ARRANGEMENTS

Based on experience gained during recent SSCs, the organizational arrangements and responsibilities for some types of contingencies have been documented in PDDs[3] or

[3] Many unclassified Fact Sheets discussing PDDs may be accessed at: www.fas.org/irp/offdocs/pdd/.

in federal response plans. In other contingency situations, the responsibilities and arrangements will be determined by the NSC as the situation requires. This section describes the documented arrangements and responsibilities.

1. Alien Smuggling

During the early 1990s, the United States was a major destination for Chinese nationals who were being smuggled into the country illegally by Asian criminal syndicates. The NSC determined the overall USG policy and assigned responsibilities to the appropriate agencies involved with implementing it. The SSC task was to take necessary action to pre-empt, interdict, and deter alien smuggling into the U.S. These interagency arrangements, documented in PDD-9 and shown in Figure II-2, established an Interagency Working Group (the Border Security Working Group) to review the legal aspects of asylum and exclusion and to prepare draft legislation to facilitate implementation of the policy. Actual implementation was carried out on a coordinated basis at the operational level by the various agencies assigned specific responsibilities in the PDD. This example is one of the less complex management options selected by the NSC to plan and conduct an SSC operation.

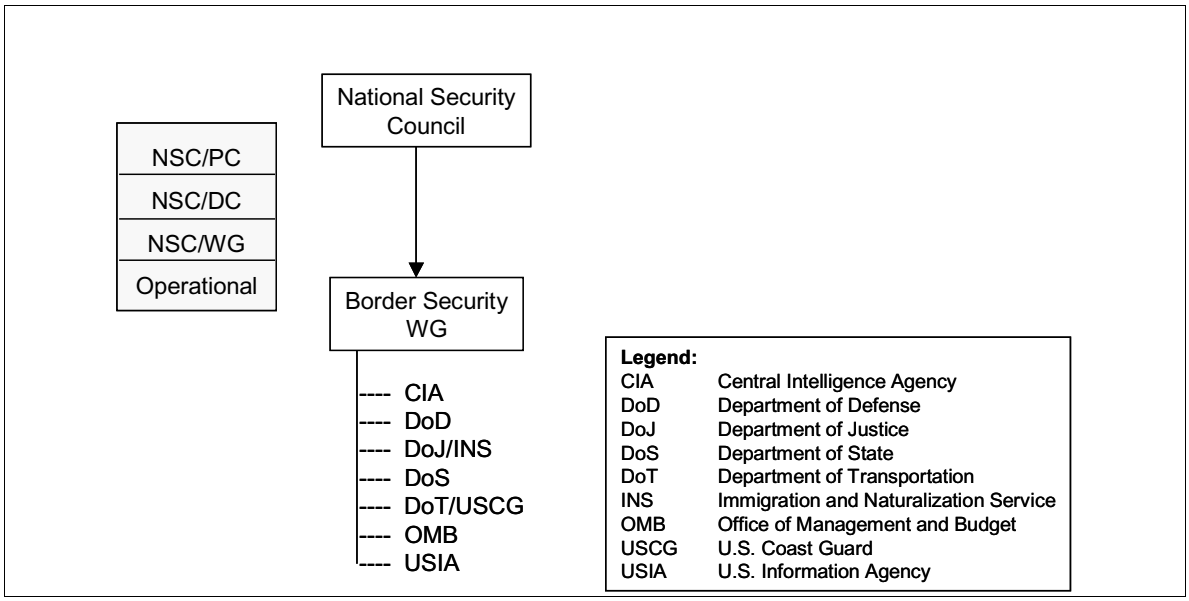

Figure II-2. PDD-9 Alien Smuggling

2. Counterdrug Operations

The policy and interagency coordination to implement the USG interdiction of the flow of illegal drugs into the United States are documented in PDD-14 and PDD-44.

These organizational arrangements and assignments of responsibilities to the interagency participants are for a more enduring SSC operation. The PDDs established (or reaffirmed) the Office of National Drug Control Policy (ONDCP) that reports to the President, the U.S. Interdiction Coordinator (USIC), and The Interdiction Committee (TIC) at the national level shown in Figure II-3.

At the departmental echelon, five departments and their subordinate organizations located in the United States or overseas coordinate their activities based on the guidance contained in the PDDs and the various implementation plans developed by the interagency participants. Three Joint Inter Agency Task Forces (JIATFs), funded and supported by the DoD, have been established at the operational echelon to coordinate the various agency resources during the conduct of these operations. In addition, the Drug Air Interdiction Coordination Center (DAICC) and Operation Bahamas, Turks, and Caicos (OPBAT) also support the operation at the operational echelon. These activities are also coordinated with the American Embassies in the countries through which the drugs flow.

3. Combating Terrorism

PDD-39 and PDD-62 establish the USG policy on combating terrorism and assign responsibilities for implementation to a number of agencies for both domestic and overseas operations. The Terrorism Incident Annex to the Federal Response Plan provides more detailed arrangements for interagency planning and executing a coordinated response to threats or acts of terrorism involving nuclear, biological, and/or chemical materials, and/or weapons of mass destruction. Figure II-4 displays the interagency participants assigned responsibilities for these SSC operations and the complex organizational arrangements established to implement national policy.[4]

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[4] In support of PDD-62, DoD recently established Joint Task Force – Civil Support (JTF-CS), a standing headquarters assigned to U.S. Joint Forces Command. JTF-CS commands and controls DoD forces supporting the lead federal agency for weapons of mass destruction consequence management activities in the United States, its territories and possessions.

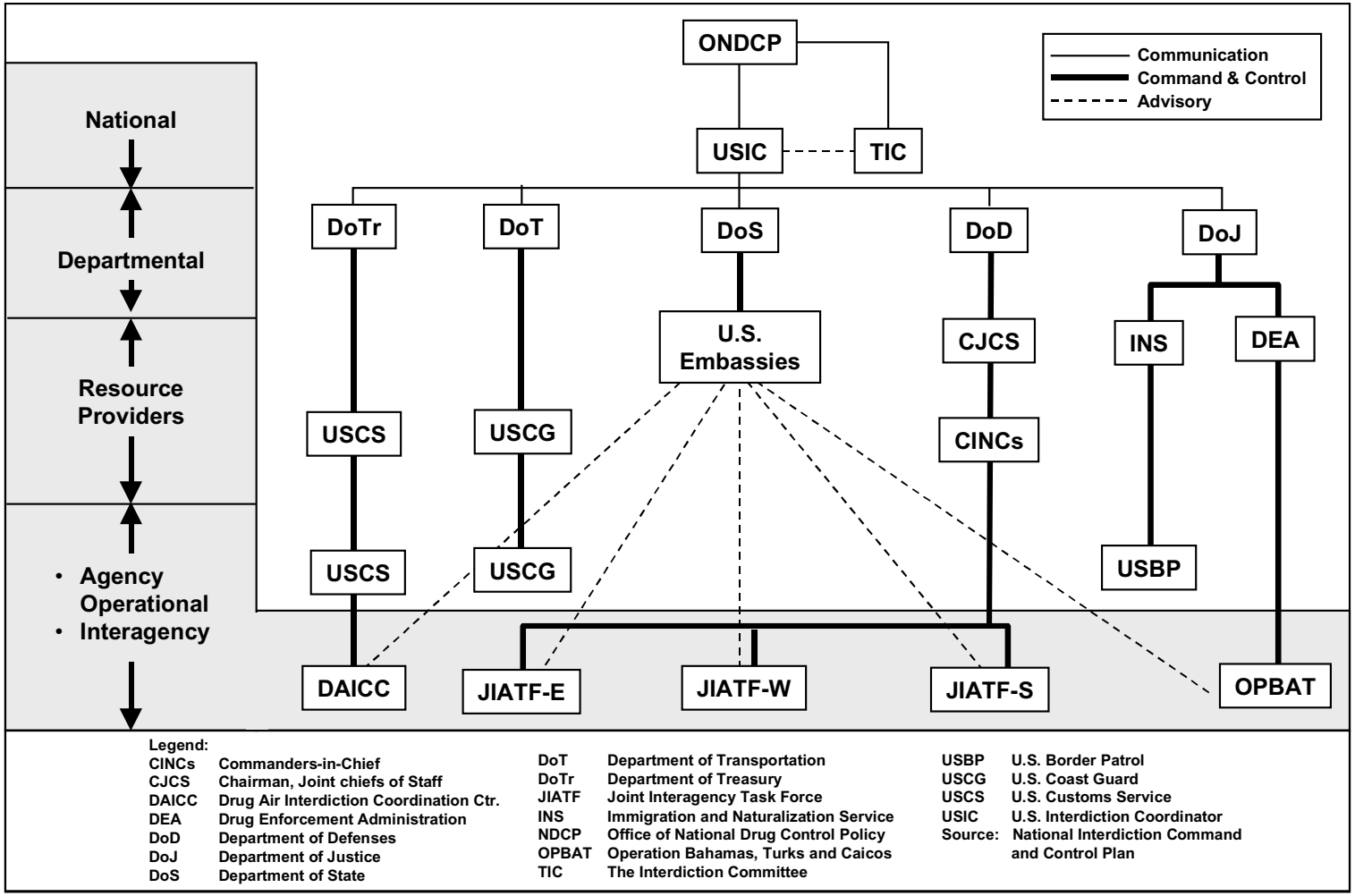

Figure II-3. PDD-14/44 OCONUS Interdiction C2 Structure

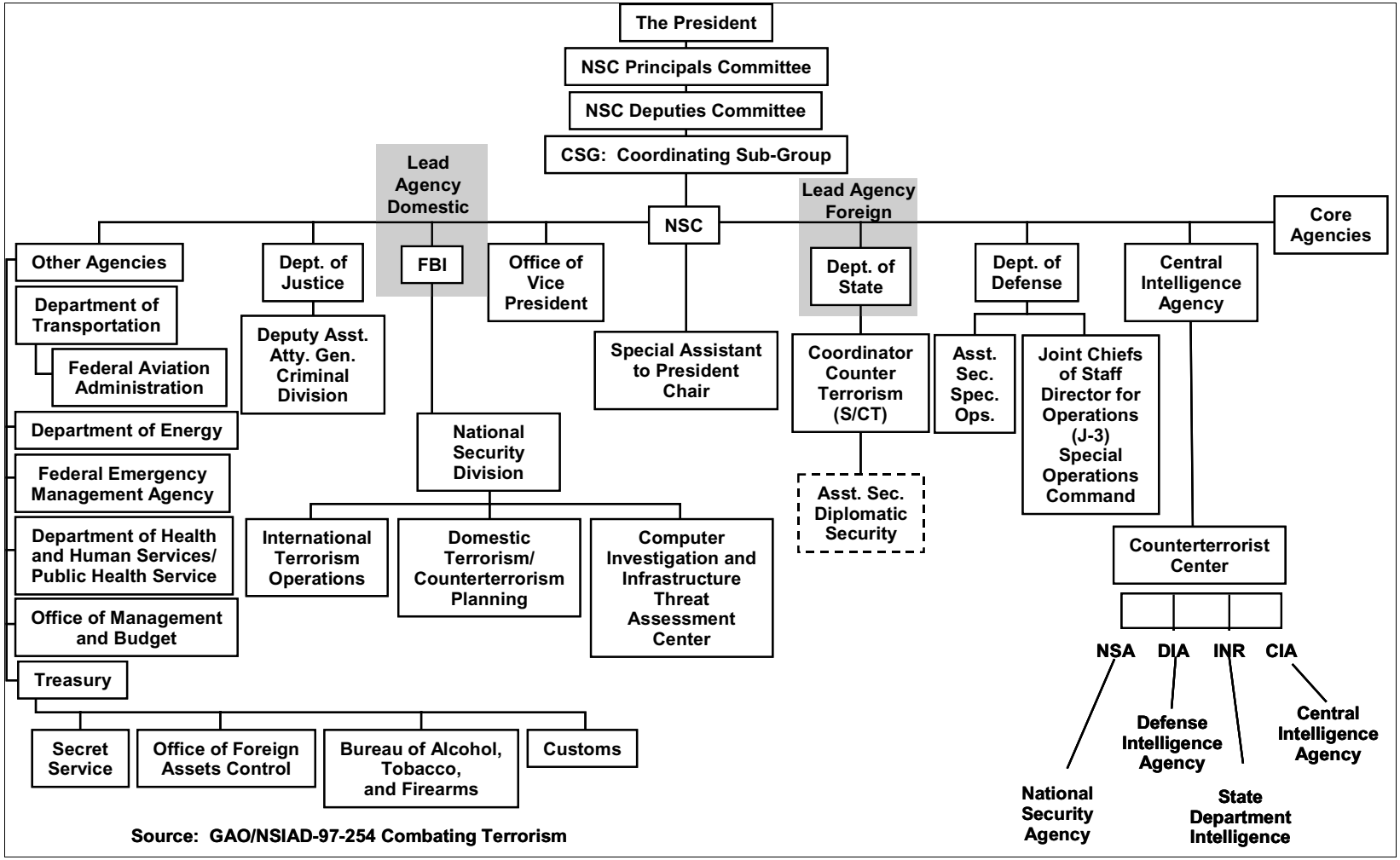

Figure II-4. PDD-39 USG Structure to Combat Terrorism

4. Other PDD Organizational Structures

A number of other PDDs establish national policy and specific interagency organizational arrangements for policy implementation in the areas of counterintelligence (PDD-24), protection of sensitive information and technologies (PDD-29), managing complex contingencies (PDD-56), protecting the nation's critical infrastructure (PDD-63) and strengthening criminal justice systems in support of peace operations and other contingencies (PDD-71). These organizational arrangements create a number of standing boards, advisory committees, offices, and centers in addition to the interagency working groups, and the ExComm typically established by the NSC to address a problem. These organizational arrangements are shown in Figure II-5.

5. Federal Response to Domestic Emergencies

Each year the United States experiences hundreds of natural or man-made disasters in the States or its overseas possessions. Most of these situations are handled by local or State response elements, but typically 30 of these events each year exceed the capacities of local or State authorities, and federal assistance is required. The Federal Response Plan[5] was published and implemented in 1992 to clarify responsibilities among the federal agencies and to ensure essential coordination among those agencies and with state and local federal response is required during domestic emergencies. The plan establishes 12 Emergency Support Functions (ESFs) and assigns lead and supporting responsibilities at the federal level for each function as summarized in Table II-1. Subsequent modifications to the plan have added two additional special situation annexes, one for nuclear accident responses[6] (Department of Energy lead) and another for terrorism incidents[7] in response to PDD-39.

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5 The Federal Response Plan for Public Law 93-288, as amended, April 1992.

6 The Federal Radiological Emergency Response Plan, September 1994.

7 Terrorism Incident Annex to the Federal Response Plan, 7 February 1997. For the April 1999 version of the Federal Response Plan see: www.fema.gov/r.n.r/frp/.

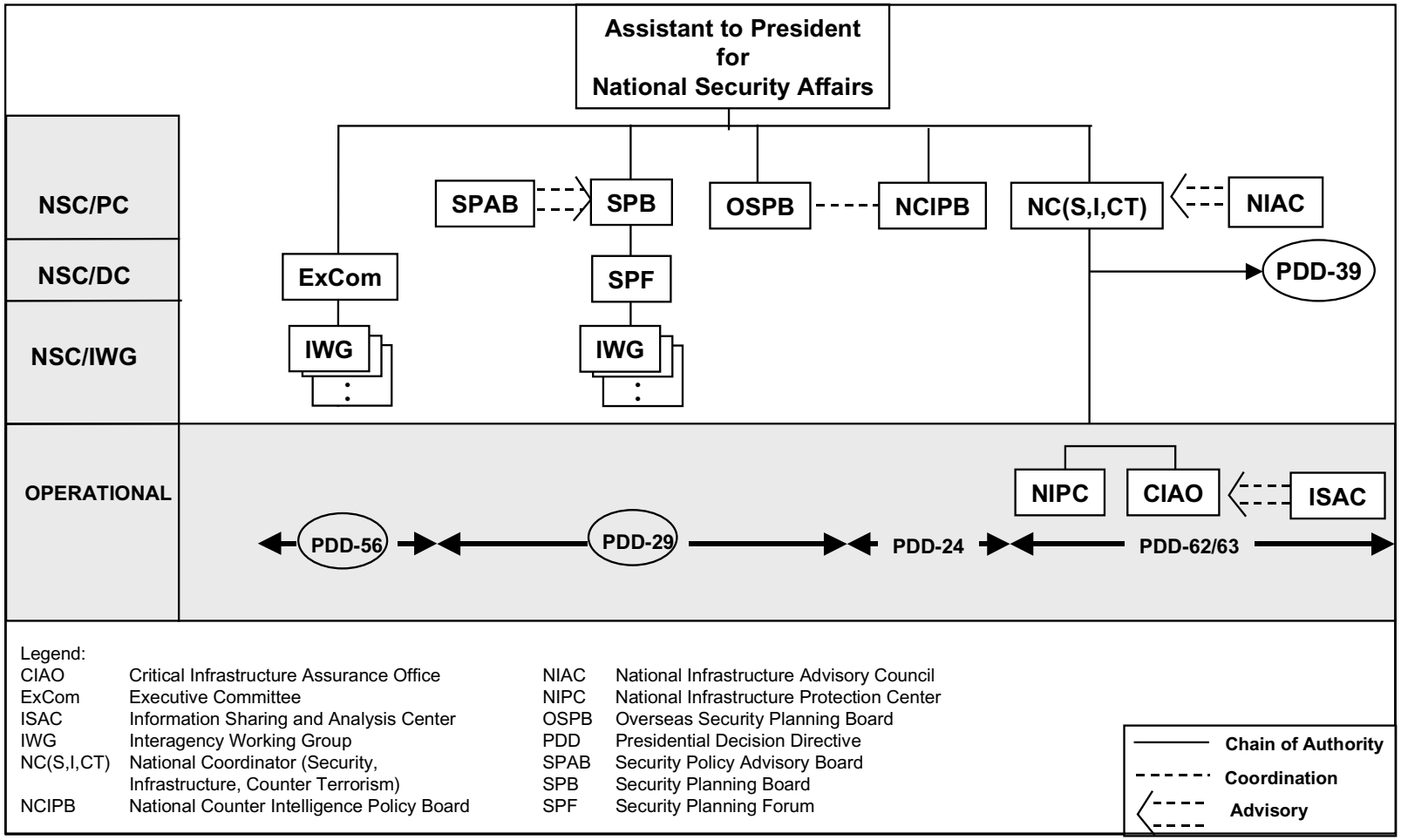

Figure II-5. Other Related PDD Organizational Structure

Table II-1. Federal Response Plan Emergency Support Functions and Agency Responsibilities

Emergency Support Function / Organization	Transportation	Communications	Public Works and Engineering	Firefighting	Information and Planning	Mass Care	Resource Support	Health and Medical Services	Urban Search and Rescue	Hazardous materials	Food	Energy
US Dept. of Agriculture	S	S	S	P	S	S	S	S	S	S	P	S
Dept. of Commerce		S	S	S	S	S	S			S		
Dept. of Defense	S	S	P	S	S	S	S	S	S	S	S	S
Dept. of Education												
Dept. of Energy	S		S		S		S			S		P
Dept. of Health & Human Services			S		S	S	S	P	S	S	S	
Dept. of Housing & Urban Development			S			S						
Dept. of Interior		S	S	S	S					S		
Dept. of Justice					S			S		S		
Dept. of Labor			S				S		S	S		
Dept. of State	S									S		S
Dept. of Transportation	P	S	S		S	S	S	S	S	S	S	S
Dept. of the Treasury					S							
Veteran Affairs			S			S	S	S				
Agency for International Development								S	S			
American Red Cross					S	P		S			S	
Environmental Protection Agency			S	S	S			S	S	P	S	
Federal Communication Commission		S										
Federal Emergency Management Agency		S		S	P	S	S	S	P	S	S	
General Service Administration	S	S	S		S	S	P	S	S	S		S
Interstate Commerce Commission	S											
National Aeronautics & Space Administration					S							
National Communications System		P			S		S	S				S
Nuclear Regulatory Commission					S					S		S
Office of Personnel Management							S					
Tennessee Valley Authority	S		S									S
US Postal Service	S					S		S				

Legend:
P - Primary Agency: Responsible for Management of the ESF
S - Support Agency: Responsible for Supporting the Primary Agency

C. KEY INTERAGENCY PLAYERS

Many departments and agencies[8] play a major role in foreign activities that involve national security and some have been incorporated into the PDD management structures described above while others have not. Many agencies also have assigned responsibilities during domestic emergencies as outlined in the Federal Response Plan. The discussion that follows describes these key organizations and their major responsibilities in either foreign or domestic contingencies.

1. Central Intelligence Agency

The U.S. intelligence community is composed of several agencies. The DCI is both the head of the Intelligence Community and the Director of the CIA; he serves as the President's advisor on both domestic and foreign intelligence matters.[9] The Central Intelligence Agency (CIA) is responsible for collecting, analyzing, and disseminating intelligence on issues of national security. It also conducts counterintelligence activities abroad and works with the Federal Bureau of Investigation on domestic counterintelligence efforts. The CIA has no police, subpoena, or law enforcement powers, or domestic security functions. It is organized into four main directorates headed by deputy directors:

- The Deputy Director for Intelligence (DDI) manages the evaluation, analysis, production, and dissemination of intelligence on key foreign issues.
- The Deputy Director for Operations (DDO) has primary responsibilities for the clandestine collection of foreign intelligence.
- The Deputy Director for Science and Technology (DDS&T) collects and processes information gathered by technical collection systems and develops advanced equipment to improve collection and processing capabilities.
- The Deputy Director for Administration (DDA) provides comprehensive support to the other directorates.

The CIA's reconnaissance and intelligence assessment capabilities provide real-time information for interagency action. The CIA is regularly involved with other USG agencies. The DCI serves as the chairman of the NSC's Senior Interagency Group when it meets to consider issues requiring interagency attention, deals with inter-departmental

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8 See: www.gksoft.com/govt/en/us.html for gateway access to department and agency web pages. By changing country code (US to World), the same gateway will provide access to other government web pages.

9 50 USC Section 403-3.

matters, or monitors the execution of approved intelligence policies and decisions. The National Intelligence Council (NIC) concentrates on the substantive problems of particular regions of the world and particular areas, such as economics and weapons proliferation, and produces national intelligence estimates. The DCI may also provide National Intelligence Support Teams (NISTs), staffed by personnel from the CIA, the Defense Intelligence Agency (DIA), and National Security Agency (NSA) to augment the intelligence capabilities of combatant commands and joint tasks forces.

2. Department of Agriculture

The U.S. Department of Agriculture (USDA) has wide ranging knowledge and skills in the U.S. agricultural sector and applies these skills to analysis and development overseas. Within the USDA, most international responsibilities are handled by the Foreign Agricultural Service (FAS). The agency is represented by agricultural counselors and attachés working with the American embassies throughout the world. USDA also has domestic responsibilities for coordinating food deliveries to state and local authorities for victims of natural or manmade disasters, and to fight forest fires.

Within the FAS, the International Cooperation and Development (ICD) division focuses on both agricultural development and emergency assistance to foreign governments.[10] Within ICD, the Research and Scientific Exchanges Division (RSED) promotes international cooperation. RSED coordinates with a variety of governmental and international organizations as well as other USDA divisions. RSED can accept funding on behalf of USDA technical agencies and assist in deploying technically qualified specialists during outreach programs. The key USDA agencies that provide the technical services are:

- The Cooperative State Research, Education, and Extension Service (CSREES), which provides, through the Land-Grant University system, wide-ranging educational capabilities to support enhanced decision-making across the agricultural sector. It also has access to the large network of State specialists and county Extension Agents who can provide technical assistance.
- The Natural Resources Conservation Service, which provides specialists in soil and water conservation.
- The Forest Service, which provides specialists in conservation, proper use of forest resources, and disaster-scene management.

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[10] Assistance includes food aid and technical assistance.

- The Animal and Plant Health Inspection Service, which assists in the protection of food resources from pests and disease threats.
- The Economic Research Service and the National Agricultural Statistics Service, which provide technical expertise to assess the condition of the agricultural sector and the probable effects of different policy decisions.

The Farm Service Agency (FSA) is responsible for several foreign food assistance programs where U.S. agricultural commodities are donated abroad for humanitarian and developmental purposes. The food assistance is provided through three channels: the P.L. 480 Program (Title II and Title III), which is administered by the U.S. Agency for International Development, and the Section 416(b) Program and the Food for Progress Program, both administered by the USDA. The FSA Commodity Office is responsible for procuring or supplying commodities through the Commodity Credit Corporation (CCC) which manages the inventory for all foreign food assistance donation programs.

During domestic emergencies, the Food and Nutrition Service (FNS) will establish a Disaster Task Force to provide disaster food supplies to designated disaster staging areas and/or authorize the issuance of disaster food stamps. These actions are coordinated with State officials to determine the food needs of the affected population. The Forest Service, the lead agency in the Federal Response Plan for firefighting, coordinates national support of State and local fire suppression organizations through its National Interagency Coordination Center (NICC) in Boise, Idaho.[11]

3. Department of Commerce

The Department of Commerce (DoC) is responsible for developing and administering federal policy and programs affecting industrial and commercial segments of the national economy. It has 14 bureaus and operating units to accomplish these missions. The missions of three DoC offices are highlighted below.

The International Trade Administration (ITA) operates a one- to five-person Commercial Service office as part of the ambassador's country team in most developed or emerging countries. These offices provide the following services: (1) promote exports of U.S. goods and services, (2) protect and advocate U.S. business interests abroad, (3) assist U.S. firms with realizing their export potential, and (4) support the export efforts of other public and private organizations. The foreign trade and economic policies are

[11] For operations in Alaska, the Department of Interior is the lead agency for firefighting.

coordinated by ITA with the Department of Treasury, the Office of the U.S. Trade Representative, and other agencies.

The Bureau of Export Administration (BEA) is a key agency that formulates export control policies intended to stop the proliferation of weapons of mass destruction and to control sensitive technology transfers.

The National Oceanic and Atmospheric Administration (NOAA) has two main missions: environmental assessment and prediction, and environmental stewardship. These missions are carried out by five NOAA Services: the National Weather Service; the National Ocean Service; the Oceanic and Atmospheric Research Service; the National Environmental Satellite, Data, and Information Service; and the National Marine Fisheries Service. Under the first mission, NOAA provides advanced short-term warning and forecast services for environmental hazards and natural disasters. Because of its capabilities in this area, the NOAA staff plays an important role in the Global Disaster Information Network (GDIN) initiative sponsored by the Office of the Vice President and supported by the Department of State. The NOAA staff also provides seasonal and inter-annual climate forecasts and predictions of decade and century environmental changes, and promotes safe navigation. The second NOAA mission oversees the construction of sustainable fisheries, recovering protected species, and sustaining healthy coasts. Many of the NOAA activities have assisted allied nations.

The DoC also has supporting agency responsibilities for seven ESFs of the Federal Response Plan. To accomplish its domestic emergency support, the department has a full-time emergency coordinator.

4. Department of Health and Human Services

The Department of Health and Human Services (DHHS) is the principal agency for protecting the health of Americans, and providing them with essential human services. With 59,000 employees and a substantial budget, it is the largest grant-making agency in the federal government, and the largest claims provider through the Medicare program. The department accomplishes its mission through more than 300 programs including the following:

- Medical and social science research
- Preventing outbreaks of infectious disease, including immunization services
- Ensuring food and drug safety
- Medicare and Medicaid

- Aid to families with dependent children
- Child support enforcement
- Improvement of maternal and infant health
- Head start (pre-school education and services)
- Preventing child abuse and domestic violence
- Substance abuse treatment and prevention
- Services for older Americans, including home-delivered meals.

The department administers its programs through eleven operating divisions that are managed either by the Public Health Service or the Office of Human Services. The Public Health Service oversees the National Institutes of Health, the Food and Drug Administration, the Centers for Disease Control and Prevention, the Agency for Toxic Substances and Disease Registry, Indian Health Services, Health Resources and Services Administration, Substance Abuse and Mental Health Services Administration, and the Agency for Health Care Policy and Research. The Office of Human Services manages the Health Care Financing Administration, Administration for Children and Families, and the Administration on Aging.

Because it is very much focused on domestic issues, DHHS has very little permanent overseas presence. It does coordinate USG health policy with the World Health Organization and its two organizations that are most active internationally are the National Institutes for Health (NIH) and the Center for Disease Control and Prevention (CDC). The NIH carries out medical research in and provides medical support to many countries. The CDC also conducts research in many countries and provides local training on disease control and prevention. The CDC is the department's principal response organization during domestic disasters or terrorist incidents, but these same capabilities have been used to respond to contingencies involving medical issues overseas. The CDC has standby arrangements with the World Health Organization and will provide specialists needed in medical contingencies throughout the world. The department's domestic response capabilities are discussed below.

a. National Disaster Medical System (NDMS)

The function of the NDMS when activated (in coordination with Federal Emergency Management Agency, DoD, and the Department of Veterans Administration) is to track availability of hospital beds for mass casualties.

b. National Medical Response Team (NMRT) and Metropolitan Medical Strike Teams (MMST)

These teams have been under development since late 1997 and are intended to provide medical experts who can assist in contingencies involving weapons of mass destruction. The personnel who man these teams will be drawn from medical specialists available to CDC, and they will be provided essential equipment and supplies needed to mitigate the situation.

c. Disaster Medical Assistance Teams (DMAT)

These teams, when activated from CDC resources, provide triage and medical care at incident sites.

d. Disaster Mortuary Teams (DMT)

These teams are activated during disasters to assist local authorities with the identification and processing of deceased victims.

5. Department of Energy (DoE)

The DoE formulates and executes energy policies, plans, and programs in the following areas:

- Energy, weapons, and waste clean-up
- Science and technology programs
- Energy efficiency and renewable energy, fossil energy, nuclear energy information, and civilian radioactive waste management
- Oversight of power marketing administrations, energy-related intelligence and national security programs, energy research, science education, and technical information programs
- Laboratory management.

DoE's Office of Emergency Management oversees its emergency response assets. It maintains an emergency operations center at the Washington, D.C. headquarters to respond to crises involving energy systems, and to support other federal agencies when appropriate. The department's response capabilities include technical assistance in situations involving radioactive materials and assistance with managing incidents or accidents when these materials are involved.

The DoE Emergency Response program has been established to deal with all forms of nuclear accidents and incidents, including those that may be associated with terrorist activities. Although primarily intended for use within the U.S. and its territories, many of these capabilities are unique and could be deployed to assist other nations if directed by the President.[12] The domestic use of DoE response resources is coordinated with the Federal Emergency Management Agency, while international requests from host nations are coordinated through the Department of State. The department's response resources are maintained on the Nuclear Accident Response Capabilities Listing (NARCL) which provides a comprehensive listing of 24 defined categories of specific resources and capabilities. This information is maintained by the Joint Nuclear Accident Coordinating Center (JNACC) established by the DoD and DoE. The capabilities described below are managed by deployable groups, packages, and line members to facilitate rapid transportation to the scene by airlift.

a. Nuclear Emergency Search Team (NEST)

These teams are trained and equipped to respond to nuclear and radiological threats and usually operate in support of the Federal Bureau of Investigation during counterterrorism operations. The NEST contains engineers, scientists, and other technical specialists from the department's national laboratories and other contractors supporting the weapons complex. The rapid deployment of the NEST is closely coordinated with the U.S. Transportation Command's Air Mobility Command, and is most likely to be the first DoE response capability to arrive at the scene of an accident or incident.

b. Accident Response Group (ARG)

This group is intended to respond on a worldwide basis in the event of U.S. nuclear weapons related accidents or incidents and consists of a cadre of weapons designers and engineers, physical scientists, and other technical specialists from DoE's weapons complex, together with specially designed equipment. The ARG is prepared to support, or in some cases to provide security, at the scene of a nuclear accident. The ARG relies on Air Mobility Command to provide it with essential mobility.

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[12] The response capabilities are also used overseas for nuclear weapons accidents. The employment of these assets are covered in the Federal Radiological Emergency Response Plan, September 1994.

c. Aerial Measuring System (AMS)

This system includes aerial photography (color and infrared) and a multi-spectral scanning capability along with radiological measuring (gamma) equipment. These systems are mounted on the department's fixed or rotary wing aircraft. The fixed wing aircraft systems will typically self-deploy, but the helicopters generally require Air Mobility Command resources when deployed in the U.S. or overseas.

d. Atmospheric Release Advisory Capability (ARAC)

The ARAC provides a computer-based emergency preparedness and response predictive capability. Its capabilities are used for planning and implementing protective actions in the event of a major radiological incident.

e. Federal Radiological Monitoring and Assessment Center (FRMAC)

This deployable capability provides an organizational and structural focal point to coordinate monitoring and assessment efforts and activities. These resources normally are transported to the site of an accident or incident by Air Mobility Command assets.

f. Radiation Emergency Assistance Center/Training Site (REAC/TS)

This group provides medical advice, specialized training, and on-site assistance for the treatment of all types of radiation exposure accidents on a worldwide basis. The center can deploy personnel trained and experienced in the treatment of radiation exposure.

g. Radiological Assistance Program (RAP)

This resource is intended to provide a local capability or first response to requests for assistance during a radiological incident in any region of the U.S., and their capabilities might be requested by other nations during a major disaster involving nuclear materials. The RAP capabilities can include hand-held radiation monitoring devices (alpha, beta, and gamma), air monitoring equipment and operators, and anti-contamination clothing.

6. Department of Justice (DoJ)

The DoJ provides legal advice to the President, represents the Executive Branch in court, investigates federal crimes, enforces federal laws, operates federal prisons, and provides law enforcement assistance to states and local communities. The Attorney

General, who heads the department, supervises U.S. attorneys, marshals, clerks, and other officers of the federal courts; represents the U.S. in legal matters; and makes recommendations to the president on federal judicial appointments and positions within the DoJ.

Major elements of the department include the Drug Enforcement Administration, the Federal Bureau of Investigation, the Bureau of Prisons, the U.S. Marshal Service, the U.S. Parole Commission, the Criminal Division, Immigration and Naturalization Service, and the U.S. National Central Bureau. Within the Attorney General's primary office, the Executive Office for National Security (EONS) coordinates international projects including training and staffing. Brief descriptions of the DoJ organizations with response capabilities or ongoing international activities follow.

a. Drug Enforcement Agency (DEA)

The DEA is the primary narcotics enforcement agency for the USG. The agency coordinates its domestic and overseas activities with other USG organizations such as the U.S. Customs Service, the U.S. Coast Guard, the Defense Intelligence Agency, and the National Guard. The agency also has liaison with the Joint Staff and selected Combatant Commands, and has personnel assigned to the JIATFs established under PDD-14/22. Its overseas personnel are attaches and serve as members of the Ambassador's Country Team.

b. Federal Bureau of Investigation (FBI)

The FBI investigates violations of certain federal statutes, collects evidence for cases in which the U.S. is or may be an interested party, and maintains liaison posts abroad in foreign countries – Legal Attaches (LEGATTs). The LEGATTs assist and coordinate activities to counter organized crime, illegal drugs, foreign counterintelligence, white collar crime, terrorism, and violent crime. To support these efforts, the FBI maintains extensive domestic and foreign intelligence and operational assets.

Since 1995, the FBI operates the International Law Enforcement Academy in Budapest, Hungary. Nine federal agencies provide instruction at the academy. Pilot programs for similar academies in Latin American and East Asia have been started. This school provides resident instruction for national law enforcement officials and is conducted in coordination with the U.S. Department of State and Department of

Treasury, and the Government of Hungary. Police officers from all over Central Europe have attended the academy.

As directed by PDD-39, the FBI is the lead agency during terrorist incidents (including those which involve WMD) that take place within the U.S. and for supporting the Department of State during incidents that affect the interests of the USG abroad. In this capacity, it is responsible for providing the following response elements:

(1) **Critical Incident Response Group (CIRG):** In the event of a domestic terrorist incident, the on-scene FBI commander is to establish a command post to manage the crisis based upon the premise of a graduated and flexible response. When a threat or incident exceeds the capabilities of a local field office, the CIRG will deploy necessary resources to assist that office. The CIRG was established in 1994 as a separate field entity to integrate the tactical and investigative expertise needed for terrorist and other critical incidents that require an immediate law enforcement response. The CIRG consists of crisis managers, hostage negotiators, behaviorists, surveillance assets, and agents. The CIRG also has a trained tactical team, the Hostage Rescue Team (HRT), that can operate in a chemical or biological environment. The HRT (formed from a pool of 90 special agents) can deploy rapidly to rescue individuals who are held illegally by a hostile force, or it can be employed in other law enforcement activities as directed. Additionally, the FBI has over 1,000 agents in Special Weapons and Tactics (SWAT) teams capable of planning and executing high-risk tactical operations.

(2) **Domestic Emergency Support Team (DEST):** Based on a preliminary threat assessment, the FBI Director may deploy a DEST comprised of those agencies that can advise or provide assistance to an FBI on-scene commander as circumstances dictate. The DEST may be manned to provide advice in dealing with a specific type of incident involving WMD. The DEST conducts an initial situation assessment, develops courses of action, assesses potential consequences, and makes recommendations to the on-scene commander. The team leader then is to assign tasks for the commander's selected course of action, supervise the evaluation of changes in the situation, and ensure information is disseminated in a timely manner.

c. The U.S. National Central Bureau (USNCB)

The USNCB is the U.S. representative to INTERPOL. It maintains the central data base for the FBI and coordinates information exchanges with INTERPOL during international investigations. DoJ and the Treasury jointly manage the USNCB. The

USNCB staff consists of federal law enforcement agents, analysts, translators, and personnel detailed from federal and state law enforcement agencies.

d. Criminal Division

The Criminal Division plays an important role in the active fight against organized international criminal activities. It has several staff members assigned in various countries to work with local ministries of justice to coordinate legal and police activities needed to fight crime. The division also provides training for police and legal personnel of foreign nations through the following programs.

(1) **International Criminal Investigative Training Assistance Program (ICITAP):** This program is a law enforcement development program carried out in foreign nations. It has been used in Haiti and Bosnia to rebuild an entire law enforcement organization essentially from the ground up, using elements of the host nation, and often in coordination with International Police Task Forces (IPTFs) and United Nations Civilian Police (CIVPOLs). The ICITAP program is tailored to meet the specific needs of the national police forces and can include some or all of the following: police training; development of procedural, organizational, and administrative bases for law enforcement and penal agencies; development of forensic capabilities; and providing U.S.-based models for dealing with organized crime, drug trafficking, and financial crimes. While the permanent staff of ICITAP is only about 40 people, it is augmented by a cadre of professional consultants and commercial contractors who conduct the training in the field. All of ICITAP funding comes from Department of State or U.S. Agency for International Development on a project by project basis.

(2) **Overseas Prosecutorial Development Assistance Training Program (OPDAT):** This program is a parallel effort that trains judges and prosecutors in foreign nations. It is intended to strengthen democratic governments by building justice systems that promote the rule of law and serve the public interest. It focuses on enhancing the professional capabilities of prosecutors and judges to build more responsive and responsible criminal justice systems, and works with the American Bar Association to provide additional technical assistance and resources to these programs. In Haiti, the program assisted with the establishment of the Judicial School in Port-au-Prince.

e. Immigration and Naturalization Service (INS)

The INS enforces the laws dealing with immigration into the U.S. and its territories, and administers the process of naturalizing individuals who wish to become

U.S. citizens. The INS has enforcement resources and performs significant tasks in the interagency response to migrant operations.

f. The United States Marshals Service (USMS)

The USMS provides prisoner transportation, service and execution of court orders, federal court and judicial security, witness protection, maintenance and disposal of forfeited assets, federal fugitive apprehension, foreign extradition, security and law enforcement assistance during movement of cruise and intercontinental ballistic missiles, and emergency response by its Special Operation Group to a number of domestic emergency contingencies.

7. Department of State

The DoS is responsible for planning and implementing U.S. foreign policy. In its diplomatic role, the department is an important source of foreign affairs data, national security and economic information, and data on the policies and inner workings of other countries. In its consular function, the department provides notarial and citizenship services to U.S. citizens abroad, and assists in implementing U.S. immigration and naturalization laws.

The department is organized with five undersecretaries who oversee its operation. The broad responsibilities of the undersecretaries are: (1) political affairs; (2) economic, business, and agricultural affairs; (3) arms control and international security affairs; (4) global affairs; and (5) management. The seven regional bureaus that report to the Undersecretary for Political Affairs include: African Affairs, East Asian and Pacific Affairs, European and Canadian Affairs, Near Eastern Affairs, Inter-American Affairs, South Asian Affairs, and International Organizational Affairs. **The geographic areas of responsibility of the regional bureaus and the combatant commands are not exactly aligned, and the commands may need to coordinate with more than one regional bureau**.

In addition to overseeing counterterrorism activities, the Undersecretary for Global Affairs supervises the following functional bureaus: International Narcotics and Law Enforcement; Oceans and Environmental Scientific Affairs; Human Rights and Labor; and Population, Refugees, and Migration.

Recently enacted legislation abolished the separate Arms Control and Disarmament Agency (ACDA) and the U.S. Information Agency (USIA) and its

supporting U.S. Information Service (USIS). The staff and responsibilities of ACDA are now assigned to the Undersecretary for Arms Control and International Security Affairs, along with those of the Politico-Military Bureau. The reorganization also established a sixth Undersecretary position responsible for Public Diplomacy who manages the staff and functions formerly handled by USIA and USIS.

The American embassies are the basic unit responsible for conducting diplomacy overseas. They are headed by an ambassador, who is a presidential appointee and the President's personal representative to the host government. Ambassadors coordinate, direct, and supervise all USG activities and representatives posted in the foreign country to which they are accredited. These USG personnel form the ambassador's Country Team. The overseas Foreign Service Officers are assisted by another 10,000 career Foreign Service national employees and more than 1,600 U.S. Marines on deputation to the department as Marine Security Guards. The U.S. also has missions to a number of international organizations such as the United Nations, NATO, and Organization of American States.

Ambassadors to the host country do not, however, exercise control of U.S. civilian or military personnel who are attached to and working for the head of a U.S. Mission to an international organization or U.S. military personnel operating under the command of a geographic combatant commander. During U.S. contingency operations within a foreign nation, the coordination mechanism established by the ambassador and the geographic combatant commander or his joint task force commander must ensure that the two chains of command — the ambassador's representing the civilian elements of the USG and the commander's representing the military elements — coordinate their interagency activities effectively.

Under PDD-39, the DoS is designated the lead agency during terrorist incidents that take place in foreign nations involving U.S. interests, including incidents that might involve weapons of mass destruction. The department has established two response elements for these types of incidents:

a. Foreign Emergency Support Team (FEST)

In coordination with the NSC, DoS will lead an interagency FEST to assist the U.S. ambassador and the host government with managing the response to a terrorist incident. The FEST is advisory and will not enter the host country unless requested by the ambassador, with the host nation's permission. [The FEST is formed from pre-identified and trained individuals from appropriate USG agencies.] The size of the FEST

may range from a few individuals to more than 30 people, based on the nature of the incident. When deployed, the FEST provides the ambassador with a single point of contact to coordinate all USG on-scene support during a terrorist incident. The FEST can provide the following: (1) guidance on terrorist policy and incident management, (2) dedicated secure communications to support the embassy, and (3) special experience and equipment not otherwise available, to include a professional hostage negotiation advisor and experts on managing specific types of weapons of mass destruction.

b. Consequence Management Response Team (CMRT)

DoS also has the lead, with support from the U.S. Agency for International Development's OFDA, to provide a standing CMRT to help manage the consequences of an overseas emergency involving weapons of mass destruction. The CMRT provides coordination and connectivity for planning and execution of USG-Host Nation response to consequences of chemical, biological, radiological, or nuclear contaminates. When the CMRT is deployed, it is an integral part of the NSC-directed FEST. The Politico-Military Bureau provides the CMRT leader who coordinates consequence management activities and keeps the ambassador informed. The team serves as the primary liaison between the ambassador, the FEST, and other technical experts. The CMRT, through its Office of Foreign Disaster Assistance representative, coordinates all USG consequence management activities with appropriate authorities of the affected country as well as the United Nations, and any international and non-governmental organizations that may be involved. Other agencies of the USG provide trained experts as members of the CMRT as required by the nature of the incident.

8. Department of Transportation

The Department of Transportation (DoT) is responsible for ensuring the safety and reliability of all forms of transportation, protecting the interests of consumers, conducting planning and research for the future, and rendering assistance to cities and States in meeting transportation goals. The Secretary of Transportation is the principal advisor to the President on transportation programs and oversees nine operating administrations that comprise the department. The administrations are generally organized by transportation mode or function and include the following: Federal Aviation Administration (FAA), Federal Highway Administration (FHA), Federal Railroad Administration (FRA), National Highway Traffic Safety Administration, Maritime Administration (MARAD), Federal Transit Administration (FTA), St. Lawrence Seaway

Development Corporation, U.S. Coast Guard (USCG), and Research and Special Programs Administration.

DoT and its agencies maintain close and continuous liaison with other USG interagency players, especially the DoD. DoT maintains responsive planning and operational mechanisms, and a logistics capacity to support strategic and operational planning for force projection, combat operations, deterrence, crisis response, disaster assistance, humanitarian relief efforts, and strategic exercises. USCG assists with the enforcement of maritime laws[13] and suppression of smuggling, illicit drug trafficking, and alien migrant interdiction. USCG routinely places law enforcement detachments on board surface combatants of the U.S. Navy for maritime interdiction operations. USCG also operates the National Response Center (NRC) to manage emergency responses to pollution and other spills as part of the Federal Response Plan, and provides personnel for the National Response Teams (NRTs) led by Environmental Protection Agency. The National Strike Force (NSF) is a USCG unit composed of three strike teams with specially trained personnel and equipment that respond to major oil spills and chemical releases, normally as part of an NRT. The USCG provides the counterdrug operations JIATFs with key personnel and other resources. During military contingency operations, the USCG may be called upon to provide harbor security detachments at seaports where U.S. forces and sustainment flow.

DoT can provide expertise during civil or military use of the U.S. transportation system. It has the authority, through Presidential Executive Order or emergency decrees, to redirect the nation's transportation assets and change priorities during emergency situations affecting the nation. The FAA also cooperates with the DoD in military aviation, aeronautical charts and publications, Notices to Airmen (NOTAMS), military airport operations and certification, airspace management during national crises, and airspace control and certification of expeditionary aviation facilities overseas during military contingency operations.

9. Department of Treasury

The Department of Treasury (DoTr) performs four basic functions: (1) formulates and recommends economic, tax, and fiscal policies; (2) manages the USG

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[13] Enforcing maritime laws, such as protecting the U.S. exclusive economic zone from foreign encroachment and upholding domestic fisheries law, is an expanding mission requiring the application of significant USCG resources.

finances; (3) protects the President and other key federal officials; and (4) manufactures coins and currency. The Assistant Secretary (Enforcement) is responsible for the Office of Financial Enforcement; the Office of Foreign Assets Control; the Bureau of Alcohol, Tobacco, and Firearms (ATF); the U.S. Customs Service (USCS); the U.S. Secret Service (USSS); and the Federal Law Enforcement Training Center. DoTr is also responsible for the Internal Revenue Service and the Undersecretary for International Affairs deals with a range of national security issues including financial transactions associated with terrorism, illegal drugs, and rogue states. DoTr manages USG policy toward International Financial Institutions (IFI), which have a growing importance in SSCs through their support of conflict prevention and post-conflict reconstruction. The USG influences these programs through the U.S. Executive Director provided to the IFI boards by Treasury.

The department maintains significant capabilities within its many components, including financial management; public safety; law enforcement, especially for suppression and interdiction of illegal drugs, money from criminal and terrorist activities, and pornography; and training of federal, state, and local law enforcement agencies. The department directs and supports the Drug Law Enforcement system and the USCS resources are integrated into the JIATFs that conduct counterdrug interdiction operations. The department works closely with the FAA, civil airport management organizations, and air carriers to coordinate counterterrorism operations and activities to fight international crime.

10. Federal Emergency Management Agency

FEMA, an independent agency, is the focal point for domestic emergency planning, preparedness, mitigation, response, and recovery. The agency develops and coordinates national policy and programs and facilitates delivery of emergency management during all phases of national security contingencies and catastrophic natural or man-made emergencies that exceed capacities of state and local authorities. Its responsibilities include overseeing the development and execution of policies and programs for overall emergency management, national emergency readiness, disaster planning, emergency training and education, fire prevention and control, flood plain management, and insurance operations. **FEMA is also the USG representative to NATO for coordinating civil defense and disaster management programs. It maintains an office within the U.S. Mission to NATO and participates in the Civil Emergency Planning activities.**

Through its various programs, the agency maintains close and effective liaison with State and local emergency response officials and maintains an Emergency Operations Center (EOC) at its Washington, D.C. headquarters to coordinate the federal response to a domestic emergency[14]. When a domestic disaster exceeding the capacity of State and local authorities occurs, the governor of the State or territory will request from the President assistance from the federal authorities in accordance with the Federal Response Plan. FEMA will activate a Regional Operations Center (ROC) and appoint the Federal Coordinating Officer (FCO) who, on behalf of the President, is responsible for ensuring federal support is provided to the requesting State authorities. To assist the FCO, FEMA and other federal agencies will deploy their pre-identified and trained response capabilities. The DoD has appointed Defense Coordination Officers (DCOs) in each state and territory to effect coordination between the FCO and the DoD.

a. Emergency Response Team (ERT)

The ERT is a regional interagency team headed by FEMA, composed of personnel who provide and coordinate the ESF response from the various USG departments and agencies identified in the Federal Response Plan. The ERT reports to the FCO and coordinates its activities with the designated State Coordinating Office.

b. Emergency Support Team (EST)

The EST provides logistical and administrative support to the federal staff members involved with the emergency response.

c. Urban Search and Rescue (USAR) Teams

Under the Federal Response Plan, the agency also has responsibility for fielding Urban Search and Rescue Teams to assist local authorities with extricating victims when buildings collapse. FEMA provides this capability by funding 27 USAR Teams assigned to metropolitan fire departments throughout the country. These teams are trained and prepared to assist with local disasters or to deploy elsewhere when called upon by FEMA. The entire FEMA response capability, including food kitchens provided by non-governmental organizations, has been coordinated with U.S. Transportation Command

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[14] During the USG response to the refugee crises in Kosovo, a major foreign disaster, FEMA used its extensive domestic network to manage private contributions within the U.S. and to provide the contributions to the Office of Foreign Disaster Assistance for distribution to the needy.

and is currently listed in time-phased force and deployment data (TPFDD) format at Appendix D.

11. Environmental Protection Agency

The Environmental Protection Agency (EPA) was created in 1970 and assigned responsibility for implementing and enforcing federal environmental laws to redress concerns about unhealthy air, polluted rivers, unsafe drinking water, endangered species, and waste disposal. The agency's current focus is on ecosystem protection, environmental justice, pollution prevention, environmental accountability, and science and research. While principally concerned with domestic issues, the Office of International Affairs coordinates the agency's foreign activities with United Nations bodies and regional organizations such as NATO's Committee for Challenges of Modern Society.

The agency also provides a response capability that can be deployed during domestic disasters or terrorist incidents, but could be used to respond overseas in certain situations.

a. Environmental Response Teams (ERT)

These teams contain a specially trained and equipped group of scientists and engineers based in Cincinnati, Ohio and Edison, New Jersey. These teams provide capabilities for multimedia air and water sampling and analysis, hazard assessments, cleanup techniques for hazardous materials, and technical support during disasters.

b. National Response Team (NRT)

The NRT is an EPA-led element that responds to chemical incidents. They are trained and equipped to identify, contain, cleanup, and dispose of chemical agents.

c. Radiological Emergency Response Teams (RERT) and Environmental Radiation Ambient Monitoring System (ERAMS)

During a nuclear incident, these teams are trained and equipped to monitor and assess radiation sources and to provide protective action guidance to other responding organizations.

12. U.S. Agency for International Development

USAID is an independent agency of government, but its Administrator reports to the Secretary of State. **The agency administers and directs U.S. foreign economic assistance programs, and is the lead federal agency for foreign disaster assistance**.[15] USAID focuses much of its foreign assistance efforts in six areas: agriculture, environment, economic policy reform, child survival, containing the spread of Acquired Immune Deficiency Syndrome (AIDS), democracy/governance, population planning, and basic education.

The agency is prepared to respond to complex contingencies and to assist in the transition of states from crisis to stability. The agency addresses three factors in these contingencies: (1) the emergency response, focused on saving lives and reducing suffering, but in some situations can simultaneously assist in returning the country to sustainable development by supporting local capabilities, providing safety nets, and strengthening human capacity; (2) the prevention or mitigation of the effects of a disaster built into the country's response programs; and (3) timely and effective assistance to countries emerging from crisis which can make the difference between a successful or failed transition.

USAID funding underwrites long-term rehabilitation and recovery efforts in states emerging from complex emergencies. These efforts support sustainable development, prevent crises from becoming intractable, and minimize the need for future humanitarian and disaster relief. USAID's Bureau for Humanitarian Response (BHR) administers a number of these humanitarian assistance programs. Its Office of Transition Initiatives (OTI) provides a mechanism to assess rapidly and address the short-term political and economic needs in the recovery stage of a post-conflict disaster. **Key areas of concern to the OTI include demobilization and reintegration of soldiers, landmine awareness and removal, electoral preparations, and civil infrastructure restoration.**

Other BHR programs include Food for Peace (operated with the USDA), Food and Development, and OFDA. The Food for Peace program supports humanitarian and sustainable development assistance by providing agricultural commodities and resources to non-governmental organizations[16] and the World Food Program. Food for

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15 This authority is based upon Section 493 of the Foreign Assistance Act of 1961, as amended, and the 15 September 1993 NSC directive.

16 OFDA uses the term private voluntary organization (PVO) to identify U.S.-based non-governmental organizations.

Development provides country-to-country grants of agricultural commodities to improve food security in developing countries and to promote agricultural reforms that encourage food production.

Each President has traditionally designated the USAID Administrator as his Special Coordinator for Foreign Disaster Assistance and OFDA provides emergency relief and long-term assistance in response to disasters during his administration. OFDA is responsible for organizing and coordinating USG foreign disaster relief response; responding to embassy and mission requests for disaster assistance; initiating necessary procurement or supplies, services, and transportation; and coordinating assistance efforts with operational-level non-governmental and private volunteer organizations. OFDA operates a Crisis Management Center (CMC) in Washington, DC to coordinate disaster assistance operations and maintains regional advisors, who are emergency response experts and consultants in Ethiopia, Costa Rica, the Philippines, and Fiji. **OFDA has authority to waive certain provisions of U.S. contracting law to expedite delivery of supplies and services during an emergency and does so through standby arrangements with a number of non-governmental organizations.** A brief description of the OFDA response capability follows:

a. Disaster Assistance Response Team (DART)

These teams respond rapidly to international disasters as mandated by the Foreign Assistance Act. A DART can provide specialists trained in five functional areas: management, operations, planning, logistics, and administration. The team members assess the needs of the victims of a natural or man-made disaster and determine the appropriate USG response. The team assists U.S. embassies and in place USAID missions with the management of the USG response to the disaster, and coordinates the response of other organizations such as a Joint Task Force (JTF) or other government agencies.

OFDA's DART will be deployed upon request to:

- Assess the scope of the disaster's damage
- Assess the initial needs of the victims
- Report the damage and needs to the U.S. Chief of Mission and OFDA Washington
- Provide search and rescue teams
- Provides situation reports for interagency use

- Recommend USG relief response, if any.

Once the decision to respond is made, the DART or some members of the team may stay to assist in the management of the USG response to the disaster. The team can fund relief organizations and monitor and evaluate USG funded relief activities. The DART also manages the USG on-site relief activities including the receipt, distribution, and monitoring of USG-provided relief supplies. During response execution, the team coordinates the USG activities with the affected country as well as other assisting organizations and donor nations. DARTs are normally short-term. The exceptions have been the long-term DART teams in Bosnia (1992-1996), Northern Iraq for Operation Provide Comfort II (1993-1996), and Kosovo (1999). OFDA will reimburse the DoD for the support it requested the department to provide during the contingency.

b. Urban Search and Rescue (USAR) Teams

Based on an agreement between FEMA and OFDA, the USAR team concept was developed to provide a rapidly deployable international response capability in addition to the domestic capability provided by FEMA. Two USAR teams – provided by the Fire and Rescue Departments of Fairfax County, Virginia and Miami Metro-Dade County, Florida – are trained and equipped to respond to international contingencies. Because these teams must deploy with 30 days of sustainment, their configuration is more robust than the domestic teams. They normally deploy with 66 members, including USAR technicians, air-scenting dogs, collapse rescue experts, physicians, paramedics, logisticians, and command and control personnel. Transportation for one of the USAR teams can be provided by two C-5 aircraft from Air Mobility Command when requested by OFDA, or the requirement can be met by commercial contract flights. OFDA also has agreements with CDC and the Forestry Service to provide DART support services.

c. Emergency Storage Sites

OFDA maintains warehouses in several locations around the world. Sites are located at New Windsor, Maryland; Camp Darby, Italy; Panama[17]; Anderson Air Base, Guam; and Nairobi, Kenya. These facilities contain food rations, water containers, plastic sheeting, medicines, and blankets that can be transported to the scene of a disaster.

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[17] By recent agreement with the Government of Honduras, this storage site will be located at Soto Cano Air Base, where SOUTHCOM's Task Force Bravo is headquartered.

They are located on or in the proximity of large airfields so the supplies can be rapidly loaded on strategic air transport.

13. Overseas Private Investment Corporation (OPIC)

The mission of the OPIC, a self-sustaining agency that operates at no net cost to the U.S. taxpayer, is to mobilize and facilitate the participation of U.S. private capital and skills in the economic and social development of less developed countries and areas. OPIC also provides similar support to countries in transition from non-market to market economies. It accomplishes this mission by assisting U.S. investors through four principal activities designed to reduce the risks of overseas investment:

- Insuring investments overseas against a broad range of political risks
- Financing of businesses overseas through loans and loan guarantees
- Financing private investment funds that provide equity to businesses overseas
- Advocating the interests of the American business community overseas.

Private sector investment overseas strengthens and expands the U.S. economy and also helps the developing nations. OPIC works with host nation governments to help create economic climates that will attract U.S. investment and to facilitate the entry of businesses in these countries. It also works with other U.S. government agencies at the federal state, and local levels, and with private organizations and multilateral institutions. With reserves of more that $3 billion, OPIC has supported investments worth nearly $121 billion through its programs which operate in approximately 140 countries and areas worldwide. OPIC's guaranty and insurance obligations are backed by the full faith and credit of the United States of America.

As part of the South Eastern Europe Initiative, OPIC is providing a $200 million investment credit line for companies or commercial partnerships with significant U.S. participation, establishing a regional presence, and creating a $150 million investment fund to meet the investment needs of the region.

14. The Office of International Information Programs (IIP)

Formerly known as the U.S. Information Agency, the Office of International Information Programs has been integrated into the DoS and reports to the Under Secretary for Public Diplomacy. The mission of IIP is to understand, inform, and influence foreign publics in promotion of U.S. national interests and to broaden the dialogue between Americans and U.S. institutions and the counterparts abroad. The

office is prohibited from conducting information programs or disseminating its information products within the U.S.

In its former structure as USIA, this agency had an overseas component called the U.S. Information Service. The Foreign Service Officers assigned to USIS operate in virtually all American embassies and consulates abroad and also run cultural and information resources centers in many countries. These personnel are responsible for managing the press strategy for all USG elements operating abroad under the authority of the U.S. Ambassador.

Additional USIA resources and programs now under the management of DoS include Voice of America, broadcasting worldwide in more than 40 languages; Radio Free Europe and Radio Liberty; the WORLDNET satellite television system; radio and television broadcasting to Cuba; the Fulbright Scholarship, International Visitor and other educational and cultural exchange programs; the U.S. Speakers program; and the Wireless File, a daily compendium of policy statements and opinions.

Press activities of all USG elements operating at U.S. diplomatic missions abroad are cleared and coordinated by the USIS posts within the missions. These specialists track foreign media coverage of issues of U.S. national interest and advise on foreign public opinion. The USIS posts can assist with publicizing U.S. military and civilian achievements in a given foreign country. Military psychological operations (PSYOP), civil affairs, and public affairs activities within a foreign country should be coordinated with the USIA and USIS planners. When requested by the Secretary of Defense, DoS will provide a senior representative to any established interagency planning or oversight committee to assist with public diplomacy coordination.

Specific public diplomacy capabilities available through the Office of the Under Secretary for Public Diplomacy include the following:

- Significant contributions to press and public information planning during preparations for employment of U.S. forces in crisis response or contingency operations, and contributions to the implementation of press and public information strategy during the operational phase using both in country officers and the full range of print and broadcast media products and services.
- Assistance to civil affairs personnel in developing popular support, and detecting and countering conditions and activities which hinder U.S. operations. Similar assistance is rendered to PSYOP personnel.

15. United States Congress

The United States Congress, while not part of the Executive Branch, plays a major role in overseeing the activities of the Executive Branch through more than 200 committees and sub-committees assisted by approximately 2,000 staff members. Many of the committees and subcommittees have responsibilities to oversee a wide range of activities such as foreign policy, readiness of military forces, or size of the federal budget. They frequently consider the implications of U.S. participation in complex contingencies and must appropriate funds to enable the Executive Branch to carry out its planned operations. The U.S. Institute of Peace is an independent, non-partisan federal institution created and funded by Congress. The Institute is able to assist the Executive Branch, Congress, and others.

D. SUMMARY AND CONCLUSIONS

The national security mechanism for achieving interagency coordination within the USG is based on both formal and informal guidelines. When issues are enduring such as counterdrug, counterterrorism, or response to domestic disasters, the process is made more formal to establish the management structure and to ensure procedures are in place and resources are available to meet the challenges. Agencies involved with responding to these requirements have established a number of civilian offices, groups, teams, and programs identified in this chapter that provide the management oversight and response capabilities that can be employed in various types of domestic or overseas contingencies.

Because the elements of the DoD will participate with these other USG elements in SSC operations, they should be aware of the responsibilities assigned to these agencies and the response capabilities they have available. Commanders and staff must recognize that the USG response system for SSCs is often cumbersome and there is great room for improving USG interagency coordination. Understanding the roles and capabilities of others is essential if interagency unity of effort is to be achieved.

CHAPTER III

THE UNITED NATIONS

III. THE UNITED NATIONS

The largest and most comprehensive institution in the Inter-Governmental Organization category is the United Nations (UN).[1] The UN is an organization of sovereign nations. It provides the machinery to facilitate collective action by member states to find solutions to international problems or disputes, and to deal with other concerns. **Commonly perceived as a single coherent organization, the UN is in fact a complex collection of multilateral programs and funds and linked international organizations or treaty bodies.** The discussion in this section is in five parts. The first part describes the organization of the UN and the second provides an overview of the coordination mechanisms used by the institution to accomplish its work. The last three sections describe the response capabilities available within the UN Secretariat and those found in the various programs, funds, and specialized agencies of the organization.

A. ORGANIZATION

What is commonly viewed as the UN is in fact two integrated parts known as the United Nations Organization (UNO) and the United Nations System (UNS). The UNO is the original organization established under the UN Charter. The UNS is the larger body of organizations and programs, including the UNO, which subsequently have been brought into relationships with one another under the aegis of the UN Charter.

1. United Nations Organization

The UNO comprises the six principal organs of the UN and the subsidiary programs, funds, commissions, and committees created to facilitate inter-state dialogue, program coordination, and implementation. The UN Charter specifically provides for the structure and mandates of the six principal organs of the UNO shown in Figure III-1 and described below.

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[1] Currently, the UN has 188 member nations. See www.un.org/ for access to UN information.

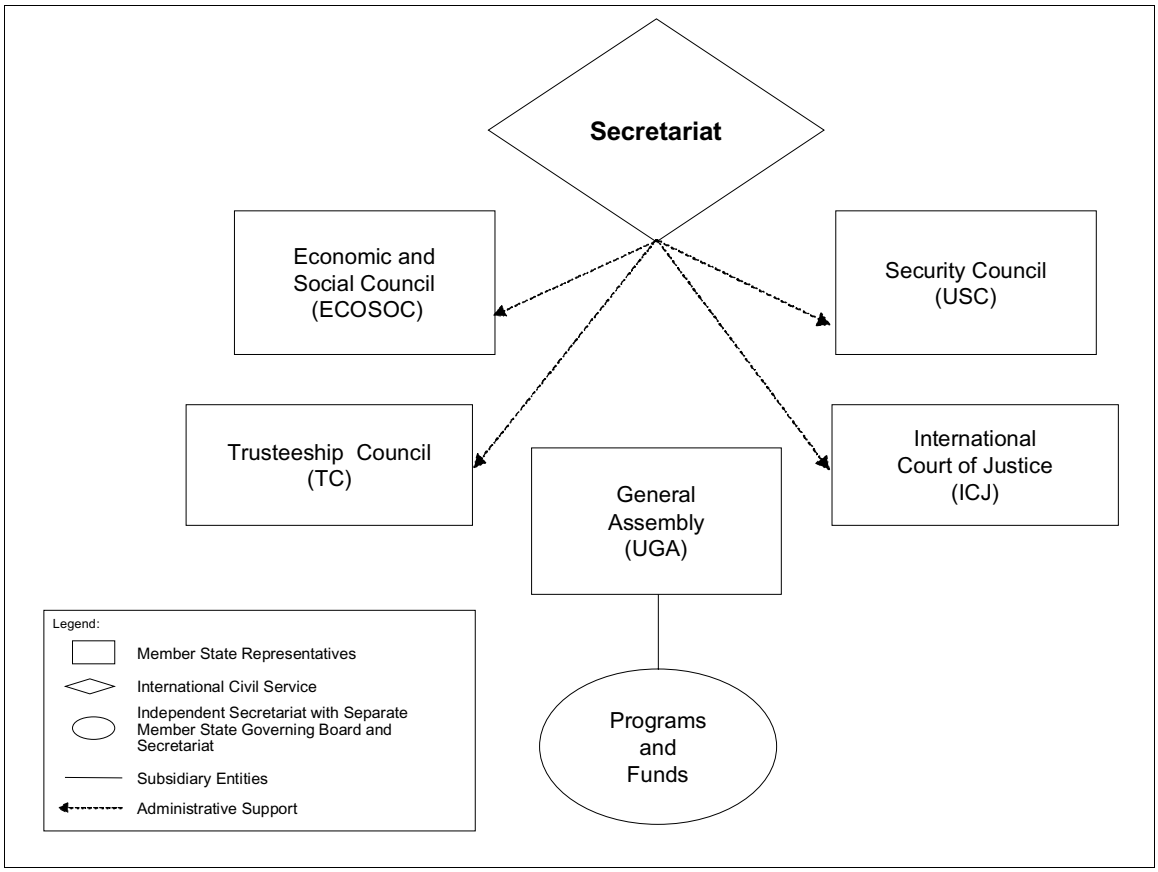

Figure III-1. The Principal Organs of the United Nations Organization

a. General Assembly

The General Assembly (GA)[2] includes representatives from all member states and elects membership of other councils. It discusses, initiates studies, receives and considers reports, considers and approves budgets, suspends membership, adopts rules of procedure, and may make recommendations on any question within the scope of the UN Charter except issues already on the Security Council agenda.

b. Security Council

The Security Council (SC)[3] shown in Figure III-2 has 5 permanent members[4] and 10 others elected to 2-year terms. The SC has preeminent responsibility for peace and security within the UN system; according to Article 12(1) of the UN Charter, the GA

2 See www.un.org/ga/54/.

3 See www.un.org/overview/org.ns/sc.html/.

4 Permanent members include China, France, Russia, the United Kingdom, and the United States. Permanent members can "veto" the other council members vote by voting negatively.

must refrain from considering a crisis issue if it is before the SC for consideration. The SC authorizes commissions, interventions, and international tribunals, and the decisions of the Security Council are binding on all member states.[5] Actions authorized by the SC are funded through assessed contributions paid by all member states.

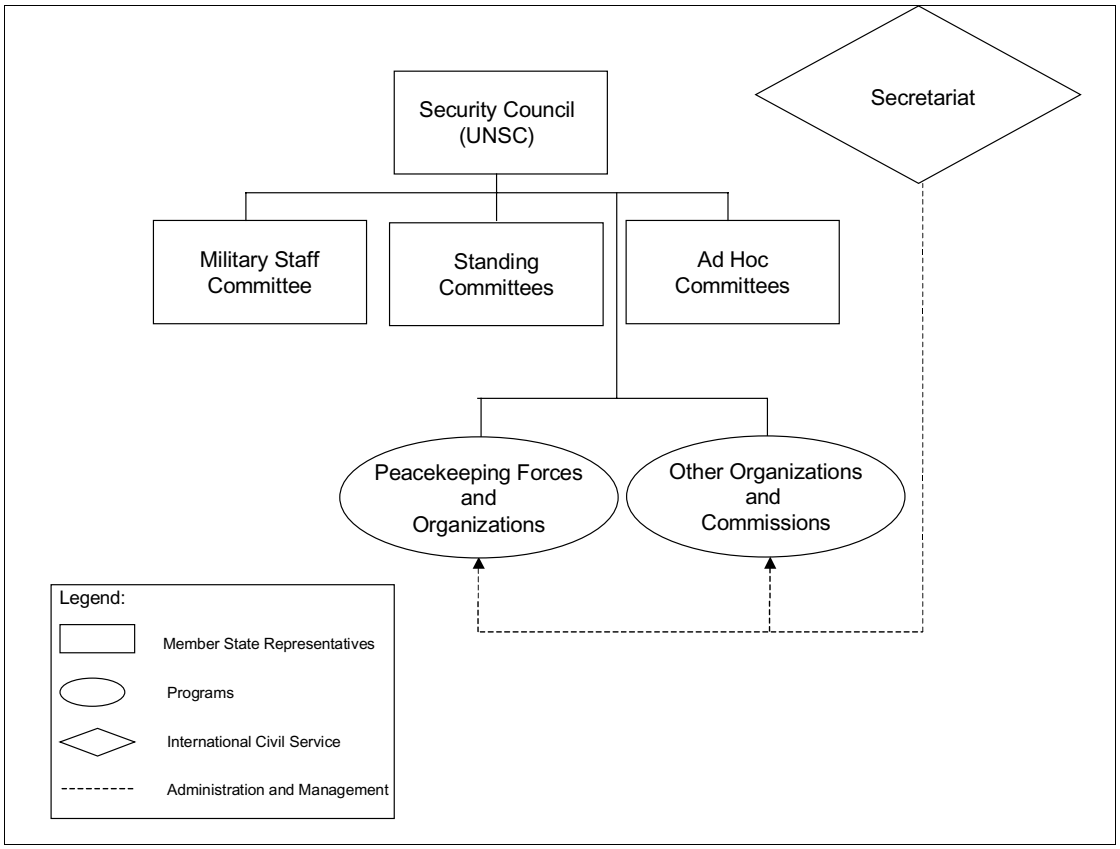

Figure III-2. Organization of the Security Council

c. Economic and Social Council

The ECOSOC[6] currently has 54 members serving 3-year terms elected by the General Assembly.[7] This council, shown in Figure III-3, is the central forum for discussion of international economic and social issues of a global or interdisciplinary nature, and for the formulation of policy recommendations on those issues (including

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5 UN Charter, Article 25. The GA has the power to suspend a non-complying state from UN membership privileges at the request of SC. UN Charter, Article 5.

6 See www.un.org/overview/organs/esococ.html/ and www.un.org.esa/.

7 UN Charter, Article 61.

economic, social, cultural, education, health, and related matters) for member states and the UN System as a whole.[8] The ECOSOC coordinates the activities of the specialized agencies, and is responsible for standing, functional, and regional commissions and advisory bodies of experts. During 1998, the ECOSOC has added an additional segment to its consultations focusing on humanitarian affairs, has endorsed the Consolidated Appeal Process, and has taken a greater hand in supporting and directing the work of the Inter Agency Standing Committee (IASC) which is described in the next section on coordination mechanisms.

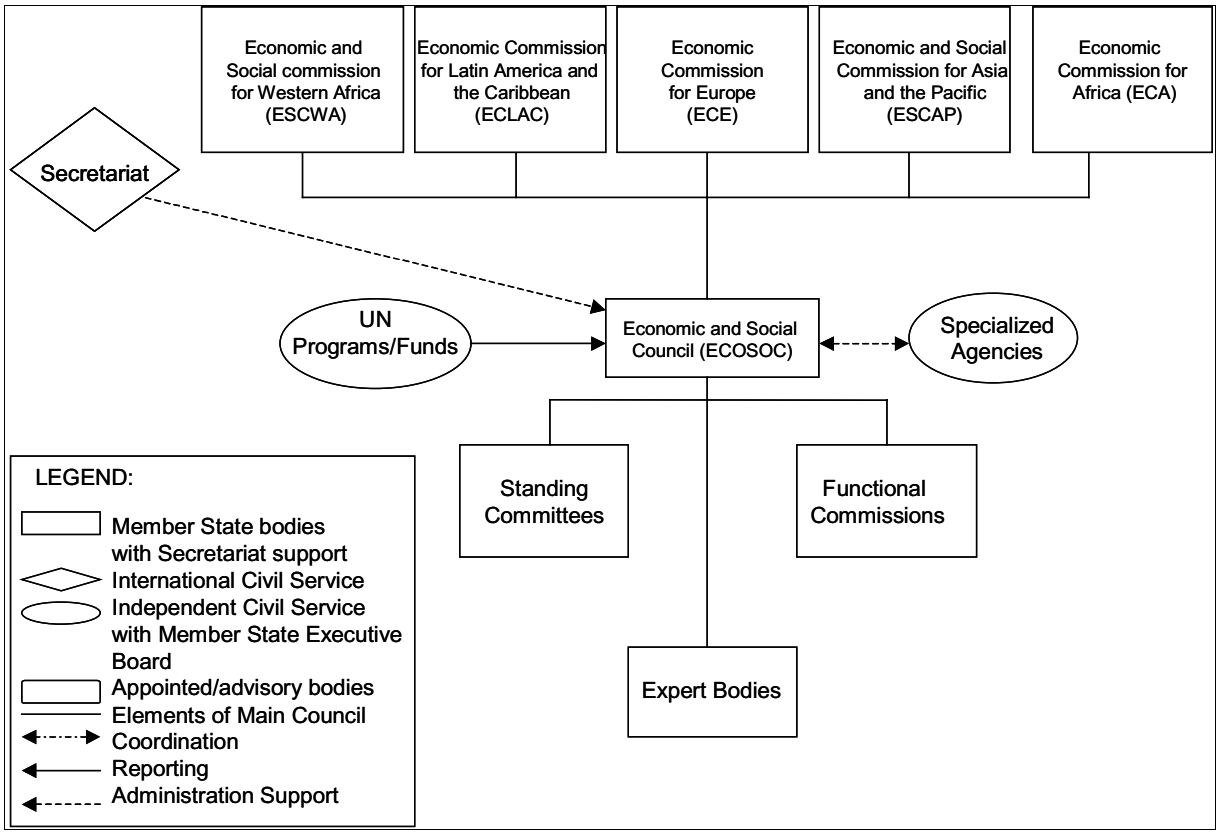

Figure III-3. Organization of the Economic and Social Council

8 UN Charter, Articles 62-66, and 68.

d. Trusteeship Council

The Trusteeship Council (TC)[9] was established to oversee trust territories,[10] but all of the original trust territories have now gained independence. This council has suspended operations. Proposals are under consideration to determine its future function.

e. International Court of Justice

The International Court of Justice (ICJ) is the principal judicial organ of the UN, is open to the parties of its statute, and is an integral part of the UN Charter.[11] The court's jurisdiction covers all questions which states refer to it, and all matters provided for in the UN Charter or in treaties or conventions in force. The court consists of 15 judges elected by the General Assembly.

f. Secretariat

The UN Secretariat is headed by the Secretary-General and is composed of international civil servants.[12] The Secretariat, shown in Figure III-4, supports the deliberative process of the member states in the main councils, assembly, and associated committees and commissions, and is the chief administrative officer of the UN. While the Secretary-General is responsible for promoting coordination and reporting to the GA on the work of the UNO, the office has no authority to direct or compel action by any UN entity outside of the Secretariat.

2. The United Nations System

The UNS is a collection of various programs, specialized agencies, convention secretariats, and interagency coordination mechanisms that operate within the framework of the UN Charter. The UNS includes those subsidiary institutions, both programmatic and administrative, of the UNO as well as external entities which have been brought into association with the UNO. The UNS officially includes the institutions described below.

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9 See www.un.org/overview/organs/tc.html/.

10 See generally UN Charter, Chapter XIII.

11 See generally UN Charter, Chapter XIV.

12 See UN Charter, Article 97.

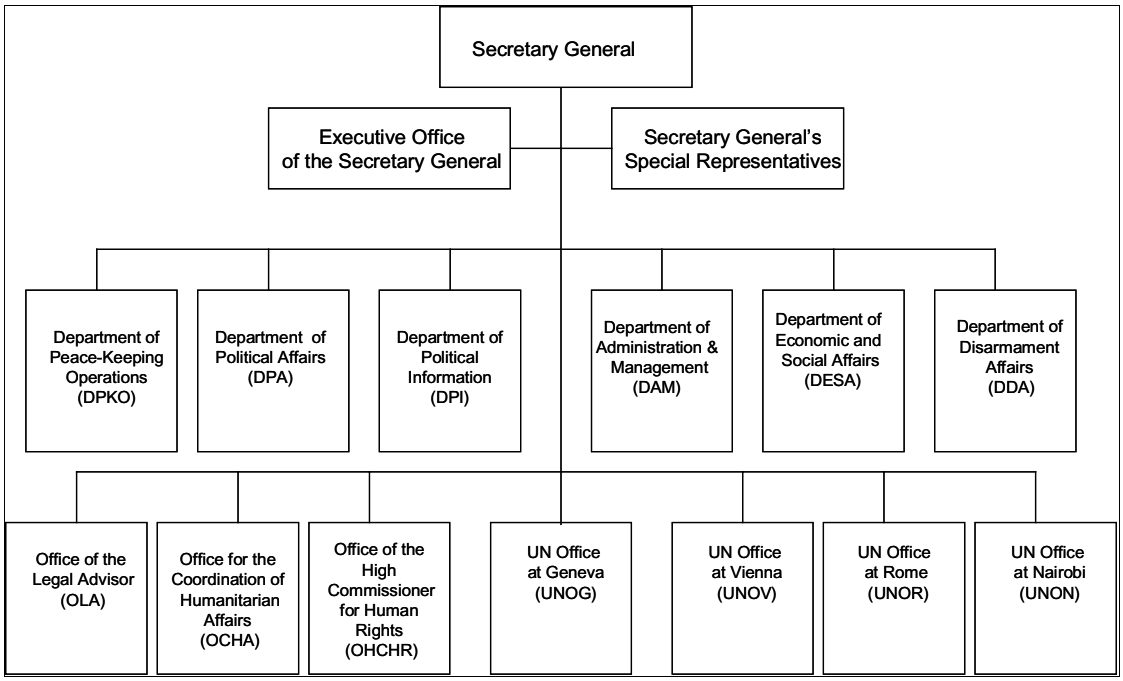

Figure III-4. Organization of the United Nations Secretariat

a. Programs of the United Nations

Actually part of the UNS, these programs are specific entities created by the General Assembly or other organs of the UN, with specific mandates and authority over funds to which contributions are made by member nations. This category includes subordinate and regional deliberative commissions and committees formed by representatives of member states, expert bodies, and interagency coordinating bodies. The current programs of the UN are listed in Table III-1.

Funds supporting these programs fall into one of four categories: special, general, voluntary, and trust. The funds of each program are overseen by an executive board of representatives from member states. Each fund or program is also overseen by a separate controller. The entities are authorized to engage in general and specific fund raising activities such as appeals or other projects to which member states or other donor organizations can make direct contributions.

Because each program is overseen by an executive board of member states, the executive directors and staff exercise significant autonomy for decision making. As expressions of member state interests, these programs and funds report to the General Assembly directly or through the ECOSOC. Recent efforts at UN reform have attempted to set in place executive level committees under the Secretariat to influence these

activities, but there is some resistance by member nations to efforts intended to establish closer control by the Secretariat.

b. Specialized Agencies

As defined by Article 57 of the UN Charter, Specialized Agencies have been "established by intergovernmental agreement and have wide international responsibilities, as defined in their basic instruments, in economic, social, cultural, educational, health, and related fields" which have been "brought into a relationship with the UN." Under Article 63, their activities may be coordinated by ECOSOC. These agencies listed in Table III-2, are separate, autonomous organizations, each with their own membership and organizational structure.

As with UN Programs, the Specialized Agencies derive their funding from member states under individual arrangements. The funds of each program are overseen by an executive board of member states and by a separate controller. The Specialized Agencies exercise significant autonomy of decision making in relation to other parts of the UNS. Because of this independence, the secretariats of the Specialized Agencies are part of the formal coordination mechanism established in the Administrative Committee on Coordination (ACC)[13] described in the section on coordination mechanisms. As expressions of member state interests, these Specialized Agencies report to the General Assembly through the ECOSOC.

c. Autonomous Organizations

Two independent and autonomous organizations currently operate under the aegis of the UN: the International Atomic Energy Agency (IAEA)[14] and the World Trade Organization (WTO).[15]

d. Convention Secretariats

These entities are small staffs that monitor various treaties, conventions, and other international agreements that have been brought under the aegis of the UN.

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13 See acc.unsystem.org/.

14 See www.iaea.int/.

15 See www.econ.iastate.edu/classes/econ355/choi/wtoworks.htm./.

Table III-1. Programs of the United Nations

Programs	Location	Web Access (www.)
UN Headquarters (UN)	New York, US	un.org/
UN Compensation Commission (UNCC)	Geneva, SZ	un.org.ch/uncc/
UN Staff College (UNSC)	Turin, IT	itcilo.it/unscp/gb.htm/
UN Office at Geneva (UNOG)	Geneva, SZ	un.og.ch/
UN High Commissioner for Human Rights (UNHCHR)	Geneva, SZ	Unhchr.ch/
UN Office at Vienna (UNOV)	Vienna, AU	un.or.at/
UN Office for Outer Space Affairs (OOSA)	Vienna, AU	un.or.at/oosa/
UN Commission on International Trade Law (UNCITRAL)	Vienna, AU	un.or.at/uncitral/
UN Office for Project Services (UNOPS)	New York, US	unops.org/
UN Economic Commission for Africa (ECA)	Addis Ababa, ET	un.org/depts/eca/
UN Economic Commission for Europe (ECE)	Geneva, SZ	un.ece.org/
UN Economic Commission for Latin American and the Caribbean (ECLAC)	Santiago, Chile	eclac.org/
UN Economic and Social Commission for Asia and the Pacific (ESCAP)	Bangkok, TH	unescap.org/
UN Economic and Social Commission for Western Asia (ESCWA)	Amman, JO	escwa.org/
UN Children's Fund (UNICEF)	New York, US	unicef.org/
UN Conference on Trade and Development (UNCTAD)	Geneva, SZ	unctad.org/
UN Development Programme (UNDP)	New York, US	undp.org/
UN Development Fund for Women (UNIFEM)	New York, US	unifem.undp.org/
UN Volunteers (UNV)	Bonn, Germany	unv.org/
UN Environment Programme (UNEP)	Nairobi, Kenya	unep.org/
UN Population Fund (UNPF)	New York, US	unfpa.org
UN International Drug Control Programme (UNDCP)	Vienna, AU	undcp.org/
World Food Programme (WFP)	Rome, IT	wfp.org/
UN Relief & Works Agency for Palestine Refugees in the Near East (UNRWA)	Amman, JO	un.org/unrwa/
UN Centre for Human Settlements (UNCHS)	Nairobi, Kenya	unchs.org/
UN High Commissioner for Refugees, Office of the (UNHCR)	Geneva, SZ	unhcr.ch/
UN University (UNU)	Tokyo, Japan	unu.edu/
International Court of Justice (ICJ)	The Hague, NE	icj-cij.org/
International Research and Training Institute for the Advancement of Women (INSTRAW)	Santo Domingo, DR	un.org/instraw/
UN Institute for Disarmament Research (UNIDIR)	Geneva, SZ	unog.ch/unidir/
UN Institute for Training and Research (UNITAR)	Geneva, SZ	unitar.org/
UN Research Institute for Social Development (UNRISD)	Geneva, SZ	unrisd.org/
UN Interregional Crime and Justice Research Institute (UNICRI)	Rome, IT	unicri.it/
International Trade Centre UNCTAD/WTO	Geneva, SZ	intracen.org/
International Civil Service Commission (ICSC)	New York, US	srch.org/depts/icsct/
Joint Inspection Unit (JIU)	Geneva, SZ	n/a
Panel of External Auditors of the United Nations, the specialized agencies, and IAEA[16]	Where appointed	n/a
UN Board of Auditors	New York, US	n/a
UN Joint Staff Pension Fund (UNJSPF)	New York, US	un.org/unjspf/
UN Program on HIV/AIDS (UNAIDS)	Geneva, SZ	unaids.org/

[16] Specialized agencies are listed in Table III-2. IAEA is explained in Section E-1 of this chapter.

Table III-2. Specialized Agencies of the United Nations System

Agency	Location	Web Access (www.)
International Labour Organization (ILO)	Geneva, SZ	ilo.org/
International Training Centre (ILO/ITC)	Turin, IT	itcilo.it/
Food and Agriculture Organization of the UN (FAO)	Rome, IT	fao.org/
UN Educational, Scientific and Cultural Organization (UNESCO)	Paris, FR	unesco.org/
International Bureau of Education (IBE)	Geneva, SZ	unicc.org/ibe/
International Civil Aviation Organization (ICAO)	Montreal, CN	icao.int/
World Health Organization (WHO)	Geneva, SZ	who.int/
International Bank for Reconstruction and Development (IBRD)	Washington, US	worldbank.org/
Multilateral Investment Guarantee Agency (MIGA)	Washington, US	miga.org/
International Monetary Fund (IMF)	Washington, US	imf.org/
Universal Postal Union (UPU)	Bern, SZ	upu.int/
International Telecommunication Union (ITU)	Geneva, SZ	itu.int/
World Meteorological Organization (WMO)	Geneva, SZ	wmo.ch/
International Maritime Organization (IMO)	London, UK	imo.org/
World Intellectual Property Organization (WIPO)	Geneva, SZ	wipo.org/
International Fund for Agricultural Development (IFAD)	Rome, IT	ifad.org/
UN Industrial Development Organization (UNIDO)	Vienna, AU	unido.org/
International Centre for Science and High Technology (ICS)	Trieste, IT	ics.trieste.it/

B. COORDINATION MECHANISMS

As an inter-governmental organization, the member states have provided only nominally for interagency coordination among the various entities of the UN. The Secretary-General and the Secretariat are not an executive body within the UNO or UNS. Executive authority resides in the member states that form the Councils, General Assembly, and each program or fund's executive committee. Under the UN Charter, the Secretary-General and the Secretariat are tasked with promoting cooperation among the numerous and much larger, autonomous, and independently funded organizations. In practice, such coordination has been difficult.

1. Inter-Governmental Coordination

Because the UN is a collection of inter-governmental deliberative bodies, its structure is focused on bringing together member states. The member states are able to create additional bodies to address topics of mutual interest as provided for under the UN Charter. These entities take the form of commissions, committees, conferences, and research institutes, and are additions to the UNS. General, functional, special interest programs, and financial accounts are also established by the members to receive their earmarked contributions supporting these activities.

While these bodies are aimed at facilitating inter-governmental cooperation and coordination among the participating members, they each have specific mandates or missions, are organized with an executive board of member states to whom they report, a fund for receiving donations from members, and a secretariat for administering the disbursement of the funds and providing technical assistance. The resolutions creating these organizations specify reporting requirements back to the General Assembly and/or through other principal organs of the UN. In such a structure, most organizations view themselves as semi-autonomous and accountable only to their executive committees. This structure is optimized for facilitating member nation coordination and cooperation, and for serving as a vehicle for international fund raising to support multilateral endeavors.

In his 1998 report to the General Assembly on the work of the UNO, the Secretary-General noted that Article 1 of the Charter of the UN calls for effective collective measures for the prevention and removal of threats to the peace. However, preventing potential conflicts from crossing the threshold of violence requires early warning of situations with the potential for crisis, proper analysis, an integrated preventive strategy, and the political will and resources to implement such a strategy. Multiple after action studies on the international and UN responses in Rwanda and the Former Yugoslavia, while roundly criticizing the lack of coordination or cooperation in the humanitarian and development community, saved the most severe criticism for the lack of coordination between political and military actors provided by the member states. **The often forgotten fact is that the UN is a mechanism for states to cooperate and collaborate and the effectiveness of the UN is not greater than the contributions of the member states.** The discussion that follows describes how the UN machinery facilitates the required program support.

a. Mobilization of Resources

Resources are necessary to accomplish any activity within bureaucracies and this is the major focus of inter-governmental coordination and cooperation within the UNS. Resources are mobilized by the UN in the form of financial support, and donations in-kind of commodities, services, or personnel to accomplish objectives or execute programs.

- **Financial Support:** Funds to support programs and activities are obtained using one of four mechanisms.

- **Regular Budget:** Budgets to operate the UNO are approved by the General Assembly and assessments are made against member states based on an apportionment of costs. The regular budget finances a limited core of staff and services.[17] Most program support staff and field staff are funded from other sources.
- **Peacekeeping Budget:** In addition to the regular budget, assessments for Security Council authorized programs – commissions, field missions, tribunals – are funded through direct assessment of member states. The Security Council is the only body authorized to fund activities through binding assessments of member states. **For missions requiring troops or civilian police, member states contribute the personnel and required equipment.** Contributing states are reimbursed from the assessed budget at an agreed rate for numbers of personnel and asset depreciation for the field mission.[18]
- **Negotiated Contributions:** Similar to assessments, negotiated contributions are agreements to maintain or replenish a fund as it is used. These types of funds have proven very difficult to maintain, and require a significant effort to encourage payments.
- **Voluntary Contributions:** Most other programs of the UN are funded through voluntary contributions. Trust funds, special funds, and other funds have been established to promote collective action. Voluntary funds must be subscribed to by member states. Some UN organizations are funded nearly entirely through voluntary contributions. Most field programs and projects – to include development, reconstruction, and humanitarian relief – are funded entirely through voluntary member state contributions.

(1) In-Kind Contributions: Frequently, member states will donate commodities such as food as in-kind contributions to various programs earmarked for specific countries. In the past, UN organizations did not criticize such donations for fear of offending the donor. **However, with the growing involvement of military forces in humanitarian operations, the need for structure was recognized. Starting with the operations in Rwanda during 1994, UNHCR began identifying in detail the type of equipment and services it required for a contingency.** Grouping required capabilities into functional or geographic service packages allowed UNHCR to control the process by

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[17] The U.S.'s refusal to pay their apportionment has been seriously criticized as undercutting American leadership in the international community. American political leaders have withheld these payments to criticize spending on programs and inefficient spending of the UN.

[18] The U.S. Government policy is to absorb the cost of its troop contribution without seeking reimbursement from the UN, but to count this cost against the amount assessed the USG for the SC authorized operation.

which donor nations contributed to the program. Following the warm response to UNHCR's efforts, the WFP also identified a series of service packages to support its operations. In an effort to facilitate wider use of such guidelines for donations, the former Department for Humanitarian Affairs (now OCHA) initiated a process to standardize the packages for support of humanitarian operations in general. These guidelines involve both Military and Civil Defense Assets (MCDA). Appendix E describes the service modules in more detail and identifies the nations that have agreed to donate type capabilities.

(2) Personnel Services: Contributions of personnel can be a rapid or quite prolonged process. **By far the largest contributions of personnel are military troops contributed for peace keeping operations authorized by the Security Council. While the troops are generally provided fairly quickly, civilian police are typically not held in reserve and require significantly more time to identify and recruit.** To facilitate and expedite the initiation of new peace keeping missions, the Secretary-General established in 1994 the Standby Arrangement System (SAS) and it is described in more detail in Appendix E. A number of other UN organizations have concluded agreements with member governments and sponsoring institutions to provide field staff and technical assistance rapidly for humanitarian contingencies. For example UNICEF, UNHCR, and WHO all have agreements with the U.S. Centers for Disease Control to provide emergency health specialists.

b. Constraints on Use of Resources

The source of resources tends to have a direct impact on the way they may be used by a UN organization. This impact is especially true for different funding channels employed to finance SC authorized programs and those programs or projects undertaken by the rest of the UNS. The SC authorized programs are funded by an assessed budget with accountability tracked for the entire account for the duration of the project. When these funds are received, they must be accounted for and their use must also comply with each donor's contribution conditions. Because there are usually shortfalls in voluntary funding, there is close tracking of specific funds.

Under a SC program, troops and some equipment are contributed by member states. Other equipment can be acquired from new procurement or by recycling from completed missions through the UN storage and refurbishment site located in Brindisi, Italy. The civilian staff for peace keeping operations is recruited by a dedicated subdivision within the Department of Peace-Keeping Operations (DPKO). Within the

Secretariat, staffing for other UN missions is centrally managed and this permits rotation and movement of short, medium, and long term staff.

Other UNS activities operate autonomously. Staffing is usually accomplished by project or consultancy. Each organization recruits through its own separate process and there is no central personnel management. Personnel are sometimes recruited on short term contracts from outside the UN or from other long-term UN staff, but only the permanent UN staff can rotate assignments. Equipment is procured if funds are available. Once procured for a project, however, the equipment is not transferable to other operations, and donors frequently require the items to be turned over to other in-country projects or to the host government.

These two processes used for SC and other UNS operations make it difficult to integrate the resources into a single response to a complex emergency. Missions approved by the SC are reviewed periodically, sometimes as frequently as every few months, for release of incremental funding requirements. Development and humanitarian programs can be under funded or not funded at all, leaving significant gaps in an overall response strategy. **If an integrated program is tied to a tight schedule for implementation of a peace plan and the resources are not provided in a timely manner, then the UN risks not only creating disenchantment among the parties, but also decreasing its credibility because of these cumbersome resource procedures.**

Another factor affecting UN performance in SSCs is the institutional nature of the organization. As an organization of sovereign states, the UN organizations are servants of the member states. While humanitarian assistance can be rendered to a suffering population within a failed state, reconstruction and development programs require the full participation of a recognized government. Moreover, if a recognized government does not want humanitarian assistance to go to its people, the UN must abide by this decision, or find legal and creative ways around it**. In situations with weak, failing, or failed states, UN organizations do not handle well the requirement to work with non-state actors or residual authorities of the failed state.** For the UN to work with an actor in an affected area, that actor must be a recognized government or developing government. Recent steps by WFP's executive board approved a policy that any WFP representation and dealings with non-state actors did not constitute official recognition by the UN.

2. Interagency Coordination

Lacking an executive function, the UN programs and agencies must rely on the member states to provide coherent guidance through their representatives on the various executive committees. There has been significant confusion over the blurring of distinctions between the UN as an organization where member states make decisions and the UN staff who implement these decisions. Others have commented that the executive boards were never meant to be used as an excuse by individuals for not cooperating and coordinating their activities. This dual aspect of its nature has been at the root of much recent criticism of the UN.

a. Coordination Between the Security Council and the Economic and Social Council

While the inter-governmental machinery of the SC and ECOSOC operate separately, the UN work in the field has already recognized the intimate relationship between social justice, material well-being, and peace. However, field programming, absent an integrated economic, social, and military plan, is unlikely to contain, remedy, or prevent local conflicts from escalating. One measure recently suggested to remedy the situation is the activation of a dormant provision in the UN Charter that allows the ECOSOC to furnish information and assistance to the SC when requested (Article 65). As the SC is increasingly required to address economic, social, and humanitarian crises that threaten global security, the Secretary-General suggested that it might consider invoking this mechanism. Such an action would help to achieve better communication and coordination among the deliberative organs of the UN whose primary focus is on politics, security, economic, social, and humanitarian affairs.

Within the SC, deliberations on peace and security have been frequently criticized for being inadequately informed on the military aspects of the problem and the possible implications of their political decisions on the outcome. **Some analysts have highlighted the need to reactivate the SC's all but dormant Military Staff Committee.** Such a suggestion is aimed at improving the quality of strategic guidance and direction from the SC given to operational military commanders carrying out the mandate.

Tensions also exist within the UN activities as it relates to humanitarian assistance and its lack of visibility by the SC. Critics state routinely that the SC is inattentive to serious humanitarian concerns, leaving UN response to the "humanitarian" organizations.

Currently no formal mechanisms exist to coordinate humanitarian assistance at the UN Headquarters with Security Council.

b. Executive Committees

Recent reforms have added additional mechanisms under the Secretariat intended to facilitate strategic planning and policy formulation. As noted earlier, the weight given the Secretary-General is derived from personality and politics rather than statute. However, decisions taken in these executive committees are intended to make executive authority binding on the organizations involved, and require accountability to the Secretary-General for implementation. Hence, these new structures are a means of exerting leadership, obligation, and compliance within UN organizations. Such a system depends on the will of the Secretary-General and on the support of the member states that sit on the individual executive boards. Serving the Secretary-General, the Executive Committee Structure (not related to member state executive committees) establishes the Senior Management Group supported by four new Executive Committees. These committees shown in Figure III-5 are meant to improve management, policy development, and decision making of the UN. Because committee representation is by senior staff members, it is rare that action/desk officers ever meet to share information or coordinate policies and programs.

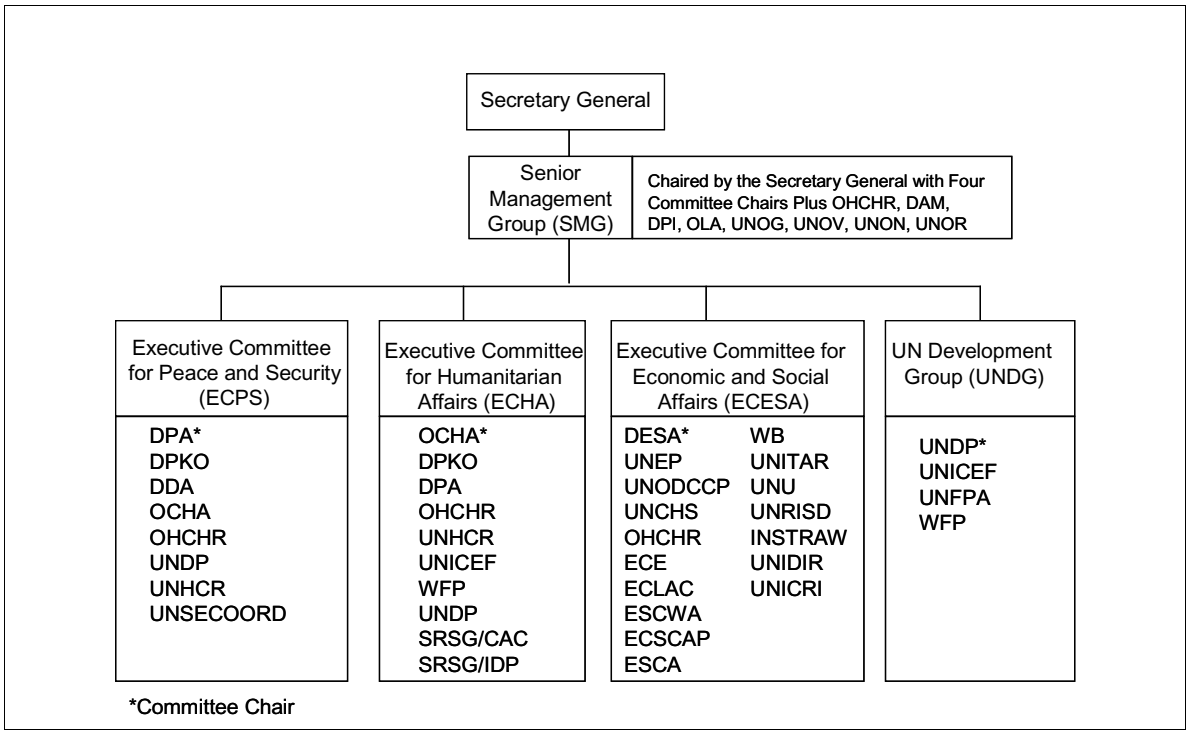

Figure III-5. Executive Committee Structure

c. Coordination within the ECOSOC System

The UNS includes two key committees that develop policy and effect interagency coordination and cooperation among its disparate parts. The UNS primarily uses memorandum of understandings to work out operational coordination among the UN and the committee.

(1) Administrative Committee on Coordination (ACC): The ACC is the senior interagency coordinating body and was established in 1946 by ECOSOC. It is chaired by the Secretary-General and functions as a standing committee to supervise the implementation of the agreements between the UNO and the Specialized Agencies, to ensure the coordination of the programs approved by the governing bodies of the various organizations of the UNS, and, more generally, to promote cooperation within the system in the pursuit of the common goals of member states. Participation in the ACC includes the executive heads of the specialized agencies, the IAEA, and nine United Nations programs: United Nations Conference on Trade and Development (UNCTAD); United Nations Environment Programme (UNEP); UNDP; UNFPA; UNICEF; WFP; United Nations International Drug Control Programme (UNDCP); UNHCR; and United Nations Relief Works Agency (UNRWA). The ACC meets twice a year, and periodically meets jointly with the ECOSOC Committee for Program and Coordination (CPC).[19]

The ACC and its subsidiary elements to some extent mirror the ponderous inter-governmental mechanisms that created them. In the recent reform program the Secretary-General sought to create within the ACC leaner and more focused *ad hoc* bodies oriented on issues and tasks. To this end, the ACC is reviewing the use of a Strategic Framework as the principal planning document that will integrate political, military, humanitarian, economic, and social objectives.

(2) Standing Committees: There are several standing committees, including the Committee for Development Planning, Committee on Negotiations With Intergovernmental Agencies, Committee on Natural Resources, and Committee on Non-governmental Organizations. In 1992 the GA created the InterAgency Standing Committee (IASC), chaired by the UN Emergency Relief Coordinator, to strengthen the UN capacity in humanitarian assistance.[20] The IASC brings together the executive heads

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[19] The CPC is the principal body of member state representatives that reviews and issues formal comments on all UN budgets to the 5th Committee prior to GA approval.

[20] The ERC is the official title for the Under Secretary-General for Humanitarian Affairs. The ERC is supported by the staff of UN Office for the Coordination of Humanitarian Affairs.

of Secretariat entities including UNDP, UNICEF, FAO, WFP, WHO, and UNHCR. The World Bank also has recently been added as a member of this committee. Because of its humanitarian focus, the IASC has extended standing invitations to the Representative of the Secretary-General on Internally Displaced Persons (IDP), the UNHCHR, and to IOM, ICRC, and IFRC. The invitation to participate also has been extended to the three NGO consortia – ICVA, Interaction, and SCHR. The terms of reference of the IASC include:

- Develop and agree on system-wide humanitarian policies
- Allocate responsibilities among agencies in humanitarian programs
- Advocate common humanitarian principles to parties outside the IASC
- Identify areas where gaps in mandates or lack of operational capacity exist
- Build consensus between humanitarian agencies on system-wide humanitarian issues.

An important function performed by the IASC during a humanitarian emergency is to provide the forum for coordinating the efforts of UN operating agencies and other organizations, such as IOs and the NGOs, involved in international humanitarian relief operations. The IASC also keeps donors appraised of these discussions and the strategic coordination of these efforts to achieve a more effective system-wide international response.

The IASC meets formally at least twice a year and deliberates on issues brought to its attention by the UN Emergency Relief Coordinator (ERC) and the IASC Working Group (IASC-WG). The IASC-WG, formed by senior representatives of the IASC members, meets four to six times a year. Its responsibilities include:

- Formulating the agenda for IASC meetings
- Making non-strategic policy and operational decisions
- Endorsing the yearly work plan
- Preparing options and recommendations for the IASC on strategic policy issues and major operational issues.

In addition, the IASC-WG also acts as the interagency forum for consultations on internally displaced persons.

The decisions of the IASC are not binding on its membership, and this has been a major impediment to its success. Moreover, the ERC was denied the authority by member nations to ensure accountability of organizations to commitments they made in the IASC. While such limitations were in the interest of independent UN agencies,

NGOs and donor governments expected a strong central body to bring the competing UN agencies into line. These limitations are reflected in the field when limited knowledge of Department of Humanitarian Affairs (DHA) (now OCHA) by UN agency and peace keeping personnel frequently resulted in bureaucratic disputes over the mandate of DHA, the IASC, and the Humanitarian Coordinator.[21] Since the creation of IASC, there have been certain ambiguities as to its relationship with the ACC. Some UN agencies have ignored the IASC, sensing the lack of internal political support for its success, and only recently has the ACC endorsed the IASC Consolidated Inter-agency Appeal Program (CAP) as an official UN coordinating mechanism.

There is a recent trend in acknowledging the importance of coordinating humanitarian relief/assistance in complex contingencies. For example, the President of the Security Council has invited the ERC, UNHCR, UNICEF, and ICRC to speak before the SC on these issues on various occasions. The president has also requested the SG, with the IASC, to present a report on the protection of civilians to the SC.

Other forms of formal interagency cooperation include jointly funded programs such as the Global Environment Facility (a voluntary fund jointly managed by UNDP, UNEP, and the World Bank), and UNAIDS, a multi-agency effort under the WHO.

The Executive Committee for Humanitarian Affairs (ECHA) shown in Figure III-5 is one of the four Executive Committees created by the Secretary-General within the framework of the United Nations Reform. Recognizing the conflictive nature of complex emergencies, the ECHA includes the members of the IASC, but adds DPA and DPKO. Because the committee's purpose is to assist the Secretary-General with harmonizing the work programs, formulating recommendations to inter-governmental bodies, and to address humanitarian issues that involve political, peacekeeping, and civil police operations, the ECHA does not include the IOs and NGOs invited to participate in the IASC meetings.

3. Interagency Coordination at the Country Level

Coordination arrangements at country level are split a number of ways. Organizations reporting through ECOSOC are coordinated through a Resident Coordinator (RC) function. UNDP administers the RC program. **The Security Council programs are coordinated through the Secretariat under Special Representative of**

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[21] The role of the Humanitarian Coordinator is discussed in paragraph 3b.

the Secretary-General (SRSGs).[22] The SRSG reports to the Secretary-General. During complex emergencies, a Humanitarian Coordinator (HC) may also be appointed to facilitate coordination among UNS organizations and the broader range of IO, IGO, and NGO participants. The HC is appointed by the IASC and supported by OCHA.

While the SRSG usually carries the rank of Ambassador, the position does not exercise any authority over the RC or HC, or over the other UN programs, funds, or specialized agencies. Additionally, there is a significant amount of confusion between the RC and HC functions. While one person may hold both titles, both positions may also exist concurrently and in competition with each other. Many UN after action reports call attention to the usual subordination of the humanitarian agenda to the political-military agenda. These same reports also note the counter-productive competition over coordinating authority between the RC and HC when they are separate. This friction is due mostly to entrenched bureaucratic interests and the failure of higher headquarters to disseminate IASC decisions with associated guidance or instructions.

a. Resident Coordinator System

In countries not experiencing complex emergencies or subject to an SC authorized intervention, the Resident Coordinator (RC) is responsible for the coordination of all in-country UNS organizations overseen by ECOSOC. Established under the ACC, the RC system is managed by UNDP.

The RC is responsible for the following:

- Arranging and managing common services such as dispensary, security, communications, diplomatic pouch, and vehicle maintenance for all UNS organizations in-country
- Providing leadership and facilitating the formulation of the UN Development Framework, the principal development planning and programming document for the UNS organizations in-country
- Representing all other UN programs, funds, and specialized agencies which do not have senior representatives in-country
- Providing and managing consolidated office space called a UN House.

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22 Special Representative of the Secretary-General is the most commonly used term. Other titles such as Representative of the Secretary-General (RSG) or Special Executive of the Secretary-General (SESG) are used; SRSG is used to represent all of these designations.

Most RCs are UNDP staff members, hence the UNDP Resident Representative frequently wears two hats. This arrangement has caused problems for other UN programs and specialized agencies, and recent UN reforms expanded the candidate pool beyond UNDP staff.[23] Interagency criticism also noted the need to separate the RC function from any single agency's agenda or responsibilities, aimed specifically at reducing the bureaucratic power of UNDP.

(1) UN Country Team (UNCT): Much like the U.S. Embassy Country Team, the UNCT comprises the heads of agency for each UN organization in-country. It is the body for discussion of joint administrative and programmatic matters. The RC chairs the UNCT, but does not exercise any executive authority over its members.[24]

(2) Development Assistance Framework (DAF): The DAF is developed by the UNCT, under the leadership of the RC, and in close collaboration with the beneficiary government. It is the core planning document to facilitate coordination among these participants. The DAF permits a strategic and integrated approach to the implementation of goals agreed to at UN global conferences with the national development priorities. The DAF process was developed to foster greater coherence in assistance programming among UNS organizations. The United Nations Development Group initiated a pilot phase to test the process in 18 countries. In two pilot countries, the interface between the Development Assistance Framework and the World Bank's Country Assistance Strategy is being explored with the aim of fostering a strategic partnership between the two institutions. The main problem with UN planning documents is that they do not portray the country-wide requirements**. While they are a useful tool for effecting coordination within the UN family, the DAF document does not lend itself to coordination with external partners.** Often, the Development Assistance Framework is put on hold during an SSC.

(3) UN Disaster Management Team (UNDMT): When a disaster occurs in a country in which the UN has a presence, an UNDMT is often formed. The UNDMT is a task organized committee comprising the relevant members of the UN Country Team (UNCT), with the Secretary-General assigning the lead to one of the UNCT members. If

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[23] Expanding the pool of candidates has not proven easy. Previously UNDP staff appointed to head a country office also served as RC. Other UN programs, funds, and specialized agencies have no career pattern which emphasizes serving as an RC.

[24] This command structure is different from the structure of USG teams, where the ambassador has executive authority.

the disaster is beyond the scope of a single agency, the UNDMT will be convened and chaired by the RC, who also represents OCHA. The UNDMT will normally be comprised of a core group of the country level representatives of FAO, UNDP, UNICEF, WFP, WHO and, where present, UNHCR. Apart from this core group, the composition of the UNDMT is determined by taking the disaster type into account. The team may be enlarged by including personnel from relevant agencies when a disaster arises. The leader of the UNDAC Team, which is assigned by OCHA, will automatically become a member of the UNDMT. The UNDP provides the venue and the basic support for the meetings.

The primary purpose of the UNDMT is to ensure that a prompt, effective, and concerted response by the UNS is made at country level in the event of a disaster. This team also ensures similar coordination of UNS assistance to the receiving government for rehabilitation, reconstruction, and disaster mitigation. The team coordinates material assistance provided by UN agencies with the receiving government's national emergency management team, and avoids wasteful duplication or competition by UNS organizations.

(4) UN Security Management Team (UNSMT): Under the authority of the UN Security Coordinator (UNSECOORD), in-country security arrangements are delegated to a Designated Official (DO); the RC frequently has this responsibility. To assist the DO in providing security, a Field Security Officer, local staff, and necessary equipment is funded from per capita assessments on in-country UN organizations. To manage security policy, a Security Management Team, comprising the UNCT membership, advises the DO. However, the DO is empowered to override dissent and impose decisions under the authority of UNSECOORD. If a SC mission is deployed in the same country, it will have separate independent security arrangements. However, security guidance from the DO usually conflicts with that from the mission; in part, this is the result of shortfalls in the UN concept of security.

UN security is focused primarily on physical security and personal protection for VIPs. Security regulations cover security for personnel, equipment, facilities, and information. UN security policies and practice typically support the administration and maintenance of insurance coverage. UN security policies do not address operational security as a separate specialty. This has resulted in frequent instances where the DO has exercised veto authority over emergency relief programs, over the objections of the UNSMT. The addition of the UNSECOORD in the new ECPS should help resolve problems.

b. Humanitarian Coordinator

In complex emergencies the IASC has the option of designating a Humanitarian Coordinator (HC). Normally the in-country Resident Coordinator will be so designated. However, if the IASC determines that the RC is not sufficiently experienced to perform these duties, a separate HC will be appointed. The IASC has approved a standard terms-of-reference for the HC, which is then adjusted to the individual crisis. A copy of this document is provided in Appendix F.

The HC is intended to be the senior UN official to coordinate the relief efforts in country. The HC assumes chairmanship of the UNDMT. However, no interagency agreement has been reached as to the relative status of the displaced RC. This ambiguity has resulted in what many observers have called the detrimental institutional competition between UNDP and OCHA. Frequently, the displaced RC maintains separate but parallel coordination structures, creating confusion over coordination authority and leadership of the UN community. As noted in the RC discussion, the relative political power of UNDP in the UNO undermines the effective implementation of the IASC coordination process.

A joint DHA-UNDP workshop,[25] which brought together current and former Humanitarian and Resident Coordinators, resulted in a divisive recommendation. The conference report noted that the Resident Coordinator function and services should be independent of any single UN program, fund, or specialized agency agenda. Currently the RC is selected by UNDP, mostly from UNDP candidates who then simultaneously serve as the Resident Representative of UNDP. In contrast, the HC is selected by the IASC from a wide range of UN, IO, IGO, and NGO candidates, who is then appointed and supported by OCHA. This critique was carried into the UN reform effort which also suggested that UNDP broaden its pool of candidates. **The IASC recommendations suggest that UNDP incorporate the HC terms of reference in the selection criteria for RCs, thereby avoiding the infighting associated with separate RC and HC functions.[26]**

Coordination for complex emergencies is a divisive issue. IASC deliberations have noted that no single model for humanitarian coordination is appropriate to every emergency. While the broad tasks of the HC have been agreed upon as detailed in the Terms of Reference, no agreement has been reached on how these duties are to be

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25 Report of the DHA-UNDP Workshop: Building Bridges Between Relief and Development, UN Staff College Project, Turin, Italy, April 1997.

26 For further information refer to Section 4, OCHA

undertaken, nor have the resources required to accomplish the tasks been provided. Early documents refer to a "light structure," whereby a UN deployed team of one to three persons would determine coordination requirements on the ground. While some critics, concerned over a more robust humanitarian coordination service, have expressed objections to introducing another large layer of UN bureaucracy, after action reports frequently remark on the DHA (OCHA) "hollow core," wherein lack of resources and authority has made fulfillment of mandate and expectations impossible.[27] UN agencies fearful of losing their independence have been reluctant to agree to any proposal that would cede some authority to a coordination function. The efforts to establish a stronger coordination body in Afghanistan met with numerous criticisms, most of which revolved around agency autonomy and internal accountability mechanisms. In opposition to centralized and standardized information collection and analysis, some UN agencies claimed that organization specific monitoring and evaluation standards and data were unique and proprietary.

c. The Special Representatives of the Secretary-General

When a peace keeping mission is authorized by the SC, a Special Representative of the Secretary-General is appointed to head the mission. These missions include military, political, human rights, and public information functions. When required, they also perform tasks associated with elections, mine clearing, civilian police operations, and disarmament and demobilization of former warring factions. **Because the SRSG is the senior representative of the UN in-country, other UN agencies are obliged to support him/her; however, the SRSG exercises no control over their programs and policies.** In these situations, the RC and HC advise the SRSG, but they report directly through separate channels to their parent organizations, UNDP and OCHA respectively, located in New York or Geneva.

4. Coordination Mechanisms Summary

The complexity of the existing coordination mechanisms used by the UN is summarized in Figure III-6. The concept of unity of command has been frequently discussed within the UN but efforts to establish standardized doctrine for interagency coordination in the UN have had mixed support. **The UN Staff College in Turin, Italy,**

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[27] See page 159 in "The International Response to Conflict and Genocide: Lessons from the Rwanda Experience: Humanitarian Aid and Effects," Steering Committee of the Joint Evaluation of Emergency Assistance to Rwanda, Strandsberg Grafisk, Odensee, Germany, March 1996.

launched a Crisis Environment Training Initiative (CETI). Lack of financial support and the disinterest of some large organizations killed the effort in 1998.

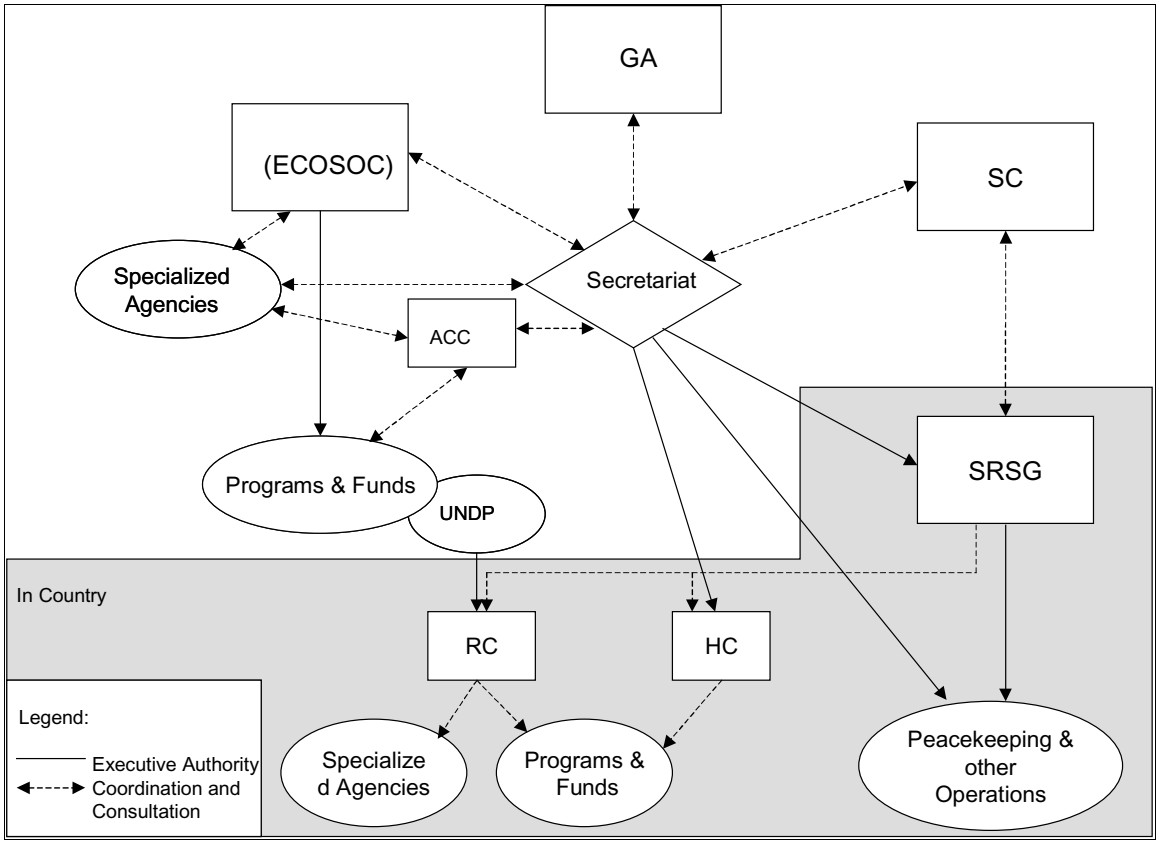

Figure III-6. UN Coordination Process for Complex Emergencies

Currently, there is no specific UN training on interagency coordination for potential SRSGs, or for senior, mid-level, or junior staff members involved in complex emergencies. The lack of such training and standardized procedures has resulted in widespread misunderstandings and suspicion as field staff respond to what they see as an infringement on their independence. This position is reinforced by the lack of headquarter guidance or enforcement of IASC agreed-to coordination commitments. For the most part, this problem is caused by UN programs and funds enjoying significant autonomy but subject to little if any accountability.[28] As long as money is the main determinant of obligation and accountability, coordination will be limited to consensus building among participating organizations. The creation of the new executive committees is intended to

[28] The lack of interest in interagency coordination is similar to the struggle within the U.S. military to inculcate a value for joint operations and coordination. In the U.S., it took an act of Congress to impose the requirement.

address the accountability question. However, compliance will not be achieved unless the member states make a concerted effort to coordinate their actions and statements through the program and fund executive boards and in the Security Council.

While imperfect, the RC and HC system is the way the UN currently would like to work. To promote coordination, donors must support the coordination office and function. UN agencies must be dealt with as subordinate technical offices. For donor government representatives and military forces, senior contact with the UN should be through the RC and HC. In this manner, the coordination structure will be forced to operate, despite the efforts of the agencies to undermine its effectiveness.

Recent experiences in a number of UN complex emergency operations has resulted in a modification of the traditional SRSG organization as applied in Kosovo. This arrangement shown in Figure III-7 establishes four Deputy SRSGs. Two of the Deputies are from the UNS while two are from other inter-governmental organizations. The experience gained with this new organizational arrangement is also being adapted to the UN Transitional Administration in Eastern Timor (UNTAET)[29] and may result in revisions to the country level coordination mechanisms employed by the UN in future complex contingency operations.

[29] See 22 October 1999 edition of HumanitarianTimes@erols.com/.

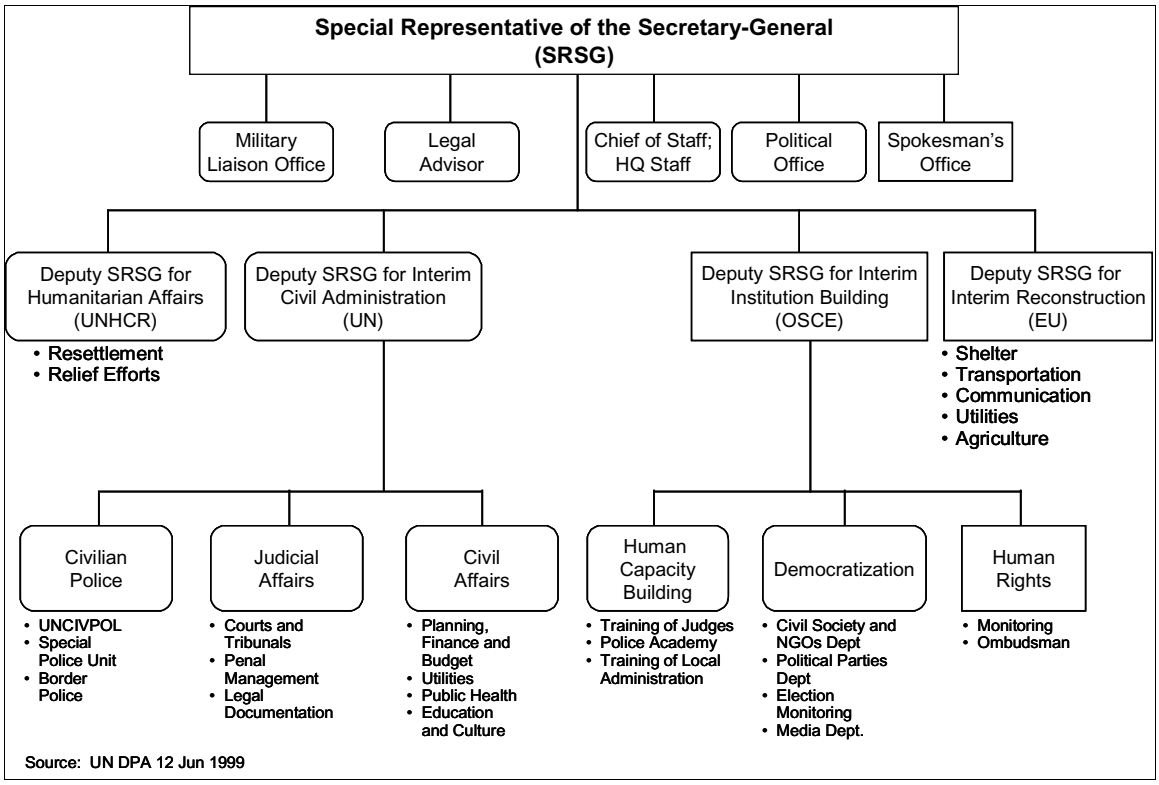

Figure III-7. Proposed Organizational Arrangement for UN Operations in Kosovo

C. RESOURCES AND CAPACITIES OF THE SECRETARIAT

Rapidly changing demands have placed undue strains on the Secretariat. Most notably, the increased demand for field deployment from the Secretariat overwhelmed an organization which had little to no rules, guidance, or capacity to recruit and deploy personnel and equipment quickly. Aside from DPKO, which has its own dedicated staff and special rules, the Secretariat was caught unready and unwilling to make the necessary changes. The impact of these constraints is a lack of interoperability between the Secretariat and the programs. Differing personnel rules and incompatible financial rules reinforce the gaps between the different parts of the UN. Furthermore, DPKO often becomes the implementing body for all other parts of the Secretariat.[30] This confusion between administrative support, operational control, and policy and strategy formulation are symptomatic of the lack of structure within the Secretariat. For example, while the OHCHR may have authority over Human Rights monitors, DPKO exercises

[30] Currently, OCHA is strengthening its budget and administrative processes so that it will not have to rely upon DPKO.

administrative and operational control over human rights monitors on mission, censoring what and how they report.

1. Department of Political Affairs (DPA)

DPA provides advice and support on all political matters to the Secretary-General in the exercise of his global responsibilities relating to the maintenance and restoration of peace and security. The general responsibilities of DPA include the following:

- Provides substantive support and secretariat services to the Security Council and its subsidiary organs, the Committee on the Exercise of the Inalienable Rights of the Palestinian People, and the Special Committee on the Situation with regard to the Implementation of the Declaration on the Granting of Independence to Colonial Countries and People
- Monitors, analyzes, and assesses political developments throughout the world
- Identifies potential or actual conflicts in whose control and resolution the United Nations could play a useful role and recommends to the Secretary-General appropriate actions, and executes the approved policy
- Assists the Secretary-General in carrying out political activities decided by him or mandated by the General Assembly and the Security Council in the areas of preventive diplomacy, peace-making, peacekeeping and post-conflict peace-building
- Supports the Secretary-General in the political aspects of his relations with member states.

The DPA also performs the following functional tasks:

- Chairs the Executive Committee for Peace and Security, the senior policy body governing UNO peace and security issues
- Serves as the focal point for post-conflict peace-building by coordinating the UNS interagency strategy, policy, objectives, and initiatives
- Serves as the focal point for electoral assistance activities.

The major response capability of the DPA is the Election Assistance Division (EAD) established in 1992 under GA Resolution 46/137. The EAD was established to evaluate government requests for electoral assistance, conduct needs assessments, coordinate UNS design of electoral assistance project activities, and develop the electoral components of peace keeping operations. The small staff of EAD serves primarily as the UNS's institutional memory. Drawing on a roster of electoral experts, EAD supplements its staff with short-term electoral specialists. EAD also organizes conferences and

training courses and assists in the administration of UN electoral trust funds. EAD categorizes its electoral assistance work into either Standard Electoral Assistance Activities or Major Electoral Assistance Missions.

a. Standard Electoral Assistance Activities

Most electoral assistance provided by the UNO is relatively small scale, technical assistance activities which do not require a specific mandate from the GA or SC. These activities are funded from the Trust Fund for Electoral Activities or earmarked donor contributions. Based on a request from a member state, standard types of assistance such as coordination and support of international observers, technical assistance for conducting elections, support for national election monitors, or limited observation of the elections can be arranged by EAD.

b. Major Electoral Missions

Major Electoral Missions require a mandate from the General Assembly or the Security Council and are considered exceptional activities. Such missions are normally a central element of comprehensive peace keeping operations and funded through assessed budgets. Under this mandate, EAD can organize and conduct the electoral process, supervise the electoral process, and verify the electoral process.

2. Department of Peace Keeping Operations (DPKO)[31]

By far the largest part of the Secretariat, DPKO serves as the implementing body for Security Council decisions requiring an operational field presence. In this regard, DPKO implements and manages functions under its own competence as well as those from other elements of the Secretariat. Unlike the rest of the Secretariat, DPKO has its own dedicated personnel, finance, and administration service. Additionally, DPKO is staffed by a mix of civilian and military personnel. Although DPKO is primarily involved in peace keeping, observing, and truce supervision missions, they also assist with a number of other activities such as electoral support, disarmament, demobilization and reintegration, human rights monitoring and

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31 On 21 August 2000, the Secretary General released the report of the Panel on United Nations Peace Operations (the "Brahimi Report") which contains a number of significant recommendation affecting DPKO and the UN Secretariat. When adopted, these changes will impact how DPKO is organized and funded to carryout its work.

investigations, support to civil government (civil affairs), civilian police services, public affairs, and war crimes tribunals and investigations.

a. Field Administration and Logistics Division (FALD)

FALD is one of the response elements of the DPKO. It provides dedicated personnel, administrative, finance, and logistics support for field missions. FALD oversees the UN Logistics Base in Brindisi, Italy which provides interim storage, refurbishment, and repair of UN-owned field equipment. Unlike UN programs and funds, equipment and supplies procured for a UN mission can be moved from mission to mission and they do not have to be turned over to the host government when the mission is completed. However, DPKO does not have a procedure for depreciating or disposing of equipment. This results in paying storage and shipping costs for equipment which may or may not be functional or repairable.

b. UN Mine Action Service (UNMAS)

UNMAS advises and plans mine clearing activities carried out under UN auspices. Under UN reform, OCHA recently transferred management of the UNMAS and the UN Voluntary Trust Fund for Assistance in Mine Clearance to DPKO. UNMAS plans and advises on all DPKO and UN mine clearance and explosive ordnance disposal activities. Activities include surveying, mine disposal awareness training, mine clearance training, maintaining and managing operational minefield data received from the field, providing operational map overlays with accurate mine geo-referenced data, advising the UN on mine clearing technology issues, and conducting assessments of mine contaminated areas. UNMAS also maintains contact with governments and organizations involved in these activities providing funding, advice, and information as appropriate.

The Under Secretary-General for Peacekeeping Operations chairs two senior management level organizations to address mine clearing issues. The first is the Inter-agency Coordination Group on Mine Action with the executive directors of UNICEF, WFP, WHO, Department for Disarmament Affairs (DDA), FAO, United Nations Office for Project Services (UNOPS), UNHCR, OCHA, and the World Bank as members. The second organization is the Steering Committee on Mine Action. This committee includes the same UNS representatives but adds the ICRC and International Coalition to Ban Landmines. The Chief, UNMAS chairs the two working level organizations. The working level includes the relevant departmental directors from UNDP in addition to the

departmental level directors of the other organizations represented on the senior level committee.

c. Situation Center (SITCEN)

The DPKO also maintains the Situation Center in the New York headquarters. Operating 24-hours a day seven-days a week and staffed by military and civilian personnel, the SITCEN receives and maintains field reporting from all DPKO missions.

d. UN Civilian Police

CIVPOL is a standing section within DPKO that maintains institutional memory and performs limited planning. Personnel deployed for UN Civilian Police organizations are typically "pledged" by a donor country's representative. Most countries gather their personnel on an individual basis whether through a request to an agency or via contracts. In 1998, several countries started pledging police personnel in units, instead of individually. DPKO is encouraging more nations to make plans for contributions whether by individuals or units in the UN Standby Arrangements System. The CIVPOL section has no internal capacity to manage or deploy teams, but functions within the DPKO mission planning structure under mandates and budget when directed by the resolution of the SC.[32]

e. The Mission Planning Service (MPS)

MPS is responsible for developing integrated plans for short, medium, and long term requirements of new, revised, or expanded missions, and for closure of peacekeeping operations. To facilitate this, MPS is sub-divided into a number of units or functions.

(1) The Generic Planning Unit – This unit reviews and recommends improvements for more timely and effective planning such as developing doctrine and written guidance as well as recommending procedural and staff improvements.

(2) The Mission Development Unit – This unit is responsible for developing outline plans for the execution of mission mandates. In coordination with DPA, OCHA, and other Secretariat organizations, the unit develops the concept of operation, logistical support requirements, and the military, civilian, and support resources required. Mission planners formulate military advice for the Military Adviser to the Secretary-General.

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[32] PDD-71 calls for improved coordination between U.S. Government agencies and CIVPOL.

Mission planning officers are part of the initial and technical survey missions. To facilitate planning and coordination, the unit is composed of the two branches found in other departments and divisions: an Africa, Europe, and Latin America Branch and an Asia and Middle East Branch.

(3) Standby Arrangements Management Unit – This unit facilitates the planning process and timely deployment of troops. This unit deals with all aspects of member states' contributions to UN peace keeping operations. It manages the regular contributions of personnel, equipment, and supplies to UN missions as well as the standby forces agreements system.

f. Standby Forces

The SAS, discussed in more detail in Appendix E, is another of the DPKO response capabilities. It is based on conditional commitments by member states of specified resources that could be made available within the agreed response times for UN peacekeeping operations.[33] These resources can be military formations, specialized personnel (civilian and military), services as well as material and equipment. The agreed-upon resources remain on standby in their home country. Where necessary, training is conducted to prepare them to fulfill specific tasks or functions according to UN guidelines. When specific needs arise, standby resources are requested by the Secretary-General and, if approved by participating member states, are rapidly deployed to set up new peacekeeping missions or to reinforce existing ones. A provisional Standby Force Deployable Headquarters was established in Copenhagen, Denmark in 1997. The Secretary-General is seeking UN funding for the permanent posts associated with this headquarters.

The United Kingdom and France are the first two permanent members of the SC to allocate troops to the pool of Standby Forces under the SAS. [34] Both countries signed memoranda of understanding with DPKO on 25 July 1999.[35] The United Kingdom force is expected to be brigade-sized with a strength of 6,000 to 8,000 personnel, including aircraft and crews, engineers, communication equipment and operators, and medical facilities. The contribution also includes an unspecified number of civilian police. The size and composition of the French force was not announced.

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33 Standby resources are used exclusively for peacekeeping operations mandated by the Security Council.

34 Currently 24 countries have signed MOUs with the UN formalizing their contributions to the SAS.

35 Jane's Defense Weekly, 30 June 1999.

g. The Trust Fund for Improving Preparedness for Conflict Prevention and Peacekeeping in Africa

This fund is managed by the DPKO. Its purpose is to enable interested member states to assist in efforts aimed at strengthening preparedness for conflict prevention and peace keeping in Africa. Such contributions are used for strengthening the OAU Mechanism on Conflict Prevention, Management, and Resolution. Options for use include the provision of technical expertise and the exchange of staff, training at the national and regional level in peace keeping, conducting joint peace keeping exercises for key officers from African contingents, and promotion of standby arrangements, as well as the development of partnerships between troop and equipment contributing countries.

3. Department for Disarmament Affairs (DDA)

DDA was established by GA Resolution 55/12 in 1998 to give greater prominence to disarmament issues. DDA functions mainly in the support, facilitation, and information roles. The main functions of DDA are to support the review and implementation of existing disarmament agreements, as well as to assist member states in multilateral disarmament negotiation and deliberation towards the development of agreements. DDA's Geneva office provides secretariat support to the Conference on Disarmament and other disarmament talks such as the Biological Weapons Convention. DDA serves as a common secretariat for member state commissions and panels concerning disarmament and is also the UN focal point for small arms and light weapons. Through the Voluntary Trust Fund for Disarmament and Development, overseen by UNDP, limited assistance can be provided for practical disarmament and arms collection operations. To facilitate practical disarmament and regional initiatives, DDA established three Regional Centers for Peace and Disarmament.

4. Office for the Coordination of Humanitarian Affairs (OCHA)

The Department for Humanitarian Affairs (DHA) was established in 1992, in compliance with General Assembly Resolution 46/182. The DHA was part of the UN Secretariat and headed by an Under Secretary-General who is also the UN Emergency Relief Coordinator. The goal of the General Assembly was to strengthen the coordination of humanitarian assistance in the UN. The resolution sets out the basic principles for humanitarian assistance to be provided by the organization, and recommends specific measures to facilitate a prompt and coordinated response to

complex emergencies and natural and man-made disasters. Under the UN Reform of 1997, DHA was reorganized as OCHA.

The organization of both DHA and OCHA were built on the older and more established UN Disaster Relief Organization (UNDRO). The UNDRO limited itself to natural and technological disaster response and its capacity was similar to standard disaster management structures found in national governments. The organization included a 24-hour operations center, an emergency supply stockpile, quick grants to affected governments of up to $50,000, and rapid information dissemination. With the creation of DHA in 1992, additional responsibilities were taken on. The former UNDRO portions of DHA were established and more accepted within the UN system, better staffed, and less controversial than the new complex emergency staff. An internal division still exists between the older UNDRO elements and the newer complex emergency structures.

The OCHA operating elements are located both in New York and Geneva. The New York staff enables the office to be close to the Secretary-General and the political-military components of the UN while the Geneva staff is close to the implementing UN agencies. The OCHA New York element includes the Policy, Advocacy, and Information Division, the secretariat for the IASC and ECHA, and an Emergency Liaison Branch of the Geneva-based Complex Emergency Response Branch. The Geneva element includes the Complex Emergency Response Branch that conducts strategic based planning for field operations and consolidated appeals, and the Disaster Response Branch for coordinating natural, environmental, and technological disaster response.

OCHA currently has 137 personnel in its New York and Geneva headquarters and 51 field staff in 16 countries and one region (Great Lakes in Africa). Only 50 staff members are under the regular UN budget; the rest are paid for from extra-budgetary donations. Under UN reforms in 1997,[36] OCHA was to divest itself of operational activities to restore the neutrality and independence of the coordination process by removing the perception of OCHA being a competing or rival organization for program funding. OCHA has identified and transferred a number of its field and headquarters programs. These transfers include:

- Iraq Oil-for-Food Program to an independent office reporting to the Secretary-General

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[36] Renewing the United Nations: A Programme for Reform: Report of the Secretary-General, A/51/950, 14 July 1997.

- Mine Action Service to DPKO
- Disaster mitigation programs and the Disaster Management Training Program to UNDP
- Pisa warehouse of emergency supplies to WFP
- All field demobilization and reintegration programs to UNDP.

OCHA divides its responses between complex emergencies and natural or technological disasters. The response approach also differs between the two types of crises. The primary difference is that, in the natural or technological responses, there is a sovereign government. Coordination approaches for these types of disasters work through or support the existing government's response structures. Coordination mechanisms are focused on consultative forums of national representatives. These groups are inter-governmental in nature with representation from technical experts. Programs in these categories include the International Search and Rescue Advisory Group (ISARAG), MCDA, and the International Emergency Response Consultative Mechanism.

Complex emergencies involve a failed, weak, or otherwise ineffective state which may or may not be part of the problem. **In contrast with natural disasters, complex emergencies are generally protracted in time and expansive in the amount of services required, and there is usually limited expectation of the affected government stepping in and taking over operations.** Donors have either bypassed or supported these authorities on an individual case-by-case basis. Coordination groups include participation by UN agencies, IGOs, IOs, and NGOs. If the affected government or other authority participates, it is as an external party. As a result, an informal yet alternative government services administrative and delivery structure is created. For these reasons, OCHA maintains separate coordination structures for natural or technological disasters and for complex emergencies.

a. OCHA Response to Complex Emergencies

The past decade has witnessed an upsurge in the frequency and intensity of conflicts within state borders. These local conflicts have caused massive displacements of people, extensive violence, loss of life, and widespread damage to societies and economies creating complex emergencies with large-scale humanitarian crises embedded within complicated political and military environments. OCHA's response is multifaceted, and includes the following:

(1) Monitoring and Early Warning

OCHA monitors humanitarian developments throughout the world, particularly in potentially vulnerable countries and regions, to identify crises with humanitarian implications. The Humanitarian Early Warning System (HEWS) is the system created to monitor situations that may become complex emergencies, but it has yet to overcome its central dilemma. To monitor potential crises requires being able to discuss serious failings in member state cultures, demographics, societies, leadership, governance, and economy. Concern for attracting member state censure results in limited documentation, analysis, and discussion of these evolving situations.

(2) Contingency Planning

When faced with the threat of a major humanitarian crisis which could go beyond the capability of a single agency or existing programs, OCHA – with its humanitarian partners – makes contingency plans for possible interventions. Such planning is based on a common analysis of the situation and its possible outcomes. It involves making joint decisions on a course of action for each scenario, determining a suitable humanitarian coordination mechanism, dividing roles and responsibilities among operational agencies, mobilizing resources, stocking and positioning relief items, and making logistical arrangements. In 1998, OCHA led international humanitarian contingency planning efforts in five countries and regions.

(3) Interagency Situation and Needs Assessment

As a humanitarian crisis emerges, OCHA – with its humanitarian partners – determines the humanitarian needs and establishes an appropriate coordination mechanism on the ground through IASC consultations. The first step is to carry out a prompt, objective assessment of the rapidly changing situation. OCHA often organizes and leads the interagency assessment missions[37] which include other UN agencies such as UNHCR, WFP, and UNICEF, as well as other humanitarian organizations and NGOs. This process helps develop a common strategy and humanitarian program, that becomes the basis for prioritization of needs.

(4) Field Coordination Mechanism

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37 While the NATO bombing of Serbia was underway in May 1999, the Under Secretary-General for Humanitarian Affairs led the 17 member UN assessment mission into Serbia and Kosovo Province and was subsequently appointed to serve as the acting SRSG in Kosovo after the SC Resolution authorizing the UN intervention was approved.

Most complex emergencies requiring UN humanitarian involvement call for significant participation by a large number of actors. As described earlier, in these situations the Emergency Relief Coordinator (ERC) may appoint a Humanitarian Coordinator (HC) to ensure effective field-level coordination of the overall humanitarian effort. Humanitarian Coordinators, reporting to the ERC, work closely with the UN humanitarian agencies, as well as with IOs and NGOs delivering assistance, to ensure coherent and timely response. On their behalf, HCs negotiate with relevant authorities on such issues as access to the needy population and the security of victims and relief workers, and enforce the principle that assistance should be allocated on the basis of need. **OCHA ensures that the HC has the necessary staff support, including experienced humanitarian workers seconded from other organizations.**

Field coordination arrangements vary from crisis to crisis as do the sources of criticism. Neither OCHA (and its predecessor DHA) or the IASC have been able to reach consensus on a standard field coordination structure. OCHA identifies the expected type, levels, and demands for coordination products and services from external sources and from internal partners, and applies the necessary human and material resources to fulfill the job. However, the resulting structure frequently meets with objections from UN and NGO partners. The criticisms are mainly over the fear of creating another large, senior UN management layer. As a result of these criticisms, most after action reports note that OCHA was understaffed and lacking the supplies and equipment to carry out coordination. That this happens repeatedly highlights for major donors the need to encourage OCHA to establish a structure that meets all known requirements. The deployed structure can then be tailored to on-the-ground conditions or serve as the basis for interagency service agreements and seconding of personnel to meet the required tasks.

(5) Interagency Consolidated Appeal Process

The success of the international community in addressing a humanitarian crisis depends not only on a well-coordinated response, but also on raising the resources needed to ensure timely assistance. Given finite donor support, the Consolidated Appeal Process (CAP) must develop an overall strategy that enables the UN system to set clear goals and define priorities for the humanitarian program in a given country. The CAP provides a framework for joint programming, common prioritization, and joint resource mobilization. OCHA supports the participating organizations in preparing the appeal, following up with donor countries, and monitoring the receipt and use of contributions. While most appeals are launched on a yearly basis, OCHA sometimes issues flash or interim appeals, prepared over the course of a few weeks and covering short-term

emergency requirements. Many donor governments still do not report humanitarian aid funding decisions or amounts, undermining OCHA's ability to track and monitor the overall humanitarian effort.

(6) Central Emergency Revolving Fund (CERF)

CERF, set at $50 million, can be drawn upon by UN system organizations to expedite crisis response. CERF must be reimbursed once pledged donations become available. To date, there have been 51 advances from the CERF totaling $127.7 million. Of this amount, 80 percent went to UNICEF, UNHCR, and WFP. In the case of natural disasters, the OCHA Relief Coordination Branch can provide an emergency cash grant of up to $50,000 through the local Resident Coordinator's office. This money can only be granted when the government of the affected country has launched an appeal for international help.[38]

b. OCHA Response to Natural and Environmental Disasters

The humanitarian consequences of natural environmental catastrophes and industrial accidents often exceed the coping mechanisms and aid resources of single countries. When natural disasters strike, their impact is particularly severe in developing countries. International interventions are often needed to help victims. OCHA responds to such disasters in the following ways:

(1) Disaster Response System

To help coordinate the actions of the international community in responding to this class of disasters, OCHA has established a Disaster Response System, in Geneva, operational 24 hours a day, 7 days a week. It monitors field situations to identify natural disasters, environmental emergencies, and industrial accidents, and is in close contact with UN Resident Coordinators throughout the world. The system also features pre-disaster preparedness and post-disaster follow-up activities, including training assessment teams, conducting evaluations, and determining lessons learned. Through the Disaster Response System, OCHA is able to accomplish the following tasks:

- Establish direct contacts between the affected country and donor governments that are ready and willing to assist

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[38] Given the low visibility of coordination and limited flexibility within OCHA, there has been some discussion to allow OCHA to draw from the CERF without reimbursement, so that it can establish and sustain field coordination missions. Another option is to allow OCHA to use the interest on the CERF as a funding source for these missions.

- Act as a clearing house to channel available information, maps and satellite images from donor sources and institutions to relevant authorities in the affected country
- Mobilize multilateral assistance if needed
- Arrange the urgent dispatch of international experts to assess the impacts of an emergency and make impartial and independent recommendations about response, clean-up, and rehabilitation.
- Provide emergency cash grants of up to $50,000 for immediate response needs.

(2) Situation Reports

As soon as OCHA is alerted to a disaster, its response system is triggered; **the Situation Report is their main coordinating tool for the disaster. The situation reports provide (via the fax and Internet) the international community with detailed information on the evolving disaster situation, including damage caused, actions taken, assistance needs, and international aid being provided.** On average, over 200 such reports are issued each year to emergency relief services of donor governments, the UNS, and inter-governmental, international, and selected non-governmental organizations – about 600 addressees.

(3) Field Coordination

OCHA also provides on-site assessment and coordination support, if required. OCHA can field an UNDAC team to assist with conducting the damage needs assessment and the coordination of relief activities during the initial phase. It can help establish an On-Site Operations Coordination Center (OSOCC) to support the local emergency management authority by coordinating the operational activities of international relief agencies at the disaster site. **OCHA can also help establish secure and reliable telecommunications during the emergency phase, and identify and meet the need for technical logistics resources such as office support, transportation, and coordination center infrastructure to assist field coordination.**

(a) UN Disaster Assessment and Coordination Team

The UNDAC team is a rapid response tool for natural disasters and consists of specially trained national emergency management experts provided *gratis* by their governments, as well as OCHA staff, who are on permanent standby. By clustering UNDAC trained personnel on rosters by region, a team can be deployed within hours, accompanied by a communications expert with mobile satellite telecommunications

equipment to help in assessing situations and coordinating relief actions. Since 1993, an average of 10 UNDAC missions have been deployed each year.

The UNDAC teams[39] are intended to help in the initial phase of a disaster to assist the UNDMT[40] and the affected country's national emergency management service. **The objectives of the UNDAC are to provide a resource for technical assessment, needs refinement, information dissemination, and resource mobilization.** The UNDAC teams are immediate responders and are not intended for medium or long-term operations. The focus of the UNDAC team is to assist the affected government in making a rapid and accurate assessment of what has happened—its magnitude and its impact—and to identify requirements that exceed the local capacity to respond.

(b) On Site Operations Coordination Center

The OSOCC is a UN capability intended to assist the local emergency management authority of an affected country with coordinating and directing the work of international relief teams arriving at the site of a disaster. The OSOCC provides a framework for cooperation and coordination among international relief teams at a disaster site and acts as a link between the teams and the affected country's emergency management authority. All members of the UNDAC Team are trained in the organization and procedures of an OSOCC, and can activate the center and provide its core staff to work together with local authorities and representatives of international teams if such capability is required.

(4) Environment Unit

The Environment Unit is a joint project of the UNEP and OCHA, which brings together necessary technical and policy expertise, to coordinate the international response to all disasters affecting the environment. **The environment unit provides rapid emergency response for countries facing chemical and oil spills, industrial accidents, forest fires, and other sudden crises that can damage the environment and human health and welfare.** The Geneva-based Environment Unit operates globally through a

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39 While deployment of UNDAC teams has been contingent on the RC making a request, that policy has changed as a result of after action reviews from the 1998 UN responses to Hurricanes Mitch and Georges in Latin America and the Caribbean. Because the affected RCs did not request UNDAC team deployments, none were sent. Under the new policy, OCHA will mobilize and deploy an UNDAC team when an emergency situation occurs, independent of the RC's request. If not needed, they will return.

40 Explained in Section Interagency Coordination at Country Level.

network of UNEP-managed national focal points from governmental organizations responsible for environmental emergencies at the national level. As part of the OCHA Disaster Response Branch, the Environment Unit utilizes the OCHA's disaster response mechanisms. This joint unit also participates in UNDAC missions for large-scale disasters that have both humanitarian and environmental impacts. In cases of more specific environmental emergencies, the unit sends expert assessment missions when requested, which are different from UNDAC and do not use UNDAC-related financial resources. For these special missions, the unit may make use of the UNEP Voluntary Trust Fund for Environmental Emergencies.

(5) International Search and Rescue Advisory Group (INSARAG)

The INSARAG aims are to develop effective international capabilities and relationships to save lives and render humanitarian services following natural, technological, and environmental disasters. The activities of the INSARAG include the improvement of emergency preparedness and cooperation among international USAR teams as well as to promote information exchanges on best practices and lessons learned during international emergency response operations.

(6) International Appeals

When the government of the affected country requests, OCHA will initiate an appeal for international assistance, urging the international community to cover the identified relief needs. On average, 27 such appeals are issued each year. As needed, OCHA provides cash grants of up to $50,000 and a "fast-tracking" service for donor contributions. The progress of relief activities is then closely monitored to ensure that the country recovers quickly from the emergency.

c. Information Dissemination

OCHA provides the world with updates and analyses of humanitarian situations to ensure better understanding of current humanitarian issues and concerns. Information is collected and disseminated through regional offices and information networks, and also made **available on a web page**.[41]

(1) Liaison Offices

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41 See http://www.reliefweb.int/ocha_ol/.

Following the reorganization of DHA into OCHA, the new organization has established four regional liaison offices to facilitate the flow of information.

- Addis Ababa – A joint UN liaison office with DPA for the OAU
- Brussels, Belgium – At the Euro-Atlantic Partnership Council
- Quito, Ecuador – For Latin America, South America, and the Caribbean region
- Nadi, Fiji – For the South Pacific region.

(2) Information Systems

OCHA operates the Integrated Regional Information Network (IRIN), the Relief Web, and OCHA on-line web page. These information systems are described in more detail in Chapter IX.[42]

d. Other OCHA Resources

Other resources available through OCHA include standby arrangements for personnel and logistical support, a number of registers and directories of resources that potentially could be made available for humanitarian assistance operations, the Military and Civil Defense Unit (MCDU) staff elements, and pre-stocked supplies maintained by WFP for OCHA.

(1) Standby Field Support

Field Support for OCHA response to natural disasters and complex emergencies is managed by the Field Coordination and Support Unit. Human, technical, and logistics resources available to deploy and support teams in the field are supplied through standby arrangements with the following organizations:

- Danish Refugee Council (DRC)
- Danish Emergency Management Agency (DEMA)
- Norwegian Refugee Council (NRC)
- Swedish Rescue Services Agency (SRSA)
- Emergency Logistics Management Team of the United Kingdom Department for International Development (DfID).

(2) Central Register

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[42] See: http://www.reliefweb.int/IRIN/index.phtml.

OCHA maintains a central register of disaster management capabilities. The content of the register is described in more detail in Chapter IX.

(3) Military and Civil Defense Unit

In March 1992 DHA began studying the possibilities of using Military and Civilian Defense Assets (MCDA) for international disaster relief operations. The group consisted of interested countries (assisting and receiving), NGOs, IGOs, and UN agencies. In January 1994, an international conference was held in Oslo with more than 180 participants from 45 countries and 23 NGOs, IGOs, and IOs to develop a non-binding document (the Oslo Guidelines) as a basis for the use of MCDA in international disaster relief operations. While DHA was pursuing the MCDA-project, other UN Agencies had started similar initiatives. UNHCR and WFP both developed organization-specific service packages. To achieve better coordination of these efforts, a MCDU was established within DHA after a decision taken by the Inter Agency Standing Committee in November 1995.

The mission of the MCDU (now within OCHA) is to ensure the most effective use of MCDA in support of all types of humanitarian operations, where their use is appropriate. **The goal of the MCDU is to coordinate timely, sufficient, and cost-effective support from the MCDA donors** and is achieved through the following activities:

(a) Data Base

The MCDU maintains the Register MCDA.

(b) Identification of Key Service Modules

In cooperation with the UNHCR and WFP, the MCDU has identified 88 service modules[43] that are most likely to be needed in future emergencies, and 52 of these type modules have been deployed in field operations.

(c) Analysis of Legal Status of MCDA in Complex Emergencies

In cooperation with interested agencies and nations, a working group is seeking to determine the legal status of military and civil defense personnel engaged in humanitarian

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[43] The service modules are described in Appendix E and include 58 OCHA modules, 20 UNHCR modules, and 10 WFP modules.

operations in connection with complex emergencies. The "Oslo Guidelines"[44] include a definition of the legal status in connection with natural disasters, but no similar definition exists for complex emergencies.

(d) Training Programs

After two years of experience with training key military and civil defense personnel for deployment in disaster and humanitarian relief operations, the MCDU, together with interested countries, developed a joint concept for a training program that establishes a more coordinated approach for organizing courses and exercises. The concept was finalized at the end of 1996 and has been used as the basis for a number of training courses conducted in Austria, Sweden, and Switzerland.

(e) High Level Seminars

The first high level seminar was conducted by OCHA in Indonesia in July, 1997, bringing together decision makers from most Asian and Pacific countries. A second seminar was held in October and November 1998 in Botswana, and similar seminars are planned in 1999 for other parts of Africa and Latin America. The purpose of the seminars is to increase the awareness among political decision makers of the need for international preparedness and coordination for the use of military and civil defense resources in disaster response.

(f) Air Operations

In cooperation with UNHCR, WFP, and other interested UN agencies, the MCDU is developing a capacity to establish an air operations cell quickly in case of an emergency. The UNHCR lessons learned from the experience with the Air Operations Cell (AOC)[45] established to coordinate the air bridge and air drop operations in Bosnia is being used as reference document, together with experience gained by the WFP during their extensive air operations. The standby AOC capability will not be linked to the MCDU, but will be a resource available to any agency when the capability is required.

(g) Model Arrangement on MCDA Focal Contact Point

The MCDU has developed a model arrangement to facilitate the deployment of military and civil defense assets in case of an emergency. The model establishes a

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44 See Project DPR 213/3MCDA, Guidelines on the Use of Military and Civil Defense Assets in Disaster Relief, May 1994. Copy via Internet http//www.reliefweb.int.

45 See Service Module AV-01 in Table E-3.

national focal contact point that will be available to communicate with the MCDU or a requesting agency on a 24 hours, 365 days a year basis.

(h) Joint Logistics Centers

Based on experience from previous emergencies, UNICEF, WFP, and UNHCR developed a set of operating procedures for a United Nations Joint Logistics Center (UNJLC). These procedures have been adapted by the MCDU so that if such a requirement is identified in the field by concerned agencies, a consolidated UNJLC could serve as the focal point for import and export, receipt, dispatch, and tracking of both food and non-food relief commodities for these agencies. Its location and exact composition would be determined by each specific emergency and through interagency consultation. In some situations, it may be necessary to establish a "parent" UNJLC with satellite JLCs dispersed at critical locations in the area of operations providing the same functions, but on a reduced scale.

5. The UN High Commissioner for Human Rights (UNHCHR)

The Office of the United Nations High Commissioner for Human Rights (UNHCHR) was established by the GA[46] in 1993 and was consolidated with the Center for Human Rights in September 1997.

a. Functions and Organization

The office of the UNHCHR provides substantive support on human rights issues to the GA, the ECOSOC, and other policy-making bodies. It stimulates and coordinates action for human rights throughout the UNS by the following functions:

- Planning, preparing, and servicing sessions and meetings of the Commission on Human Rights, the Sub-Commission on Prevention of Discrimination and Protection of Minorities, and related working groups, and of the committees established by human rights treaty bodies and their working groups
- Promoting the establishment of national human rights infrastructures
- Providing education, information advisory services, and technical assistance in the field of human rights
- Providing policy analysis, advice, and guidance on substantive procedures

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[46] The mandate of the Office of the UNHCHR derives from Articles 1, 13 and 55 of the Charter of the United Nations, the Vienna Declaration and Program of Action, and General Assembly Resolution 48/141 of 20 December 1993.

- Managing the information services of the human rights program, including the documentation center and library, inquiry services, and the human rights databases.

b. Capacities:

The Office of the UNHCHR responds to serious violations of human rights, undertakes preventive human rights action, human rights field activities and operations. These actions can include the following:

- Planning, preparing, and servicing sessions of boards of trustees of the following voluntary funds and implementing relevant decisions: United Nations Voluntary Fund for Victims of Torture, United Nations Voluntary Fund on Contemporary Forms of Slavery, United Nations Voluntary Fund for Indigenous Populations, and United Nations Voluntary Fund for the International Decade of the World's Indigenous People
- Managing voluntary funds for human rights field presence
- Managing the Voluntary Fund for Technical Cooperation in the Field of Human Rights
- Developing, implementing, monitoring, and evaluating advisory services and technical assistance projects at the request of governments
- Providing substantive and administrative support to human rights fact-finding and investigative mechanisms, such as special *rapporteurs*, representatives, and experts, and working groups mandated by the Commission on Human Rights or the ECOSOC to deal with specific country situations or the phenomena of human rights violations worldwide, as well as the General Assembly's Special Committee to Investigate Israeli Practices Affecting the Human Rights of the Palestinian People and Other Arabs of the Occupied Territories
- Planning, supporting, and evaluating human rights through field presence and missions, including the formulation and development of best practice, procedural methodology, and models for all human rights activities in the field

6. Office for Drug Control and Crime Prevention (ODCCP)

The UN Office for Drug Control and Crime Prevention[47] was established in 1998 as part of the UN reform. ODCCP provides common management for the UNDCP and

[47] The Director of the ODCCP also serves as Director of the UN Offices in Vienna (UNOV).

the UN Center for International Crime Prevention (UNCICP). This arrangement was effected to enable the office to focus and enhance its capacity to address the interrelated issues of drug control, crime prevention, and international terrorism in all its forms. The ODCCP carries out its mandate through coordination of various conferences, commissions, and programs.

a. Member State Conferences

The ECOSOC's Conference on Narcotic Drugs (CND) is the central policy-making body within the UN for all questions related to drug abuse control. It supervises the application of international conventions and agreements dealing with narcotic drugs and psychotropic substances. The International Narcotics Control Board (INCB) is the independent and quasi-judicial control organ for the implementation and monitoring of the UN Drug Conventions. It promotes and assists government compliance with the treaties. The INCB aims to ensure that adequate supplies of drugs are available for medical and scientific uses and that diversions from licit activity do not occur.

b. The Commission on Crime Prevention and Criminal Justice

This commission is composed of 40 member states and provides guidance to the UNCICP by formulating international policies and coordinating activities in crime prevention and criminal justice. Implementation of policy set by the commission is the responsibility of the UNCICP. The commission offers a forum for governments to exchange information and establish mechanisms to fight crime on a global level. In addition, the commission organizes periodic sessions called Congresses on the Prevention of Crime and the Treatment of Offenders.

c. UN International Drug Control Program

The main objectives of the UNDCP are to:

- Provide effective leadership for all UN drug control initiatives
- Anticipate and help to prevent developments that could aggravate illicit drug production, trafficking, and abuse
- Serve as a world wide center of expertise and repository of information in all fields of drug control
- Assist CND and INCB in implementing their treaty functions

- Provide technical assistance to help governments to establish adequate drug control structures and strategies, and to foster technical cooperation in the different fields of drug control.

UNDCP provides project-based technical assistance to requesting member states. Technical assistance provided falls into the following sectors: prevention and reduction of drug abuse, elimination of illicit crops, suppression of illicit drug trafficking, and intersectoral projects. UNDCP is funded entirely from voluntary contributions and 78.5 percent of its funds are earmarked by donors for specific programs or countries.

d. UN Center for International Crime Prevention

The center is the UN organization responsible for crime prevention, criminal justice, and criminal law reform. It pays special attention to combating transnational organized crime, corruption, illicit trafficking in human beings, strengthening the rule of law, and promoting stable and viable criminal justice systems in post-conflict societies. The center provides secretariat support for the Commission on Crime Prevention and Criminal Justice.

The center defines and promotes internationally recognized principles in such areas as independence of the judiciary, protection of victims, alternatives to imprisonment, treatment of prisoners, police use of force, mutual legal assistance, and extradition. The center also promotes the fundamental principles for the maintenance of the rule of law through integrated national, regional, and interregional policies. In this regard, technical cooperation encompasses:

- Strengthening the capacity of governments to reform legislation and criminal justice systems
- Establishing institutions and mechanisms for the detection, investigation, prosecution, and adjudication of various types of crimes
- Upgrading the skills of criminal justice personnel.

The center and its research arm, the United Nations Interregional Criminal Justice and Research Institute, located in Rome, provides technical assistance under broad project categories funded from earmarked donor contributions. The emphasis of technical cooperation activities of the center focus on the areas of anti-corruption, illicit trafficking in human beings, and control of organized crime. Particular attention is devoted to post-conflict situations, to developing countries, and to countries with economies in transition. These programs include,

(1) Global Program Against Corruption — This program provides technical cooperation to a selected number of developing and transitional countries. In these countries, an analysis is made of current problems and policies. Assistance provided includes the introduction of mechanisms to monitor public sector tendering and commercial transactions for the promotion of anti-corruption measures.

(2) Global Program Against the Trafficking in Human Beings — This program addresses smuggling of migrants and trafficking in women and children. In selected countries, field projects are carried out to test promising strategies, such as new structures for collaboration between police, immigration, victims support groups, and the judiciary, both within countries and internationally to link the countries of origin to destination countries.

(3) Assessing Transnational Organized Crime Groups Dangerousness and Trends — This program assesses organized crime groups across the world, focusing on forecasting future developments and strategies of such groups so that effective pre-emptive responses can be formulated.

D. RESOURCES AND CAPACITY OF OTHER SSC-RELATED PROGRAMS AND FUNDS

This section describes the resources and capacities available to the various UN programs and funds that are likely to be applied for during many types of SSC operations. These resources are used to carry out the mandates of the program and funds, and typically support complex contingencies.

1. United Nations Children's Fund (aka UNICEF)

a. Mandate

UNICEF was established in 1946 and its mandate from the General Assembly stipulates that all child victims of aggression and whose health has been imperiled are to receive assistance on the basis of need without discrimination by nationality, race, religious belief, or political persuasion. This mandate was later extended to include women. Guided by this basic principle, especially in situations of acute emergency, UNICEF, together with other UN agencies, IOs, NGOs, and other participating organizations seek all opportunities to reach children and women caught on different sides of conflicts. These contacts are typically in collaboration with the governments concerned, but in some situations must be accomplished through negotiation with warring

factions. The initial mandate establishing UNICEF as the lead agency for children was enhanced further by resolutions of the GA in response to the International Year of the Child, UNICEF Executive Board adoption of resolutions on Children in Especially Difficult Circumstances,[48] and the Convention on the Rights of the Child.

b. Types of Assistance

UNICEF is organized to provide the following categories of assistance:

- Sector commodities, technical assistance, and service delivery programs in health, social services, primary and secondary education, water and sanitation, feeding and immunization of infants and young children, the restoration of safe water supplies and household food production, and legislative and legal assistance for the protection of child and women's rights
- Initiatives to help vulnerable communities and households to care adequately for their children, including increasing their earning opportunities, especially for women.
- Mobilizing additional temporary staff support and expertise to strengthen the overall management and organization of emergency operations.

c. Resources

UNICEF is entirely funded from voluntary contributions and merchandise sales. UNICEF has been so successful at fund raising, that when the organization's full name was changed to the UN Children's Fund, the resolution specifically provided that the organization retain the "UNICEF" acronym because of its fund raising recognition value. UNICEF seeks to mobilize and provide direct relief assistance in situations where immediate needs of children and mothers are not being adequately met. Where relief needs are able to be met by the government or other organizations, UNICEF concentrates its effort and resources on rehabilitation and long-term child survival and development objectives.

Under emergency situations, up to $25,000 in supplies or cash resources can be diverted from the ongoing development program in the country, at the discretion of the UNICEF representative in agreement with the government. Additional resources may be released from the global emergency reserve – a fund of $4 million annually – subject to

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[48] This resolution includes child victims of war as well as child soldiers. Programming can include special counseling, education, vocational training as well as associated legislative, regulatory, public information, and media efforts.

the approval of the Executive Director. Additionally, existing commitments for development programs may be reprogrammed in agreement with the government and with the approval of UNICEF headquarters if the emergency is significant.

At the international headquarters level, the Director of Emergency Programs advises the Executive Director on policy and operational aspects relating to UNICEF's involvement in emergencies, and supervises three small functional units and stockpiles of non-food items to be used in emergency situations. Brief descriptions of these elements follow:

- The Emergency Operations Unit in New York has overall responsibility for coordinating UNICEF's emergency-related activities and operations, managing the global emergency reserve, and ensuring coordination with the UN, other international organizations, and bilateral and NGO assistance from outside the region
- The Emergency Unit in UNICEF's Geneva office assists with interagency coordination, fund-raising, backstopping country offices, and providing staff training
- The Rapid Response Unit based in Nairobi, UNICEF's regional office for East and Southern Africa, manages the major emergency assistance operations in the region, and is available to help with assessments elsewhere
- An emergency stockpile, valued at about $58.2 million, is maintained by the Supply Division at its 32,600 square meter storage facility and warehouse in Copenhagen. This facility is organized to assure rapid response to requests for supplies for emergency operations. Items in stock in the warehouse can usually be dispatched within hours. Procurement to support ongoing programs is approximately $250.0 million per year, but procurement and shipment of other supplies required for an emergency are undertaken on an accelerated basis (usually 48 hours after receipt of the request from the UNICEF country office) by the division's contracting center. The reimbursable procurement facilities of the organization are available to other UN agencies.

d. Internal Management

The UNICEF country representative, or another staff member specifically assigned by the UNICEF Executive Director, has responsibility to plan and manage UNICEF's response at country-level. A focal point is designated in each UNICEF country office in a disaster-prone country to ensure internal preparedness and the monitoring of famine early warning indicators in collaboration with other agencies.

2. United Nations High Commissioner for Refugees (UNHCR)

a. Mandate

UNHCR was established to provide protection to persons of concern to the organization and ensure that the necessary assistance reaches them in time. Until the refugee status of individuals or groups presenting themselves as refugees has been determined by states party to the 1951 Convention or the 1967 Protocol, they are considered asylum-seekers and are entitled to protection. **The High Commissioner has the authority and the responsibility to take initiatives to extend protection to such persons, whether or not the government of the country in which they are seeking asylum has made any formal request for the intervention.** Material assistance is only given by UNHCR in response to an official request. Resolutions adopted by the General Assembly and ECOSOC requested the High Commissioner to include displaced persons, within the framework of the UN humanitarian endeavors. The High Commissioner may participate in such endeavors with other UN agencies, as required, at the invitation of the Secretary-General or the General Assembly.

UNHCR's role in the protection of refugees is well established, but its role for protection of Internally Displaced Persons (IDRs) is in a state of flux. Bosnia was the first case of UNHCR serving as lead agency with responsibility for IDPs. It is uncertain whether UNHCR will continue to take leadership for both refugees and IDPs, or whether Bosnia is an exceptional case.

b. Types of Assistance

Prior to 1992, UNHCR's primary focus was on **refugee protection**. Other UNHCR roles – in coordination with major donors, other UN agencies, and NGOs – include providing commodities and services to ensure refugees receive adequate basic and supplementary food supplies, health care, shelter, water and sanitary facilities, clothing, education, agricultural and vocational assistance. This assistance is channeled through its implementing partners – the government of the asylum country and NGOs. In addition to the debate over UNHCR's role with respect to IDPs, there is also a great deal of debate as to whether UNHCR should resume its priority on protection and lessen the priority of providing rebuilding assistance.

c. Resources

UNHCR is funded by contributions from donor governments to accomplish its mandate. **The current workload of UNHCR is approximately 35 million refugees and internally displaced persons**.[49] It maintains an emergency fund to provide financial assistance to refugees and displaced persons in emergency situations not covered by existing annual programs. The High Commissioner may allocate from the emergency fund up to $25 million annually, provided the amount made available for any one single emergency shall not exceed $8 million in any one year.

The UNHCR Emergency Preparedness and Response Section (EPRS) retains five Emergency Preparedness and Response Officers (EPRO) who are on standby to lead emergency response teams. They may be supported or complemented by a wide variety of other human resources namely:

- Senior Emergency Administrative (SEAs) – Eleven senior staff on standby for setting up offices in emergency situations
- Emergency Response Team (ERT) – Thirty staff members listed on an emergency roster, who have various levels of skill and experience and are currently occupying posts throughout the world, but are expected to be immediately released for emergency deployment. The composition of this roster is changed periodically to ensure a high level of staff preparedness and availability
- Emergency Finance and Administrative Assistants (EFAA) – Pre-designated staff members with human resource, finance, and administrative skills subject to field deployments of up to three months during emergencies or to establish new field offices
- A standby arrangement (reimbursable agreement) with the DRC, the NRC, and the UNV to provide various categories of staff at short notice for emergency deployment.
- The Programme and Technical Support Section maintains a roster of 500 external consultant technicians in various sectors such as health, water, sanitation, logistics, and refugee shelter who can be mobilized rapidly
- An arrangement with selected specialist agencies or NGOs for rapid deployment (within 72 hours of notification) to implement assistance activities in different sectors such as health, sanitation, logistics, and social services. Agencies include Registered Engineers for Disaster Relief (RedR) and Radda Barnen Sweden

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[49] World Disaster Report 1998, IFRC.

- Medical experts from the U.S. CDC to provide rapid health and nutrition assessments, improvement of epidemic preparedness and response, prevention and control of communicable diseases, training of local and international health staff, coordination of health care delivery services and nutrition programs in emergencies, maternal and child health activities, sanitation, water supply , and environmental health activities
- Field staff can be supported under a standby arrangement with the SRSA. The agency can set up a base camp and office for field workers under extreme conditions within 48 hours. The SRSA maintains equipment, computers, personal field kits, and prepackaged office kits to carry out these tasks when required.

UNHCR maintains a centrally controlled stockpile of tents, prefabricated warehouses, blankets, kitchen sets, water storage and purification equipment, and plastic sheeting. These items are stored in regional warehouses or are on call with established suppliers who guarantee rapid delivery. UNHCR also has arrangements with external stockpiles outside the UN system such as with the SRSA and is negotiating similar arrangements with NGOs which maintain their own stockpiles. They also have stockpiles of staff support equipment including personal travel kits, field kits, office kits, computer equipment, vehicles, and telecommunications equipment, and limited sets of chemical protective clothing.

UNHCR also has standby arrangements with the EMERCOM. Under these arrangements, EMERCOM will provide UNHCR, within 72 hours of written notification, two IL-76 transport aircraft and at least 15 trucks (10 metric ton capacity), accompanied by fuel tankers, mobile workshops, escort vehicles, and personnel (drivers and coordinators). These standby capabilities are provided to UNHCR at no cost, but once deployed reimbursement is necessary.

d. Internal Management

UNHCR representatives may commit a limited amount of resources, including financial, material, and technical, to a refugee emergency when there is already an existing operation in that country. UNHCR field staff is responsible for carrying out emergency needs and resources assessments, frequently with the assistance of EPRS staff and technical experts from headquarters or through the standby arrangements. **General guidelines for assessment surveys are available in the UNHCR Handbook for Emergencies.** Field reporting to headquarters is through situation reports in a format provided in the UNHCR Handbook for Emergencies. Plans for carrying out such

assessments and situation reports are detailed in each Branch Office's Refugee Emergency Contingency Plan.

Learning from emergencies in Bosnia and Somalia, UNHCR has developed arrangements to manage external resources. Four management tools were developed. The first includes memoranda of understanding negotiated with UNICEF and WFP to provide certain essential services under predefined management and funding arrangements. The second tool was the development of Service Packages to exercise more control over donated services, but this component has been drastically reduced since 1994. UNHCR developed a set of 20 standardized packages of equipment, personnel, and service delivery requirements relevant to UNHCR operations described in detail in Appendix E. These service packages can then be provided by donor governments and operated under a unified management structure. Each package includes established objectives, specified activities to be performed, a time frame for its start and duration, and detailed lists of personnel, equipment, and materiel the package contains. The UNHCR Service Packages can be grouped into four general categories: air delivery, general support (warehousing, field hospitals, etc.), fresh water, and refugee camp development and operation. Although designed primarily to assist with large refugee populations, many of the packages also may have utility in other types of emergencies.

Other management tools included the AOC developed during the Bosnia Airlift to control flight and cargo prioritization into Sarajevo airport, and later used to coordinate airdrops in eastern Bosnia. Operating out of Geneva with donated military personnel, the AOC was also pressed into managing the airlift operations into the Great Lakes in 1994, but not without significant problems. After action reports for the 1994 Rwanda response indicate several problems with the AOC concept. The lessons learned noted the need to deploy the main AOC into the area of operations where it can maintain significant control over the aircraft, while retaining a liaison office in Geneva.[50] Additional recommendations included removing the AOC from UNHCR or any single agency's control and locating it within a more neutral organization such as DHA (now OCHA).[51]

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[50] Reports noted that Sarajevo bound aircraft were operating in UN controlled airspace into a UN controlled airport, and that direct coordination and communication with the aircraft was possible between Geneva and Sarajevo. Flights into Central Africa were into sovereign airspace and sovereign airports controlled by a national civil aviation authority.

[51] Reports form the region indicated that UNHCR country representatives provided other UN agencies and NGOs only space available access on what was supposed to be a common service. Moreover, coordination between Geneva and the field, when it did occur did not include coordination within the

The AOC is not a standing structure; however, standard operating procedures were documented for reestablishing an AOC. OCHA incorporated this information and established it as a service module in the MCDA system.

3. World Food Program (WFP)

a. Mandate

Although WFP provides substantial quantities of food and is responsible for almost all multilateral food aid, it is neither responsible for nor able to meet all emergency food needs. The majority of international food aid is provided bilaterally. The WFP role is to ensure coordination and orderly scheduling of food aid shipments from all sources, to seek ways to expedite deliveries, to mobilize and provide logistic support, and to advocate appropriate policies and procedures for food aid. WFP also assists donors, upon request, with procurement, transportation, and monitoring the distribution of certain bilateral food aid consignments.

b. Types of Assistance

In addition to carrying out the organization's normal programs, during emergency situations the WFP may be called upon to perform several functions. The WFP can provide advice and assistance to the government, other concerned agencies, and local authorities when assessing requirements for emergency food aid, and assist with planning and managing appropriate food aid interventions.

The organization can provide food aid to meet emergency food needs, subject to the availability of resources and the assessed need for international food aid. The types and quantities of commodities which WFP might supply in any situation depend on the assessed needs and the commodities and cash resources available to WFP at the time. However, WFP seeks to ensure delivery of necessary basic commodities required to provide a balanced nutritionally adequate ration, at calorie levels that have been agreed to as sufficient. The WFP allocations for general feeding and food distribution operations in emergencies typically include a suitable cereal, an edible oil or fat, and a protein rich food such as pulses. Where necessary, WFP may also provide some commodities for supplementary feeding programs.

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region. See pg 101, The International Response to Conflict and Genocide: Lessons from the Rwanda Experience, Study 3: Humanitarian Aid and Effects, March 1996.

In addition to supplying certain quantities from the resources available to it, WFP can also help to mobilize and coordinate planning and delivery of food assistance from all sources, and provide any necessary logistic support and other complementary services. WFP may assist with non-food inputs that are essential for implementation of the planned food assistance programs, especially logistic equipment, and equipment needed by food beneficiaries such as grinders, utensils, and cooking fuel.

c. Resources

The WFP is often referred to as the UN's logistician because the scale is quite large; it provides food to about 50 million people using about 50 ships and 20 aircraft operated daily under contract to support the agency's mandate. The amount of resources made available is largely dependent on cash or in-kind contributions for the particular purpose by donor nations. WFP also manages a separate set of resources pledged by donors for assistance to protracted refugee and displaced persons operations. The resources consist mainly of food commodities pledged by donor governments. Cash resources are limited and are reserved for local purchases to meet immediate needs in the aftermath of sudden disasters, and for transport costs. In cases of extreme need, the Executive Director may authorize the release of some cash from WFP's general resources as seed money to finance essential logistics assistance in anticipation of receipt of special purpose contributions from donors. In some situations, it may be possible to divert shipments already at sea to meet the more urgent demands of the emergency.

Annual resource allocations from WFP's general budget include $15 million for emergency assistance plus $30 million for protracted assistance. WFP also administers the International Emergency Food Reserve (IEFR), which in principle, comprises the equivalent of at least 500,000 tons of cereals annually, but this amount is often exceeded. A cash account, known as Immediate Response Account (IRA), was established in 1992 as an integral part of the IEFR for the purchase and delivery of food to enable the fastest possible response to new emergency situations prior to the arrival of foodstuffs though customary channels. The purchases are made locally, where feasible, but otherwise regionally or internationally as determined by timely arrival and cost-effectiveness considerations. A cash fund of $30 million, unencumbered by restrictions, is contributed voluntarily by the donors over and above commodity pledges to IEFR for related transport and other costs.

Commodities may be provided from the emergency resources available to WFP subject to specific criteria and a request from the affected government. When approved,

commodities are provided as a grant delivered to the ports of entry; in the case of developing countries, delivery is sometimes arranged to defined extended delivery points within the country. Lead times for the delivery of donated food aid commodities are long – typically 3 to 5 months and sometimes even longer. The ability to deliver commodities to meet initial relief needs usually depends on the availability of suitable stocks in-country. These requirements can be borrowed from other nearby WFP stocks or purchased in impacted areas. The vast majority of food requirements following sudden disasters are met by borrowing.

WFP conducts detailed assessments of logistic systems and capacities within affected nations or regions, and, where necessary may provide technical and material assistance, including training of warehouse operators and other personnel. It may assist or intervene with the governments of transit countries to facilitate and expedite the passage of relief goods to emergency-affected landlocked countries. In a major food emergency, WFP may, on an exceptional basis, perform the following tasks:

- Provide certain material logistic support for international transport, storage and handling (ITSH) operations such as transport units, storage and handling equipment, and expertise where absolutely essential for the implementation of the planned food aid programs.
- Assist with setting up and managing major transport and logistics units, either directly or through contacts with other competent organizations, especially arranging transport of food aid commodities from ports to regional depots by air, sea, road, and rail.

d. Internal Management

While WFP is organized to carry out its major programs, in an emergency the Director of Operations can agree with the affected government to accelerate or adapt ongoing WFP-assisted development projects to meet emergency needs, subject to certain criteria, specifically that there will be no increase in the WFP commitment. The director may also authorize purchase of up to $50,000 in commodities locally to meet immediate needs when these are urgent and cannot be met in any other way. Other forms of assistance, including the borrowing and exchanging of commodities, require advance approval of WFP headquarters.

New working arrangements between WFP and UNHCR were agreed in 1991. **In refugee situations, WFP collaborates with and assists UNHCR and the affected government with assessing any food aid need, and mobilizing and providing a specific range of commodities and the resources to deliver and distribute them.**

WFP is responsible for mobilizing basic food commodities (cereals, pulse, beans or other protein-rich food, edible oil or fat, salt) plus sugar and blended foods, together with the cash resources for 100 percent of ITSH, including external transport to the country and in-country transport, storage and handling, and associated costs related to delivering the commodities. UNHCR is responsible for mobilizing any other required commodities and related cash resources needed to deliver them.

WFP established an Augmented Logistics Intervention Team for Emergencies (ALITE) in 1995. ALITE is responsible for improving logistics preparedness and response capabilities and can function operationally in the field to conduct assessments, plan operations, provide crisis support by employing WFP Service Packages and items from emergency stockpiles. ALITE has detailed country or regional logistical assessments on file for a number of distressed locations and these could be a useful source of information for other organizations planning responses into the area.[52]

The WFP set of Logistics Service Packages were developed in 1995 and have clearly defined performance criteria and established exit plans. They identify needed capabilities so that donor countries or NGOs can provide these capabilities during emergencies. **The packages are modular and can be tailored to meet the unique requirements of any emergency. These service packages must be self-sustaining for at least 30 days and should be available for at least 90 days of operation. The packages support airfield operations, provide construction support, improve transportation throughput, or provide other support to the logistics pipeline.** A full description of these packages is provided in Appendix E.

Based in Pisa, Italy, WFP has assumed responsibility for managing the collocated OCHA emergency stockpile. Together with its own emergency stockpile, WFP is able to ship food or non-food items by air within 24 hours. In addition to food items, the stockpile contains standard bulk disaster relief items for shelter, sanitation, hygiene, cooking, and search and rescue.

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52 ALITE can be contacted in Rome, Italy by phone at (39) (6) 52282262, fax (39) (6) 52282845, or by email: thinke@wfp.org

4. United Nations Development Program (UNDP)

a. Mandate

UNDP is the central coordinating body for UNS technical cooperation in economic and social development. It currently assists with building capacities for sustainable human development in over 150 countries and territories. Six associated programs, each funded separately through voluntary contributions, provide specific services through the UNDP network. UNDP also administers a number of trust funds for specific developmental needs.

b. Types of Assistance

In addition to its economic and social development programs, UNDP also addresses development related aspects of disaster risks and mitigation, and provides technical assistance to national institution-building for all aspects of disaster management. Its emphasis is on the following:

- Incorporating long-term risk reduction and preparedness, including support for specific mitigation measures where required.
- Assisting with planning and implementation of post-disaster rehabilitation and reconstruction, including the definition of new development strategies that incorporate risk reduction measures relevant to the affected area.
- Reviewing the impact of large settlements of refugees or displaced persons on development, and seeking ways to incorporate the refugees and displaced persons in development strategies.
- Providing technical assistance to the authorities managing major emergency assistance operations of extended duration, especially in relation to displaced persons and the possibilities for achieving durable solutions in such cases.
- Working with other development partners in a number of areas that combine relief and development, including demobilization of former combatants, comprehensive mine action, the sustainable return and reintegration of refugees and internally displaced persons, and the restoration of governance institutions[53] to support the rule of law and build a just and democratic society.

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53 To date these institutions have not included police.

c. Resources

Voluntary donor nation contributions provide approximately $1 billion yearly to UNDP regular resources. Other funding arrangements, including cost-sharing, provide approximately $1 billion in additional resources each year. The programming arrangements adopted by the Executive Board in its decision 95/23 allocated five percent of UNDP regular resources, up to $55 million, for countries facing special development situations. These specially earmarked resources are in addition to other resources to which these countries are eligible.

In the event of a disaster, UNDP may request a grant of up to $50,000 from OCHA to provide immediate relief. UNDP is not otherwise involved in providing relief using any of its own resources or other funds directly administered by them. Where a major emergency substantially affects the whole development process within a country, UNDP resources may be used to provide technical assistance to plan and manage the operation, with the agreement of the affected government.

Technical and material assistance in support of long-term risk reduction and preparedness measures is included in the country program, and may be funded from UNDP-administered funds. The same funding source can be used to assist rehabilitation and reconstruction. Special additional grants up to $1.1 million may be made for technical assistance to post-disaster recovery efforts following natural disasters.

In addition to its core budget of about $1.1 billion, the UNDP manages other funds and programs with resources that may be needed to mitigate conditions that prompt complex contingencies.

(1) The United Nations Capital Development Fund (UNCDF)

UNCDF is a multilateral donor agency established to develop new solutions for poverty reduction in least developed countries. It was established in 1966 by the General Assembly as a special purpose fund within the UNS in association with and under the administration of the UNDP. UNCDF supports government efforts to decentralize administrative and financial control for planning and delivery of public services, strengthening local government capacity to take on that responsibility, and empowering local communities to request services from their elected officials. The fund also promotes the sustainable use of natural resources through its local development projects. Through its micro-finance programs, UNCDF promotes the creation of sustainable micro-finance institutions that are able to provide financial services far beyond the duration of the project.

UNCDF gets most of its resources from voluntary government contributions. During the Pledging Conference for Development Activities, convened by the UN Secretary-General, member states announce their financial support to UNCDF. The fund can also accept contributions from NGOs, multilateral and bilateral agencies, and other funding institutions. In addition to general contributions, donors have supported UNCDF projects through various co-financing arrangements, such as cost-sharing and trust fund arrangements. They can select a specific project, group of projects, country, region, or program theme for support through UNCDF.

With new project approvals at around $40 million annually, UNCDF is smaller than other multilateral financial institutions. Investments are usually in the range of $500,000 to $5,000,000 for community-based, capital-investment projects that are below the lending threshold of international development banks but beyond the financial means of most NGOs and local administrations. Financing through grants rather than loans further encourages innovation by relieving governments of repayment burdens that might otherwise discourage ventures that are untried and therefore considered risky. Concessional loans may also be considered for those projects that help generate foreign exchange or replace imports.

(2) United Nations Fund for Science and Technology for Development (UNFSTD)

Activities of the UNFSTD focus on endogenous capacity building in science and technology, technology assessment, technology innovation and entrepreneurship, quality control, and technology information. The fund also supports energy conservation and new sources of energy such as photo-voltaic power. Through the fund's Transfer of Knowledge through Expatriate Nationals (TOKTEN) program, more than 4,000 professionals have volunteered to return to their country of origin for short-term consultancy assignments.

(3) United Nations Volunteers (UNV)

The United Nations Volunteers program was established in 1970 by General Assembly Resolution 2659 to serve as the volunteer arm of the UNS. The UNV program is administered under the auspices of the UNDP and is one of the foremost suppliers of experienced professional personnel to support initiatives of governments, non-governmental and community-based organizations, and the UNS. In addition to technical cooperation and community-focused development work, UN Volunteers work to promote

private and public enterprise, provide humanitarian relief and rehabilitation support, and support peace building and electoral operations of the UNS.

The UNV program operates through UNDP's country offices around the world. The UNV program involves a wide range of sectors and maintains a roster covering some 108 professional categories. Agriculture, health, and education feature prominently in the UNV program, as do personnel with skills in handling social conditions, community development, vocational training, industry, transport, and population. In the spring of 1998, humanitarian relief, rehabilitation, electoral support, and peace building accounted for more than 30 percent of UNV assignments. There are about 4,000 men and women of more than 140 nationalities who annually serve in developing countries as volunteer specialists and field workers. Since 1971, roughly 18,000 UNVs from some 150 developing and industrialized nations – 75 and 25 percent, respectively, in 1998 – have worked in 150 countries. The UNV program works in partnership with governments, UN agencies, development banks, and non-governmental and community-based organizations. The programs within which UNV specialists serve are usually managed by governments; often there is technical input and supervision from one of the UNS agencies, such as the Food and Agriculture Organization: International Labor Organization; WFP; UN Education, Scientific, and Cultural Organization; the UNHCR, the World Health Organization; UNICEF; or the World Bank. At the request of some governments, the UNV program can itself act as executing agent to provide volunteers directly to the requesting government.

Part of UNV program resources for its General Fund come from country and regional funds provided by its parent body, UNDP. Other significant sources include the regular program budgets of UN agencies, contributions from host governments, special purpose grants by donor governments, and the UNV Special Voluntary Fund. The Special Voluntary Fund (SVF) was established in 1970 to support the activities of the newly founded UNV program, and to meet the external costs of international travel, insurance, and settling-in-grants for volunteers. Contributions to the Special Voluntary Funds often amount to $16 million annually.

(4) United Nations Women's Fund (UNIFEM)

UNIFEM focuses on three areas of immediate concern: strengthening women's economic capacity as entrepreneurs and producers, especially in the context of the new trade agenda and the emergence of new technologies; engendering governance and leadership that increase women's participation in decision making processes that shape

their lives; and promoting women's human rights by eliminating all forms of violence against women and transforming development into a more peaceful, equitable and sustainable process. These thematic areas are addressed in relation to regional realities in Asia and Pacific, Africa, Latin, America and the Caribbean regions. UNIFEM is implementing the empowerment framework through five core strategies that build on the fund's comparative advantages:

- Building the capacity and leadership of women's organizations and networks
- Leveraging political and financial support for women from a range of stakeholders in the development process
- Forging new synergies and effective partnerships between women's organizations, governments, the UNS, and the private sector
- Undertaking pilot and demonstration projects to test innovative approaches to women's empowerment
- Building an operational knowledge base to influence mainstreaming.

(5) The UNDP Trust Fund for Support to Prevention and Reduction of the Proliferation of Small Arms

This fund provides support for projects and programs on practical disarmament and related development issues, including the following:

- Support to public information activities at the national, regional, and international levels to inform and advocate against small arms and light weapons
- Strengthening national, regional, and international capacity, cooperation, and legislation on control mechanisms concerning small arms and light weapons
- Support to strengthening cooperation and coordination as well as training and information sharing between the law and order forces and customs officials at the national and regional level
- Support to ensuring compliance with international humanitarian law concerning the use of small arms and light weapons
- Development of national and regional mechanisms, including codes of conduct, in connection with legal manufacturing, transit, transfers, and, where appropriate, reduction and control of small arms and light weapons
- Support for weapon collection and destruction programs in general, and related measures for disarmament, demobilization, and reintegration processes for ex-combatants.

d. Internal Organization

The General Assembly and the ECOSOC establish UNDP overall policies and review its operations through the 36-member Executive Board. The Administrator manages UNDP and is accountable to the Executive Board for all aspects of UNDP operations, at global, regional, and country levels. UNDP headquarters are located in New York and operations are managed through a network of 134 country offices. The Emergency Response Division of UNDP was established in 1995 to facilitate quick and efficient responses in emergency situations.

The resident UNDP representative is responsible for ensuring that all UNS personnel concerned with planning development programs are aware of any known or potential hazards and their likely effects. The UNDP representative must ensure that the hazards are appropriately taken into account when s/he mobilizes the UNDP staff and other technical assistance during emergency situations, particularly those staff members assigned to the initial assessment and immediate response.

5. United Nations Relief Works Agency for Palestine Refugees in the Middle East (UNRWA)

Following the 1948 Arab-Israeli conflict, UNRWA was established by General Assembly resolution 302 (IV) of 8 December 1949 to carry out direct relief and works programs for Palestine refugees. The agency began operations on 1 May 1950. In the absence of a solution to the Palestine refugee problem, the General Assembly has repeatedly renewed UNRWA's mandate, most recently extending it until 30 June 2002.

UNRWA is unique in terms of its long-standing commitment to one group of refugees and its contributions to the welfare and human development of four generations of Palestine refugees. Originally envisaged as a temporary organization, the agency has gradually adjusted its programs to meet the changing needs of the refugees. Today, UNRWA is the main provider of basic services – education, health, income generation, relief and social services – to over 3.6 million registered Palestine refugees in the Middle East. Through vocational training schools and youth activity centers, UNRWA has provided positive support to youth and has contributed to promoting stability in a complex situation.

6. United Nations Office for Project Services (UNOPS)

UNOPS is an entity of the UNS and was constituted on 1 January 1995 for the specific purpose of providing development services to projects and programs supported

by UN member states and organizations. As an institution, UNOPS has significant organizational experience in a wide range of programs; however, it can only be contracted by another UNS entity, and donors wishing to use its services must pass funding through another UNS entity.

Three unique features differentiate UNOPS from other UNS agencies, organizations, and programs:

- UNOPS specializes in the management of programs and, projects, and when technical backstopping is required, it subcontracts that function either as part of its management responsibility or as an integral part of the program or project design.
- UNOPS does not fund programs or projects; consequently it is free from the obligation to establish policies and infrastructures for the allocation of public funds, and can concentrate on the attaining objectives specified in the programs and projects designed by recipients and sources of funds.
- UNOPS operations are self-financing and require no assessed or voluntary contributions; the administrative cost of its services is recovered through service fees – support costs and management fees – collected from the funding source of the specific program or project being serviced.

7. United Nation Environment Program (UNEP)

In recent years, UNEP has expanded its services and partnerships in areas relevant to complex contingency operations. Two of these include the UNEP-OCHA partnership and the Global Resource Information Data Base in Geneva (GRID). The GRID network of 16 centers around the world holds significant geo-referenced and other data assets and is described in Chapter IX. UNEP also manages the Trust Fund for Environmental Emergencies. Through the UNEP-OCHA joint unit described earlier, these funds are applied to environmental aspects of complex emergencies, as well as to purely environmental disasters.

E. RESOURCES AND CAPACITIES OF SPECIALIZED AGENCIES

1. International Atomic Energy Agency

a. Mandate

Headquartered in Vienna, the IAEA is an independent, inter-governmental organization under the aegis of the UN. It is authorized to establish safety standards for

the peaceful use of atomic energy and to provide nations with technical advice for measures designed to mitigate and prepare for natural or man-made disasters affecting nuclear installations. The IAEA monitors and assists with the implementation of two international conventions dealing with nuclear accidents: the Convention on Early Notification of a Nuclear Accident and the Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency.

b. Types of assistance

IAEA is primarily an agency that establishes safety standards, monitors for compliance, provides technical expertise to requesting nations,[54] and coordinates the technical aspects of the international response to nuclear accidents. To provide this type of assistance, the agency has established the following:

- International Nuclear Event Scale (INES) as a system to place nuclear events into proper perspective and to provide a common understanding of the situation among the nuclear community, the media, and the public.
- Procedures, based on the INES-rated severity of the nuclear event, to coordinate technical assistance between the affected nation and potential donor nations
- With the World Meteorological Organization (WMO), official authorities for monitoring and tracking radioactive fall-out and contamination
- A worldwide data base of national nuclear accident response capabilities organized into four categories: human resources, special teams, equipment and materials, and specialized facilities
- Expert advice on the quantitative and qualitative effects of all chemical, biological, and nuclear contaminants on food stuffs in coordination with the World Health Organization and the Food and Agriculture Organization.

2. Food and Agriculture Organization (FAO)

a. Mandate

FAO was founded in October 1945 to raise levels of nutrition and standards of living, to improve agricultural productivity, and to better the condition of rural populations. Today, FAO is the largest autonomous agency within the UNS with 175

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[54] IAEA inspectors were part of the UN team established to ensure that Iraq's chemical, biological, and nuclear capacity was destroyed and not rebuilt.

member nations plus the European Union (as a member organization). It has more than 4,300 staff members with 2,000 working at decentralized offices and field projects around the world. The organization's 1998-1999 biennial budget is set at $650 million, and FAO-assisted projects for investment in agricultural and rural development projects attract contributions of more than $3.0 billion per year from donor agencies and governments.

Since its inception, FAO has worked to alleviate poverty and hunger by promoting agricultural development, improved nutrition, and the pursuit of food security – the access of all people at all times to the food they need for an active and healthy life. The organization offers direct development assistance; collects, analyses, and disseminates information; provides policy and planning advice to governments; and acts as an international forum for debate on food and agriculture issues.

b. Types of Assistance

FAO is active in land and water development, plant and animal production, forestry, fisheries, economic and social policy, investment, nutrition, food standards and commodities and trade. It also plays a major role in dealing with food and agricultural emergencies. See Chapter IX for a profile of the FAO supported Global Information Early Warning System.

3. World Health Organization (WHO)

a. Mandate

WHO was established to strengthen the national capacity of its member states, particularly disaster-prone countries, to reduce the adverse health consequences of natural and man-made disasters. In responding to emergency situations, WHO develops and carries out projects and activities that will assist the national authorities in rebuilding or strengthening their own capacity to handle the impact caused by such crises. **The organization's Division of Emergency and Humanitarian Action (EHA) is responsible for coordinating the international response to emergencies and natural disasters in the health field.** It does so in close partnership with other member agencies of the Interagency Standing Committee, and within the framework set by OCHA. EHA was established in 1993 replacing the former Emergency Relief Operations Division (ERO) with a strengthened and more extensive mandate to handle health sector emergency and humanitarian activities.

b. Types of Assistance

WHO is the health arm of the UNS. Within the areas of public health and medical care, WHO:

- Responds to requests from the competent national authorities in situations which are, or threaten to become, emergencies, and for which the nationally available resources are insufficient
- Offers emergency relief and health assistance, even in the absence of a request, if it is clear that such assistance would be beneficial, and the situation would otherwise represent a threat to public health in the country or adjoining countries
- Promotes disaster preparedness planning, management, and where possible, prevention.

c. Resources

WHO's staff supports training, compiles health related data, provides and coordinates technical health assistance, provides emergency medical supplies, and operates a health planning network. The organization's specific tasks include the following:

- Promotes and organizes regional and country-level seminars on disaster preparedness and disaster management for government personnel, particularly from ministries of health, and collaborates with a number of institutions engaged in the public health aspects of disasters and epidemiology
- Compiles country-specific epidemiological data weekly at WHO headquarters and makes these data available through its regional offices
- Provides technical assistance to carry out rapid health assessments in disaster-affected areas and other emergency situations
- Provides emergency medical supplies and equipment[55] from its warehouse in Denmark to combat unforeseen, serious, and immediate threats to public health
- Provides its own medical staff specialists on temporary assignments and coordinates with other member nations for additional specialists either on loan or hired as consultants for the duration of the emergency phase.

55 Medical supplies, drugs, and equipment may be provided on the basis of specifically prepared lists or in the form of the WHO Emergency Health Kit, which contains essential drugs and equipment designed to meet the needs of 10,000 persons for 3 months.

- Provides transport from WHO assets in or near the area, and provides the affected nation or other donor agencies with specialized procurement and recruitment services from its headquarters.
- Serves as focal point and provides expert advice on the quantitative and qualitative health effects of all chemical, biological, and nuclear contaminants on food stuffs in coordination with the IAEA and the FAO.

WHO headquarters and some regional directors provide assistance through regular program mechanisms, but also have available limited special disaster accounts. WHO headquarters also has a fund from which allocations can be approved in anticipation of subsequent receipt of donor contributions. WHO may directly approach potential donors but does not normally launch emergency appeals. It usually coordinates assessment in the health sector and proposes elements for inclusion in any OCHA appeal which, subject to the necessary funds being contributed, WHO then implements. WHO also provided technical advice to other governments and agencies on the particular health assistance requirements of the country concerned.

4. World Meteorological Organization (WMO)

a. Mandate

The WMO provides meteorological support to the member nations and humanitarian agencies. Specific WMO programs include the joint monitoring arrangement with the IAEA and the Tropical Cyclone Program (TCP).

With the IAEA, WMO has established officially designated authorities for monitoring and tracking radioactive fall-out and contamination. **The TCP provides early warning systems to mitigate effects of tropical cyclone disasters, through internationally coordinated action of meteorological services in cyclone-prone regions.** Six ocean basins are affected by cyclones. Five WMO regional tropical cyclone bodies (Tokyo, New Delhi, La Reunion, Nadi, and Miami[56]) handle activities in these basins. Tropical cyclone warnings are produced by national meteorological services, based on scientific guidance provided by regional and specialized meteorological centers (RSMC) specializing in tropical cyclones. Additional information on TCP is provided in Chapter IX.

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56 The U.S. National Hurricane Center provides this capability for WMO.

WMO's role is to assist members with coordination of measures to protect life and property, and is performed in close cooperation with OCHA, IFRC, the secretariat of International Decade for Natural Disaster Reduction (IDNDR), and other appropriate IGOs such as the Asian Disaster Preparedness Center (ADPC) and the Caribbean Disaster Emergency Response Agency (CDERA).

5. International Labor Organization (ILO)

While the ILO is not equipped to launch its own programs during a complex emergency, it has been contracted to provide assistance to vocational training schools and programs in post-crisis countries. In particular, these programs have a direct impact on perceived opportunities for reintegration by ex-combatants, both youths and adults.

6. International Civil Aviation Organization (ICAO)

The ICAO provides project management and technical coordination for the refurbishment of national airports, landing strips, and airfields. Most of the organization's work in this area has been directed toward the development and improvement of the ground services required for civil aviation and, in particular, toward air traffic control, communications, and meteorological services. Assistance in general has consisted of advising on the organization of government civil aviation departments, the location and operation of facilities and services, recruitment and administration of experts, fellowships training, and procurement of necessary equipment.

7. International Maritime Organization (IMO)

a. Mandate

IMO is the specialized agency of the UN responsible for improving maritime safety and preventing pollution from ships. The IMO also played an important role in assisting Vietnamese refugee boat people and could play a rescue coordination role in a future SSC.

b. Resources

IMO oversees the development of an effective maritime search and rescue capability and a maritime emergency communications system. It worked jointly with the ICAO and the International Telecommunications Union (ITU) to build the Global Maritime Distress and Safety System (GMDSS) which is discussed in Chapter IX.

During the last few years, a major effort has been made to improve the implementation of the Search and Rescue (SAR) Convention. Additional emphasis is being placed on the coordination of maritime and aeronautical SAR operations. IMO and the ICAO have established a Joint Working Group on the harmonization of aeronautical and maritime SAR operations and prepared the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual. The primary purpose of this manual is to help member states meet their obligations under the relevant conventions.

8. United Nations Education, Scientific, and Cultural Organization (UNESCO)

The main objective of UNESCO is to contribute to peace and security in the world by promoting collaboration among nations. This is accomplished through education, science, culture, and communication, and is intended to further universal respect for justice, for the rule of law, and for the human rights and fundamental freedoms which are affirmed for the peoples of the world without distinction of race, sex, language, or religion. To fulfill its mandate, UNESCO performs five principal functions :

- Prospective Studies: What forms of education, science, culture, and communication for tomorrow's world?
- Advancement, Transfer, and Sharing of Knowledge: Primarily research, training, and teaching activities.
- Standard-Setting Actions: Preparation and adoption of international instruments and statutory recommendations.
- Expertise: Provided to member states to assist with their development policies and projects in the form of technical cooperation.
- Exchange of Specialized Information.

In SSCs UNESCO provides a "school-in-a-box" for IDP and refugee children. UNESCO sends these educational supplies to temporary schools in refugee camps and to areas where IDPs and refugees plan to return.

If granted funds or invited to share technical expertise, UNESCO can provide support for education sector planning, curriculum reform, teacher training, specialized education programs for marginalized youth, adult education, civics and human rights education, as well as basic education textbooks. UNESCO delivers these projects as a technical service to the requesting government.

9. The World Bank

a. Mandate

The World Bank was formed in 1945 when the International Bank for Reconstruction and Development (IBRD) was created as part of the Bretton Woods Institutes (BWI) to assist in post-World War II reconstruction in Europe.[57] The current purpose of the World Bank is to help borrowers reduce poverty and improve living standards through sustainable growth and investment in people. The World Bank's goal is a world free of poverty. Its mission is to fight poverty with passion and professionalism for lasting results and to help people help themselves and their environment by providing resources, sharing knowledge, building capacity, and forging partnerships in the public and private sectors.[58]

b. Resources

The World Bank is actually the World Bank Group, comparable to a global cooperative owned by member countries, and has five affiliates or components.

- The IBRD provides loans and development assistance to middle-income countries and credit-worthy poorer countries. Voting power is linked to member's capital subscriptions, which in turn are based on each country's relative economic strength. The IBRD obtains most of its funds through the sale of bonds in international capital markets. The IBRD is listed as one of the Specialized Agencies of the United Nations System.
- The International Development Association (IDA) provides interest-free loans to the poorest countries.[59] The IDA depends on contributions from its wealthier member countries – including some developing countries – for most of its financial resources. IDA is the world's largest lender of concessional resources for programs that promote higher standards of living and stability, i.e., health, education, nutrition, and safe drinking water.
- The International Finance Corporation (IFC) promotes growth in developing countries by providing support to the private sector. In collaboration with

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57 The Bretton Woods Institutes formally include the World Bank and the International Monetary Fund (IMF) and their subsidiaries.

58 The World Bank continually encourages the developing countries to undertake policy reforms necessary to become free market oriented democracies and to attract domestic and foreign private sector capital.

59 Currently, the IDA lends to 41 countries, most sub-Sarahan African.

other investors, the IFC invests in commercial enterprises through both loans and equity financing.

- The Multilateral Investment Guarantee Agency (MIGA) encourages foreign investment in developing countries by providing guarantees to foreign investors against loss caused by noncommercial risks. It also provides advisory services to help governments attract private investment, and disseminates information on investment opportunities in developing countries.
- The International Centre for Settlement of Investment Disputes (ICSID) helps promote international investment through conciliation and arbitration of disputes between foreign investors and their host countries.

The President of the World Bank is traditionally a U.S. citizen who is supported by a staff of approximately 7,000 employees. Each of the more than 180 World Bank member nations is represented by a governor on the Board of Governors.[60] General operations management of the World Bank is overseen by the board of 24 Executive Directors[61] selected from the member nations based on number of shares held in the Bank and other criteria.

The World Bank is organized in eight sections, each headed by a Senior Vice President or Managing Director. A Post-Conflict Unit (PCU) was created within the Social Development Department in July 1997. Prior to that change, overall responsibility for the World Bank's post-conflict reconstruction activities was distributed among the various country teams which included experts in many sectors such as infrastructure, education, and health. **The PCU was created to develop policy, cross-country learning and expertise in specific post-conflict skills, to support the country teams, and to act as the focal point for enhancing Bank's response to post-conflict reconstruction issues.**

c. Post-Conflict Reconstruction

One of the important elements in dealing with smaller scale contingencies is the post-conflict reconstruction. Since the end of the Cold War, the link between poverty and conflict has become more evident; nearly one-half of all low-income countries have experienced a major conflict since 1980. Conflict decreases living standards by destroying human, social, and economic capital and negating decades of

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60 The U.S. Governor is the Secretary of the Treasury.

61 The U.S. Executive Director and alternate are political appointees, while other personnel in the office of the Executive Director are assigned from other branches of USG such as Treasury and USAID.

development. Conflicts are an inherent part of change and can present an opportunity to develop new social, political, and economic systems to serve the needs of a changing society. Promoting growth and other steps to manage conflict before it erupts into violence is considered a vital part of the Bank's development paradigm. At the other extreme, sustainable reconstruction of countries emerging from long periods of conflict is a severe challenge which requires direct response.

The Bank utilizes the newly established PCU as a key element in its post-conflict reconstruction efforts by:

- Serving as the secretariat of the Bank-wide group on post-conflict reconstruction issues
- Providing a focal point for partnership with other members of the international community involved in post-conflict reconstruction
- Helping Bank staff to benefit from the growing research on reconstruction both internally and in academic and policy institutions
- Providing scarce expertise to the Bank's operational staff in areas such as demining, demobilization, and population reintegration
- Maintaining a multi-sectoral expert capacity to back up country teams working on reconstruction issues
- Accelerating the institutional learning process through analysis and dissemination of information on reconstruction issues and practice.

In all activities, the PCU must operate in coordination with UN agencies and regional organizations to ensure there is no duplication of roles, and to develop its own expertise in light of the experience of others.

d. Coordination With Other UN Organizations

The World Bank collaborates closely with the UN Secretariat providing background information and participating in panel discussions. The Bank organizes several briefings for groups of member nations. They are currently formalizing a working dialogue with UNDP. The World Bank has also participated in GA meetings and has started a Vice Presidential Seminar Series.[62] The executive heads are also members of the ACC. Most recently, the World Bank President has collaborated with UNHCR to bridge the gap between humanitarian relief and sustainable development. On

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[62] The World Bank VPs spend a full day engaging various UN groups. Each day consists of: dialogue, special groups, and a UN-wide lunchtime seminar.

the other hand, the UNS only has observer status at the semi-annual meeting of the Bretton Woods Institutions.

10. The International Monetary Fund (IMF)

The IMF was established at the Bretton Woods Conference to promote world monetary stability and economic development. It is a specialized agency of the UN with five purposes:

- Promote international monetary cooperation through consultation and collaboration
- Facilitate the expansion and balanced growth of international trade, and to contribute thereby to the promotion and maintenance of high levels of employment and real income
- Promote exchange stability and orderly exchange arrangements
- Assist in the establishment of a multilateral system of payments and the elimination of foreign exchange restrictions
- Assist members through the temporary provision of financial resources to correct maladjustments in their balance of payments.

The Fund operates as a lender to member nations to restore monetary stability. It grants weaker nations temporary loans to offset balance of payment problems usually caused by disruptions in trade or payment patterns, or to overcome other financial difficulties. Member nations are assessed by quota based on wealth and the quota determines voting power within the Fund and access to its resources. Financially sound members are often called upon to supplement the resources available from quotas and these borrowed funds are used to provide economically weaker nations with resources needed to achieve economic stability. **The IMF often plays a significant role in assisting governments recovering from the effects of complex contingencies to achieve monetary stability and to set the conditions needed for economic development.**

F. SUMMARY AND CONCLUSIONS

The United Nations is the largest and most inclusive inter-governmental organization in the world. It provides the organizational arrangements that are necessary to facilitate collective action by its member states to solve international problems or disputes. The original organization established by the UN Charter has evolved into a complex collection of multilateral agencies representing programs and funds that are

provided by, guided, and directed by interested member states to achieve their national objectives. It is important to understand the unique responsibilities these organizations have, how they coordinate their activities, the resources they have available to participate in or influence smaller-scale contingencies, and the operational procedures they employ.

Many of these organizations will already be operating in the area when military forces are deployed to support a contingency. Arriving forces should draw upon the knowledge and experience of these organizations when deployed and coordinate with them to minimize the burden placed on the DoD and to achieve unity of effort in the operational area.

To gain better mutual understanding, greater confidence in their capabilities, and closer working relationships with the key UN agencies, the combatant commands should incorporate them into the command's exercise program. Moreover, planners and analysts need to take these capabilities into account when planning or evaluating the DoD response to smaller-scale contingencies or planning regional engagement strategies.

CHAPTER IV

INTER-GOVERNMENTAL ORGANIZATIONS

IV. INTER-GOVERNMENTAL ORGANIZATIONS

IGOs are consultative bodies of national governments formed for cooperation on economic, political, security, general dialogue, or cultural topics. The United Nations, discussed in the previous chapter, is the most inclusive of the IGOs. Other IGOs are somewhat less inclusive and, based on their charters, function to promote common policies, implement international agreements, resolve disputes, promote preventive diplomacy and conflict resolution, promote economic cooperation, share information, and promote collective security. Each IGO is governed by representatives of its member governments and receives funding support from the member nations. The general public's contact with IGOs is through the implementing arms of their Secretariats or other special programs conducted by these organizations. IGOs work with NGOs on both a consultative level and in actual IGO operations. **While some IGOs function on a worldwide basis, most operate within regional groupings.**

In response to the challenges presented by the new operating environment, some member states have promoted the expansion of IGOs beyond their original mandates. Regional Economic Communities[1] (RECs) and dialogue organizations with an effective standing dialogue mechanism or decision-making process are now frequently being used as vehicles to achieve regional peace and security solutions. **The North Atlantic Treaty Organization's (NATO's) expansion into democratization and peacekeeping and the Association of South East Asian Nations (ASEAN) move into preventive diplomacy are examples of the growing recognition of the need for collaboration, cooperation, and collective action to resolve complex contingencies.** The organizations involved with preventive diplomacy and peacekeeping or peace enforcement contingencies are formally linking themselves to the UN peace and security process through the provisions of Chapter VIII of the UN Charter.[2] This association allows them to carry out their

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1 Regional Economic Communities is a term used by the United Nations to describe regional and sub-regional IGOs aimed at facilitating dialogue and policy on economic issues among member states. States can be members of numerous and overlapping RECs.

2 See Articles 52 and 53, which encourage regional arrangements to maintain international peace and security, and permit regional organizations to take enforcement action when authorized by the UN Security Council.

regional efforts under the auspices of the UN Security Council. Organizations that have established or are investigating such a link include: Organization of the Islamic Conference, Organization for African Unity, Organization of American States, NATO, Western European Union, and ASEAN.

In general, IGOs focused on a special interest or general dialogue and cooperation tend toward broader memberships, based on transnational or non-geographic common interests that span more than a single region. Given the wide variety of IGOs, this chapter addresses those most relevant to SSCs. However, a number of regional organizations that have no specific complex contingency mandate or resources are also included because they might in future become focal points for dialogue and engagement in certain contingencies.

IGOs have played key roles in SSCs, but it is not without risk. Especially in the case of regional organizations, a conflict or economic crisis can paralyze the organization, thus leaving it unable to provide leadership or a forum for cooperation and dialogue.

The discussion that follows addresses IGOs in three major categories. The first group of organizations are those with global focus because of the issues they address or because their membership is drawn from more than a single region based on common culture or language. The second group includes regional organizations. The regional breakout follows the UN Economic Council alignment[3]: Latin America and the Caribbean, Africa, Asia and the Pacific, Western Asia, and Europe. The final group includes the financial institutions that are affiliated with the World Bank and IMF.

A. ORGANIZATIONS WITH GLOBAL FOCUS OR THAT SPAN MULTIPLE REGIONS

A number of IGOs have been established to address issues that have global reach such as migration, international criminal activity, or economic development. Others bring together member nations from more than a single region that share common cultures or languages. Another group of IGOs with global focus addresses arms control issues or the prohibition of certain types of weapons (or materials used for weapons).

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[3] This regional alignment is different than the one used by the General Assembly or the Unified Command Plan which assigns combatant command areas of responsibility. Appendix G identifies the members, associate members, partners, and observers affiliated with the IGOs discussed in this chapter, and also shows where nations fit in the various regional alignments.

1. International Organization for Migration (IOM)

The IOM[4] plays a key role in improving the capacity of governments and NGOs to handle population movements. The organization was chartered to perform three primary missions:

- Process and move refugees to countries offering them resettlement
- Provide orderly and planned migration to meet emigration and immigration requirements of losing and gaining countries
- Transfer technology through the movement of qualified human resources to promote economic, educational, and social advancement of developing countries.

IOM has 71 members; 48 others have observer status.[5] The organization's core operating costs are funded through member state assessments. Field operations, staffing, and programs are funded by project grants. IOM programs relevant to SSCs fall into two categories: humanitarian migration and technical cooperation.

a. Humanitarian migration programs provide migration assistance to:

- Persons fleeing conflict situations
- Refugees being resettled in third countries or repatriated
- Stranded individuals and unsuccessful asylum seekers returning home
- Internally and externally displaced persons
- Other persons compelled to leave their homelands
- Individuals seeking to reunite with other members of their families
- Migrants involved in regular migration.

IOM provides these individuals with secure, reliable, cost-effective services including counseling, document processing, medical examination, transportation, language training and cultural orientation, and integration assistance. Such services may be provided singly or in combination depending on the activity, program, or needs of the individual. During the delivery of services, the IOM has worked with NGOs like CARE and Habitat for Humanity.

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4 See www.iom.ch/.

5 Observers include 46 nations and the Sovereign Military Hospitaler Order of Malta, an International Organization, and the Holy See. Appendix G identifies the members and observers for the IGOs discussed in this chapter.

Humanitarian migration activities also include the provision of emergency assistance to persons affected by conflict and post-conflict situations. IOM has participated in virtually every emergency involving large-scale movement of people since it was founded in 1951. Its services are offered to vulnerable populations in need of evacuation, resettlement, or return. While such services are often urgent and vital in the initial phases of an emergency, they may become even more relevant during the critical transition from emergency humanitarian relief, through a period of rehabilitation, to longer-term reconstruction and development efforts. In recent years, **the international community has also used IOM increasingly to assist with the return and reintegration of demobilized soldiers or police officials.**

b. Technical Cooperation Programs

Technical cooperation programs operated by IOM focus on capacity building projects such as training courses for government migration officials, and analysis of and suggestions for solving emerging migration problems. IOM furthers the understanding of migration through regional and international seminars and conferences which bring together those concerned with migration issues in order to develop practical solutions. Recent topics have included: migrant women, migrant trafficking, migration and development, undocumented migrants, the impact of migration on social structures, and migration and health.[6] Research on migration relates not only to the migration process, but also to the specific situation and needs of the migrant as an individual human being. IOM has developed mechanisms to gather information on potential migrants' attitudes and motivations, as well as on situations that could lead to irregular migration flows. Research is carried out in cooperation with research institutes.

2. International Criminal Police Organization

The mandate of INTERPOL[7] is to promote international cooperation among police authorities in fighting crime. Its governing bodies are a General Assembly and an Executive Committee formed by member state representatives. These are deliberative bodies, with decision-making and supervisory powers, which meet periodically. The organization's permanent departments constitute the General Secretariat which is

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6 Most recently, NGOs and the IOM have paired to find solutions to the illegal trafficking of women in Central and Eastern Europe, with a similar NGO-IOM project scheduled for the Philippines and Vietnam.

7 See www.kenpubs.co.uk/interpol-pr/.

responsible for implementing the decisions and recommendations adopted by the two governing bodies. The Secretariat also maintains close contacts with the INTERPOL National Central Bureaus (NCBs) in the various member countries and this arrangement provides the framework for day-to-day international police cooperation.

Membership includes 176 nations and they are termed the National Central Bureaus. There are also 11 sub-bureaus that represent American Samoa, Anguilla, Bermuda, British Virgin Islands, Cayman Islands, Gibraltar, Hong Kong, Macau, Montserrat, Puerto Rico, and the Turks and Caicos Islands.

The General Secretariat has a staff of 318, including 114 who are seconded or detached police personnel. It maintains liaison, develops criminal intelligence, and conducts analysis on three major areas of criminal activity:

- General Crime: offences against persons and property, organized crime, and terrorism
- Economic and Financial Crime: fraud, counterfeiting of currency and travel documents, and funds derived from criminal activities
- Illicit Drug Traffic.

Regionally, INTERPOL promotes police coordination through a Drugs Liaison Bureau in Bangkok, a Sub-Regional Bureau for South America in Buenos Aires, and a Sub-Regional Bureau for West Africa in Abidjan. INTERPOL also provides support to training initiatives, and international conferences and symposia and works with NGOs to provide training on crimes relating to women, abuse of children, and property crimes.[8]

The government of every member state appoints one permanent police department to serve as its country's INTERPOL National Central Bureau and act as the focal point for international cooperation. In most cases, the department designated is a high-level one with wide powers. The NCB is able to reply to any request from the General Secretariat or from another NCB and is capable of launching large-scale police action by other national law enforcement agencies whenever necessary. The NCBs are staffed solely by their own countries' police officers or government officials who always operate within the limits set by their own laws. The NCBs' activities can be summarized as follows:

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[8] The International Council of Museums and The Getty Documentation Institute are two NGOs that currently work with INTERPOL to end the illegal traffic of cultural property.

- Collect documents and criminal intelligence having a direct bearing on international police cooperation from sources in their own countries, and pass this material on to the other NCBs and the General Secretariat
- Ensure that police action or operations requested by another country's NCB are carried out on their territory
- Receive requests for information, record checks, etc., from other NCBs and reply to such requests
- Transmit requests for international cooperation made by their own courts or police departments to the NCBs of other countries.

The NCBs communicate directly among themselves. However, they keep the General Secretariat informed of their investigations so that the latter can perform its task of centrally disseminating information and coordinating cooperation.

3. Organization for Economic Cooperation and Development (OECD)

The mandate of OECD[9] is to promote policy coordination in economic cooperation and development among the major development assistance providing countries. The membership includes the 29 most economically developed nations, which provide most of the international development assistance, and the European Union, which has special member status.

Through various committees and agencies, OECD promotes policy and program coordination for Official Development Assistance (ODA). It provides tracking and reporting of member state official development and assistance. It registers and publishes a compendium of NGOs[10] located in donor states and NGOs actively receiving developmental assistance. The OECD works to coordinate information and policy through the following agencies:

- The Development Assistance Committee (DAC)[11] which has recently been engaged in recommending guidelines for relief and development assistance in complex emergencies

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9 See www.oecd.org/.

10 See the Directory of Non-Governmental Organizations Active in Sustainable Development Part I: Europe, and the Directory of Non-Governmental Organizations Active in Sustainable Development Part II: Australia, Canada, Japan, Korea, New Zealand, United States, published by the Development Center of the Organization for Economic Cooperation and Development, 75006 Paris, France, 1998.

11 Members of the DAC include: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, and United States.

- Nuclear Energy Agency (NEA), established by the OECD to promote the peaceful uses of nuclear energy
- International Energy Agency (IEA) established by the OECD to promote cooperation on energy matters, especially emergency oil sharing and relations between oil consumers and oil producers.

4. Franc Zone (FZ)

The Franc Zone[12] is one of several IGOs formed on cultural and language affiliation. Its mandate is to form a monetary union among French speaking countries whose currencies are linked to the French franc. Cooperation and coordination on monetary policy within this group frequently overlaps into development and governance support issues. The Franc Zone includes 14 African nations, France, and its overseas departments, territorial collectives, and overseas territories.[13]

5. *La Francophonie (LF)*

La Francophonie[14] is the agency for the French-speaking Community, formerly called the Agency for Cultural and Technical Cooperation or *Agence de Cooperation Culturelle et Technique* (ACCT). It is a worldwide organization of independent nations, which originated with 21 nations ratifying the Niamey (Niger) Convention of 1970. Today, *La Francophonie* includes 43 members, 3 associates, and 3 observers. Through *La Francophonie* organization, the members promote cultural and technical cooperation among French-speaking countries. There is no official link between *La Francophonie* and the former French Empire; all countries have equal status in the organization, and France has not retained any official leadership role.

6. Commonwealth of Nations (CWN)

The Commonwealth of Nations[15] is a worldwide political organization of independent nations and their dependencies, all of which recognize the British monarch

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12 See www.tradecompass.com/library/books/terms/Franc Zone/html.

13 Overseas departments of France include French Guyana, Guadeloupe, Martinique, and Reunion; territorial collectivities of Mayotte, Saint Pierre and Miquelon; and the three overseas territories of French Polynesia, New Caledonia, Wallis and Futuna.

14 See www.francophonie.org/oif.cfm/.

15 See www.thecommonwealth.org/.

as head of the Commonwealth. CWN currently has 52 members and Nauru and Tuvalu hold special member status. The CWN carries out its programs through three elements.

a. Commonwealth Development Corporation (CDC)

The CDC is the United Kingdom's development finance institution established to assist with the economic development of poorer countries through private sector investment. Founded in 1948 as the Colonial Development Corporation, its name was changed in 1963. The corporate board is appointed by United Kingdom's Secretary of State for Foreign and Commonwealth Affairs and its sponsoring governmental department is the Overseas Development Administration.

Through three core business units for investment, industries, and financial markets the CDC assists economic development by investing in and supporting the operations of commercially viable and developmentally sound business enterprises. CDC only invests where businesses are expected to contribute positively to national development and add value through their participation. The corporation is unique among similar institutions because it operates a portfolio of managed businesses based on commercial principles with the long-term aim of developing businesses for sale to the local private sector. The CDC also works with the Commonwealth Secretariat to set up special funds to invest in private sector businesses in Commonwealth developing countries. In July 1996 the first of these funds, the Commonwealth Africa Investment Fund, was launched. Technical Assistance programs are funded by the Commonwealth Fund for Technical Cooperation.

b. The Commonwealth Business Information Network (COMBINET)

This network[16] links more than 300 chambers of commerce, manufacturing associations, individual businesses, trade related government web sites, and international organizations located in CWN member countries. The network serves 1.6 billion people in Africa, Asia and the Pacific, the Americas and Caribbean, and Europe and the Mediterranean.

c. Commonwealth Foundation

The Commonwealth Foundation is an inter-governmental organization established by the CWN members to support the non-governmental sector with targeted financial aid

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16 See www.combinet.org/.

and other assistance. Established in 1966 to promote closer professional cooperation within the CWN, the Commonwealth Foundation provides small grants to NGOs in the following areas: developmental projects; education; forestry; agriculture and veterinary sciences; government and parliament; legal; media and communications; medical, health and disabilities; science and technology; social and welfare; and sports.

7. Commonwealth of Independent States (CIS)

The 12 member CIS[17] was created following the demise of the Soviet Union. Geographically, the organization spans Europe and Central Asia. It was established to coordinate relations among the Soviet Union's former members, less the three Baltic nations, and to provide a mechanism for the orderly dissolution of the Soviet Union. With the exception of Belarus, Russia, and the Ukraine, the CIS members have moved to become more independent or placed emphasis on participation in other regional IGOs to resolve economic, political, and military issues.

8. Community of Portuguese Speaking Countries [*Comunidade de Paises de Lingua Portuguesa*] (CPLP)

Created in 1996, CPLP[18] is a strictly political-diplomatic organization with the promotion of the Portuguese language as its only cultural objective. So far, its major achievement has been to act as a mediator in the civil war in Guinea-Bissau (along with the ECOWAS). Its members include seven lusophone countries, with East Timor as an observer.

9. Non-Aligned Movement (NAM)

Established to serve as a forum for achieving political and military cooperation independent from the influence of the traditional East or West blocs during the Cold War, NAM[19] still promotes economic cooperation among developing nations. The organization currently has 112 nations (and the Palestine Liberation Organization) as members, 20 observer nations, and 22 guest nations. The main political body for the NAM is the Group of 15 (G-15) comprising the states of Algeria, Argentina, Brazil,

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17 See cis.minsk.by/.

18 See www.cplp.org/.

19 See www.nonaligned.org/.

Egypt, India, Indonesia, Jamaica, Malaysia, Mexico, Nigeria, Peru, Senegal, Venezuela, Yugoslavia, and Zimbabwe.

10. Organization of Petroleum Producing Countries (OPEC)

This organization,[20] which is essentially an international commercial cartel, has been headquartered in Vienna since 1965. It was established to achieve stability and prosperity in the international petroleum market. It currently has 11 members located in Africa, Asia, the Middle East, and Latin America, but membership is open to any nation that is a substantial exporter of oil and shares the ideals of the organization. In the early 1970s, OPEC's control of oil production substantially increased the cost of fuel globally. While still influential, affected nations have been able to take actions to lessen the impact of reductions in OPEC production. Moreover, economic problems faced by many OPEC members have made it more difficult to adhere to agreed OPEC production quotas.

11. Organization of the Islamic Conference (OIC)

This is a major IGO comprising the 56 Islamic states and the Palestine Liberation Organization as members along with 4 additional observer states. The OIC[21] promotes Islamic cooperation in economic, social, cultural, and political affairs. It has established the Islamic Development Bank (IsDB) as a major funding source for development assistance in the region. The OIC is in consultation with the UN to explore areas of expanded cooperation and coordination, to include affiliation as a recognized regional arrangement under Chapter VIII of the UN Charter.

12. Arab Cooperation Council (ACC)

This council was established by four member nations: Egypt, Iraq, Jordan, and Yemen.[22] Its mandate was to promote economic cooperation and integration, possibly leading to an Arab Common Market. It has had little activity since the end of the Gulf War.

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20 See www.opec.org/.

21 See www.oic-un.org/.

22 These four nations and Bahrain, Kuwait, Lebanon, Oman, Palestine, Qatar, Saudi Arabia, Syria, and the United Arab Emirates are the 13 members of the Economic and Social Commission for Western Asia (ESCWA), but the IGOs with Arab membership also include nations from the Economic Commission for Africa (ECA).

13. Arab Fund for Economic and Social Development (AFESD)

The mandate of this fund[23] is to promote economic and social development among its members. Membership includes 21 nations and the Palestine Liberation Organization, but Iraq, Somalia, and Sudan were suspended in 1993.

14. Arab League (AL)

The Arab League[24] was established to promote economic, social, political, and military cooperation among its 21 member nations and the Palestine Liberation Organization.

15. Arab Monetary Fund (AMF)

The mandate of this fund[25] is to promote Arab cooperation, development, and integration in monetary and economic affairs. The fund has membership from 20 nations and the Palestine Liberation Organization.

16. Council of Economic Arab Unity (CEAU)

This organization[26] has 11 nations and the Palestine Liberation Organization as members. Its purpose is to explore expanded opportunities for economic cooperation and unity among its membership.

17. Organization for the Prohibition of Chemical Weapons (OPCW)

Established by international convention[27] that went into force on 29 April 1997, the OPCW[28] currently has 125 members. An additional 45 states have signed the convention but have not yet completed the ratification process. The convention prohibits signatory states, under any circumstances, from performing the following:

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23 See www.Grabfund.org/.

24 Also known as League of Arab States (LAS). See www.imf.org/external/np/sec/decdo/las.htm/.

25 See www.imf.org/external/np/sec/decdo/amf.htm/.

26 See www.polsci.com/world/intorg/20042.htm.

27 The Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction.

28 See www.opcw.nl/.

- Developing, producing, otherwise acquiring, stockpiling, or retaining chemical weapons, or transferring, directly or indirectly, chemical weapons to anyone
- Using chemical weapons
- Engaging in any military preparations to use chemical weapons
- Assisting, encouraging or inducing, in any way, anyone to engage in any activity prohibited by the convention.

The convention also requires signatory states to destroy all chemical weapons that they possess or that were abandoned on the territory of other member states as well as any chemical weapons production facilities. The convention also contains annexes specifying the terms of implementation and verification, and OPCW serves as the Technical Secretariat to oversee the activities. It verifies the destruction of weapons and production facilities and has authorization to conduct verification inspection to ensure chemical production facilities are not used to develop or produce chemical weapons.

In addition to inspectors, the OPCW maintains a 24-hour operations center to respond to requests by members for assistance and protection from chemical weapons or actions that threaten their use. The organization maintains an International Assistance Unit (IAU) with limited capabilities to provide technical assistance and to coordinate an international response if required. OPCW has compiled a list of member states' offers of assistance including protective equipment, decontamination equipment, detection equipment and units, medical treatment capabilities, and technical advise. The response capability of OPCW is described in more detail in Appendix I.

18. Missile Technology Control Regime (MTCR)

MTCR[29] is another organization devoted to arms control. Its mandate is to arrest the proliferation of missiles (unmanned delivery vehicles of mass destruction) by controlling the export of key missile technologies and equipment. MTCR currently has 32 members.

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[29] See www.armscontrol.org/FACTS/mtcr.html.

19. Nuclear Suppliers Group (NSG)

This group[30] is another IGO established to assist with arms control. It has 34 member nations and the European Commission holds observer status. The organization was created to establish guidelines for exports of nuclear materials, processing equipment for uranium enrichment, and technical information to countries of proliferation concern and regions of conflict and instability.

20. Australia Group (AG)

This group[31] was established to consult on and coordinate export controls related to chemical and biological weapons. It has 30 member nations and the European Commission is an observer.

B. LATIN AMERICA AND THE CARIBBEAN

This region includes a major IGO that has membership from all nations in Western Hemisphere and a number of sub-regional IGOs based on geographic, economic, and cultural interests.

1. Organization of American States (OAS)

The Organization of American States[32] has 35 members from the region and 46 observers from other areas of the world. The OAS was established to promote regional peace and security as well as economic and social development. It is the region's premier political forum for multilateral dialogue and decision-making. Subjects currently on its agenda for action include the following:

- Promotion of democracy, human rights, and civil society
- Promoting the rights of women and children
- Promoting security and demining
- Crime prevention, fighting corruption, and juridical development
- Countering drugs and terrorism
- Trade and economic integration

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30 Also known as the London Suppliers Group or the London Group. See www.usun-vienna.usia.co.at/Zangger.html.

31 See www.armscontrol.org/ACT/janfeb98/tucker.html.

32 See www.oas.org/.

- Overcoming poverty and sustaining development
- Cultural and educational development and tourism
- Science and technology.

The OAS collaborates with NGOs in both consultation and during the implementation of programs to achieve the OAS mandate. In a consultative role, the NGOs can provide information and counsel to OAS organs. In an advocacy role, NGOs like Amnesty International and the Center for Justice and International Law present memorandum to the Inter-American Commission on Human Rights. And **in an operations role, the OAS provides NGOs with funding for conflict resolution training and other community based programs.**

One regional program coordinated by the OAS is the Caribbean Disaster Mitigation Project (CDMP). Supporting the wider Caribbean, including the coastal Central and South American states, CDMP is a coordinated effort to promote improved mitigation and preparedness practices for natural disasters by both the public and private sectors in the Caribbean region. CDMP is funded by the USAID Office of Foreign Disaster Assistance and implemented by the Organization of American States/Unit of Sustainable Development and Environment (OAS/USDE) for the USAID Caribbean Regional Program (USAID/CRP).

The military advisory body for the OAS is the Inter-American Defense Board (IADB).[33] Formed in 1942 and located in Washington, DC, the IADB is the oldest international military organization. Senior military representatives from OAS member states form the IADB Council of Delegates. **The council provides advice to the OAS on military matters and acts as the principal organ for planning and preparing for the defense and security of the American continents.** The council meets regularly, on a biweekly basis or as required, and sets policy and provides guidance for the other elements of the IADB. The IADB has a permanent military staff and a secretariat that provides administrative support and serves as the secretary for the Advisory Defense Committee when it is convened by member states. The IADB also operates the Inter-American Defense College (IADC). The college prepares selected military officers and civilians of the American nations for future senior leadership responsibilities in the hemisphere.

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[33] See www.jid.org/.

2. Caribbean Community and Common Market (CARICOM)

Founded in 1973 by agreement of the Commonwealth Caribbean Heads of Government with the signing of the Treaty of Chaguaramas, CARICOM[34] succeeded the Caribbean Free Trade Association. This regional IGO has 13 members, 3 associate members, and 9 observers. The mandate of CARICOM is to achieve economic integration of the member countries through the common market, to coordinate the foreign policies of member states, and to cooperate in areas of social and human endeavor.

To accomplish these objectives, CARICOM has established the Conference of Ministers to deal with health issues, and Standing Committees of Ministers responsible for agriculture, education, energy, mines and natural resources, finance, foreign affairs, science and technology, tourism and transportation, and the environment. Under the Treaty of Chaguaramas, a number of institutions associated with CARICOM include the Caribbean Development Bank, Caribbean Examinations Council, Caribbean Meteorological Organization, Council of Legal Education, Organization of Eastern Caribbean States, University of Guyana, and University of the West Indies.

Some of the principal issues of the regional agenda include: reconstruction of regional institutions and organs; analysis of its impact on existing arrangements; strengthening relations with the wider Caribbean through existing organizations; and deepening the integration process in the community through the formation of the single market.

Because the small island nations that constitute CARICOM are subject to topical storms, earthquakes, and other natural disasters but have little individual capacity to respond to these events, they have formed CDERA. The organization has also established a Regional Security System (RSS) to coordinate its defense and law enforcement activities.

a. Caribbean Disaster Emergency Response Agency

Headquartered on Barbados, CDERA[35] is an intergovernmental regional disaster management organization established in 1991 to provide a permanent regional mechanism to coordinate regional disaster management activities. At present all the

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34 See www.caricom.org/.

35 CDERA membership includes all CARICOM members and associate members plus Anguilla less Suriname. See www.cdera.org/.

members are Commonwealth Caribbean countries, including 4 British Dependent Territories. Membership, however, is not restricted to the English-speaking Caribbean. The Agreement establishing CDERA makes explicit provision for any Caribbean state to apply for membership.

CDERA's main function is to coordinate the regional response to any disastrous event affecting any participating state, once the affected state requests such assistance. Other functions include:

- Collection, analysis and dissemination of comprehensive and reliable information on disasters affecting the region to interested governmental and non-governmental organizations
- Mitigating or eliminating, as far as possible, the consequences of disasters affecting participating states
- Establishing and maintaining, on a sustainable basis, adequate disaster response capabilities among participating states
- Mobilizing and coordinating disaster relief from governmental and non-governmental organizations for affected participating states.

The present focus of CDERA is on disaster preparedness and response, and its current activities include programs in the following areas:

- Training for disaster management personnel
- Institutional strengthening for disaster management organizations
- Development of model disaster legislation for adaptation and adoption by participating states
- Contingency planning
- Resource mobilization for strengthening disaster management programs in participating states
- Improving emergency telecommunications and warning systems
- Development of disaster information and communication systems
- Education and public awareness.

b. Regional Security System

The RSS is the paramilitary arm of the CARICOM member nations. It is headquartered in Barbados with a small permanent staff that coordinates the activities of the military and police forces of the member nations to achieve regional security. The RSS is active in the international counterdrug operations in the region and recently was

provided two C-26 aircraft by the USG to assist with aerial reconnaissance operations in the region. The RSS also maintains close liaison with the West Indies Guard Ships (WIGS) operated by the UK, France, and the Netherlands.

The RSS provides the CARICOM Disaster Response Unit (CDRU) which gives CDERA a response capability. The CDRU[36] is a fixed 25-man organization containing military and police personnel, unit equipment, and sustaining supplies. The CDRU can be deployed to an affected nation on a single C-130 aircraft to assist local officials with the restoration of law and order, to secure relief supplies, and to ensure the supplies are distributed to the needy. When a disaster strikes, the CDRU conducts a rapid assessment in coordination with CDERA. If the unit must deploy, the staging will be coordinated by the chief of staff of the major CARICOM military force located in one of three sub-regions: Jamaica, Barbados, or Trinidad.

The RSS and CDERA are putting into place a system of warehouses to hold prepositioned disaster relief supplies in four separate locations in the region. The RSS will arrange for the transportation of the supplies from the warehouses to the airfield or port from which the items will be shipped and coordinate the transport to local storage sites on arrival in the affected area. Together CDERA and the RSS provide an excellent model of the type of capabilities smaller nations with limited resources can produce when they work together.

3. Organization of Eastern Caribbean States (OECS)

This organization[37] has seven members and two associate members and was established to promote political, economic, and defense cooperation. Because all members and associate members are also affiliated with CARICOM, a more inclusive organization with similar objectives, this group has limited capacity.

4. Association of Caribbean States (ACS)

This association[38] includes 25 members and 3 associate members. In addition, 14 nations and 4 regional IGOs hold observer status with the organization. The association

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36 Personnel from participating states are assigned by name to the CDRU positions for a one-year tour beginning in June with the concurrence of their respective prime ministers. They are authorized to deploy under the direction of CDERA when requested by an affected member nation.

37 See www.polisci.com/world/intorg/20123.htm/.

38 See www.acs-aec.org/.

was established to advance economic integration and functional cooperation among its membership. The ACS facilitates consultation, cooperation and concerted action among its members and associate members. It also promotes the implementation of policies and programs for:

- Economic integration, including the liberalization of trade, investment, transportation and other related areas
- Discussion on matters of common interest for the purpose of facilitating active and coordinated participation in the region in the various multilateral fora
- Formulation and implementation of policies and programs for functional co-operation in the fields of culture, economics, science and technology, and social development
- Preservation of the environment and the conservation of the natural resources of the region and especially the Caribbean Sea
- Strengthening friendly relationships among governments and peoples of the Caribbean
- Consultation, cooperation, and concerted action in such other areas that may be agreed upon.

ACS priority programs include: tourism; development of trade and external economic relations; transportation; natural and environmental disasters; social, cultural, scientific and technological development issues; coordinated participation in multilateral fora; protection and preservation of the environment; natural resources and the Caribbean Sea; and the gathering, exchange, and analysis of information.

5. Mecado Comun del Sur (MERCOSUR)

Known as the Southern Common Market, the MERCOSUR,[39] is primarily a trade policy organization formed by Argentina, Brazil, Uruguay, and Paraguay that has also undertaken social actions such as the standardization of education and transferability of credentials. MERCOSUR does not have a current preventive diplomacy or disaster response function. However, given the trend in expanding functions for regional bodies, and its coverage of most of the South American Continent,[40] it is possible that MERCOSUR may be seen as an appropriate vehicle for greater regional cooperation in these and other areas.

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39 See www.imf.org/external/np/sec/decdo/mercosur.htm/.

40 Chile is seeking membership in MECOSUR.

6. Andean Community (AC)

This organization,[41] also known as the Andean Parliament, includes 5 nations located in the northern portion of South America, but also has 26 nations with observer and one with associate status. The mandate of the organization is to promote harmonious development within the region through economic integration.

7. Latin American Association for Integration [*Asociacion Latinoamericana de Integracion*] (ALADI)

This association[42] includes as members the 11 nations of both the Andean Community and MERCOSUR. An additional 15 nations and 8 regional IGOs hold observer status with ALADI. The association was established to promote freer regional trade in Latin America and serves as a forum to coordinate policies and activities between the two economic communities.

8. Latin American Economic System [*Sistema Economica Latinoamericano*] (SELA)

This group[43] has the mandate to promote economic and social development through regional cooperation. It has eight member nations, mostly from Central and South America, but includes seven Caribbean nations of Barbados, Cuba, Dominican Republic, Grenada, Haiti, Jamaica, and Trinidad and Tobago.

9. Agency for the Prohibition of Nuclear Weapons in Latin America and the Caribbean [*Organismo para la Proscripcion de las Armas Nucleares en la America Latina y el Caribe*] (OPANAL)

This 31 member organization[44] was established to encourage the peaceful uses of atomic energy and prohibit nuclear weapons within the region.

10. Group of 11 (G-11)

This group[45] of 11 nations, also known as the Cartagena Group, was established to provide a forum for largest debtor nations in Latin America. A smaller subset

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41 See www.comunidadandina.org/.

42 See www.aladi.org/.

43 See www. sela.org/.

44 See www.opanal.org/.

45 See www.polisci.com/world/intorg/20067.html.

identified as the Group of 3 (G-3)[46] was established to be a mechanism for policy coordination.

11. Rio Group (RG)

Also known as *Gruppo de los Ocho* and the Contadora Group, this IGO[47] was **originally formed to reduce tensions and conflicts in Central America.** The RG has now evolved into a forum to consult on regional Latin American issues. Its eight members include representative countries in South and Central America.

12. Central American Economic Integration System [*Secretaria de Integracion Economica Centroamericana*] (SIECA)

SIECA[48] has five Central American members and one observer, and was established to promote the establishment of a Central American Common Market. To accomplish its objectives, SIECA has two major programs.

The Central American Bank for Economic Integration or the *Banco Centroamericano de Integracion Economico* (BCIE) was established to promote economic integration and development within the region.

Since 1988, The Central American Center for the Coordination of the Prevention of Natural Disasters or *Centro de Coordinacion para La Prevencion de Desastres Naturales en America Central* (CEPREDNAC)[49] has served as a coordination center for the region as a whole. The CEPREDNAC seeks to reduce the effects of natural disasters on the population and improve the capacity of Central American communities to respond. Headquartered in Panama with affiliated national commissions in each member country, CEPREDENAC's objectives are to:

- Promote disaster mitigation through increased interregional exchange of technological, scientific, and social information and experiences
- Promote efforts to develop common approaches to problem analysis and the development of regional strategies
- Mobilize national and international resources for the development of national disaster prevention and mitigation capacities.

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46 See www.polisei.com/world/intorg/20467.thml

47 See www.optonli8ne.com/plweb-cgi/fastweb?search+view+a11002of3a+25+250++centadoral.

48 See www.imf.org/external/np/sec/decdo/sieca.htm/.

49 See *cepreden@sinfo.net/*.

C. AFRICA

Africa is a vast continent with great diversity. The Organization of African Unity is a capstone IGO providing the entire continent with a single forum for its member states. Based on geography and interests, however, the other IGOs are typically organized to address issues related to one of four sub-regions: Eastern and Southern Africa, West Africa, Central Africa, and North Africa. The West African sub-region historically has been predominantly a French area of influence. Most IGOs in this sub-region are based on francophone alliances or river basins. The *Communaute Financiere Africaine Franc*, a currency board system based on the French Franc, links the currencies among the member states in this sub-region. However, the expanding presence and influence of Nigeria, in particular the role of Economic Community of West African States (ECOWAS), is seen as a serious challenge to French influence in this sub-region.

1. Organization for African Unity

The OAU[50] is a 52 member organization established in 1963 to carry out the following important tasks:

- To promote the unity and solidarity of the African States
- To defend the sovereignty of member states
- To eradicate all forms of colonialism
- To promote international cooperation in accordance with the Charter of the United Nations and the Universal Declaration of Human Rights
- To coordinate and harmonize economic, diplomatic, educational, health, welfare, scientific, and defense policies of its member states.

Similar to other IGOs, the OAU brings together its member states and conducts its work through an executive council of ministers, various commissions, committees, and bodies, all supported by a permanent secretariat. The political department of the secretariat plays a key role because it provides a Pan-African institutional framework for collective action by African States when addressing common problems confronting the Continent. This is in keeping with the OAU Founding Fathers belief that Africans should assume greater responsibility for the management of common challenges confronting its member states. With the completion of de-colonization, the new states are refocusing their economies towards national development and growth. They have, however,

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50 See www.oau-oua.org/.

encountered serious impediments because of intra-state conflicts, refugees and internally displaced persons caused by these conflicts, lack of progress in democratization, and human rights abuses. This department is structured to address these challenges through three of its bureaus.

a. Bureau For Refugees, Displaced Persons, and Humanitarian Affairs

This bureau provides a framework within which the continuing problems of refugees, internally displaced persons, and humanitarian affairs can be addressed. It assists the OAU Commission on Refugees, which is charged with monitoring and following-up on refugee issues in Africa, and making recommendations to the Council of Ministers. The bureau also supports the OAU Coordinating Committee on Assistance to Refugees in Africa, providing institutional linkages between the OAU bodies and the wider international and non-governmental organizations, which provide support and assistance for refugees in Africa. The bureau, among other things, informs member states about refugee movements in Africa, their causes and consequences, contributes to the needs of refugees, especially in the area of education and income generating activities, and encourages the individual resettlement of refugees who might have appropriate skills and qualifications. **The bureau played a major role in negotiating the OAU agreements of cooperation with the UNHCR and the ICRC, in connection with refugees, returnees, and displaced persons.**

b. Bureau for Conflict Prevention, Management, and Resolution

This bureau operates the Mechanism for Conflict Prevention, Management, and Resolution (MCPMR). The mechanism's primary functions are to anticipate and prevent conflicts and to employ peace-making and peace-building when needed. An OAU Peace Fund has been established to support the operational activities of the mechanism and The bureau for Conflict Prevention, Management, and Resolution manages the OAU Peace Fund.

Since its inception, the bureau has applied the mechanism in a number of initiatives to prevent, manage, and resolve conflicts in the region:

- Rwanda: deployed a Neutral Military Observer Group (NMOG) to monitor the implementation of the Arusha Peace Agreement
- Burundi: deployed an OAU Observer Mission (OMIB) to monitor the peace process

- Liberia and Sierra Leone: supported the regional efforts of the ECOWAS countries
- Central African Republic: supported the initiatives undertaken by the four African heads of state, aimed at defusing the crisis
- Great Lakes region: worked closely with countries of the region in the search for a peaceful solution to the crises in the Democratic Republic of Congo, and the Republic of Congo
- Comoros: deployed military observers to monitor the situation and to act as a confidence building measure.

c. Bureau of the Assembly of Heads of State and Government

The Central Organ on Conflict Prevention, Management and Resolution guides the MCPMR. The Central Organ assumes overall direction and coordinates activities of the mechanism between ordinary sessions of the Assembly of Heads of State and Government and, unlike other OAU staff, its members are elected annually. It functions at the level of heads of state, ministers, and ambassadors accredited to the OAU. Where necessary, the participation of other OAU member states, particularly the neighboring countries of an affected region, is sought. **The Central Organ may also seek from within the continent, such military, legal, and other forms of expertise as it may require in the performance of its functions.**

The Secretary General and the secretariat, under the authority of the Central Organ, and in consultation with the parties involved in the conflict, deploy observers or negotiators, and take all appropriate initiatives to prevent, manage, and resolve conflict. **To this end, the Secretary General relies upon the human and material resources available within the secretariat, particularly the Center for Conflict Management which regularly consults with African leaders and eminent African and non-African personalities**. In his efforts, when necessary, the Secretary General makes use of other relevant expertise and sends special envoys or special representatives, as well as fact-finding missions, to conflict areas.

Drawing from past experience, the OAU has been working for the past few years to establish an African Early Warning System on Conflict Prevention, Management and Resolution, which will allow the speedy exchange of information on conflict situations in Africa, thus allowing for early political action. An outreach program, part of the emerging early warning system, already has been established with a publications unit focused on resolving conflicts under international leadership.

Currently, the OAU is engaged in building strategic alliances with donors to enable it to influence the direction of its efforts and to generate additional enthusiasm and resources in support of the mechanism. The OAU will also continue to seek to mobilize support for its activities and resources from African non-state actors, such as churches, and other religious groups, the business sector, and other potential donors. The intent is to mobilize considerable resources, both financial and material, from within Africa. This resource mobilization will be linked to the development of OAU's increased involvement with African business communities and civil society actors and organizations.

Through a special refugee contingency fund, the OAU is able to provide the necessary assistance to refugees and internally displaced persons. **A special fund, known as the "OAU Peace Fund," was also established with the mechanism to provide financial resources to support operational activities relating to conflict management and resolution.** The Peace Fund consists of financial appropriations from the regular budget of the OAU (six percent), voluntary contributions from OAU member states, as well as from other sources within Africa. The Secretary General may, with the consent of the Central Organ, and in conformity with the principles and objectives of the OAU Charter, also accept voluntary contributions from sources outside Africa. **The Peace Fund is a ground-breaking development for the OAU because it attempts to establish financial independence from non-member and non-governmental resources for its activities.**

The declaration establishing the mechanism requires the OAU to coordinate its activities closely with:

- African regional and sub-regional organizations and shall cooperate, as appropriate, with the neighboring countries with respect to conflicts which may arise in the different sub-regions of the continent
- **The United Nations, especially in the areas of peacekeeping and peace-making; where necessary, recourse will be made to the UN to provide the necessary financial, logistical, and military support for the OAU's activities in conflict prevention, management and resolution in Africa, in keeping with the provisions of Chapter VIII of the UN Charter on the role of regional organizations in the maintenance of international peace and security**
- Other international organizations
- Non-governmental organizations, both African and Non-African.

2. Southern Africa Development Community

SADC[51] was created in 1992 by 11 original member states to bring to the sub-region economic prosperity, development, and stability through regional trade liberalization and political and economic integration. Formerly known as the Southern African Development Coordination Conference, today the SADC has 14 member states that work to coordinate, harmonize, and rationalize their policies and strategies for sustainable development. The SADC Treaty commits member states to fundamental principles of sovereign equality of member states; solidarity, peace, and security; human rights, democracy, and rule of law; equity, balance, and mutual benefit.

To accomplish its objectives, SADC has created a number of commissions and centers to implement the policy guidance of member states within the sub-region.

a. Southern African Transport and Communications Commission (SATCC)

SATCC was initially established to coordinate activities in the transport sector. It was very successful in distributing emergency supplies in the region during 1992/93. It coordinated the use of the facilities in 12 ports in Southern Africa, through which 11.5 million tons of relief supplies were imported. It also coordinated six transport corridors to ensure a free flow of food and other relief supplies to affected areas in the region. The focus of SATCC has also been on upgrading and rehabilitating ports in Angola and Mozambique and on increasing the capacity of direct exchange lines and international subscriber dialing service in the region.

b. Southern African Center for Cooperation in Agricultural Research (SACCAR)

The mandate of SACCAR is to strengthen the national agricultural research system among member countries. The objectives are to improve management, increase productivity, promote the development of and transfer of technology to local farmers, and to improve training. In recent years it has handled projects relating to, crop improvement, land and water management, etc., in Malawi, Tanzania, Zimbabwe, and Zambia.

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51 See www.sadc.int for The Declaration and Treaty establishing the SADC.

c. The SADC Regional Early Warning System

Based in Harare, this system maintains information on the supply and demand of food supplies in member countries. As a result of frequent droughts in the region, member countries have agreed to inform the regional system's food security section of their food and non-food requirement on a regular basis. The objective is to anticipate and prevent food shortages through early warning and mitigation actions.

d. SADC Regional Peacekeeping Training Center

The SADC[52] Interstate Defence and Security Conference (ISDSC) established the training center at the Zimbabwe Staff College to coordinate and harmonize peacekeeping training in SADC member states. The center conducts an annual 2-week Southern African regional peacekeeping course aimed at preparing officers for duties at any deployed UN headquarters in the field. This course is currently offered to officers from the SADC countries, as well as other African countries. The Zimbabwe Staff College Peacekeeping Department also conducts 3-day workshops on peacekeeping for selected personnel from all elements of the contemporary peacekeeping environment. **The U.S. European Command has supported conferences on identifying and utilizing MCDA and will participate in SADC peacekeeping exercises.**

3. Inter-Governmental Authority on Development

Another organization[53] of 7 Horn of Africa member states is IGAD. Its mandate is to attain sustainable economic development for its member countries. Formerly known as the Intergovernmental Authority on Drought and Development, IGAD was created in 1986 by these drought stricken countries to coordinate development in the Horn of Africa. In 1996 the Heads of State and Government revitalized the Authority and expanded its areas of regional cooperation. The secretariat, in addition to the Office of the Executive Secretary, has three divisions: Economic Cooperation, Agriculture and Environment, and Political and Humanitarian Affairs. **IGAD has identified three priority areas of cooperation: Conflict Prevention, Management and Resolution, and Humanitarian Affairs; Infrastructure Development (Transport and Communications); and Food Security and Environment Protection.**

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52 See www.sadc.int/overview/index.htm/.

53 See www.igad.org/.

The IGAD policy on food security and environment is to ensure that all people in the IGAD sub-region have access to sufficient food for a healthy and productive life while preserving the natural resource base and environment. Priority projects include:

- Establishment of Regional Integrated Information System (RIIS)
- Strengthening of library and documentation services in member states
- Remote sensing services
- Household energy
- Training of and credit schemes for trades people in artisanal fisheries
- Implementation of the international convention to combat desertification
- Promotion of sustainable production of drought tolerant, high yielding crop varieties through research and extension
- Trans-boundary livestock disease control and vaccine production
- Promotion of environment education and training
- Strengthening environment and pollution control
- Capacity building in integrated water resources management
- Promotion of Community based land husbandry
- Training in grain marketing.

Infrastructure development projects promote the coordination and harmonization of policies in trade, industry, tourism, communications (transport by road, rail, and water), and telecommunications. Emphasis is on: removal of physical and non-physical barriers to interstate trade, communication, and telecommunication; construction of missing links on the Trans-African Highway and the Pan African Telecommunications Network (PANAFTEL); improvement of ports and inland container terminals; and modernization of railway telecommunications service.

In the area of conflict prevention, management and resolution, and humanitarian affairs the IGAD has much work to do. Article 18 of the Agreement establishing IGAD states that member states shall act collectively to preserve peace, security, and stability which are essential prerequisites for economic development. Therefore, **IGAD is very concerned about the situations in Somalia, Southern Sudan, and between Eritrea and Ethiopia. For the moment, the primary role of the Assembly of Heads of State and Government is to restore peace and order in those member countries so that future efforts can be focused on development. For the mid-term, IGAD will focus**

on capacity building in areas of conflict prevention and alleviation and mitigation of humanitarian crises associated with the conflicts.

4. Common Market for Eastern and Southern Africa (COMESA)

COMESA, an organization of 21 sovereign states, works on issues relating to resource protection and development, and promotion of peace and security.[54] COMESA's main focus is on the formation of a large economic and trading unit to overcome some of the barriers that are faced by individual states. Its member states have a population of over 385 million with annual imports of about US$32 billion and COMESA forms a major market place for both internal and external trading.

COMESA contributes to the process of regional integration and regional economic development by working together with its member states and the other regional bodies to which its member states are affiliated, and building upon the achievements it has already made in its priority areas. To avoid any duplication and waste of resources, COMESA has a leading role in designing, implementing, and monitoring projects. Additionally, COMESA plays a supporting role to other organizations in projects and programs of a regional nature where it lacks experience and does not have the necessary experience and expertise. At the technical level, COMESA secretariat staff maintain close and cordial working relationships, and cooperate on projects and programs of common interest, with staff of the SADC coordinating units and its secretariat.

COMESA member states are working to remove all internal trade tariffs and plan to introduce a common external tariff structure to deal with all third party trade within 4 years. If these goals are met, COMESA member states will have considerably simplified trade procedures. Other objectives include:

- Trade liberalization and customs cooperation, with the introduction of a unified computerized customs network across the region
- Improved administration of transport and communications to ease the movement of goods, services, and people between the countries
- Creating an enabling environment and legal framework to encourage the growth of the private sector
- Establishment of a secure investment environment, and the adoption of common sets of standards

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54 See www.comesa.int/.

- Harmonization of macroeconomic and monetary policies throughout the region.

5. Indian Ocean Commission (IOC)

This organization[55] of five Indian Ocean islands was established to organize and promote regional economic, social, cultural, and diplomatic cooperation among its members. France is a major player because of Reunion.

6. Economic Community of West African States

This 16 nation organization was initially established to promote trade and economic growth among member countries. **ECOWAS[56] has, over the last 9 years, expanded from an economic cooperation organization into a regional preventive diplomacy and peacekeeping and peace enforcement organization.** Anglophone and francophone divisions still trouble the organization. However, the decision to adopt the ECOWAS Monitoring Group (ECOMOG) as the model and nucleus of a regional peacekeeping force was seen as a clear victory for Nigeria's anglophone interests.

Starting with the 1989-98 Liberian civil war, ECOWAS has deployed ECOMOG into Sierra Leone, Senegal, and Guinea Bissau for peacekeeping or peace enforcement missions. While Nigeria has provided the majority of troops and funding for ECOMOG deployments, other countries have received bilateral assistance supporting their participation. **The U.S. European Command and UN OCHA have sponsored a workshop on the use of Military and Civil Defense Assets for ECOMOG member forces.**

7. West Africa Economic and Monetary Union (WAEMU)

This organization[57] of 8 French speaking nations was established to increase competitiveness of its members' economic markets by creating a common market. Also known in French as *Union Economique et Monetaire Ouest Africaine* (UEMOA), the organization has its own financial institution, the West African Development Bank (WADB) or *Banque Ouest-Africaine de Developement* (BOAD), to promote regional economic development and integration. The bank oversees the *Communaute Financiere*

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55 See www.oneworld.org/ecdpm/pubs/coiz-gb.htm/.

56 See www.cedeao.org/.

57 See www.imf.org/external/np/sec/decdo/waemu.htm/.

Africaine Franc, a currency board system based on the French franc that has been adapted by the francophone states in the sub-region.

8. Mano River Union (MRU)

This West African organization[58] of three members sharing the same river basin has the mandate to promote regional economic and social development. Due to conflicts in Liberia and Sierra Leone, the MRU Secretariat has been paralyzed since 1990. Liberia and Guinea recently contributed funds to re-start the MRU activities.[59] If the reactivation does take effect, the MRU may be a potential forum for addressing Liberia and Sierra Leone political issues.

9. Economic Community for Central African States [*Communaute Economique des Etats de l'Afrique Centrale*] (CEEAC)

This organization[60] of 10 Central African states, with Angola as an observer, was established to promote regional economic cooperation and a Central African Common Market

10. Economic Community of the Great Lakes Countries [*Communaute Economique des Pays des Grands Lacs*] (CEPGL)

This organization[61] of three member states bordering the Great Lakes was established to promote regional economic cooperation and integration within the sub-region.

11. Central African Customs and Economic Union [*Union Douaniere de l'Afrique Centrale*] (UDEAC)

This organization[62] of six member states was established to promote a Central African Common Market, but is to be replaced by the *Communaute Economique et Monetaire de l'Afrique Centrale* (CEMAC). The new organization will include the Central African States Development Bank, or *Banque de Developpement des Etats de*

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58 See www.panaf.net/whos1123.htm/.

59 See www.africanews.org/PANA/news/20000320/feat6.html.

60 See www.polisci.com/world/intorg120054.htm/.

61 See www.polisci.com/world/intorg/20055.htm/.

62 See www.polisci.com/world/intorg/20025.htm/.

l'Afrique Centrale (BDEAC), which includes the regional members as well as France, Germany, and Kuwait. BDEAC will provide loans for economic development in the sub-region.

12. The Permanent Interstate Committee for Drought Control in the Sahel [*Comité Permanent Inter-Etats de Lutte Contre la Secheresse dans le Sahel*] (CILSS)

Established in 1973 in response to major droughts in the Sahel, this organization works in emergency relief, food security, and sustainable development.[63]

13. Arab Maghreb Union (AMU)

This organization[64] encompasses five North African countries that have strong historical, cultural, and language affinities. The union was created to coordinate and harmonize the development plans of these countries as well as intra-regional trade and relations with the European Union.

D. ASIA AND THE PACIFIC

Asia as a landmass includes the four sub-regions of Southwest Asia, Central Asia, South Asia, and Southeast Asia. Also grouped with Asia are the Oceanic states. Many of the region's states are members in transnational Arab or Islamic organizations. **Other than the UN, there is no single overarching IGO that covers the range of issues for the member states in such a vast region.**

1. Asia-Pacific Economic Cooperation Group

The APEC Group[65] was established in 1989 in response to the growing interdependence among Asia-Pacific economies. Begun as an informal dialogue group, APEC has since become the primary regional vehicle for promoting open trade and practical economic cooperation. Its goal is to advance Asia-Pacific economic dynamism and sense of community. Today, APEC includes all the major economies of the region and the most dynamic, fastest growing economies in the world. APEC's 19 member economies had a combined Gross Domestic Product of over US$16 trillion in 1995 and produced 44 percent of global trade.

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63 See www.dainet.de/gtz/ref_proj/engl/91-20536.htm#CILSS.

64 See www.imf.org/external/np/sec/decdo/amu.htm/.

65 See www.apecsec.org.sg/.

2. Colombo Plan (CP)

The 24 member organization, officially the Colombo Plan for Cooperative Economic and Social Development in Asia and the Pacific,[66] was created to provide a forum for discussion, at Asia-Pacific regional level, of developmental needs. It was also intended to encourage member countries to participate as donors and recipients of technical cooperation, and to facilitate execution of programs to advance development in member countries.

The Colombo Plan, the world's oldest regional cooperation organization, was launched in 1951 as a cooperative venture in economic and social development by seven Commonwealth countries. It promotes development through partnership among the developing member countries in Asia and the Pacific. A council, also representing each member government, meets several times yearly to identify development issues, recommend measures to be taken by the Plan, and ensure implementation. The Plan currently has four programs:

- It provides training in all sectors of public administrations in the context of market-oriented development.
- It encourages North-South cooperation utilizing the successful technology experience of some developing countries and provides training[67] to transfer these skills to other developing countries.
- A drug advisory program begun in 1972 works with governments, international bodies and NGOs in the region to deliver more effective anti-narcotics programs both in supply (controlling availability of drugs) and demand (helping addicts and to counter the drugs culture).
- The Colombo Plan Staff College for Technician Education established in 1973 trains management and technical staff from member countries.

3. South Asia Association for Regional Cooperation

Established in 1985, SAARC's main goal is to accelerate economic and social development in its seven member states through joint action in agreed areas of cooperation. Although tensions between India and Pakistan and their recent nuclear

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66 See www.imf.org/external/np/sec/decdo/colplan.htm/.

67 Training is focused on the private sector, and is provided in: fisheries management, productivity improvement, small enterprises, poverty alleviation, human resource development in industry and agriculture, investment and trade promotion and technology, and environmental issues in agriculture and tourism.

testing have complicated the ability of SAARC,[68] many improvements are now taking place as a pragmatic approach towards solving economic and social troubles gains acceptance among the member states. Among these goals are:

- Reducing danger of external intervention
- Reducing political, military, and economic tensions within the region
- Expanding trade and other economic ties within a much larger market formed by the reduction and elimination of trade barriers
- Coordinating measures for mutual benefit in diverse areas ranging from poverty eradication to environmental protection
- Improving the already close cultural links that exist among the South Asian states.

4. Association of Southeast Asian Nations

Established in 1967, the mandate of ASEAN[69] is to encourage regional economic, social, and cultural cooperation among the non-Communist countries of Southeast Asia.[70] Political and security cooperation in ASEAN are best represented by some of the most important accords adopted by the organization. These include the 1971 declaration designating Southeast Asia as a Zone of Peace, Freedom, and Neutrality (ZOPFAN), the Treaty of Amity and Cooperation (TAC) in Southeast Asia, the Declaration of ASEAN Concord of 1976, and the Treaty on the Southeast Asia Nuclear Weapon-Free Zone (SEANWFZ) of 1995.

The declaration on ZOPFAN states ASEAN's peaceful intentions and commitment to building regional resilience free from any form or manner of interference by outside powers. The TAC represents a code of international conduct governing peaceful relations among countries in the region in accordance with the Charter of the United Nations (UN). The UN General Assembly endorsed the TAC in 1992. The Declaration of ASEAN Concord, on the other hand, contains the principles and framework for ASEAN cooperation in the political, security, economic, and functional fields. The Treaty on SEANWFZ is ASEAN's contribution to the progress towards general and complete disarmament of nuclear weapons.

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68 See www.south-asia.com/saarc/.

69 See www.asean.or.id/.

70 Cambodia and Papua New Guinea are ASEAN observers.

In addition, the organization has formed the ASEAN Regional Forum (ARF) including Australia, Canada, China, European Union, India, Japan, Republic of Korea, Mongolia, New Zealand, Russia, and United States in the sub-region's dialogue and resolution of issues. Established in 1994, ARF serves as a multilateral consultative forum aimed at promoting preventive diplomacy and confidence building among the states in the Asia-Pacific region. The meeting of senior officials for the ARF has also been institutionalized to provide support and follow-up actions on the activities of the organization.[71]

The ARF has agreed on a three-stage approach to cooperation:

- Promotion of confidence building,
- Development of preventive diplomacy
- Elaboration of approaches to conflicts.

The ARF has several activities such as the Inter-sessional Support Group (ISG) on confidence building, Inter-sessional Meeting on Disaster Relief, Inter-sessional Meeting on Search and Rescue Cooperation, and Inter-sessional Meeting on Peacekeeping Operations. The organization has established the ARF Disaster Relief Experts Group, comprising national disaster managers, as a standing coordination body. Additionally the Asian Disaster Preparedness Center has been retained for technical support in the areas of training, information exchange and dissemination, strategic planning, disaster management program and protocol development. Immediate objectives identified include:

- Enhancement of early warning capabilities on emergencies such as earthquakes, floods, and severe storms, and with improved access to existing early warning information
- Training and technical cooperation to further develop national disaster management capabilities
- Development of a regional disaster relief capabilities data base
- As appropriate, incorporating disaster relief activities undertaken by ARF participants into joint and combined military exercises, whether bilateral or multilateral.

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[71] Although the majority of ASEAN initiatives are with UN agencies and other IGOs, ASEAN has incorporated NGOs into social and environmental programs and invites NGOs to participate in workshops. Currently, 53 NGOs have formal status at ASEAN.

Regular exchanges of views on measures to enhance an enduring regional peace, stability, and prosperity also take place outside the inter-governmental framework or through the "Track Two" process. This dialogue involves consultations among the non-governmental ASEAN-Institutes of Strategic and International Studies (ASEAN-ISIS) based in each of the ASEAN countries. On a periodic basis, the ASEAN senior officials hold consultations with representatives of these institutes.

5. South Pacific Commission (SPC)

This 27 member organization[72] was established to promote regional cooperation in economic and social matters among the various small Pacific island nations. The SPC also includes Australia, France, New Zealand, the United Kingdom, and the United States

6. South Pacific Forum (SPF)

The SPF[73] has 14 small island nations and Australia and New Zealand as members. The mandate is to promote regional cooperation in political matters.

7. South Pacific Regional Trade and Economic Cooperation Agreement (SPARTECA)

This organization[74] has 13 small island nations and Australia and New Zealand as members, and was established to redress unequal trade relationships of Australia and New Zealand with small island economies in the Pacific region.

8. Economic Cooperation Organization (ECO)

This organization (10 members, 1 associate)[75] links the Central Asian countries with their neighbors for the purpose of promoting regional cooperation in trade, transportation, communications, tourism, cultural affairs, and economic development.

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72 See www.spc.org.nc/.

73 See www.forumsec.org/fj/.

74 See www.polisci.com/world/intorg/20133.htm/.

75 The "Turkish Republic of Northern Cyprus" is an associate member. See www.imf.org/external/np/sec/decdo/eco.htm/.

E. WESTERN ASIA

In 1973, the UN General Assembly established the Economic Commission for Western Asia (ECWA) to facilitate the initiation and participation of the 13 member states in economic reconstruction and development. Most IGOs covering this geographic area do so as part of a larger Islamic or Arab based membership and are discussed as organizations with global focus. **The only IGO operating exclusively in this region is the GCC.** This six member organization,[76] also known as the Cooperation Council for the Arab States of the Gulf,[77] was established to promote regional cooperation in economic, social, political, and military affairs.

F. EUROPE

The European region has a long history of warfare. To stabilize the political and military situation and develop the region economically, a very complex political, economic, and security architecture has been developed linking several very large and influential IGOs. While primarily oriented on the European region, membership in many of the larger organizations extends from North America through Asia encompassing most of the Northern Hemisphere of the globe.

1. Organization for Security and Cooperation in Europe

OSCE[78] is the largest existing regional security organization in the region with 54 members and 7 partners. Its geographic area includes continental Europe, the Caucasus, Central Asia, and North America. It also cooperates with Mediterranean and Asian partners. **OSCE's mandate is to foster the implementation of human rights, fundamental freedoms, democracy, and the rule of law. It also acts as an instrument of early warning, conflict prevention and crisis management, and serves as a framework for conventional arms control and confidence building measures.**

In the region, OSCE is the only security institution or organization that is considered a regional arrangement in the sense of Chapter VIII of the United Nations Charter and is the primary instrument for early warning, conflict prevention, crisis management, and post-conflict rehabilitation. The OSCE approach to security is comprehensive and cooperative. It deals with a wide range of security

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76 See www.polisci.com/world/intorg/20081.htm/.

77 See www.imf.org/external/np/sec/decdo/gcc.htm/.

78 See www.osce.org/.

issues, including arms control, preventive diplomacy, confidence- and security-building measures, human rights, election monitoring, and economic and environmental security. **The OSCE is active in all phases of the conflict cycle, from early warning and conflict prevention to conflict management and post-conflict rehabilitation.**

OSCE also seeks to ensure full respect for human rights and fundamental freedoms, to abide by the rule of law, to promote principles of democracy and, in this regard, to build, strengthen, and protect democratic institutions, as well as promote tolerance throughout society. The OSCE works to achieve these aims by:

- Conducting election observation,[79] and offering election training and technical assistance to participating states
- Providing members with technical assistance for democratization in a variety of areas including: rule of law, NGOs in civil society, freedom of movement and migration, ombudsman and national human rights institutions, and gender equality
- Engaging in a broad variety of technical assistance projects to assist requesting states in the training of judges and lawyers, the training of police, the training of correctional officers, bringing legislation into line with international standards and commitments, and professionalization of law faculties[80]
- Operating technical assistance projects to develop and strengthen civil society in countries in transition with projects designed to build dialogue and constructive relationships between government institutions and civil society, enhance the capacity of NGOs,[81] and bring together actors from across lines of conflict
- Participating in close cooperation with UNHCR, IOM, and other organizations to conduct human rights training programs for border guards and other officials in some of the participating states, programs to ensure that citizenship laws and laws on registration of permanent residents conform with international standards, and training programs for government officials on the implementation of new laws, and to enhance public awareness of the laws.

OSCE operations and programs are carried out by the permanent secretariat and are funded through regularly assessed budgets and through voluntary contributions for

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79 During 1998, OSCE sent more than 1,500 observers to monitor elections in twelve countries.

80 The OSCE is working with Danish NGO, *Avocats sans Frontiers* to strengthen a local lawyers association in Kosovo.

81 The OSCE is currently in the process of updating its data base of NGOs in the OSCE region.

earmarked programs. **The High Commissioner on National Minorities function is to identify and seek early resolution of ethnic tensions that might endanger peace, stability, or friendly relations between the participating states. The mandate describes the incumbent as "an instrument of conflict prevention at the earliest possible stage."** Operating independently of all parties involved, the High Commissioner is empowered to conduct on-site missions and to engage in preventive diplomacy at the earliest stages of tension. In addition to obtaining first-hand information from the parties concerned, the High Commissioner seeks to promote dialogue, confidence and cooperation between them.

When confronted with a conflict, or a situation that has the potential of developing into one, OSCE has an array of tools that can be employed to attempt to resolve the problem. This toolbox consists of: fact-finding and *rapporteur* missions; observer missions and other field activities; personal representatives of the Chairman-in-Office; *ad hoc* steering groups; mechanisms for peaceful settlement of disputes; and peacekeeping operations.

Missions, or field activities, are the OSCE's principal instrument for long-term conflict prevention, crisis management, conflict resolution, and post-conflict rehabilitation in its region. The mandates, sizes, and activities of the various missions vary greatly, reflecting the flexibility of this instrument. This flexibility, combined with the large number of the missions, gives the OSCE a unique opportunity to address conflicts and crisis situations throughout its region.

OSCE has developed several mechanisms for peaceful settlement of disputes. These procedures facilitate prompt and direct contact between the parties to the conflict and help to mobilize concerted action by the OSCE. The Human Dimension Mechanism (which combines the Vienna and Moscow Mechanisms) includes:

- Consultation and cooperation regarding unusual military activities
- Cooperation on hazardous incidents of a military nature
- Provisions relating to early warning and preventive action
- Consultation and cooperation regarding emergency situations[82] (Berlin Mechanism)

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[82] See Berlin Mechanism at www.osce.org/indexe_se.htm.

- Peaceful settlement of disputes[83] (Valletta Mechanism; Convention on Conciliation and Arbitration within the OSCE; Provisions for an OSCE Conciliation Commission; and Provisions for Directed Conciliation).

OSCE's comprehensive approach to security also includes commitments and mechanisms relating to military matters. It seeks to enhance military security by promoting openness, transparency, and cooperation among participating states. These mechanisms include: the Forum for Security Cooperation, Confidence and Security-Building Measures (CSBMs); the Code of Conduct on politico-military aspects of security; and regional arms control agreements.

2. European Union

With 15 members and 12 applicants for membership, the EU[84] is another large and influential regional IGO. Its mandate is to coordinate policy among the members in three areas. In the area of economics, it is to establish a common market and eventually a common currency. In the area of defense, it is to develop the concept of a Common Foreign and Security Policy (CFSP). In the area of home affairs and justice, it is to coordinate policies for immigration, drugs, terrorism, and improved living and working conditions.

The EU is founded on three pillars.

- European Community: based on the Treaty of Rome, as revised by the Single European Act, embraces democracy, citizenship, economic and monetary union (single currency, European Central Bank, single monetary policy, coordination of economic policies)
- **Common Foreign and Security Policy: based on systematic cooperation, common positions, joint action, and common defense policy based on the WEU**
- Home Affairs and Justice: based on closer cooperation on asylum policy, rules on crossing the member states' external borders, immigration policy, combating drug addiction, combating international fraud, and achieving customs, police and judicial cooperation.

In addition to the laws of its member states, the EU has established a body of community law that applies throughout the 15 member states. The principal community

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83 See Valletta Mechanism, Convention on Conciliation and Arbitration Within the OSCE.

84 See www.europa.eu.int/.

institutions and bodies that have been created support this legal framework and carry out the work of the EU. These institutions have been carefully structured to provide appropriate national and regional representation, and to create appropriate checks and balances and oversight to ensure the organization remains responsive to its member governments and the population it serves.

- **The European Parliament:** The only democratically elected international institution has 626 members who exercise democratic control at the community level by drafting, amending, and adopting EU laws and budgets, and making policy proposals
- **The Commission:** Consisting of 20 Commissioners, is independent of national governments[85] and acts as a college, makes proposals for European legislation and action, and oversees the implementation of common policies
- **European Commission Humanitarian Office (ECHO): A service of the EU, under the direct responsibility of the Commissioner for Development, Cooperation, and Humanitarian Affairs, it responds to requests for assistance and manages humanitarian aid to populations of all countries in the world affected by natural catastrophes or emergencies**.[86]
- **The Council of the European Union:** Includes one minister for each member state government and for each subject (e.g., the Council of Foreign Ministers includes the 15 foreign ministers of member states), and with the European Parliament adopts Community legislation, initially proposed by the Commission
- **The European Council:** Comprising the Heads of State or Government of the member states, and the President of the Commission, it meets at least twice a year to decide broad policy direction for the Community and for matters of foreign and security policy and cooperation in justice and home affairs
- **The Court of Justice:** The supreme court of the European Union, with 15 judges and 9 advocates-general, it ensures that the Treaties are respected and applied and the Court of First Instance deals with some cases
- **The Court of Auditors:** With 15 members, it monitors the management of Community finance.

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85 The European Parliament must give its approval to the member states appointment of the Commission, and also has the power to censure it.

86 ECHO responds to request for emergency aid, food, and assistance for refugees and internally displaced persons. Its funds have been used for food, medical supplies, hospital equipment, logistical materials, transportation both from origin to destination and locally in the affected area, and in the fields of medical, nursing, logistics, and staff.

- **The Economic and Social Committee:** An advisory committee, consisting of 222 representatives of various non-governmental economic and social groups within the Community.[87]
- **The Committee of the Regions:** An advisory committee consisting of 222 representatives of local and regional authorities, who are appointed by the member states to bring a regional and local dimension to the Union.

3. Western European Union

The WEU,[88] with its members, associate members and partners, and observers, includes 27 member states. It was the first European organization established to provide mutual defense and to move toward political unification. After the formation of the North Atlantic Treaty Organization including the United States and Canada, the WEU became less active as its European members worked to strengthen that organization. With the reduction in threat from the Soviet Union and the EU's progress towards achieving unification, the WEU has been rejuvenated as an important part of the Common Foreign and Security Policy pillar.

The WEU has developed and is already testing the procedures and mechanisms needed to prepare, plan, and conduct military operations and to ensure their political control and strategic direction. These include a planning cell, a situation center, a satellite center, and a range of military and politico-military committees and working groups.

Although it has neither its own forces nor its own permanent command structures, the military units and headquarters that could be made available to WEU on a case-by-case basis for specific operations have been designated by the member nations. These "Forces answerable to WEU" (FAWEU) are documented in a data base maintained by the planning cell and these data are updated annually. In addition to national units, a number of multinational formations have been designated as "Forces answerable to WEU." These forces include the following:

- European Corps (EUROCORPS): Troop contributions from Belgium, France, Germany, Luxembourg and Spain
- Multinational Division (Central): Brigades and division troops from Belgium, Germany, Netherlands and the United Kingdom

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87 In the past the ESC has focused on labor rights and professional associations, but today NGOs with larger social advocacy programs have become vocal participants.

88 See www.weu.int/.

- United Kingdom-Netherlands Amphibious Force
- European Rapid Deployment Force (EUROFOR): Troops contributed from France, Italy, Portugal and Spain
- European Maritime Force (EUROMARFOR): Maritime forces contributed from France, Italy, Portugal and Spain
- Headquarters of the First German-Netherlands Corps
- Spanish-Italian Amphibious Force
- NATO assets and capabilities.[89]

The main function of the WEU satellite center is to analyze, for security purposes, imagery from satellite and airborne sources relating to areas of interest to WEU. The center uses commercially available imagery gathered by satellites. High-resolution imagery from the Franco-Italian-Spanish Helios defense observation satellite is also made available to the center.

For field operations, an operational budget to which all participating nations contribute, would be established in accordance with arrangements agreed by the Council. This funding covers the common costs of WEU operations. There is also a permanent fund in the regular WEU budget to cover the start-up costs of WEU operations. To test these procedures, a WEU exercise policy has been agreed and a rolling 5-year exercise program has been drawn up. Crisis Exercise 1995/96 (CRISEX 95/96) was the first WEU exercise under this program. CRISEX 98 took place in November 1998, and a joint crisis management exercise with NATO is planned for 2000.

4. Council of Europe (CoE)

The Council of Europe[90] is separate from and not associated with the EU or its institutions. This IGO has 49 members, guests, and observers. It was established to promote increased unity and quality of life in Europe. It does so through programs that ensure full respect for human rights and fundamental freedoms, abide by the rule of law, promote principles of democracy, and promote, strengthen, and protect democratic institutions and tolerance throughout society. The Council of Europe has a number of

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89 Because most WEU members are also European members of NATO, the forces designated for WEU operations are in most cases also designated for NATO use. On the basis of the decisions taken by NATO in January 1994 and June 1996, the WEU is able to request the use of NATO assets and capabilities, including Combined Joint Task Forces (CJTFs), for its operations.

90 See www.coe.int/.

tools which it can use in furthering its mandate. These include: fact-finding and *rapporteur* missions; personal representatives, and *ad hoc* steering groups.

5. North Atlantic Treaty Organization (NATO)

NATO[91] was established in April 1949 as a political and military organization. Its primary purpose was to counter expansion to the west by the Soviet Union, and if necessary, to defend the territory of its member nations with military force. While primarily focused on the defense of Europe, NATO's area of responsibility also includes North America and the Atlantic Ocean separating the two continents.

With the end of the Cold War, NATO has invited its former adversaries to join the consultative process through the Euro-Atlantic Partnership Council (EAPC),[92] which includes both NATO member states and those affiliated with NATO through the Partnership for Peace (PfP) program. This process is intended to expand and intensify political and military cooperation throughout Europe, increase stability, diminish threats to peace, and build relationships by promoting the spirit of practical cooperation and commitment to democratic principles that underpin NATO. With the accession of the Czech Republic, Hungary, and Poland in April 1999, NATO currently has 19 members and 24 partners.

Its original purpose was not impartial and accordingly neutral organizations such as the UN and the IFRC could not approach NATO for support of their humanitarian relief and peace support operations. **Because the Cold War has ended, NATO is now assuming a leadership role in UN Security Council authorized regional peace support operations such as the Implementation and Stabilization Forces (IFOR and SFOR) in Bosnia and the Kosovo Force (KFOR).**

NATO's organizational structure includes Permanent Representatives (Ambassadors to NATO) from its members who form the North Atlantic Council, the Defense Planning Committee, and the Nuclear Planning Group. The members also assign senior Military Representatives to NATO and they form the Military Committee which oversees the Integrated Military Command Structure of Major NATO Commands: Allied Command Europe (ACE), Allied Command Atlantic (ACLANT), and the Canada-U.S. Regional Planning Group.

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91 See www.nato.int/.

92 The EAPC replaced the North Atlantic Cooperation Council (NACC), originally formed by the North Atlantic Council (members) and the partners.

Unlike the WEU, NATO has a fully integrated arrangement of headquarters and a limited number of assigned forces. These are the forces that would be required to respond rapidly and include both planning headquarters — ACE Reaction Forces Planning Staff (ARFPS) and the Reaction Forces Air Staff (RFAS) — and the forces capable of reacting rapidly: NATO Airborne Early Warning Force (NAEWF), ACE Rapid Reaction Corps[93] (ARRC), Immediate Reactions Forces (IRF) (Maritime), and ACE Mobile Force (AMF). Since 1995, the AMF has included an on air and land element (IRF(A) and IRF(L)). The major troop contributions for other headquarters are provided by the NATO member nations as earmarked forces in response to the Defense Planning Committee's annual Defense Planning Questionnaire (DPQ) .

The Secretary General conducts the day-to-day business of the Alliance through 28 separate committees based on guidance from the member nations. In addition to traditional political and military topics, these committees cover a wide extent of issues such as civil emergency planning, information and cultural affairs, the challenges of modern society, and science. The Secretary General is supported by a secretariat composed of an International (civilian) Staff and an International Military Staff provided by member nations.

Within NATO, recent discussion has focused on the role of the organization in International Disaster Relief Operations (IDRO) and the use of MCDA during disaster relief operations. The Senior Civil Emergency Planning Committee (SCEPC) and the Civil Emergency Planning Directorate (CEPD) have been responsible for defining NATO's role in this area and in assisting the organization to adjust its responsibilities. Newly established, the Euro-Atlantic Disaster Response Coordination Center (EADRCC) focuses on the coordination of MCDA in response to emergencies in support of any of the 43 EAPC members, or in response to requests for international support by the UN-OCHA.

6. Council of the Baltic Sea States (CBSS)

This 12 member organization[94] was established to promote cooperation among the Baltic Sea states in the areas of aid to new democratic institutions, economic

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93 The headquarters of the ARRC, IRF, and AMF are assigned but the troop commitment must be confirmed by the providing member nation. The NAEWF aircraft and crews are assigned and immediately available to support NATO requirements.

94 See www.baltinfo.org/.

development, humanitarian aid, energy and the environment, cultural programs and education, and transportation and communication. It includes all states bordering the Baltic Sea as well as Iceland and Norway.

7. Nordic Council (NC)

This council[95] was established to promote regional economic, cultural, and environmental cooperation among its members. Its membership includes the 5 Nordic states and their island possessions and the Sami (Lapp) local parliaments of Finland, Norway, and Sweden. To support its goals and objectives, the council created the Nordic Investment Bank (NIB) to promote economic cooperation and development.

8. Organization of Black Sea Economic Cooperation (BSEC)

This zone[96] includes member states adjacent to the Black Sea, but also extends to Albania and Greece. Observers include Egypt, Israel, Poland, Slovakia, Tunisia. The zone was established to enhance regional stability through economic cooperation.

9. Central Europe Initiative (CEI)

This initiative[97] links 16 nations in Central Europe to form an economic and political cooperation group for the geographic region located between the Adriatic and the Baltic Seas.

10. Alps-Adriatic Working Community

This organization[98] is a working community of provinces of 7 nations located in the Alps-Adriatic region of Europe. The task of the working community is to effect joint, informative, and expert treatment and coordination of issues in the interest of its members. Special attention is dedicated to the following areas:

- Trans-Alpine traffic links and water port traffic
- Generation and transmission of energy
- Agriculture, forestry, and water management

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95 See www.norden.org/.

96 See www.photius.com/bsec/bsec.html.

97 See www.polisci.com/world/intorg/20029.htm/.

98 See www.tes.it/alpeadris/.

- Tourism, preservation of cultural and recreational landscape, and cultural relations
- Environmental protection, nature conservation, and landscape care
- Regional development and settlement
- Contacts between scientific facilities.

G. INTERNATIONAL AND REGIONAL FINANCIAL INSTITUTIONS

The Bretton Woods Institutions (BWI) – the World Bank and IMF – are part of the UN system, and were discussed in the previous chapter. These institutions, together with the regional financial institutions, have a major interest and role to play in helping to prevent or cope with mass violence and behavior destabilizing to the international system. Given the recent shift in focus by the BWI both to develop preventative actions in these situations and to become involved sooner in post-conflict situations, the World Bank, the IMF, and the regional financial institutions have resources that must be incorporated into complex contingency response strategy formulation.

At the international level, two financial organizations work closely with the BWI. The first is the Group of 10 (G-10), also known as the Paris Club. This organization[99] includes the 11 wealthiest members of the IMF who provide most of the money to be loaned, and act as the informal steering committee on matters of international finance. The second organization is the Bank for International Settlements (BIS).[100] This bank was created to promote cooperation among central banks while conducting international financial settlements. BIS has 32 active members, and 9 applicants are currently pending membership.

In addition to sub-regional financial institutions established by regional IGOs mentioned earlier, the following major regional financial institutions also can mobilize financial resources or serve as a conduit for developmental assistance in an area affected by a complex contingency.

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[99] The name persists even though there have been 11 members since 1984, when Switzerland was added.

[100] See www.bis.org/.

1. African Development Bank (AFDB)

The African Development Bank Group[101] is a multinational development bank supported by 77 nations (member countries) from Africa, North and South America, Europe, and Asia. AFDB consists of three institutions that promote economic and social development: African Development Bank (ADB), African Development Fund (ADF), and Nigeria Trust Fund (NTF).

2. Islamic Development Bank

Established by the Organization of the Islamic Conference, the bank[102] fosters the economic development and social progress of member countries and Muslim communities individually, as well as jointly, in accordance with the principles of Shari'ah or Islamic Law. IsDB participates in equity capital and grant loans for productive projects and enterprises in addition to providing financial assistance to member countries in other forms for economic and social development. The Bank is also required to establish and operate special funds for specific purposes including a fund for assistance to Muslim communities in non-member countries, and for setting up trust funds. The Bank is authorized to accept deposits and to mobilize financial resources through Shari'ah compatible modes. It is also charged with the responsibility of assisting in the promotion of foreign trade, especially in capital goods, among member countries; and providing technical assistance to member countries and Muslim communities in non-member countries.

3. Asian Development Bank (AsDB)

The AsDB[103] is the regional financial institution created to promote economic cooperation in Asia. While most of its members are from the region, the bank also receives support from 16 non-regional members from Europe and North America.

4. Arab Bank for Economic Development in Africa (ABEDA)

Also known as *Banque Arabe de Developpement Economique en Afrique* (BADEA),[104] the bank promotes economic development in the region of most of the Arab League members.[105]

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101 See www.imf.org/external/np/sec/decdo/afdb.htm/.

102 See www.imf.org/external/np/sec/decdo/isdb.htm/.

103 See www.imf.org/external/np/sec/decdo/asdb.htm/.

5. East African Development Bank (EADB)

With three members, the EADB[106] was created to promote economic development in Kenya, Tanzania, and Uganda.

6. European Bank for Reconstruction and Development (EBRD)

The EBRD[107] members includes all of the members of the OECD and was created to facilitate the transition of seven centrally planned economies in Europe (Bulgaria, former Czechoslovakia, Hungary, Poland, Romania, former USSR, and former Yugoslavia) to market economies by committing. The bank provides 60 percent of its loans to privatization in these countries.

7. Inter-American Development Bank (IADB)

IADB,[108] also known as *Banco Interamericano de Desarrollo* (BID), has 26 regional members from Latin America and the Caribbean and 20 members from Asia, Europe, and North America. The bank promotes economic and social development in Latin America.

8. Caribbean Development Bank (CDB)

CDB[109] has 21 regional members and 5 members from Europe and North America. It to promote economic development and cooperation in the Caribbean region.

H. SUMMARY AND CONCLUSIONS

The 51 inter-governmental organizations discussed in this chapter show that there are several ways to subdivide the nations of the world into interest groups. While most IGOs are formed for economic reasons, security issues also dominate. There are many IGOs and they often seem to have overlapping mandates, but member nations have found participation in this patchwork of global and regional organizations a useful way to influence issues affecting them.

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104 See www.imf.org/external/np/sec/decdo/badea.htm/.

105 The Arab League members of Comoros, Djibouti, Somalia, and Yemen are not members of ABEDA.

106 See www.asiandevbank.org/.

107 See www.ebrd.org/.

108 See www.iadb.org/.

109 See www.imf.org/external/np/sec/decdo/icdb.htm/.

These organizations understand the functional issues in various global regions, and have contacts established with their member nations. **Many of these organizations can, and often do, play a role in complex contingencies, and the others frequently can help mitigate problems before the reach the response threshold. It is important for the geographic combatant commands to understand the mandate and membership of the major IGOs. They are a valuable source of information and can contribute to the planning and execution of the command's theater engagement and response strategies.**

CHAPTER V

INTERNATIONAL ORGANIZATIONS

V. INTERNATIONAL ORGANIZATIONS

The term *International Organization* is a category often used to cover a broad range of organizations. Many organizations claim "international" status based on their membership in organizations with representatives of multiple nations, or because of their service as an international coordination element for country-based organizations. **For purposes of this report, only organizations that meet the following criteria are classified as IOs:**

- Were established as private international bodies of a non-governmental nature, governed by private citizens rather than governmental representatives
- Derive their authority from international law and custom
- Are recognized as international entities and granted privileges and immunities from national laws by nations, and are authorized to issue their own travel documents for their staff
- Operate on a concept of international action that is neutral and impartial
- Use a distinctive insignia representing the protection extended by international convention or custom
- Hold permanent observer status with the UN General Assembly.

The IOs share one or more characteristics with either IGOs or NGOs, but also fall into a separate category clearly defined by these criteria. Three organizations fit these criteria and are currently recognized as IOs:

- The International Committee of the Red Cross (ICRC)[1]
- The International Federation of Red Cross and Red Crescent Societies (IFRC)
- The Sovereign Military Hospitaler Order of Malta (SMOM).

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[1] The International Red Cross and Red Crescent Movement is the broad name for International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and the National Red Cross and Red Crescent Societies. The ICRC and IFRC are recognized as IOs while the national chapters are NGOs.

A. INTERNATIONAL RED CROSS AND RED CRESCENT MOVEMENT

The International Committee of the Red Cross, which was created in 1859, is the foundation of what today is recognized as the International Red Cross Movement. The Movement now comprises the ICRC, the IFRC, and 170 National Societies. These organizations and the representatives of state parties to the Geneva Conventions meet every 4 years. This meeting, the Movement's highest deliberative assembly, is known as the International Conference of the Red Cross and Red Crescent.

Similar to the principles of war, the Movement employs fundamental principles to guide all of its members when carrying out the mandate of the organization. These seven fundamental principles incorporated into the organization's charter are as follows:

- **Humanity:** The International Red Cross and Red Crescent Movement, born of a desire to bring assistance without discrimination to the wounded on the battlefield, endeavors, in its international and national capacity, to prevent and alleviate human suffering wherever it may be found. Its purpose is to protect life and health and to ensure respect for the human being. It promotes mutual understanding, friendship, cooperation, and lasting peace among all peoples.
- **Impartiality:** It makes no discrimination as to nationality, race, religious beliefs, class, or political opinions. It endeavors to relieve the suffering of individuals, being guided solely by their needs, and to give priority to the most urgent cases of distress.
- **Neutrality:** In order to enjoy the confidence of all, the Movement may not take sides in hostilities or engage at any time in controversies of a political, racial, religious, or ideological nature.
- **Independence:** The Movement is independent. The National Societies, while auxiliaries in the humanitarian services of their governments and subject to the laws of their respective countries, must always maintain their autonomy so that they may be able at all times to act in accordance with the principles of the Movement.
- **Voluntary Service:** It is a voluntary relief movement not prompted in any manner by desire for gain.
- **Unity:** There can only be one Red Cross or Red Crescent Society in any one country. It must be open to all. It must carry on its humanitarian work throughout its territory.
- **Universality:** The International Red Cross and Red Crescent Movement, in which all societies have equal status and share equal responsibilities and duties in helping each other, is worldwide.

The red cross or red crescent on a white background is both a symbol indicating membership in the Movement and a sign of protection under the Geneva Conventions. Field personnel and equipment of the Movement (and medical personnel and equipment of military forces) are authorized to use this distinctive emblem. The emblems are intended to protect both the victims and those who come to their aid. **Each state party to the Geneva Convention must pass legislation granting protection for the red cross and red crescent emblems, and has an obligation to adopt measures to prevent and repress any misuse of the emblem.**[2]

1. International Committee of the Red Cross

The ICRC was originally established as a private Swiss organization dedicated to the protection and assistance of victims of armed conflict. Through the efforts of the ICRC, governments adopted the first Geneva Convention in 1864. The ICRC fulfills three statutory responsibilities for the Movement:

- To ensure respect for and promoting knowledge of the Fundamental Principles
- To recognize new national societies that meet current conditions for recognition
- To discharge the mandates entrusted to it by the International Conference of the Red Cross and Red Crescent.

The Movement's principles and the ICRC's mandate, derived from the Geneva Conventions, enable the organization to deal directly with states and parties to conflict by opening delegations and dispatching delegates. The dialog that the ICRC maintains with authorities exercising control over war victims in no way affects the status of those authorities and cannot be interpreted as a form of recognition.

To carry out its mandate in 1999, the ICRC maintained permanent delegations in 61 countries and conducted operations in 80 countries. In addition, the ICRC signed a headquarters agreement with Switzerland in 1993 that recognizes the institution's international legal personality and confirms its independence *vis-à-vis* the Swiss authorities. These agreements are subject to international law and specify the ICRC's legal status on the territory of state in which it exercises its humanitarian activities.

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2 On 14 April 2000, Red Cross member states recommended the adoption of a third emblem, a red diamond, to enable Israel to join the worldwide movement. For 51 years, the Israel's Magen David Adom has had observer status, but has been prohibited from joining the society because of its use of the Star of David as a symbol.

Because the ICRC is recognized as an international legal entity, it is granted the privileges and immunities normally enjoyed by IGOs. These privileges include immunity from legal process – protecting it from administrative and judicial proceedings – and the inviolability of its premises, archives, and other documents. **The ICRC delegates also enjoy a status similar to that of officials of IGOs. Such privileges and immunities are indispensable for the ICRC because they guarantee two conditions essential to its action: neutrality and independence.**

The four Geneva Conventions of 1949 and Additional Protocol I provide the legal basis for actions taken by the ICRC. The key elements of the mandate are as follows:

- In the event of international armed conflict, the ICRC has a broad right of humanitarian initiative and the mandate to visit prisoners of war and civilian internees.
- In situations of armed conflict that are not international in character, the ICRC has the right of initiative.
- In the event of internal disturbances, tension, or any other situation that warrants humanitarian action and is not covered by humanitarian law, the ICRC has a right of humanitarian initiative. This right allows the ICRC to offer its services to a government, without that offer constituting interference in the internal affairs of the state concerned.

a. Functions of the ICRC

The ICRC performs four key functions as part of its mandate.

1) Custodian of International Humanitarian Law

As the promoter of international humanitarian law, the ICRC contributes to its development and, to that end, prepares for the work of Diplomatic Conferences empowered to adopt new texts. At each stage in the codification of humanitarian law, it prepares drafts that form the basis of the texts adopted by states. This is the process used to bring the four Geneva Conventions of 1949 and their two Additional Protocols of 1977 into being.

International humanitarian law, also known as the law of armed conflicts or the law of war, is the body of rules that, in wartime, protect persons who are not or are no longer participating in the hostilities, and limit methods and means of warfare. The four Geneva Conventions of 1949 and the two Additional Protocols of 1977, summarized in Table V-1, are the principal instruments of international humanitarian law. Other

humanitarian texts do exist, such as the 1925 Geneva Protocol banning the use of gas and the 1980 Weapons Convention adopted under the auspices of the United Nations.

Table V-1. Summary of Geneva Conventions and Additional Protocols

First Convention	Protects the wounded and sick in armed forces in the field
Second Convention	Protects the wounded, sick, and shipwrecked among armed forces at sea
Third Convention	Protects prisoners of war
Fourth Convention	Protects civilians
Protocol I	Strengthens the protection of victims of international armed conflicts
Protocol II	Strengthens the protection of victims of non-international armed conflicts

In its custodian role, the international community tasks the ICRC with monitoring the application of humanitarian law. This is accomplished through its delegates in the field. They check, for example, whether the civilian population is properly respected (protected against hostilities), the prisoners of war are treated in accordance with the provisions of the Third Geneva Convention, and the population of an occupied territory is receiving adequate supplies. Where these conditions are not met, the ICRC reminds the belligerents of their obligations under the Conventions.

The ICRC also encourages states to take practical steps in peacetime to ensure that the rules of humanitarian law will be applied in the event of war. For instance, the ICRC assists with translation of the Conventions, and encourages states to adopt provisions for the prosecution of war criminals and legislation to protect the emblem. It also reminds states of their obligation to disseminate international humanitarian law and supports their efforts to do so. Finally, the ICRC itself strives to spread knowledge of humanitarian law, particularly among the armed forces of member states. **The ICRC in recent years has expanded its educational efforts by conducting seminars and providing training to members of the armed forces and law enforcement organizations, and staffs of penal institutions.**

2) Central Tracing Activities

Starting with the Franco-Prussian war of 1870-71, the ICRC has worked to reestablish family links between victims of conflict. The ICRC has developed a central tracing activity under the institution's right of humanitarian initiative. The central tracing activities include the following:

- Arranging for the exchange of family correspondence in the form of Red Cross messages when the usual means of communication have been disrupted
- Collecting, storing in centralized files, and, where necessary, forwarding any information that might help to identify the people on whose behalf ICRC works and who are in particular need of protection
- Helping to trace persons reported missing or who have lost touch with their families
- Arranging transfers and repatriations to reunite dispersed family members
- Issuing, for a limited period and a single journey, ICRC travel documents for persons without identity papers, in order to enable them to return to their own country, or to enter the host country of their choice
- Issuing certificates of captivity, hospitalization, or death for the former detainees, prisoners of war, or their rightful claimants.

3) Victim Assistance

The ICRC provides assistance for the direct and indirect victims of armed conflict and other violent situations. The ICRC's first priority is to provide assistance for the direct victims of conflicts: the wounded, the disabled, the sick, prisoners, displaced people, and civilians in conflict areas and occupied territories. Unlike NGOs, the ICRC's mandate includes caring for both military personnel and civilians in need.

The ICRC focuses its assistance on the individual and the community. Its assistance typically includes the following activities:

- **Health Care:** Providing basic support to keep existing preventive and curative health care facilities operational; conducting vaccination campaigns; furnishing medical supplies for dispensaries and hospitals; organizing systems to provide first aid, to evacuate the wounded, to deploy surgical teams, and to establish hospitals for war surgery; and training technical, medical, and paramedical personnel.
- **Water and Sanitation:** Providing water for drinking and domestic use; controlling disease vectors and waste disposal; constructing or repairing water treatment and distribution systems and sanitation facilities.
- **Food Security:** Providing emergency food aid transport, storage, and distribution; and conducting nutritional rehabilitation, agriculture, veterinary, and fisheries programs.
- **Shelter:** Providing shelter and heating, distributing blankets and tents, and setting up camps for displaced persons.

- **Social Welfare:** Establishing prosthetics workshops to provide amputees with artificial limbs and therapy, and special centers for the treatment of paraplegics; monitoring places of detention, including penal law detainees; providing assistance to prison administrations; and providing minimum humanitarian protection.[3] ICRC has led efforts to improve NGO accountability to victims through the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster.[4]

4) Humanitarian Diplomacy

Under its right of humanitarian initiative, the ICRC has conducted successful negotiations for humanitarian access, prisoner releases, and neutral intermediary services. The ICRC has also established a network of regional delegations that provide both diplomatic functions and operational field support. In particular, the regional delegations establish and maintain regular diplomatic contacts with governments and regional IGOs. On the operational side, the regional delegations play a key role in responding to crises in their areas of responsibility and backstopping field delegations. The ICRC maintains 21 Regional Delegations in the following locations:

- **Africa and the Middle East**: Abidjan, Dakar, Lagos, Yaounde, Harare, Pretoria, Nairobi, Kuwait and Tunis
- **Americas**: Brasilia, Buenos Aires, Guatemala City, and Washington, DC
- **Asia**: New Delhi, Bangkok, Jakarta, and Manila
- **Eurasia**: Budapest, Kiev, Moscow, and Tashkent.

The ICRC also maintains direct relations with a number of IGOs. The ICRC currently maintains permanent delegations in Addis Ababa with the OAU, in New York with the UN, in Washington, DC, with the OAS, and Kuwait City with the OIC. Because the ICRC holds permanent observer status with the UN, it participates in discussions of the General Assembly and other bodies of the UN. The OSCE and ASEAN have also invited the ICRC to participate in their activities.

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[3] In recent years, the ICRC has acted as a long-term substitute, partially or completely, for detaining authorities. In Rwanda, the ICRC assumed full responsibility for the care of all inmates in the prisons. Similarly, in Sri Lanka, the ICRC, at the request of the government, manages the care for all detainees from the Tamil insurrection.

[4] Chapter VI provides a detailed discussion of the Code of Conduct.

b. ICRC Capacity

Located in Geneva, Switzerland, the ICRC headquarters is staffed by 717 personnel. In 1999, ICRC had a field staff of 893 expatriates and 8,459 locally hired staff. With 21 Regional Delegations and 55 country delegations, the ICRC has representation in most of the world's current and potential trouble spots.

The ICRC maintains emergency stockpiles in Geneva, Brussels, and Kenya, and a regional stockpile in the Caucasus. The stockpiles include basic items frequently needed by victims, such as blankets, tents, kitchen sets, clothes, and medical supplies.

Decisions on how, when, and to what extent the ICRC engages vary from country to country and are generally based on availability of funding. The ICRC prefers to receive unearmarked funds in order to preserve its independence of decision making. In the case of large-scale manmade disasters such as the Great Lakes region of Africa and the Former Yugoslavia, the ICRC makes use of special appeals for its country and region specific programs. However, the ICRC has recently experienced significant budget shortfalls – approximately $17.8 million in 1997 – and has had to resort to deficit financing. In part, this shortage is a result of increased competition for funding through the proliferation of humanitarian organizations. Additionally, shrinking donor government relief budgets have caused nations to increase both the amount of earmarked funds and the political influence over how and where aid will be given.

Seeking alternate sources of funding, the ICRC has recently expanded its efforts in obtaining donors in the Middle East and Asia. Additionally, in an effort that further blurs the lines between the ICRC and the IFRC, the ICRC is seeking funding for disaster preparedness and mitigation programs in countries or regions recovering from recent conflicts. The ICRC's total field budget for 1999 was $481 million.[5]

The ICRC programs remain active in areas affected by civil strife where they provide humanitarian diplomacy, emergency services, and rehabilitation support. While claiming to work with the national societies, the ICRC more often operates independently from them, especially when the national society is either unwilling or unable to take on the victim protection and advocacy roles, or is considered to be too closely tied to the political interests of the state. When both organizations operate in the same country, the ICRC programs are usually conducted independently from the IFRC mission.

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5 The ICRC worldwide: January-July 1999. www.icrc.org

2. International Federation of Red Cross and Red Crescent Societies

The IFRC is the permanent liaison body of the national societies of the Movement, and acts as their representative internationally. The IFRC acts through and with national societies to coordinate the Movement's emergency response and development activities to support an affected national society. The IFRC also cooperates with the ICRC within the framework of the Statutes of the International Red Cross and Red Crescent Movement. Because the IFRC primarily responds to requests from its member national societies for assistance in their countries, it can operate in a humanitarian role in any one of the countries where it has members. In practice, most of its major operations in the past few years have been focused in Africa and Europe, but the Federation has also had substantial involvement in Asia, the Middle East and North Africa, and the Americas.

a. IFRC Functions

The IFRC is responsible for coordinating the Movement's response for all "naturally" triggered disasters. Floods, drought, and earthquakes all fall under the category of naturally triggered disasters. The IFRC also coordinates responses to disasters of a technological nature (e.g., Chernobyl-like nuclear accidents and major transport accidents) and both chronic and acute pathogen related emergencies (e.g., the Ebola outbreaks in Africa and the re-emergence of diphtheria in Europe). The IFRC coordinates member responses to assist the national society of the affected country. **The coordinated response is provided through the affected nation's society or through delegations of the IFRC, in agreement with the national society.**

During complex contingencies, the IFRC assists many refugees and internally displaced persons fleeing conflict. It provides shelter, food, water, health services, and other forms of assistance to beneficiaries outside areas where armed conflict is in progress. The IFRC works closely with other agencies responding to the emergency, such as those of the UN system and other donor nations, while maintaining its operational, financial, and political independence. **The IFRC also plays a considerable post-conflict role in assisting with the rebuilding of war-torn societies by enhancing the capacity of the national society of the affected country, and through carrying out institutional development and capacity building programs.**

b. IFRC Capacity

The IFRC, representing the 170 national society members, has at its disposal considerable aggregate resources. With a combined turnover of some US$19.5 billion, 100 million volunteers, and 284,000 staff, the organization has global breadth combined with the depth of local presence, which enables it to act on a significant scale in both emergency situations and day-to-day support activities. On the international level, the Secretariat of the IFRC comprises some 675 international staff, with 275 personnel based in Geneva and 400 in the field, where they also have the support of some 5,500 locally recruited staff. The secretariat expenditures for operations and programs in 1997 were about US$186.6 million.

The relatively small permanent staff located at its headquarters in Geneva enables the organization to coordinate and collaborate closely with the UN agencies located there, and to participate in the IASC meetings. **The IFRC's emergency response activities are managed by the Disaster Response and Operations Coordination Division (DROC) of the secretariat. The DROC manages the regional and country level delegations.** It is organized with five regional operational departments and five technical support units including relief health, field personnel, logistics, appeals and reports, and operations support service.

Based on its extensive experience with a number of major disasters and complex contingencies, the IFRC recently has established procedures and standards for Emergency Response Units (ERUs). The purpose of the ERU program is to reduce the response time for national societies when they are called upon to assist an affected society. Eight types of ERUs – organized combinations of equipment, trained personnel, procedures, and management structures – have been created and currently include the following functional categories: logistics, basic health care, information, mass sanitation, mass water, referral hospital, specialized water, and telecommunications.

The ERUs have been developed as part of the Federation's strategy to improve rapid response capacity while ensuring national societies' involvement in these programs. They are funded, trained, and maintained by national societies and are deployed at the request of the IFRC secretariat to support Federation programs. The ERUs comprise trained groups of specialists together with their equipment, ready to operate on 48-hour notice, and capable of being deployed and operating in a self-contained manner for a maximum period of 3 weeks before being integrated into the IFRC delegation. In some

contingency situations, the deployed ERU will train the national society personnel and the ERU equipment is donated to the host country national society.

The ERU program was initiated in 1996 and at least four units have been deployed during contingencies by the national societies from Austria, Germany, Finland, and Sweden. While this participation has demonstrated the capabilities of the IFRC's program, it is uncertain to what degree society participation can be expanded or the numbers of ERUs increased in the future. The Danish Red Cross has experimented with the Information ERU focused on media relations; however, the IFRC has no plans for developing the concept further. The airfield technical support unit is still under development. Table V-2 summarizes the current status of the ERUs and Appendix D provides more detail on their capabilities.

Table V-2. Current Status of IFRC Emergency Response Units

	Telecom	Specialized Water	Mass Water and Sanitation	Referral Hospital	Basic Health Care	Technical Support Unit
Germany	1	1	1	(b)	2	
Sweden			1			
Austria	(b)	(b)				
Norway				1	2	
Finland				1	(b)	
Spain	1					
Japan	(a)					
Kenya		2				
Peru		1				
Honduras		1	1			
Total Units	2	5	3	2	4	0

(a) Equipment purchased but personnel still to be trained

(b) ERUs have been deployed following Hurricane Mitch and the crisis in the Balkans: the equipment will be replenished as soon as possible

The IFRC's Operations Support Service has developed and maintains through national societies a system of regional stockpiles of disaster relief supplies. Currently, IFRC stockpiles are located in Germany, Norway, Switzerland, the Netherlands, Chile and Panama.

The IFRC maintains liaison offices with the European Union in Brussels and the United Nations in New York. It also has 13 regional offices at the following locations:

- **Africa**: Abidjan, Amman, Harare, Nairobi, and Yaounde
- **Americas**: Buenos Aries, Guatemala City, and Kingston
- **Asia:** Almaty, Kuala Lumpur, New Delhi, and Suva
- **Europe:** Budapest.

The IFRC programs support disaster mitigation, planning, preparedness, and response for national societies. Overlaps with the ICRC begin to occur when the IFRC and national society take on service delivery for internally displaced persons and refugees, or work to restore basic community services in water, health, food, and shelter. Therefore, it is not unusual for both the IFRC and ICRC to be active in the same contingency. Additionally, while the IFRC may collocate with or assign technical experts to the national society, the ICRC usually maintains separate identity, facilities, and presence.

The IFRC has recently conducted an extensive internal review of IFRC operations in the last decade and has published the findings in Strategy 2010. In addition to the details about IFRC problems with recruitment and retention of volunteers, a discussion of the competition between ICRC and IFRC is highlighted. The Strategy 2010 is both a review of areas for improvement and a guide for IFRC operations over the next decade.[6]

B. SOVEREIGN MILITARY ORDER OF ST. JOHN OF JERUSALEM, OF RHODES, AND OF MALTA

The Sovereign Military Order of St. John of Jerusalem, of Rhodes, and of Malta (SMOM) is perhaps the oldest humanitarian organization. The Order of St. John was founded before the taking of Jerusalem in 1099 by the armies of the First Crusade. It began as a monastic community, dedicated to St. John the Baptist, which administered a hospice-infirmary for pilgrims to the Holy Land. Originally connected with the Benedictines, it became an independent Order by the Bull of 15 February 1113, by which Pope Paschal II approved the confraternity of the Hospital of St. John, placed it under the protection of the Holy See, and ensured its right of freely electing its heads without any

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6 See Agreement on the Organization of the International Activities of the Components of the International Red Cross and Red Crescent Movement, 26 November 1997, Sevilla, Spain. See also, International Federation of Red Cross and Red Crescent Societies-Strategy 2010.

interference from any other ecclesiastical or lay authority. Because of this Bull and subsequent Papal acts, the Hospital became an exempt Order of the Church.

The Order's independence and international sovereignty was based on its universally recognized right to maintain armed forces and wage war. When the Order occupied Rhodes in 1310, it acquired territorial sovereignty as well (and the Knights of St. John became the Knights of Rhodes). With the rise of Ottoman influence in the Mediterranean, the Order's fleet patrolled the East Mediterranean and took part in the crusades in Syria and in Egypt and brought aid to the Christian Kingdom of Armenia (Cilicia) when it was attacked by Muslim invaders.

After its defeat on Rhodes, the Order was given sovereign control over Malta in 1530, with the stipulation that the Order was to remain neutral in wars between Christian nations. Successfully defending Malta from the Ottoman navy in 1565, the Order went on to participate in the decisive victory over the Ottoman navy at the Battle of Lepanto in 1571. In 1607 and again in 1620, the Grand Master was affirmed with the title of Prince of the Holy Roman Empire, and in 1630 was elevated to the rank equal to a Cardinal of the Holy Roman Church.

The modern day Order of Malta constitutes a unique organization. It alone is a religious Order of the Catholic Church, and, at the same time, a Catholic Order of Knighthood. The Order has its seat in Rome and it has diplomatic relations at embassy level with 71 member states of the United Nations. Where the order does not enjoy *de jure* recognition, it often receives *de facto* recognition as an international organization.

As a sovereign entity, the SMOM issues its own travel documentation and passports for its members and staff. In countries that have recognized the Order, it maintains diplomatic missions. When volunteers and other members are sent to emergency sites, they travel under SMOM passports, not their national identity. The symbol of the Order is the white eight-pointed "Maltese" cross on a red background. Only recognized members of the order are permitted its use.

1. SMOM Functions

The SMOM is a vocation of assistance and solidarity toward the suffering and the weak, and the victims of discrimination and intolerance. Humanitarian aid, in the view of the Order, is a safeguard of fundamental human values and an indispensable instrument for ensuring peace and international security. In this regard, **the**

Order has developed a number of capacities described below to deal with both complex contingencies and natural or manmade disasters.

a. Humanitarian Diplomacy

In regard to its neutrality and independent sovereignty, the Order is able to undertake humanitarian diplomacy, providing neutral mediation and peacemaking services.

b. Military Support

Unlike NGOs, the Order is able to operate in a military and civilian mode. Its relief assistance benefits military and civilian victims. The Order has also contributed personnel to provide health care and sanitation for UN peacekeeping and observer missions in Lebanon, Kuwait, and Central America.

c. Health Care

The Order operates specialized hospitals, clinics, first-aid centers, and general surgeries where children, women, the elderly, the disabled, and chronic invalids are cared for. These facilities provide medical and pharmaceutical assistance where epidemics are most widespread.

d. Humanitarian Assistance

In addition to health care, the SMOM is structured to carry out a number of other emergency interventions. These include food distribution and nutritional information programs, purification of drinking water, basic health care and health education programs and its nutrition component, and operation of kitchens or feeding programs for the needy.

2. SMOM Capacity

Based in the Vatican, with 41 national associations located in 37 countries, SMOM has more than 12,000 members, 100,000 volunteers, and nearly 10,000 employees active in more than 90 countries. To carry out its work, the SMOM maintains a number of standing bodies:

- The Association for the Study of the World Problem of Refugees (AWR)
- The Liaison Committee for the SMOM and the Alliance of the Orders of St. John of the Hospital of Jerusalem

- The International Committee of the Order of Malta for Leprosy Relief (CIOMAL)
- Holy Land Foundation of the Order of Malta (HOLAFOM)
- The Holy Family Hospital Bethlehem
- International Action of the Order of Malta (AIOM)
- Emergency Corps of the Order of Malta (ECOM).

Apart from the hospitals operated by the Order, the resources of the ECOM provide its response capabilities. While the Order acquired valuable expert knowledge during participation in a number of recent emergency aid and disaster relief missions,[7] it had not institutionalized this experience. To remedy this situation, **the Order created the ECOM as a multinational disaster relief corps to which its national associations and services are asked to contribute. Its purpose is to render emergency assistance to victims of natural disasters and armed conflicts, especially women and children.** The representatives of the national associations and services of Austria, France, Germany, Ireland, and Italy constitute the Central Disaster Relief Council (CDRC), which oversees the management of the ECOM, and a permanent secretary for the corps has been installed in the foreign service element of the German *Malteser Hilfdienst*.

The ECOM capabilities are designed to respond in a flexible and suitable manner to various types of disaster and emergency situations. The Emergency Relief Detachment (ERD) is the main tool of ECOM in the field. It serves as the controlling headquarters for various teams, called "operational modules," that can be tailored and deployed to provide the type of response needed. In most cases, these modules are structured to interact with each other, but some of them are able to work independently. There are currently five types of operational modules available to the ECOM:

- Mobile Ambulance Units
- Detached Medical Units
- Kitchen and Food Supply Units[8]
- Housing Units.
- Water Purification Units.

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[7] Most notably the Order has been active in Lebanon, Hungary, Romania, the Commonwealth of Independent States, Croatia, Bosnia-Herzegovina, and Northern Iraq.

[8] Each of the kitchen and food supply units, the housing units, and the water purification units are packages that have been designed to support up to 1,000 victims.

The hospitaler services of Austria, Belgium, France, Germany, Ireland, and Switzerland currently are the major providers of operational modules for ECOM. The key to ECOM's effectiveness is its ability to maintain a highly qualified and well-prepared volunteer corps of experts who can be mobilized quickly. The mission coordination staff of the secretariat is a well-established team, supranational in composition, and capable of responding to various and changing needs at the site of a disaster. The ability to launch and to perform relief operations within an international framework, as well as in cooperation with several national services and associations of the Order, is facilitated by English as the common language of operations and as the source of a standard terminology.

C. SUMMARY AND CONCLUSIONS

International Organizations play a unique role that is often over shadowed by the activities of other relief organizations. Recent attacks on aid workers, and Red Cross staff in particular, challenge the viability of the international system based on neutrality. Moreover, the division of responsibilities between the ICRC and the IFRC within the Movement has become less clear when both organizations become involved in the increasing number of complex contingencies. While Movement documentation asserts the division of responsibility between the ICRC and IFRC along lines of civil strife and natural disaster, this distinction is not always clearly defined in the field.

The IOs have been criticized for their unwillingness to call attention to the perpetrators of war crimes and other atrocities. In this regard, IOs are very protective of their status and wary of becoming political tools. Hence, IOs exercise discretion and neutrality as a means of securing access to those in need. Most recently, the IOs have focused on prevention of human suffering, rather than simply responding to calamities.[9] This sets them apart from NGOs and, to some extent, UN agencies. The NGOs use advocacy and other means to publicize suffering and the cause(s) of suffering. While the UN is in the service of member states, this does not remove its obligation to act as the world's conscience, calling attention to and taking steps to rectify violations of international standards of human rights and social welfare. These divisions among organizations reflect the complex mix of the older nation-state system with new transnational environment. The IOs, in this sense, represent the older concept of charity for charity's sake, versus the social action of more modern NGOs.

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9 See www.ifrc.org, Strategy 2010.

CHAPTER VI

NON-GOVERNMENTAL ORGANIZATIONS

VI. NON-GOVERNMENTAL ORGANIZATIONS

A fundamental tenet of democratic society is the freedom of its citizens to express their views individually or collectively in an effort to influence the direction of the government or society. For example, groups of citizens are formed as political parties to place like-minded office seekers within the government, religious denominations are formed to meet the spiritual needs of members, scouting troops teach social and technical skills to young members, labor unions and veterans' organizations are formed to protect the benefits of members, and other groups seek to limit or expand legislation on such issues as gun control or abortion. These and other groups of citizens are all Non-Governmental Organizations (NGOs) formed and operated by private citizens. Within the United States, current estimates indicate that there are more than two million NGOs in operation.[1]

This chapter focuses on a smaller group of NGOs that are likely to be encountered by military forces during SSC operations. They include those devoted to disaster relief and humanitarian assistance, development assistance, protection of human rights, conflict resolution, social development, and institution building in the less developed areas of the world.

The concept of NGOs operating in less developed areas of the world has a long history dating from European exploration of Africa and the Americas. They began when European nations laid claim to the new territories and missionaries began the work of converting individuals to Western religions. Religion still plays a key role in the work of many NGOs, but today they typically have written policies forbidding discrimination based on religion. NGOs as we know them today first began to appear after World War I to assist victims in Europe. Today, NGOs play an important part in the stability of all societies and reflect the interests of its citizens when they take on an increasing role in meeting the needs of less developed nations.

During the period from about 1930 to 1970, NGOs typically focused on relief operations. For example, relatively large and well endowed NGOs such as the

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1 See "NGOs, Sins of the Secular Missionaries," *The Economist,* 29 January 2000.

Cooperative for Assistance and Relief Everywhere (CARE), the Oxford Committee for Famine Relief (Oxfam), World Vision, and Save the Children operated programs to provide food, health care, and shelter to victims and child sponsorship. During this period, the NGOs treated "symptoms" of poverty or conflict, with only a smaller effort devoted to development.

Since the 1970s, NGOs have increasingly extended their activities into economic and institutional development, conflict prevention, advocacy for human rights and environmental issues, education and research, and disaster mitigation to promote self-reliance of communities. **Today's NGOs are typically divided into four categories: Relief and Development, Advocacy, Citizen Diplomacy, and Academic and Religious Institutions (many religious groups focus their work in the areas of relief and development). These categories generally reflect the capabilities that NGOs are likely to contribute during contingency operations.**

Within these four categories, there are global and local NGOs. For purposes of this discussion, NGOs formed in developed nations for the purpose of working in less developed or troubled areas of the world are referred to as "global" NGOs. NGOs formed within a less developed nation or affected area for the purpose of addressing a specific need are termed "local" NGOs.[2]

During the past decade, there has been a significant growth in the number of NGOs, both global and local. Some are drawn by humanitarian objectives to relieve suffering and help communities rebuild, while other NGOs are formed to take advantage of the growing amount of funding that donors have made available to establish and operate relief and development programs. NGOs continue to provide vital relief to victims, but have started focusing programs on the root causes of humanitarian emergencies.[3] They have also organized themselves into NGO associations to increase their influence through advocacy campaigns.

The discussion that follows contrasts NGOs with the other organizations that are likely to be operating during SSCs. It describes the management structure, funding sources, and unique attributes of the NGO community, and the influence that these organizations have in shaping policy. While NGOs play critical roles in a multitude of

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[2] Other texts discussing NGOs will use the following terms instead of the global/local terminology: expatriate/indigenous; Northern/Southern.

[3] See Beigbeder, Yves, *The Role and Status of International Humanitarian Volunteers and Organizations* (Dordrecht, The Netherlands: Martinus Nijhoff Publishers, 1992).

valuable programs, they experience many problems with coordination, competition, training, security, and other issues, and these topics are also discussed. Finally, the actions underway to enhance the accountability of NGOs sponsored by the International Red Cross and Red Crescent Movement and the Sphere Project are summarized. Additional information describing the capacity of selected NGOs and how more information about them can be obtained is provided in Appendix J to this paper.

A. WHAT IS A NON-GOVERNMENTAL ORGANIZATION?

Because there is no universally agreed definition of exactly what an NGO is, there often is confusion when NGOs, IOs, and businesses carry out operations during the same contingency. The UN Charter defines NGOs as "independent, non-profit-making organizations formed from a variety of religious and humanitarian motives," but there are other definitions in use that contribute to the confusion.[4]

For the purposes of this paper, NGOs are organizations directed by private citizens. They are independent in the sense that they are separate from governments and have no authority to acquire financial support from public funds. They typically share the following characteristics:

- Established in democracies with freedom of association and expression by individuals with common humanitarian goals and with a desire to influence public opinion
- Directed by private individuals with humanitarian values that stem from shared religious or philosophical beliefs that make them closer to the people in the affected country than IGOs, IOs, or donor governments

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[4] United Nations Charter-Article 71. Other definitions of NGOs can be found in the following sources:

(a) The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, prepared jointly by the International Federation of Red Cross and Red Crescent Societies and the ICRC, defines an NGO as "An organization that works nationally or internationally and is constituted separately from the government of the country in which they are founded."

(b) Joint Pub 1-02, DoD Dictionary of Military and Associated Terms, defines an NGO as "Transnational organizations of private citizens that maintain a consultative status with the Economic and Social Council of the United Nations. Non-governmental organizations may be professional associations, foundations, multinational businesses, or simply groups with a common interest in humanitarian assistance activities (development and relief). "See also Joint Pub 1-02 "Private voluntary organization (PVO) is often used synonymously with the term," non-governmental organization. The term PVO is derived from the USAID office of Private and Voluntary Cooperation (PVC) in the Bureau for Humanitarian Response (BHR). The PVC handles registration for "U.S. PVOs" and "PVOs worldwide." There is some linkage of the term PVO to the Foreign Assistance Act. In practice, the term PVO often appears as referring to U.S.-based NGOs, but the most common worldwide term is NGOs.

- Organized as non-profit entities that rely on volunteers or pay low salaries, and are usually the low-cost providers of emergency relief and long-term development
- Rely on respectability and reputation to attract financial contributions from donors, but often use sophisticated marketing campaigns to attract donor contributions
- Unconstrained by sovereignty issues which donor governments, IGOs, and IOs must consider, or political considerations that frequently block or delay government action
- Provide "early warning" of impending emergencies and respond quickly to changing environments.

Examples of NGOs that fall into the four principal categories and the types of programs these organizations typically conduct follow.

1. Humanitarian Relief and Development NGOs

a. Examples: CARE, Médecins sans Frontièrs (MSF), and Oxfam

b. Programs: These NGOs focus on emergency relief and work outside of crisis situations to help affected countries rebuild. They operate famine early warning programs; provide food supply and distribution; conduct emergency feeding, water, sanitation, public health and psychosocial care projects; operate agricultural programs; sponsor income generation and community development initiatives; operate various educational projects; conduct disaster mitigation training; and manage conflict resolution projects.[5] They also work on prevention programs, projects to ease initial suffering, and provide help with rebuilding civil society, social, and economic infrastructure.

2. Human Rights and Advocacy NGOs

a. Examples: Amnesty International, Human Rights Watch, and International Conflict Group

b. Programs: These NGOs work on advocacy to influence public opinion and to shape national and international policy through sophisticated campaigns on human rights, social issues, and the environment.

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5 See the Encyclopedia of International Peacekeeping Operations.

3. Citizen Diplomacy NGOs

a. Examples: African Center for Conflict Resolution and Development (ACCORD), the Carter Center, and the Swedish International Peace and Reconciliation Institute (SIPRI)

b. Programs: These NGOs specialize in conflict early warning, conflict prevention, and peace building. They use informal peace building mechanisms called "Track Two Diplomacy" to bring together disputants to reach lasting peace.[6]

4. Religious and Academic Institutions

a. Examples: Religious NGOs include the Adventist Development and Relief Agency (ADRA), Caritas, and Comunità di Sant'Egidio; Academic NGOs include the Lester B. Pearson-Canadian International Peacekeeping Training Centre, the American Association for the Advancement of Science, and the Tufts University-Feinstein International Famine Center

b. Programs: Most religious institutions provide relief and development through programs that are able to draw on local religious partners and have credibility in an affected community. Academic institutions are able to bring forensic science, expertise in international relations, education and training projects, and a host of other specialties to help communities make the transition from relief to rebuilding or development, and to provide training for NGO staff or others working in these areas.

B. WHAT DISTINGUISHES AN NGO FROM IOs OR BUSINESSES?

NGOs are distinct from IOs and businesses, but often are confused with them. The IOs – the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and the Sovereign Military Hospitaler Order of Malta (SMOM) – were described earlier in Chapter V and possess characteristics that make them different than the NGO.[7] Both policy makers and refugees (and internally displaced persons) in crisis situations often assume that global NGOs and IOs are the same, because they often serve the same populations.[8] Table VI-1 contrasts the similarities and differences between global NGOs and the ICRC and IFRC.

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6 See Carnegie Commission on Preventing Deadly Conflict: Final Report. Washington, DC: Carnegie Commission on Preventing Deadly Conflict, 1997.

7 See, for example, the 1949 Geneva Conventions and Additional Protocols of 1977, which established the ICRC as independent entity from governments and NGOs.

8 For example, written analyses of overseas missions often address NGOs and IOs interchangeably and do not make a clear distinction between the two. In actual operations, persons gaining relief at refugee camps typically use the term "Croix Rouge" to describe both the IOs and the NGOs, and recipients of

Table VI-1. Comparison of NGOs with the ICRC and IFRC[9]

Characteristics	Global NGOs	ICRC	IFRC
Legal Foundation	Legal status from the law of the country where registered. May apply for consultative status with UN ECOSOC. No immunity from legal process or inviolability of premises.	1949 Geneva Conventions and Additional Protocols of 1977 established the ICRC as an independent entity from governments and NGOs. Has immunity from legal process, inviolability of premises and documents.	Permanent liaison body of the 176 national societies. The national societies are considered NGOs, but the IFRC is an IO.
Functional Areas	Humanitarian relief, development, track-two diplomacy, peace-building, and advocacy.	Focus is civil strife, treatment of POWs, humanitarian aid to civilians caught in midst of conflict, training armed forces on humanitarian law, development of the Geneva Conventions, and exchanges of prisoners, repatriations, and release of hostages.	Natural disasters and humanitarian assistance in areas outside of armed conflict—in natural disasters, technological disasters, and disease outbreaks
Priority	Primary focus is on civilians in relief and development programs.	First priority is to care for direct victims of conflict, both civilians and military personnel.	Civilians

aid at camps do not make any distinction between the IOs and NGOs. See Chapter 8, Journal of Humanitarian Assistance, http://www-jha.sps.cam.ac.uk/policy/pb022k.htm.

9 See Gutman, Roy and David Rieff, *Crimes of War* (London: W.W. Norton and Company, 1999).

Table VI-1. Comparison of NGOs with the ICRC and IFRC (cont'd)

Characteristics	Global NGOs	ICRC	IFRC
Methodology	Operate worldwide in associations to influence policy makers. Rely on informal relations and personal contacts to carry out relief and development programs.	Operates local headquarters in more than 50 countries. Delegates work with national Red Cross and Red Crescent Societies. Known for its legalistic approach in following the rules and regulations of ICRC and the Geneva Conventions.	Responds to requests from the 176 national society members. IFRC coordinates relief through the national society in the affected country or through an IFRC delegation.
Duration in affected country	Operate during disaster or development phases, but will evacuate if field staff is in danger. Resume operations once threats to security are reduced.	Remains in a locality longer than the NGOs. Maintain a "first in, last out" approach.	Assists refugees and IDPs, but usually is outside of the area of armed conflict. Has a role in reconstruction and works through the national society of the affected country.
Advocacy	Collaborate to influence policy makers and the media on many issues. Rely on the media to send messages to various audiences. Trend is to use internet and develop email lists.	In order to guarantee access to POWs, does not take a public stand to denounce acts or raise attention on international issues. Keeps away from the media.	Works with national society members. Focus is on charity, not advocacy.
Independence	Cooperate to influence policy, work with other global and local NGOs during relief operations, and work closely with UN and donor governments.	Operates separately from NGOs, UN, and donor governments to protect neutrality.	IFRC and ICRC overlap when both are involved with a local society to aid refugees and IDPs. ICRC and IFRC keep separate identities and facilities

Another group that is often confused with NGOs are for-profit businesses. From the non-DoD USG perspective, for-profit consulting firms and corporations that specialize in development programs are excluded from the NGO definition. This exclusion, however, is changing, and in the view of European governments and IGOs, for-profit businesses working on either relief or development programs are also considered to be NGOs. These consulting firms and corporate entities that manage large projects are viewed with suspicion by the non-profit NGOs and, they often are excluded from NGO forums and policy-making meetings. Table VI-2 contrasts the similarities and

differences between NGOs and businesses that specialize in relief and development and those that are classified as multinational businesses.

Table VI-2. Comparison of NGOs with Relief and Development Firms and Multinational Businesses

Characteristics	Global NGOs	Relief and Development Firms	Multinational Businesses
Examples	CARE, World Vision, MSF, Oxfam	International Procurement Agency; Schein Pharmaceutical Inc; International Resources Group, Ltd.; and Checchi and Company Consulting, Inc.	Toyota, Exxon, IBM, United Fruit Company, and Anderson Consulting
Finances	Operate programs on a non-profit basis in humanitarian relief and development, conflict resolution, and training.	Operate on a for-profit basis to broker goods and to provide services and technical expertise.	Operate to acquire natural resources, inexpensive labor, and market share worldwide.
Funding Resources	Grants, contracts, and cooperative agreements from UN, donor governments, or philanthropic organizations.	Grants and contracts from UN, donor governments, and NGOs.	Sales to consumers in local, national, and international marketplace.
Forward Presence	Yes. Development NGOs are on the ground prior to crisis and for long duration. Work to create stability following initial relief operations to resume long term development projects.	Mixed. Provide commodities and technical expertise after start of crisis and leave once goods and services are delivered.	Yes. Multinational presence in affected countries for long periods before onset of crisis.
Accountable to	Board of directors, senior management, donors, and victims in relief operations.	Contracting partner.	Shareholders and customers.

Table VI-2. Comparison of NGOs with Relief and Development Firms and Multinational Businesses (cont'd)

Characteristics	Global NGOs	Relief and Development Firms	Multinational Businesses
Specialized Knowledge	Development NGOs have extensive understanding of politics, culture, and language.	Compared to NGOs and multinational businesses, no extensive knowledge of specific affected country. Specialized knowledge in delivery of emergency relief and technical assistance, but do not have sustained contacts with any given community.	Specialized knowledge of how to acquire resources, potential security threats, and local politics.
Links between NGOs, For-Profit Firms, and Multinational Businesses	Receive commodities from for-profit firms to carry out relief and development programs. Collaborate with multinational corporations to improve labor practices and human rights protection.	Provide NGOs, governments, IOs, and others with needed supplies through contractual arrangements.	Work with NGOs to improve protection for laborers and to protect rights of child laborers. Provide limited financial support for NGO operations in affected countries.

C. THE ACCREDITATION AND AFFILIATION OF NGOS

NGOs are formed under a specific country's laws as non-profit, professional, charitable, religious, or educational institutions or foundations. Under Article 71 of the UN Charter, the Economic and Social Council (ECOSOC) is allowed to "make suitable arrangements for consultation with non-governmental organizations which are concerned with matters within its competence." ECOSOC Resolution 1996/31 is the legal foundation upon which the NGOs work in consultative status with ECOSOC today. The number of NGOs granted consultative status started with 41 in 1948, but today, more than 1,600 NGOs have such status, and 400 others are accredited to the Commission on Sustainable Development, a subsidiary body of ECOSOC.[10] The majority of NGOs, however, never register to work in consultative status with ECOSOC, and instead choose to perform hands on delivery of humanitarian aid, training, and development.

NGOs that wish to have consultative status with ECOSOC must apply to the NGO Section of the UN Department of Economic and Social Affairs and the Committee

[10] See http://www.un.org/esa/coordination/ngo/

on Non-Governmental Organizations supervises the application procedure. NGO applicants must provide documentation on budgetary information and details on the sources of funding. Among other requirements, the NGO seeking consultative status must:

- Have goals that are similar to the ECOSOC mission
- Have a democratic decision-making mechanism
- Be in existence (officially registered with the appropriate government authorities as a non-profit NGO) for at least 2 years
- Derive its resources from contributions of national affiliates or other components, or from individual members.

Three designations are used for NGOs with ECOSOC consultative status and these are described below.

- General Category: NGOs at this level have broad economic and social interests, work on a geographical scope, and have the broadest access to the council. General Status NGOs may send observers to council meetings, and can propose ECOSOC agenda items to the Committee on Non-Governmental Organizations. (Formerly called "Category I")
- Special Category: NGOs with specialized interests can send observers to council meetings and can submit written statement on their specialized interests. (Formerly called "Category II")
- Roster NGOs: These NGOs make occasional contributions to the work of the Council or its subsidiary bodies.

The differences in privileges and obligations for the three categories of NGO designations are summarized in Table VI-3.

Table VI-3. Distinctions Between ECOSOC General, Special, and Roster NGOs

Privileges/Obligations	General Status	Special Status	Roster NGOs
Are in consultative status with ECOSOC	Yes	Yes	Yes
Designate UN representatives	Yes	Yes	Yes
Invited to UN conferences	Yes	Yes	Yes
Propose items for ECOSOC agenda	Yes	No	No
Attend meetings of ECOSOC and its subsidiary bodies	Yes	Yes	Yes
Circulate statements at ECOSOC meetings	2,000 words	1,500 words	No
Can speak at ECOSOC	Yes	No	No
Circulate statements at ECOSOC subsidiary bodies' meetings	Yes	Yes	No
Must submit quadrennial reports	Yes	Yes	No

Source: Based on information presented at www.un.org/esa/coordination/ngo/faq.html

In addition to ECOSOC, UN specialized agencies also draw on the capabilities of NGOs in all phases of their programs. The following departments and specialized UN agencies operate accreditation programs for NGOs and draw on NGOs in both policy development and program implementation:

- Department of Public Information (DPI)
- International Labor Organization (ILO)
- Food and Agriculture Organization of the United Nations (FAO)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations High Commissioner for Refugees (UNHCR)
- World Health Organization (WHO)
- International Telecommunication Union (ITU)
- International Maritime Organization (IMO)
- World Intellectual Property Organization (WIPO)
- United Nations Industrial Development Organization (UNIDO)
- United Nations Conference on Trade and Development (UNCTAD).

Apart from UN-NGO consultation, NGO relations with UN organizations during complex emergencies are often of an *ad hoc* nature. NGOs that develop cooperative agreements with UN organizations do so to facilitate the linkage between the UN resources and individuals in affected countries. For example, both global and local NGOs are a major distributor of WFP commodities. UNICEF uses NGOs to distribute its supplies and services. UNHCR provides NGOs with grants to carry out its projects. The regulations that govern these relationships are established by the policies of the individual UN organizations, not the UN Charter.

D. GLOBAL AND LOCAL NGO STRUCTURE

The global NGOs are sometimes called "Northern NGOs" or "expatriate NGOs," and current estimates[11] indicate that there are about 32,000 of these organizations in existence. They usually are headquartered in a developed country, sometimes have affiliated national chapters in several developed countries, and field offices in the affected areas.[12] The global NGOs send field officers to the affected area to carry out the relief and development programs sponsored by the organization. Often, global NGOs with development programs maintain a continuous presence in developing nations. In some cases, global NGOs have chapters in developing countries that are staffed completely by local and national hires. For example, World Vision and *Caritas* are just two NGOs that have affiliate branches that are staffed by local and national hires. Other global NGOs bring in an expatriate staff and hire locally for management and support positions.

Of growing importance are the local NGOs. They are relatively small autonomous organizations, rather than field offices of global NGOs, based in the developing world that focus on local development and relief programs. They are sometimes called "Southern NGOs" or "indigenous NGOs," and current estimates indicate that there are approximately 80,000 in existence, but this number is constantly changing. In relief and development, it is common for the global NGOs to collaborate

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11 See World Disaster Report 1997.

12 CARE International is headquartered in Atlanta, Georgia, with a liaison office in Washington, D.C., but has affiliated national chapters in several developed nations (e.g., CARE Australia, CARE Canada, CARE USA), and MSF International is located in Brussels with national chapters in several other developed nations (e.g., MSF Belgium, MSF Canada, and MSF USA); both maintain field offices in a number of countries worldwide.

with local NGOs to plan and implement programs. The growth of local NGOs is relatively new and fragile, and the local NGOs have had mixed results in their programs.

E. NGO CAPACITIES

Global NGOs are well suited for certain activities, usually those which are community-based and oriented toward poverty reduction. Whereas military and international organizations are guided by political processes and seek to achieve mission objectives quickly, local and global NGOs typically have a long-term humanitarian commitment to the community. NGOs can serve as conduits and ensure that relief supplies reach the needy, and they have the knowledge of specific requirements of local communities that need humanitarian assistance. Without the NGOs, many of the isolated and non-represented communities in the affected nation would be lost in the chaos of relief operations.

Development NGOs are well suited to address the needs of local populations and provide health care, legal counsel, education, and a variety of other social services in countries where the elected government is incapable of providing these services or has abdicated its responsibility to the citizens. **NGOs are not constrained by sovereignty and where the host government is corrupt, violent, or simply ineffective, NGOs fill an important role in ensuring relief reaches the target population by working directly with non-elected local leaders.**

NGOs have a unique ability to use their long term development programs and personal relations developed with local communities to keep the international community informed of potential problems in isolated areas. NGOs have aided the international community by providing early warning of potential famines, conflicts, and social problems in affected nations. NGOs are skilled in their ability to act as intermediaries in complex emergencies. **In many cases, NGOs have been the "eyes and ears" on the ground and have informed the international community of threats to stability.**[13]

The NGO community has served as a resource in helping the international community understand the implication of policy decisions on local economies, politics, and cultural norms. For example, when UN and regional IGOs place economic sanctions

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[13] See Rotberg, Robert I., *Vigilance and Vengeance: NGOs Preventing Ethnic Conflict in Divided Societies* (Washington, D.C.: Brookings Institution Press and Cambridge, Massachussets: The World Peace Foundation, 1996).

on a country, as was the case in Haiti and in Iraq, the NGOs kept the international community informed about the impact on food availability and medical care.

Because many NGOs have long term and ongoing operations in local communities, the global NGOs know the importance of face-to-face communication, personal connections and the value of leveraging developed personal relationships to accomplish tasks. NGOs are particularly aware of culturally sensitive issues and usually have the skills to work with local populations. The global NGOs usually take the time to employ culturally appropriate means of communication to learn about what development programs would make the greatest positive impact on a local community and the NGO then informs international donors and policy makers of the key social, economic, and environmental challenges.

F. MANAGEMENT STRUCTURE OF NGOS

Global NGOs have a board of directors, an executive staff located in a home office, and field personnel in the overseas office. The board of directors establishes policy and typically the boards of larger NGOs are comprised of both representatives from the national chapters and well-respected private individuals. The information flow between field office, senior management, and the governing board in the NGO community differs from organization to organization. The management structure of global NGOs generally fits into either a centralized or decentralized style of management.

In the centralized structure, the senior management holds the field office accountable for funds, keeping development programs to the proposed timeline, and achieving the NGO program goals. In turn, the senior management reports to the governing board and is held accountable for the successes and failures of overseas initiatives. In this structure, the management develops the long-term policies and programs, and incorporates the insights of both field personnel and the senior staff. They typically rely on established NGO mission statements, internal constitutions, and organizational policy books to guide their work. In this structure, the field staff's resources are closely tracked, and reporting on programs and finances is a constant part of the field staff's workload.

The centralized and decentralized management structures have met the needs of NGOs and it is outside of the scope of this discussion to evaluate which structure is most effective. Although their management structures are streamlined, as compared with the IGOs and IOs, global NGOs with centralized management structures are frequently

criticized for their slow decision-making process. Typically, these NGOs rely on consensus building for both formulating policy and making decisions. In both decision-making and policy development, it is common for field officers to work with the local community, for NGO senior management to include input, and, on occasion, for the governing board to add additional influence. This process is one that takes time, but according to these global NGOs, it is vital to overall mission success.

In NGOs with a decentralized structure, the individuals responsible for implementing programs in the affected country typically have little communication with the NGO's executive leadership and are not held strictly accountable by the senior leadership for the local programs. NGO field offices that work with autonomy from the NGO executive management enjoy freedom in developing programs that meet local needs and making decisions without a bureaucratic approval process. This independence provides them with flexibility to respond rapidly to changing local circumstances and needs.

NGOs with decentralized management structures struggle to balance the flexibility with the need to communicate with executive management. When NGO field personnel work in isolation, the executive leadership often does not understand the cause of delays for relief and development programs, and in turn cannot explain to the board of directors why certain projects have not met schedule or why costs continue to increase. This NGO management arrangement has resulted in situations where some field staff view their senior management and governing bodies as being "out of touch" with the reality of certain field positions, and the local staff frequently resents the executive management's unrealistic demands for progress.

In the case of local NGOs created in the affected nation, management structure, leadership, and programming decisions are different. Many of the local NGOs do not have an executive level of management or a board of directors. The local NGO decisions impact the community, but there typically is no home office in a developed country to oversee program spending or changes, and no board of directors to ensure the long-term health of the NGO, factors which contribute to the high turnover of the local organizations.

G. FUNDING OF NGOS

NGOs rely on funding from a wide range of sources to support relief, development, and advocacy work. Funds come from UN agencies, individual and

corporate contributions, membership dues, foundation grants, government grants, government contracts, government provided gift in-kind donations, donations from religious-based programs, and other sources.[14]

Funds from various UN organizations flow to NGOs to provide relief and rebuilding following complex humanitarian emergencies. For example, WFP has used cooperative agreements with global and local NGOs to distribute the commodities it provides to victims in affected countries. UNICEF has also been a major sponsor of local NGOs, and UNHCR gives grants to both local and global NGOs.

Funding from government programs to NGOs takes the form of either grants, cooperative agreements (CA), or contracts. In the case of grants, there is less involvement from the financing agency than in a contract or a cooperative agreement. For example, in a CA, the government agency may require approval at various phases of a program, may maintain intense scrutiny on allocation of funds, and has the authority to halt program operations quickly. In the case of a grant, the NGO may only be required to file quarterly reports and submit a final report. The favored funding mechanisms for NGOs are grants and CA, rather than contracts.[15]

UN agencies, donor governments, the business community, and private individuals provide gift in-kind donations to NGOs.[16] Some NGOs also work as a link between corporate donors and recipients in overseas relief and development programs, and focus on collecting and transporting valuable donations to overseas operations.[17] In-kind donations may require additional resources to ensure transportation and distribution to the appropriate places.

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14 See InterAction Member Profiles 2000-2001.

15 See InterAction "Consultation Document: USAID Contracting Practices," March 2000.

16 For example, figures from InterAction Member Profiles-2000-2001 indicate that World Vision collected $55 million in gifts in-kind from USG sources and almost $117 million in gifts in kind from private contributors. The same report indicates that Action Against Hunger received $560,250 in private in-kind contributions and ADRA received $10,677,477 in private in-kind contributions.

17 The NGO Heart to Heart (H2H) specializes in providing medical and emergency relief to victims in domestic and overseas crisis. In FY1998, H2H received close to $21 million in private in-kind contributions and these goods were transported to 11 countries to support relief and development programs. www.hearttoheart.org. See also, AMERICARES, an NGO that utilizes in-kind donations and has a policy to not use USG funds to avoid acceding to USG directives.

NGO competition for donor funds is fierce and, in the case of USG funding, NGOs sometimes compete with for-profit firms.[18] NGOs that are successful in winning contracts suggest that the level of government micro-management is a problem.[19] As an alternative, however, NGOs can also participate in USAID's Bureau of Humanitarian Response (BHR) Matching Grants Program to obtain financing for existing programs and new initiatives.

Relief NGOs rely on emergency donations from private citizens and from corporations during overseas operations. In the initial stages of relief operations, the media will often publish the contact information for established NGOs to provide the public with opportunities to make donations. The competition for donations has caused problems in recent relief operations and at times unethical practices have been used in order to catch the media spotlight.[20] Larger NGOs have "fund raising campaigns," meetings, and dinners to keep donors informed and ready to donate.

A smaller portion of NGO funding comes from membership dues. Most NGOs do not rely on membership dues for overseas relief and development financing. NGOs that offer individuals the opportunity to join sometimes require payment of dues to distinguish between voting members or non-voting members, and the cost of membership is applied to paying a portion of the organizational expenses. Amnesty International, the Hebrew Immigrant Aid Society (HIAS), and the Points of Light Foundation (POLF) are all examples of membership organizations.

A growing number of NGOs are able to fund their overseas relief and development programs through grants from private philanthropic organizations. The Kellog Foundation, Ford Foundation, MacArthur Foundation, and Open Society Fund all provide financial support for NGOs. The Bill and Melinda Gates Foundation, founded by

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[18] NGOs are reluctant to invest resources to submit a proposal for a contract because: (a) the amount of time required to compile information for contract proposals overwhelms NGOs with limited staff, (b) there is a perception among NGOs that there is a government bias toward for-profit firms in contract awards, and (c) NGOs that decide to invest the time and resources in submitting a proposal for an contract run the risk that the government agency will either delay the award or will decide not to award the contract at all.

[19] NGOs resent government agency attempts to control the funded program by exerting pressure on the NGO to hire particular consultants or to give a sub-grant to a specific local NGO. When NGOs want to make modifications to a contract, the NGO must request to make changes through a formal approval process for modification that can take months, limiting the NGO's rapid response capability.

[20] See "NGOs, Sins of the Secular Missionaries*," The Economist*, 29 January 2000.

the head of Microsoft, has been particularly generous with NGOs and provided $25 million in 1999 for AIDS research.[21]

Although there are numerous funding sources available to NGOs, finding funds to keep relief and development programs operational is a struggle for most NGOs. The newly established NGOs with no record of performance frequently find it difficult to obtain financial backing. Often, start-up NGOs take the approach, "I'm an NGO, give me money," but do not realize that the donor community needs evidence of a solid plan of work and a history of successful projects before agreeing to provide financial backing for overseas initiatives.

H. UNIQUE CHARACTERISTICS OF NGOS

NGOs often share unique characteristics that help or sometimes hinder their operations. These characteristics are discussed below.

1. NGOs Work in Functional Areas

A common misperception is that NGOs are "one-size-fits all" and are capable of moving from one functional area to another with speed. In reality, relief and development NGOs are highly specialized, have written mission statements, and work in narrowly defined areas. Over the long-term, NGOs often modify missions and may choose to begin new programs in relief and development, but this typically occurs when the organization finds that in order to treat one problem, such as infant mortality, it must develop programs to address larger societal problems. For example, NGOs that focus on child health have also found the need to start programs to improve job opportunities for women. But this process of expanding the NGOs mandate from one functional area to a wider scope is time-consuming and requires approval from the NGO governing board, additional funds, hiring of technical specialist to lead new programs, and additional training for NGO field officers. When NGOs expand to new functional areas and when emergencies require NGO staff to assume humanitarian assistance duties, NGO

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[21] The strong economy has allowed many individuals to make charitable contributions to NGOs and new web enabled technologies have helped individual donors link up with NGO recipients. Through web sites like AOL's www.helping.org, individuals can identify NGOs by functional area and can make financial contributions via credit cards. Other web sites used regularly by both donors and by NGOs looking for contributions include: www.guidestar.org, a data base of more than 500,000 non-profit organizations, and www.charitableway.com, a site designed to help donors learn more about NGOs in need of financial support.

leadership and NGO field staff struggle to convert existing staff and meet new challenges present in emergency operations.

2. NGOs Belong to Associations

To promote cohesiveness among NGOs with similar goals, but different functional specialties, NGOs have developed associations. Sometimes called "umbrella associations" or "NGO coalitions," NGOs use both domestic and international associations to meet common goals. The International Council of Voluntary Agencies (ICVA), the Voluntary Organization in Cooperation in Emergencies (VOICE), and the American Council for Voluntary International Action (InterAction) use a "coalition approach" to influence decision makers and to improve NGO response in overseas missions.[22]

Through these associations, it is possible for the NGO leaders from diverse geographical backgrounds and differing functional specialties to work together toward common goals. The recent NGO-led campaign to ban landmines brought together global and local NGOs and the NGO associations to raise public awareness and encourage public and private support for a landmine ban.[23] These associations are useful to, used by, and sometimes partially funded by governments.

3. NGO Independence Paradox

A hallmark of NGO identity is independence. Governments do not direct the operations of NGOs, but it is hard to find an NGO that is completely independent. As discussed above, private citizens manage NGOs, and these individuals often have personal and political agendas. Moreover, NGOs rely on funding from both governments and private donations to achieve their crisis relief and development programs. For example, some of the larger NGOs often derive as much as 90 percent of their operating funds from government sources.[24] In order to maintain complete autonomy, a few NGOs will limit or not accept funding from government sources. These self-sufficient NGOs are rare, and a great deal of their time and expenses must be used to raise money for field

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22 See The U.S. Military/NGO Relationship in Humanitarian Interventions.

23 Other recent NGO advocacy campaigns have used available technology to cause policies to change at various levels. The influence of NGO associations recently caused PepsiCo to terminate its operations in Burma, and NGO associations have collaborated efforts to support the International Criminal Court.

24 See Weiss, Thomas G. and Leon Gordenker, *NGOs, the UN, and Global Governance* (Boulder, Colorado: Lynne Rienner Publishers, 1996).

operations and overhead costs. **In summary, although "Non-Governmental" is highlighted in NGO, it is rare to find NGOs that maintain complete financial independence from government funding.**

In addition to financial dependence on government funds, NGOs work apart from the governments, but also seek to influence government policy. Some organizations, like Amnesty International and Human Rights Watch, exist to influence government policy on human rights. NGOs such as Greenpeace focus on environmental issues while others have a primary focus on relief and development, but still use a major portion of their time in crafting messages on foreign affairs to government agencies. NGOs that have a primary focus on relief and development often devote a part of their efforts to advocacy by serving on committees or as independent entities.[25]

When NGO independence is threatened, some NGOs opt to leave humanitarian operations rather than negotiate with governments and paramilitary forces. For example, many NGOs in southern Sudan began pulling out of relief operations in February 2000 in response to the Sudanese People's Liberation Army's (SPLA) demand that aid workers sign a "memorandum of understanding" by March 1. This document would force NGOs to recognize the rebel forces and subordinate their work to the direction of the local organizations affiliated with the rebel army. Many in the NGO community see this memorandum as an attempt by the SPLA to politicize the NGOs and force them to identify their operations with either faction in the ongoing conflict—the Northern Muslim Sudanese Government or the SPLA. Rather than comply with this demand, many in the NGO community have suspended operations. The larger NGOs—World Vision, CARE, MSF, Oxfam, and Save the Children—have terminated operations. Other NGOs, 26 in total, have signed the SPLA memorandum and will continue operations. [26]

There are fundamental differences in the approaches that global NGOs take to working with host governments. It is the policy of some global NGOs to avoid host governments and instead to work only with local NGOs and to avoid host governments. Other global NGOs receive multilateral funding from donors specifically to reinforce the

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25 For example, the NGO Umbrella Association InterAction works with a large number of NGOs to keep elected leaders and public attention on debt relief, increases in foreign aid expenditures, and many other international issues. The Voluntary Organizations In Cooperation in Emergencies (VOICE), a European NGO Association, worked with NGOs to advocate for the establishment of the International Criminal Court and provides policy papers on regional conflicts.

26 See "International Relief Groups Pull Out of Sudan," Steven Mufson, *The Washington Post, A15,* 29 February 2000.

work of a host government institutions in areas of health care, food security, or education. All NGOs must comply with the registration requirements of host country governments, when and if they exist.

I. ROLE OF NGOS IN SHAPING INTERNATIONAL POLICY

One of the important distinctions of NGOs is their desire to influence public policy. The discussion that follows describes how NGOs influence the shaping of policy at various levels.

1. NGOs and the UN

In addition to the discussion of NGO relations with ECOSOC and UN departments and specialized organizations, there are other more subtle ways in which the UN and NGOs are related. First, individuals who work for specialized UN agencies such as UNICEF and UNHCR have in many cases come directly from the NGO community. **Because these UN workers know the capabilities of NGOs and share common experiences with the NGO community, UN workers are often able to work closely with the NGO community without experiencing some of the "cultural" misunderstandings that often occur between NGOs and the military.**

The NGO community sometimes plays a critical role in building public support for UN programs. In many situations, resentment and suspicion of UN programs has been a barrier to effectiveness in overseas peacekeeping and relief operations. The UN has had to rely on the NGO community to help persuade reluctant publics and elected leadership to support UN objectives. For example, many of the peacekeeping operations require financial and military commitments from reluctant governments. Through the work of NGOs, publics are informed of the need for these contributions and governments usually become more supportive of UN initiatives.

2. NGOs and International Financial Institutions

NGOs have struggled to influence the large regional and international development banks like the World Bank and the Inter-American Development Bank to adhere to internal bank policies and international law. **There is a growing willingness of the NGO community and the development banks to work together and, most recently, the World Bank has taken steps to reach out to the NGO community and frequently sponsors focused discussions between the donor community and NGOs.** In a World Bank facilitated program titled "Partnering with Civil Society," NGOs and

World Bank leadership discussed concrete methods to improve World Bank programs. Additionally, the World Bank has a "Participation Action Plan" to strengthen the NGO participation in Bank development programs.[27]

Until the mid-1990s, cooperation between NGOs and International Financial Institutions were uneven. Independent Inspection Panels, mechanisms through which individuals and NGOs could voice complaints, became a part of the World Bank in 1993, the Inter-American Development Bank in 1994, and the Asian Development Bank in 1995. These financial institutions work under mandates to improve economic, social, and cultural development, but, in many cases, the bank-sponsored development programs had unintended negative impacts. Inspection panels serve as the mechanism for NGOs and individuals to challenge operations and programming decisions of the institutions.[28]

J. CRITIQUES OF NGOs

Critiques of NGOs come from many different sources – from host governments, UN agencies, IGOs, IOs, military forces, and from the NGO community itself. These criticisms are summarized below.

1. Collaboration

One criticism of NGOs is their unwillingness to work together. While it would seem logical that NGOs would work together to achieve the same goal, there have been reports of NGOs letting personality conflicts interfere with collaboration. For example, NGOs with long experience in an area could help a recently arriving NGO to save time and resources in starting operations. In some cases, however, the experienced NGOs have not assisted the newly arriving NGOs. Instead, the experienced NGOs have opted to ignore the new arrivals and allowed them to make avoidable mistakes.[29] In other situations, the NGOs have the will to cooperate, but the highly specialized nature of NGOs, combined with contractual agreement with donors can make collaboration with other NGOs difficult.

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27 See the World Bank's NGO/Civil Society Unit and "The Struggle for Accountability." The connection between the NGO community and International Financial Institutions is termed, "operational collaboration" where NGOs are involved with the project cycles of development programs.

28 See "The World Bank Inspection Panel: A Record of the First International Accountability Mechanism and Its Role for Human Rights," Sabine Schlemmer-Schulte, Human Rights Brief-American University.

29 See Anderson, Mary B., *Do No Harm: How Aid Can Support Peace – or War* (Boulder, Colorado: Lynne Rienner Publishers, 1999).

2. Competition for Funds

NGOs are in competition for donor money, and this competition does not encourage NGOs to speak in a positive light about other NGOs' programs and successes. Some believe that the competitiveness and animosity between NGOs is in part due to religious differences, but today, ideological differences in the approach to relief and development are often more significant barriers to cooperation.[30]

3. Technology

In addition to problems with high competitiveness and low cooperation, NGOs have a "missionary mentality" when it comes to technological approaches to disaster relief and development. NGOs typically have few financial resources to acquire new equipment and typically do not invest in new global mapping systems, advanced telecommunications, or other technical advances. Moreover, NGOs tend to be understaffed and are focused on the crisis at hand. These factors do not allow them to investigate new technologies that would improve their effectiveness in future operations. **The "low tech" approach of many NGOs has made communications between NGOs, IOs, and other actors during complex contingencies difficult, and sometimes impossible**.[31]

4. Security

A growing concern among NGOs is personal security for their field workers. Until recently, few training programs for NGO staffs on how to protect themselves during crisis situations were in existence.[32] In the past, many of the NGO workers adopted a fearless attitude and believed that their NGO status would protect them, but random and targeted violence, guns, bombs, and landmines have killed or injured an increasing number of NGO workers. **Today, NGOs are no longer "off limits" to militants, but**

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30 See "The International Response to Conflict and Genocide: Lessons from the Rwanda Experience: Humanitarian Aid and Effects," Steering Committee of the Joint Evaluation of Emergency Assistance to Rwanda, Strandsberg Grafisk, Odensee, Germany, March 1996. Study 3: Humanitarian Aid and Effects, 48. In past operations, relief NGOs often create a "battle of logos and T-shirts" when responding to overseas crisis.

31 InterAction Forum 2000: The Strategic Use of Information Technology: Skills Session on Strategic Technology Use, 18 April 2000.

32 Anderson *Do No Harm*, p. 61. Anderson reports one example of inadequate security training when an NGO relief worker in Somalia was deployed to a dangerous situation with nothing more than the parental advice of "Just keep smiling."

instead are being deliberately targeted to advance combatant and political goals. In some cases, NGO workers have been the victims of crime and indiscriminate violence in countries where the police force has crumbled.[33] A recently established network tracks the number of NGO staff deaths from 32 of the largest humanitarian organizations. It reports a total of 382 deaths among humanitarian workers from 1985 to 1998.[34]

Many NGOs have been slow to utilize armored cars, flak jackets, and helmets out of fear that the relief workers will look more like combatants than humanitarians. The NGOs believe that the recipients of aid will lose confidence in the NGOs if their equipment resembles that of soldiers, and that utilizing such protective devices could invite attack from rebel forces.[35]

Especially troublesome to NGOs is the problem that occurs when local groups identify NGO workers with a particular political party. While an NGO might categorize its overseas programs as "neutral," increasing numbers of NGO workers have been killed because local militants view their work as supporting an opposing faction.

To address the need for NGO security training, several pilot programs have been launched. InterAction has a Working Group on NGO Security Training Curriculum, and in 1995 developed a training course for NGOs on health and security.[36] World Vision is a leader in the effort to improve security for NGOs working overseas and holds training programs to teach both its staff and staff members of other NGOs on how to deal with security threats. The organization has also developed a security manual for program officers overseas. These recent efforts to improve security of NGO workers is laudable, but many NGO staff members still have not been able to access training because they are located in remote areas and are unable to attend training courses that are held on an infrequent basis.[37]

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33 Anderson.

34 In an attempt to collect information on safety concerns, The Humanitarian Safety and Protection Network is a clearinghouse that NGOs can join: pgallien@club-internet.fr. See, "Forced Migration Review, May 1999" and "Security Training: Where Are We Now?"

35 Zachary, G. Pascal, "Aid Agencies Try to Shield Their Workers," *The Wall Street Journal*, 25 April 2000.

36 A USAID/OFDA grant provided funding for this initiative. For more information on security training, see www.redr.org.

37 In addition to NGO security training, ICRC is also taking extensive measures to improve their own security, and is cooperating with NGOs to share training programs and information related to security.

5. Staff Training

In addition to being untrained on security issues, NGOs are regularly criticized for not adequately training personnel in the field. The typical hire for a NGO field position has between 5 to 10 years of experience. Many times, individuals who serve in the field offices are not given a specific course of instruction to do their work and do not have the professional skills needed to deal with overseas situations. When NGO field workers have not had adequate training, the approaches they take to relief and development can create problems on the local level.

NGOs that send untrained personnel to the field are often criticized for their simplistic approach to difficult problems. The NGO staff member arrives in a crisis zone with good intentions on how to meet the needs of local populations, but is often unable to meet his or her own established goals. This "good-hearted, empty minded" approach is present in the NGOs that skip the needs assessment phase. For example, in many countries, negotiation is done with weapons, and democracy has never existed; these conditions must be taken into account when a project is developed there. In addition, some NGOs set high moral standards for achieving their objectives, but lack the resources – time, money, and staff – to realize success.[38] Furthermore, NGO boards and executive leadership in the home office often do not fully appreciate the day-to-day struggle of the NGO field workers.

6. Self-Serving Interests

Other NGOs are criticized for taking an opportunistic approach. Rather than working in areas of the world where an NGO has expertise, these NGOs are known to work for the "profit and prestige." These NGOs are regularly criticized for their tendency to work in "high profile" relief efforts that capture the attention of the media. For example, some NGOs that participated in relief efforts in Goma, Zaire were criticized for their desire to work in the high profile area that provided good visuals on TV.[39] Such NGOs are regularly criticized for putting self-serving interests ahead of victims.[40] As the number of NGOs involved in relief and development has grown, they have also come

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[38] Simmons, P.J., "Learning to Live with NGOs*," Foreign Policy,* Fall 1998.

[39] See Chapter 8 of the Journal of Humanitarian Assistance at http://www-jha.sps.cam.ac.uk/policy/pb022k.htm.

[40] See Itto, Anne, "An Insider's View of Humanitarian Assistance," The Fletcher Forum of World Affairs, Spring 2000.

under scrutiny for the high salaries paid to senior management and the large amount of money spent on administration and fund raising. In essence, the ability to make the greatest impact in relief and development by small NGOs has given way in the past decade to NGOs with a more "empire-building" motivation.

7. Possible Fronts for Illegal Activity

There is growing concern over the possible use of NGOs as fronts for illegal activity. For example, in 1992, Third World Relief Agency, an NGO, operated civilian relief projects in Bosnia that were similar to other relief projects in war torn societies. A chicken farm and a women's sewing collective were just two of the funded projects.[41] In September 1995, police raided a Vienna office of Third World Relief Agency and discovered documents linking this NGO to illegal gun trade that provided weapons for the Muslim government in Bosnia.[42]

8. Understanding of the Military

There is a large gap in knowledge and understanding by both the NGO and military communities about the capabilities and responsibilities of the other. Each community has a different culture and, despite recent attempts by the military to invite NGOs to participate in military exercises, this gap remains and often leads to misunderstanding and distrust during operations.[43] Table VI-4 contrasts the cultures of the two communities.

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41 See "How Bosnia's Muslims Dodged Arms Embargo, Relief Agency Brokered Aid From Nations, Radical Groups," John Pomfret, *The Washington Post Foreign Service Sunday*, 22 September 1996, p. A01.

42 An NGO that is linked to illegal activity is often referred to as a "MANGO" or Mafia NGO.

43 See "Tower of Babel – Much Information – Sharing Work Needed in Humanitarian Operations," *Armed Forces Journal International,* May 2000.

Table VI-4. Contrast Between the NGO and Military Cultures

NGO	Military
• Independent	• Highly disciplined
• Decentralized Authority	• Hierarchical Command
• Limited Staff Resources	• Large Staff Resources
• C3A – Cooperation – Coordination – Consensus – Assessment	• C3I – Command – Control – Communications – Intelligence
• On-the-Job Training	• Extensive Branch Training
• Few Field Manuals	• Doctrinal Publications
• Long-term Perspective	• "End State" Approach
• Field Experience	• Combat Experience

Source: Briefing: "The International Humanitarian Community," Kunder/Reali Associates, February 2000

The military forces typically first encounter NGOs when they deploy to contingencies involving disaster relief or peace operations. With some exceptions, the global and local NGOs, however, have usually been operating in the area for long periods prior to the arrival of the military forces. The NGOs do not want their ongoing programs or the local economy disrupted because of the military presence,[44] and these concerns frequently lead to tensions between the two sides. The NGOs also might need to protect their independence from the military so they can continue to provide humanitarian assistance without regard to political alignments.

K. PROGRAMS TO IMPROVE NGO ACCOUNTABILITY

NGOs have played a vital role in overseas relief and development programs, but often struggle to maintain accountability to donors and victims. The 1994 relief operations in Goma, Zaire marked both an increase in NGO self-examination and an increase in the public's demand for improved NGO practices. **Because of problems with NGO collaboration and questionable ethical violations, a number of NGOs, NGO associations, and the International Red Cross and Red Crescent Movement (IRCM) created a ten-point code of conduct for NGOs providing relief. This Code**

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44 Military forces must be sensitive to the prevailing costs for local labor and services in a contingency area. If the military pays higher wages or more for materials than prevailing rates, this will increase the cost of doing business for the NGOs, and they might be forced to terminate programs or possibly leave the area.

of Conduct is the first to establish a universal set of standards for relief operations.[45] This code of conduct document says more about NGOs than any other document of its size, and is a "must read" for military officers working with NGOs. The heightened standards are also designed to build public trust in NGOs and promote transparency in fundraising and financial reporting.

A similar effort, the Sphere Project, started in 1997, seeks to increase accountability and effectiveness of assistance to disaster victims. The Sphere Project established minimum standards for treatment of victims in disaster response operations and describes the principles of humanitarianism. ICVA, ICRC, the Steering Committee for Humanitarian Response (SCHR), VOICE, and InterAction lead this ongoing effort. The ICRM, UN agencies, and more than 600 experts from the NGO community contributed to the Sphere Project.[46] At this time, the Sphere Project Management Committee is responsible for coordinating the document with NGOs and IOs for adoption. Training of NGOs on using the Sphere standards started in January 2000, and future work of the Sphere Project will be to implement and enforce the standards contained in the document.[47]

The ICRM Code of Conduct and The Sphere Project are a first attempt to clearly communicate standards for NGOs. With these standards in place, leadership from the NGOs is working to educate practitioners about the two codes of conduct. NGOs worry that the formal standards found in the two projects will stifle innovation, but the overall mission is to promote accountability and transparency in overseas operations.[48] With training programs in place to educate NGOs on the standards, both programs look to implement monitoring and enforcement mechanisms.[49]

At the same time that the IRCM Code of Conduct and the Sphere Project focus on accountability in overseas operations, NGO associations are working with members to

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45 See Appendix J and http://www.ifrc.org.

46 See The Sphere Project www.sphereproject.org.

47 Most recently, the Sphere Project has developed a video to inform the disaster relief community of the need for specific minimum standards for disaster relief in water supply and sanitation, nutrition, food aid, shelter, and health services. It is possible to order this video by contacting www.sphereproject.org.

48 See "The Search for Standards and Accountability in Emergency Relief Operations," speech given on 17 February 2000 by Nicholas Stockton, Oxfam Great Britain.

49 See "The Four Cs of Third Sector-Government Relations," *Non-Profit Management & Leadership,* Volume 10, Number 4, Summer 2000.

strengthen NGO internal practices. Since 1992, InterAction has required members of the association and those applying for membership to certify their compliance with the InterAction PVO standards. The annual review is one of "self-certification" and, each year, membership organizations review their internal standards to make sure that they are in compliance with those of InterAction. Currently, InterAction is looking at ways to strengthen and update standards to improve accountability of NGOs both to donors and aid recipients, and when collaborating with other NGOs during overseas operations.

In addition to the above mentioned accountability programs, global NGOs use a variety of practices to maintain accountability and transparency. Global NGOs use regular independent audits to promote financial accountability. International donors often require audits, but the regular analysis of programs also helps global NGOs assure the public at large that funds are being used wisely. In global NGOs, the field office coordinates the audit, the findings are then submitted to the executive management, who in turn report financial audits to the NGO board of trustees.[50]

In addition to NGO self-efforts, host nations also impose regulatory framework. Host nations often require NGOs to:

- Register or receive special licensing
- Establish a government agency or organization to monitor NGO activities and implement sanctions for non-compliance with regulations
- Submit regular financial reports with details on fund raising
- Comply with special tax reporting requirements.

To ensure accountability between NGO and financial contributors, NGOs must make periodic reports from the field and final reports to the source of support. Donors want to see that NGOs spend the allocated funds for programs and not for overhead costs of NGO operations. NGOs lose credibility with financial supporters if they have high overhead costs and many financial supporters place a ceiling on the amount of money that can be spent on overhead expenses. In disaster situations, donors want to see that 80 cents of every dollar reaches disaster victims. This constant pressure to meet high accounting standards causes NGOs to shift attention away from actual relief programs to attracting, allocating, and accounting for funds.

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[50] For further information related to board of trustees see Gregoire, Crispin, "The Role Of Governming Boards In Fostering Accountability," in The International Journal of Not-for-Profit Law, Volume 2, Issue 3 at http://www.icnl.org/journal/vol2iss3/toc.htm.

Donors use the following mechanisms to hold NGOs accountable:

- Periodic program reports
- Management and financial audits
- Periodic inspections by an appointed Inspector General or independent auditing firm
- On-site visits by donor nation program officers.

Finally, the media and independent watchdog organizations also work to hold NGOs accountable to both the financial supporter and the victims in the field. The media is quick to report misuse of funds, inflated salaries, and incompetence in meeting the needs of victims. Because the NGOs rely on positive media coverage to attract financial support and build name recognition, an unfavorable news article can cause long-term problems. Other independent media compile a yearly report scoring NGOs based on the breakdown of funds spent on overhead.

L. SUMMARY AND CONCLUSIONS

In the last decade, NGOs have taken leadership roles in relief, development, advocacy, and diplomacy. What once started as charity-minded organizations of individuals working in relief operations has grown into a sophisticated and connected community. Through the development of NGO associations and new technologies, great strides have been made to address NGO weaknesses and enable the growing number of global and local NGOs to speak with a unified voice on issues of human rights, development, and poverty. As the NGO community has gained prominence in global relief operations, donors scrutinize NGO results, rather than simply evaluating NGOs on whether they are present in relief operations. The Sphere Project and the IRCM Code of Conduct seek to enforce standards. As will be seen in Chapter VIII, there is a trend for NGOs and businesses to partner in relief and development initiatives. The next challenge for the NGO community will be to bridge the cultural and communications gaps between civilian relief workers and military leadership in overseas operations.

CHAPTER VII

POTENTIAL DONOR NATIONS

VII. POTENTIAL DONOR NATIONS

Throughout history, sovereign nations have come to the assistance of other nations in times of need. The nation extending assistance, called the donor nation, responds to the affected nation in a variety of ways. Possibly the best example of a donor nation assisting other sovereign nations is U.S. support to Europe after World War II. Today, the 21 largest donor nations contribute more than $52 billion to the developing world each year.[1] This chapter summarizes the contributions of the major donors and identifies the nature and extent of their recent contributions. First, an overview of donor nation contributions to development and relief are discussed. Donor nation assistance for military security interventions is then profiled. Finally, donor nation assistance for civil law and order and public security assistance concludes the section.

To bring clarity to the topic of donor nation assistance, it is important to understand the distinction between bilateral and multilateral aid.[2] Aid that flows from the donor to the recipient government is known as bilateral assistance; this method is used when there is a viable and responsible recipient government that is willing to administer the assistance in accordance with the donor's objectives. In bilateral funding mechanisms, donor nations often use contractors and NGOs to channel the funding directly to programs in the affected countries. Multilateral assistance is the term used to describe the flow of aid from a donor government to another organization with similar objectives, such as an agency of the UN, an IGO, or an IO.[3] With multilateral aid, the intermediary agency then ensures that the funds reach the intended people in the affected nation. **Donor nations favor multilateral aid when the affected nation's government is weak, corrupt, or failed and is incapable or unwilling to administer the assistance. Donor nations commonly use bilateral aid to promote economic and social development or for humanitarian purposes.**

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1 See OECD DAC, "Aid at a Glance," 29 February 2000 at http://www.oecd.org/dac/htm/agdac.htm.

2 See www.oecd.org/dac/htm/dacdir.htm#8,9,10 for detailed definition of multilateral/bilateral funding also listed in the glossary.

3 For example, donor nations provide multilateral funding to UN Agencies such as the UNDP, UNICEF, WFP, UNHCR, as well as to the International Financial Institutions (IFIs) such as the World Bank.

A. ECONOMIC AND SOCIAL DEVELOPMENT, AND HUMANITARIAN ASSISTANCE

With massive shifts in economic and political systems, donor nations have had to change the methods by which they provide assistance for development and emergency situations. Donor nations are no longer constrained by Cold War considerations, and are more likely to provide assistance to promote policy reform toward free market systems, capacity-building, democracy/governance, and poverty reduction. This section discusses the current levels of donor assistance for development and emergency relief and the mechanisms that donor nations use to allocate funds.

1. OECD Official Development Assistance (ODA)

The Organization for Economic Cooperation and Development (OECD) is an international organization made up of 29 democratic nations with advanced market economies. The OECD's Development Assistance Committee (DAC) is a reliable starting point for the analyses of aid trends.[4] OECD uses the term Official Development Assistance (ODA) to account for resources provided by one government to assist in the development of another nation. Governments, IOs, NGOs, and IGOs use the DAC statistics as a source of official data on relief and development aid.

Donor nations use the DAC as a forum to harmonize the flow of donor assistance to the developing world. The overall goal of the DAC is to encourage aid to affected nations and improve aid quality. DAC Members work from the premise that high population growth, poverty, malnutrition, illiteracy, and environmental degradation are all linked to underdevelopment. DAC Members see economic and development programs as the solution to the problems that plague the poorest nations.

The OECD tracks funds that go to long-term development initiatives and relief operations. The members of the OECD Donor Assistance Committee (DAC)[5] report all contributions made to a list of developing nations. The primary measurements of donor assistance are based on the following areas: capital projects, budget and balance of

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4 In addition to using the OECD's ODA statistics, other commentators have suggested using total contributions to the UN as a measure of donor nation assistance. For the purposes of this chapter, OECD statistics are used to rank donor assistance.

5 Members of the DAC include: Australia, Austria, Belgium, Canada, Commission of the European Communities, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, The Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, and United States. Permanent observers include: The International Monetary Fund, The United Nations Development Programme, and The World Bank.

payments support, food and other commodity aid, technical cooperation and emergency relief.[6] DAC members provide information on an annual basis about loans and grants, other official flows, private market transactions and assistance from NGOs to recipient country. ODA does not account for the assistance given by many non-DAC members. Many Arab nations, Thailand, Singapore, Malaysia, and Taiwan provide assistance, but since they are not members of the DAC, their contributions are not included in the ODA.

Table VII-1 summarizes the DAC member nations' contributions to ODA in 1996 and 1997. The UN has established the figure of 0.7 of an industrialized country's Gross National Product (GNP) as the target for annual donor contributions to developmental assistance. These funds are allocated for overseas aid to an agreed list of developing countries.[7] These data show that only four DAC donors met the 0.7 percent target, and the average contribution of all DAC donors was only 0.4 percent.[8] Moreover, the total amount contributed declined by 5.8 percent between the 2 years.

The total net flow of financial resources from DAC donors to developing countries and multilateral organizations is summarized by type of assistance provided in Table VII-2 for selected years since 1981. The total amount of ODA peaked in 1992, but has subsequently decreased to $48.3 billion by 1997. This table shows that the $48.3 billion in ODA for 1997 represented less than 26 percent of the total net financial flow for that year, and reflects the continuing decline. The ODA/GNP ratio has fallen to around 0.25 percent, well below the 0.33 percent average maintained in the 1970s and 1980s.

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6 The OECD introduced the reporting methods currently used to calculate ODA in the 1970s. For further discussion on methodology, see www.oecd.org//dac/htm/glossary.htm.

7 See OECD Annual Report for 1998 at: www.oecd.org/dac/ and OECD statistical data on-line.

8 The U.S. contribution to ODA, while remaining second only to Japan's in dollar value, decreased by more than 28 percent between 1996 and 1997 and amounted to only 0.09 percent of 1997 GNP, the lowest of any DAC nation.

Table VII-1. Official Development Assistance Flows for 1996 and 1997

DAC Donor	1997		1996	
	ODA	ODA/GNP	ODA	ODA/GNP
	$m	%	$m	%
Australia	1,061	0.28	1,074	0.28
Austria	527	0.26	557	0.24
Belgium	764	0.31	913	0.34
Canada	2,045	0.34	1,795	0.32
Denmark1	1,637	0.97	1,772	1.04
Finland	379	0.33	408	0.34
France	6,307	0.45	7,451	0.48
Germany	5,857	0.28	7,601	0.33
Ireland	187	0.31	179	0.31
Italy	1,266	0.11	2,416	0.20
Japan	9,358	0.22	9,439	0.20
Luxembourg	95	0.55	82	0.44
Netherlands	2,947	0.81	3,246	0.81
New Zealand	154	0.26	122	0.21
Norway	1,306	0.86	1,311	0.85
Portugal	250	0.25	218	0.21
Spain	1,234	0.24	1,251	0.22
Sweden	1,731	0.79	1,999	0.84
Switzerland	911	0.34	1,026	0.34
United Kingdom	3,433	0.26	3,199	0.27
United States	6,878	0.09	9,377	0.12
Total DAC	48,324	0.22	55,438	0.25
Average Country Effort	n/a	0.40	n/a	0.40

Source: OECD on-line Statistical Data, current as of 8 February 1999.

(1) Denmark introduced the new system of national accounts, ENS 95, in 1997. This led to an upward revision of GNP, which combined with other technical factors, caused a downward adjustment of the final Danish ODA/GNP ratio to 0.97 percent in 199

In order to address these declines, **the DAC uses a Peer Review to evaluate each DAC member's overseas relief and development program. Every three years the Peer Review follows the evaluation with recommendations to donor nations for improvement.** Typically, the DAC's Peer Review encourages donor nations to increase aid to the UN target, to increase transparency in the relief and development process, and to incorporate evaluation and public education about development.[9]

Although these public donations have fallen considerably, the private sector has become more active in financing programs in the developing world. Private funds at market terms accounted for nearly 69 percent of the financial flow to developing countries. Private financing in the developing world nearly doubled between 1993 and 1997 and was the largest category of overseas growth during the periods covered. These forms of private financing have helped in nations with stability, but private investors are reluctant to provide financing for projects in many of the poorest and unstable nations because of risk of financial loss.[10] The DAC monitors financing that has a private sector connection: export credits, bank lending, and direct investments. In 1997, while private investment in the 48 least-developed countries was only about $1 billion, bilateral and multilateral assistance to these same 48 least-developed countries was nearly $14 billion.[11]

The table also shows the allocation of total ODA through bilateral or multilateral channels. In 1997, about 67 percent of the ODA contributions were provided as either bilateral grants or loans, usually requested by the receiving nation, and amounted for $32.3 billion. During the same year, contributions to multilateral institutions were $15.9 billion, which reflects nearly a 7 percent decline in the dollar amount (without adjustments for inflation) between 1993 and 1997.

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9 See http://www.oecd.org/dac/htm/faq.htm

10 See also http://www.info.usaid.gov/pubs/isp/guide_ii.html for discussion of partnerships between business, civil society, and governments.

11 See OECD News Release, 10 June 1999. PAC/COM/NEWS(99)60

Table VII-2. Total Net Flow of Financial Resources from DAC Donors to Developing Countries and Multinational Organizations by Type Flow

Assistance Provided as			1981-82 Average	1986-87 Average	1993	1994	1995	1996	1997
I.		Official Development Assistance	25,820	38,221	56,486	59,152	58,926	55,438	48,324
	a.	Bilateral Grants and Grant-like flows	12,326	21,127	33,416	35,185	36,184	36,506	31,197
	b.	Bilateral Loans	5,088	5,922	5,943	6,115	4,444	2,585	1,146
	c.	Contributions to Multilateral Institutions	8,406	11,172	17,127	17,852	18,298	16,347	15,981
II.		Other Official Flows	6,899	1,790	7,918	10,456	9,872	5,562	6,113
III.		Private Flows at Market Rates	52,186	21,618	65,316	90,238	89,824	128,939	128,525
IV.		Net Grants by NGOs	2,161	3,674	5,692	6,047	5,973	5,568	4,628
Total Net Flows @ then year price and exchange rates			87,066	65,303	135,412	165,893	164,595	195,507	187,590
Total Net Flows @ 1996 price and exchange rates			173,100	100,827	151,080	177,501	160,628	195,507	201,927

Source: OECD on-line statistical data, current as of 8 February 1999.

Donor nations have many different motivations for contributing funds. Political or strategic interests, economic considerations, environmental motives, humanitarian reasons, and historical connections are just a few of the factors that donor nations consider. Table VII-3 contrasts the regional allocations by donor between the periods 1986-87 and 1996-97. The table reveals flows of assistance from former colonial powers towards Africa, from the French to Latin America and the Caribbean, from Japan to Asia with recent increases in Latin American and the Caribbean, and significant U.S. flows towards the Middle East and North Africa. These data also show a decrease of 12.0 percent in donations for South and Central Asia between the two periods, but increases in other regions ranging from 15.5 percent for Sub-Saharan Africa to 51.3 percent for Latin America and the Caribbean.

Donor nations control the allocation of their ODA to specific programs, the form of aid, and the sectors addressed. The summary of the total DAC contribution in 1996 is

provided in Table VII-4 by percent allocated to various economic and social development categories. The table also lists the percentage allocation to the same program categories made by the multilateral financial organizations such as the World Bank and the regional development banks. More than 53 percent of the DAC funds and 68 percent of the multilateral institutional funds are allocated to social and administrative infrastructure and economic infrastructure. Of the total DAC allocation, about 2.8 percent is contributed as food aid.

Table VII-3. Regional Distribution of ODA by DAC Donor

DAC Donors	Sub-Saharan Africa		South and Central Asia		Other Asia and Oceania		Middle East and North Africa		Latin America and Caribbean	
	1986-87	1996-97	1986-87	1996-97	1986-87	1996-97	1986-87	1996-97	1986-87	1996-97
Australia	73	118	72	115	444	647	17	19	9	12
Austria	43	107	15	23	8	84	91	43	8	38
Belgium	350	269	50	26	47	58	20	44	32	104
Canada	536	441	392	185	180	172	58	123	172	199
Denmark	328	567	142	168	60	143	48	80	28	153
Finland	170	118	58	35	30	47	15	23	21	29
France	2,042	2,667	379	229	723	1,138	471	978	232	305
Germany	1,227	1,612	626	568	316	858	429	797	482	801
Ireland	22	92	5	8	2	6	1	7	1	8
Italy	1,328	486	268	200	155	103	151	164	152	154
Japan	1,100	1,388	1,752	1,653	2,088	2,701	307	685	439	1,214
Luxembourg	0	34	0	6	0	7	0	7	0	14
Netherlands	662	835	350	332	206	98	86	215	243	574
New Zealand	4	10	3	6	53	92	0	2	1	5
Norway	391	522	163	161	47	91	15	100	49	126
Portugal	0	161	0	2	0	2	0	3	0	4
Spain	32	249	10	35	4	110	4	109	33	325
Sweden	525	585	214	185	112	175	35	132	63	177
Switzerland	205	299	68	139	28	78	18	45	58	120
United Kingdom	556	875	384	496	140	236	53	122	99	283
United States	1,456	1,331	951	610	720	424	2,948	2,073	1,383	657
Total DAC	**11,052**	**12,765**	**5,901**	**5,183**	**5,362**	**7,268**	**4,767**	**5,771**	**3,504**	**5,302**

Source: OECD on-line statistical data, current 8 February 1999.

(1) Including imputed multilateral flows, i.e., making allowance for contributions through multilateral organizations, calculated using the geographical distribution of multilateral disbursements for the year of reference. Excluding Europe and unspecified.

Table VII-4. Allocation of 1996 ODA and Multilateral Finance by Category

Category	Total DAC	Multilateral Finance (ODF)		
		Total ODF	World Bank	Regional Dev. Banks[c]
1. Social and Administrative Infrastructure	30.0	32.2	35.5	26.2
Education[a]	10.8	6.6	7.9	4.2
of which Basic Education	1.3	2.9	4.0	1.0
Health and Population	6.0	6.2	7.8	3.3
of which Basic Health	2.1	2.9	3.0	2.7
Water Supply and Sanitation	6.6	5.8	5.8	5.7
Government and Civil Society	2.9	6.4	4.5	9.7
Other social Infrastructure/Service	3.7	7.3	9.4	3.4
2. Economic Infrastructure	23.1	36.5	33.0	42.6
Transport and Communications	13.9	14.6	12.2	18.9
Energy	7.1	15.4	12.4	20.8
Other	2.2	6.5	8.5	3.0
3. Production	13.1	14.0	14.2	13.8
Agriculture	9.5	9.0	7.5	11.8
Industry, Mining and Construction	2.0	4.7	6.3	1.8
Trade and Tourism	1.5	0.4	0.4	0.3
4. Multisector	5.8	11.3	9.0	15.4
5. Programme Assistance	4.7	5.9	8.1	2.0
6. Debt Relief[b]	5.7	0.1	0.2	0.0
7. Emergency Aid	5.1	0.0	0.0	0.0
8. Administrative Expenses	5.0	0.0	0.0	0.0
9. Unspecified	7.6	0.0	0.0	0.0
Total	**100.0**	**100.0**	**100.0**	**100.0**

Source: OECD on-line statistical data, current as of 8 February 1999.

a Including students and trainees.
b Including forgiveness of non-ODA debt.
C Including the African Development Bank, Asian Development Bank and Inter-American Development Bank.

A current issue that donor nations and multilateral donors must address is debt relief. Over the years, 41 of the poorer nations have borrowed approximately $90 billion as bilateral or multilateral loans. Because of local conflicts, corruption, and economic and natural disasters, the borrowing countries are unable to repay the borrowed money. In June 1999, the Group of Seven industrialized countries (G-7) adopted a plan for debt relief, and in September 1999, President Clinton announced that the USG was willing to forgive loans that Washington provided to these poorest countries, and expressed hope that other donor nations and international financial institutions would join that initiative to enable these countries to overcome their poverty.[12] The G-7 plan for international debt relief, known as The Cologne Initiative, requires financial reforms, such as better fiscal management and poverty reduction, before the debtor nation can be eligible for the debt write-off.

2. Emergency Assistance

Whereas donor nations have fluctuated in their contributions for overseas development programs, they have typically kept funding for emergency assistance intact. In cases when local governments are overwhelmed by devastation, donor nations try to respond with speed to the requests of the affected people. **When donor nations provide humanitarian assistance, they do so without expectation of reimbursement from the affected nation.** Emergency assistance for natural disasters has fewer political obstacles that donor nations must consider in deciding how to respond to man-made humanitarian suffering. Donor nations are slower to react when the source of the crisis has a political element, and donor nations quickly become disillusioned with emergency assistance when there is ineffective means of distributing aid in an impartial manner. [13] In the IFRC World Disasters Report, the total number of natural and man-made disasters is summarized by region and emerging issues are discussed. Table VII-5 displays the worldwide experience with both types of disasters in 1997.

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12 See Update on Debt Relief-One Year After Cologne, Monday Developments, 12 June 2000. See also "Help for the Poorest," *The Washington Post,* 23 October 1999.

13 IFRC World Disaster Report 1997.

Table VII-5. Total Number of Disasters by Region and Type in 1997

	Africa and Middle East	Americas	Asia	Europe	Oceania	Total
Natural Disasters	37	45	62	23	12	179
Earthquakes	0	4	8	1	0	13
Drought and Famine	5	2	4	1	2	14
Flood	17	20	20	10	2	69
Landslide	1	3	5	1	2	12
High Winds	2	12	18	5	6	43
Volcano	0	2	1	0	0	3
Other	12	2	6	5	0	25
Man-Made Disasters	31	19	55	36	4	145
Transportation Accidents	7	6	24	20	1	58
Technological Accidents	0	1	10	3	0	14
Fires	3	8	13	7	3	34
Humanitarian Emergencies Caused by Conflict	21	4	8	6	0	39

Source: World Disaster Report 1998, Chapter 12, Tables 9, 10, 16, 17, 18, and 19.

Approximately 21,700 people were killed by natural disasters during the year and another 33.3 million were affected by them. The recent trends show a slight reduction in both numbers of people killed and affected by natural disasters as better flood preparedness measures are put into effect. Man-made disasters, however, took an even more severe toll with an estimated 128,700 people killed and more than 5.5 million cumulative deaths attributed to the long-term conflicts in many regions. Data for Africa show an increase in fatalities caused by the conflicts in the Great Lakes region. The conflict situations have significant humanitarian consequences because they caused 17.4 million refugees and 26.4 million internally displaced persons during the year.

Emergency aid is a category of ODA used to record the assistance given to nations affected by natural of man-made disasters. Between 1986 and 1994, ODA emergency aid increased by a factor of 5 from $686 million to $3,468 million. Since that peak, it has shown a steady decline, but remains in the range of about $2.0 to $3.0 billion

annually. A UN target for emergency aid has not been established, but donors respond to contingencies with funds and resources in response to assessed needs. In total volume, the U.S. and the EU are the two largest emergency aid providers. As a percentage of bilateral assistance, however, Sweden, Norway, and Austria head the emergency aid providers, spending over one-fifth of bilateral aid on emergency relief. In 1996, Japan contributed just 0.88 percent of its bilateral aid to emergencies, while France, another big aid donor, devoted only 1.6 percent to emergencies.[14]

Many of the more developed nations of the world have established governmental agencies, often referred to collectively as National Emergency Relief Services (NERS), to provide assistance to nations during disasters, or to foster long-term development in these nations as a means to mitigate possible disasters in the future. Examples include the Swedish Rescue Board (SRB) and the SDRA organizations. Governmental organizations focused on development, such as the DfID and the CIDA have emergency response cells, comparable to Office of Foreign Disaster Assistance located in USAID.[15] Other nations typically offer assistance in times of emergency through their Ministry of Foreign Affairs. A total of 29 nations have formally responded to the UN OCHA request for Military and Civil Defense Assets that might be made available for international assistance.[16]

Because of the complexity of managing the resources of a potentially large number of donors during an emergency situation, The UN utilizes standardized procedures to assist the affected nation with coordination of international humanitarian responses.[17] In addition, the EU operates the European Commission Humanitarian Office (ECHO) under the direct responsibility of the Commissioner for Development, Cooperation, and Humanitarian Affairs. ECHO manages humanitarian aid for populations of all countries in the world that have been affected by natural catastrophes or emergencies and also responds to requests for emergency aid, food, and assistance for refugees and displaced persons. Its funds have been used for food, medical supplies, hospital equipment, logistical materials, transportation both from origin to destination and locally in the affected area, warehousing and distribution, and personnel in the fields of

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14 See The International Federation of Red Cross and Red Crescent Societies, Oxford University Press, 1988, World Disasters Report 1998, pp. 67-78.

15 See discussion of USAID in Chapter III.

16 See Table E-2 Announced MCDA Service Module (Nations) in Appendix E.

17 See the discussion of the Office for the Coordination of Humanitarian Affairs (OCHA) in Chapter III and Appendix E.

medical, nursing, logistics, and staff. ECHO is the second largest donor of funds for emergency assistance in the world and takes a strongly apolitical line emphasizing management, efficiency, and procedure, rather than broader political engagement.

Two recent examples illustrate the scope and size of humanitarian assistance contributions made by the community of international donors when nations are affected by major natural or man-made disasters:

- Earthquake in Turkey: When the earthquake struck Turkey in August of 1999, it devastated a large region and caused more than 15,000 fatalities. Turkey requested international assistance. A total of 60 nations responded with search and rescue teams, medical teams, and other humanitarian support. Additional responses were provided by 8 UN agencies, 4 IGOs and IOs, and 33 NGOs. The total contribution recorded by UN OCHA was $59.2 million, excluding contributions in-kind and services.[18]
- Refugees in Albania and Macedonia: When these countries were faced with the influx of an estimated 800,000 refugees from Kosovo in the spring of 1999, the Euro-Atlantic Disaster Response Coordination Center recorded support from 19 NATO member nations, 13 partner nations, and at least 2 other countries not affiliated with the Alliance.[19] The total donation of cash and supplies amounted to more than $498.0 million, but these estimates do not include contributions in-kind or services.

B. MILITARY SECURITY INTERVENTIONS

In addition to support of relief and development programs, donor nations also use military assets. In major theater wars, donor nations form coalitions and intervene with military forces, as they did during the Gulf War in 1990-91, when Iraq attacked its neighbor and threatened stability in the region. **Smaller scale contingencies such as peacekeeping or peace enforcement interventions also have been conducted with forces contributed by donor nations.** These operations might be conducted either as coalitions of donors, with a lead nation responsible for coordinating the resources employed in the operation,[20] or within a command and control framework of an existing

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[18] See OCHA-Geneva Contributions Report (as reported by donors) as of 9/16/99; located at www.reliefweb.int/fts/nd1999/tur991.htm/. Contributions were also received from two commercial businesses and two private donors.

[19] See Annex to EADRCC (1999)499 NATO CIVIL EMERGENCY PLANNING — Euro-Atlantic Disaster Response Coordination Center Humanitarian Assistance by NATO and Partner Nations, July 1999.

[20] The UN Intervention Force East Timor (INTERFET) is a multinational force led by Australia.

regional IGO such as NATO.[21] **The UN Security Council authorizes multinational peace support operations[22] that intervene within affected nations and the donor nations usually coordinate their contributions with the UN Department of Peace Keeping Operations** following the process outlined in the Standby Arrangement System described in Appendix E.

Interventions to establish military security are usually conducted to separate two belligerent nations. Within a weak or failed state, they enforce peace between two or more armed and warring factions. They may also be conducted to keep the peace after the parties have agreed to a peaceful settlement.[23] Between 1948 and mid-1999, military forces have been involved in 48 UN sanctioned peacekeeping operations. These operations were conducted to verify, observe, or otherwise support the implementation of agreements between states or factions. Over this period, these contingencies cumulatively have employed more than 750,000 troops, observers, civil police, and civilians. The personnel were provided by 111 UN member nations and the operations were generally funded by special assessments of all UN members at a total cost of about $18.3 billion.[24]

1. Peacekeeping Operations

A summary by year of UN peacekeeping operations since the end of the Cold War is provided in Table VII-6. The table illustrates the rapid expansion of these operations from 1992 to 1995 and the subsequent reductions in both size and cost. The reductions should probably be attributed more to donor fatigue and over-commitment[25] than to a

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21 The multinational military forces intervening in Kosovo (KFOR), whether donated by NATO members or partners or from nations outside of the Alliance, are under the command and control of NATO subordinate commanders; initially, the Commander of the ACE Rapid Reaction Corps (ARRC) and subsequently, the Commander of Land Forces Central Region (LANDCENT).

22 In some situations, these operations, while authorized by the UN Security Council, may begin with a unilateral U.S. intervention, as occurred in Somalia and Haiti, because of the need for rapid response, but later they transition to multinational operations under UN authority.

23 The UNPROFOR deployment was an exception. This force was only authorized to protect the humanitarian aid workers in Bosnia, not to take peace enforcement actions against the warring factions.

24 Two UN operations (UNTSO and UNMOGIP) are currently funded from the UN regular budget while the other ongoing operations are funded from their own separate accounts provided by legally binding assessments of all states.

25 See "Peacekeeping at a Stretch," *Jane's Defense Weekly,* 28 July 1999; "Over-stretched and Over There," *The Economist,* 17 July 1999; and "Overstretch at First Hand," *Jane's Defense Weekly,* 28 July 1999.

more peaceful world. A snapshot in time illustrates the extent of donor involvement. As of 30 November 1998, the UN had 14,347 troops from 78 nations deployed in 14 separate operations. On that day, Argentina, Austria, Bangladesh, Fiji, Finland, France, Ghana, India, Ireland, Nepal, Poland, UK, and U.S. contributed more than 66 percent of the personnel assigned to these operations. Although the UN operations are focused on peacekeeping, they are not without risk. Through 1998, A total of 1,581 personnel have died while serving on UN missions, with more than half the fatalities occurring since 1994.

Table VII-6. Average Strength and Annual Cost of UN Peacekeeping Forces

Year	Troops	Other Personnel	Costs ($US million)
1991	9,000	5,000	380
1992	33,000	12,000	1,330
1993	67,000	22,000	3,000
1994	72,000	13,000	3,400
1995	64,000	12,000	3,300
1996	21,000	7,000	1,600
1997	20,000	10,000	1,300
1998	15,000	9,000	1,000

Source: The Military Balance 1998/99

The size and cost of UN peacekeeping is starting to increase once again. Because of complex emergency situations in Eastern Timor and Sierra Leone, the UN Security Council authorized the creation of two new peacekeeping operations. One has replaced the UN authorized and Australian-led International Force for East Timor (INTERFET) as the 11,000-strong UNTAET.[26] The UN peacekeeping force for Sierra Leone was authorized on 23 October 1999 and includes 6,000 troops to assist with carrying out the July 1999 agreement that ended the civil war in that country. On the same day as the UNTAET vote, the Security Council started negotiations for establishing another

[26] See "With Funding in Doubt, Council Backs 11,000-Strong Mission," *The Washington Post,* 25 October 1999. The force has 8,950 peacekeepers, 1,640 international police, and 200 military observers to oversee East Timor's transition to independence.

peacekeeping mission in the Democratic Republic of Congo that may number as many as 15,000 troops.

The UN Security Council does not always authorize multinational peace support operations. In some situations, these operations are conducted outside of the UN framework because permanent members of the Security Council will likely veto the proposed operation. One such operation is the Multinational Force and Observers (MFO) deployed in the Sinai. Established in 1981 as part of the Camp David Accords and headquartered in Rome, this force of 1,950 troops contributed from eleven nations[27] verified the withdrawal of Israeli troops from the Sinai and now monitors the force levels in the zone covered by the treaty.

Other non-UN authorized peacekeeping operations have been conducted in Africa and elsewhere. The regional forces of ECOWAS – the ECOWAS Monitoring Group or ECOMOG[28] – have been employed in various West African states to restore peace, most recently in Sierra Leone, but with only limited success. The OSCE also conducts its operations without official UN authorization. OSCE currently has nine long-term missions deployed in Europe and Asia to observe and support peaceful resolution of local tensions.

The largest multinational organization in the UN SAS is the Standby High Readiness Brigade (SHIBRIG) with elements contributed by Austria, Canada, Denmark, Netherlands, Norway, and Sweden. Both France and the UK, however, have recently earmarked national brigade-size forces for the SAS.[29] In addition, a few nations have also modified their force structures to make them more responsive to smaller scale contingency operations. One of the major constraints potential donor nations face is the number of conscripts their forces contain. Nations that rely on professional forces have fewer restrictions imposed on the use of the forces in overseas contingencies than do those with a large number of conscripts. Two illustrations are provided to show how national force structures have recently been modified to accommodate SSC operations.

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27 Contributors include: Australia, Canada, Columbia, Fiji, France, Hungary, Italy, New Zealand, Norway, Uruguay, and the U.S.

28 ECOWAS member nations first established the 10,000-strong ECOMOG force in 1990 to intervene in the Liberian Civil War. ECOMOG is being retained by ECOWAS as the nucleus of a regional peacekeeping force. Currently, ECOMOG is commanded, funded, and largely manned by Nigeria.

29 See "All-Professional Army Will Boost France's Capability," *Jane's Defense Weekly,* 28 July 1999.

a. United Kingdom

The UK has a professional military force with a long tradition of overseas deployments. The Ministry of Defense (MoD) recently developed a concept for a Joint Force Headquarters (JFHQ) as the operational level headquarters that may be deployed for peace support operations. The Permanent Joint Headquarters (PJHQ), located at Northwood, with about 300 personnel assigned (including a 50-person nucleus earmarked for the JFHQ), exercises command and control of assigned joint (and potentially combined) forces in contingency operations.

While the concept of the PJHQ and the JFHQ is relatively new, having been established in 1996, it has been responsible for about 25 operations through 1998, ranging from a small noncombatant evacuation operation in Ethiopia to the significant UK force operation in Bosnia. The PJHQ is also responsible for the planning and executing UK-led joint, combined, and multinational contingency operations as well as exercises conducted by the principal national overseas commands. It is not responsible for the strategic nuclear deterrence or defense of the UK homeland, nor would it conduct general war. UK units assigned to the JFHQ during a contingency are drawn from those identified in the UK force structure as the Joint Rapid Reaction Force (JRRF).

b. The Australian Defense Force

Australia has recently developed the concept of a Deployable Joint Force Headquarters (DJFHQ) based on the experience it gained in leading the UN Transitional Authority in Cambodia (UNTAC) in 1992-1993 and other changes to the national defense force structure. The DJFHQ commands and controls assigned maritime, land, air, and special forces joint and/or combined contingency operations. The DJFHQ has a permanent cadre of about 90 personnel and is augmented for operations. It is an operational level headquarters that is deployable by air, land, or sea, and can be used to command and control joint and combined forces deployed for the defense of Australia or for contingencies outside of Australia, because the national forces are not conscript-based. The DJFHQ conducted a command post exercise, Exercise Rainbow Serpent 98,[30] to validate its configuration and to prepare for possible contingency operations in East Timor. This headquarters was subsequently deployed to East Timor in September 1999 as the major military headquarters for the UN authorized INTERFET.

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[30] See IDA Document D-2277, "Exercise Rainbow Serpent After Action Report," Institute for Defense Analyses, January 1999.

2. Peace Enforcement Operations

Peace enforcement operations are more complex. They require well trained and armed forces capable of conducting successful military interventions, and if required, combat operations against the factions to impose and enforce the peace and military security. **The *ad hoc* UN arrangements for peacekeeping forces under the Standby Arrangement System does not produce a force capable of conducting such operations, and the UN Security Council must rely on major nations or regional alliances with the capacity needed to carry out these operations.**

NATO has adjusted its structure to enable it to conduct regional contingency operations with up to a corps-size force. The ARRC is a UK-led standing headquarters with limited corps troops that is assigned a number of national divisions and other supporting organizations based on mission requirements. The ARRC was involved with one of the largest operations conducted by a regional organization for the UN, Operation Joint Endeavor.

This operation, initiated in December 1995, was conducted in support of both the General Framework Agreement for Peace in Bosnia and Herzegovina and resolutions of the UN Security Council. The Implementation Force (IFOR) involved some 60,000 troops from 26 NATO member and partner nations and five other donor nations. Most of these troops were under the command and control of the ARRC which provided the ground combat power for IFOR. While the operation in Bosnia continues, the ARRC has passed command and control to another NATO headquarters which oversees a much reduced force because military security has been achieved; but similar success with civil law and order and public security has not been accomplished, requiring the continuing military force presence. The total cost of the operations in Bosnia through June 1998 was estimated to be $11 billion.

3. Programs to Enhance Regional Military Security

In 1995, Kofi Annan, who is now the UN Secretary General, submitted a report[31] to the Security Council suggesting that Africa "…should seriously endeavor to develop and enhance its capacity to participate in the field of peacekeeping." As a result of this suggestion, a number of bilateral and multilateral programs, primarily focused on sub-Saharan Africa, have been initiated to enhance capabilities of local forces to conduct

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[31] Improving Preparedness for Conflict Prevention and Peacekeeping in Africa, Kofi Annan, UN Department of Peace Keeping Operations, 1995.

regional peacekeeping operations. The three major programs discussed below are coordinated with both the UN DPKO and the OAU.

a. African Crisis Response Initiative (ACRI)

The U.S.-sponsored ACRI was initiated in 1997. ACRI is intended to build, in coordination with France and the UK, 13 peacekeeping battalions from a group of selected African nations[32] along with necessary brigade-level command and control and logistical capacity so these forces can be employed as regional peacekeepers. **ACRI is characterized as a training initiative rather than a standby force, and is aimed at "developing rapidly-deployable, interoperable battalions from stable democratic countries that can help maintain peace in Africa."**

ACRI is a five-year program with a budget of $13 million starting in 1997 and $20 million planned in each successive year. All training is conducted in the soldiers' home countries. ACRI[33] achieves its objectives by training these forces and providing them with necessary non-lethal equipment. The training, provided by U.S. Army Special Forces personnel and logistics experts from Fort Bragg, lasts about 60 days, 50 in training and the remainder on field exercise. The program teaches basic skills such as marksmanship, map reading, first aid and hygiene as well as more advanced peacekeeping skills such as humanitarian protection of refugees, human rights observance, negotiations, dispersing crowds, and manning checkpoints.

The instructors return every six months to conduct follow-on training at company and battalion levels, and there are plans to train at the brigade level for countries that require that level of training. During the follow-on training, officers participate in leader training, field exercises, and computer aided exercises to hone their command and control skills. The follow-on training also introduces the students to the full range of civilian organizations – UN agencies, IGOs, IOs, and NGOs – that are likely to be encountered during these types of operations. The ACRI program is supported by both the U.S. European Command and Central Command which have geographic responsibility in the region, and by mid-1999 completed training one battalion in each of five ECOWAS nations.

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32 African nations currently involved with the program, including committing forces, are Uganda, Malawi, Mali, Benin, Ghana, and Senegal, with participation by Cote d'Ivoire soon. Original planning included Ethiopia, but they have not participated in the program. See www.eucom.mil/.

33 Some (but not all) ACRI participating nations are associated with the UN Standby Arrangement System.

b. *Renforcement des Capacites de Maintien de la Paix en Afrique* (RECAMP)

The RECAMP program is a French initiative introduced in 1997 to provide instruction, training, and some equipment for an African peacekeeping capability at the sub-regional level. Initially, training included instruction for about 1,500 senior military personnel[34] in France and elsewhere in Africa at facilities developed in West Africa with French funds. The annual budget for RECAMP is about $32 million, and to date most of these funds have been used for a new regional peacekeeping school at Zambakro, Cote d'Ivoire which opened in June 1999 and accepted its first class of West African students in August.

The RECAMP courses are for 14 to 20 civilian officials and military officers of all services of captain or higher rank. Training in English, the operational language, is part of the curriculum which also includes international humanitarian and human rights laws, logistics, communications, intelligence-gathering, codes of conduct, rules of negotiation, civil affairs, and the role of military observers. Battalion- and brigade-level training concentrates on operational matters such as area control, logistics, and command and control. Additionally, RECAMP conducts multinational and sub-regional training of brigade-level headquarters during exercises every two years.

France has also prepositioned military equipment for peacekeeping forces in Dakar starting in January 1998. This equipment is maintained by French military forces, but is used to equip African platoon- or company-size units when they are deployed on UN or sub-regional peacekeeping operations. Future plans include additional prepositioned equipment to support this mission in Libreville during 1999 and possibly in Djibouti during 2000.

c. British Military Advisory Training Team (B-MATT) West Africa

Members of B-MATT have been operational since 1997. These instructors, serving officers in the grade of lieutenant colonel or above, are an integral part of the command structure of the Ghana Armed Forces Command and Staff College in Accra. B-MATT instructors assist the Ghanaian directing staff in running the year-long joint services senior command and staff course. The course is open to majors and lieutenant colonels from eight anglophone nations and is a full year in duration. About 10 percent of the course focuses on operational planning of peacekeeping campaigns. The same

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[34] Nations participating in RECAMP include Senegal, Mauritania, Mali, Gambia, Guinea-Bissau, Ghana, Cape Verde, and Guinea. See "Peacekeeping in West Africa," *Jane's Defense Weekly,* 26 May 1999.

peacekeeping course is offered as a stand alone peace support operations course that runs for four weeks. During 1999, the course was provided to 43 participants from 13 nations, including police officers and civilian officials.

C. CIVIL LAW AND ORDER AND PUBLIC SECURITY INTERVENTIONS

The conditions that lead to complex contingencies usually fall within the range of a total breakdown in the rule of law on the one extreme, to government misuse or abuse of the legal system to discriminate against a portion of the population on the other extreme.[35] The legal system – represented by the legal code and the police, judiciary, and penal institutions charged with enforcing it – is usually the major factor that contributes to the abuses of individual human rights and leads to international community intervention within the affairs of a sovereign nation.

The thresholds and conditions for such intervention have not been established, so international action is often taken only after consensus is achieved because of serious widespread human rights violations and the UN Security Council permanent members agree that such action is necessary. **Unfortunately, the restoration of civil law and order and public security is a much more complicated and difficult process than establishing military security, and is an area that has experienced only limited success. Unless the rule of law is reestablished and public security allows the population to live and conduct business without fear, economic and social development cannot take place, and military forces will need to remain in the area.**

1. Civil Police Forces

Security is enforced through the use of lethal and non-lethal means. Because military forces are more readily available for contingency operations than are civilian police forces,[36] they are selected for early deployment and tasked to provide the stable military security environment during complex contingencies. These forces have the lethal means to ensure their goals are met in accordance with established rules of

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35 While the interventions in Somalia and Kosovo serve as benchmarks for the extremes, similar situations have occurred prior to all major interventions since the end of the Cold War.

36 Military forces are similar to fire departments; they remain in the fire house (military base) until needed, and then are deployed to put out the fire (or conflict), and return to the station when the job is done. Civilian police forces, on the other hand, are fully deployed 24-hours a day and have no reserve; when a situation requires additional police forces, they are provided by pulling committed resources from less affected areas to assist in the critical area.

engagement. Police forces represent the full spectrum of response from non-lethal to lethal capabilities, and are essential to the reestablishment of civil law and order and public security – conditions that must be met before normalcy can return. Police operate in accordance with rule of interaction with the populace, avoiding were possible the use of lethal force.

Unfortunately, donor nations do not have civil police forces available in reserve. It takes time to assemble these forces for a contingency. Furthermore, to be effective, civilian police must be able to communicate with the populace (appropriate language skills), and understand the legal system that is to be enforced and the culture of the population. These requirements usually add to the training time needed to field an effective civilian police force during an international intervention.

The relationship between intervening military forces and the local civil police has varied from operation to operation.[37] The U.S. military intervention in Panama used military forces to sever the connection between the civil police and the corrupt regime, and military police to take the place of former civil police force until a new one could be established. Based on the experience in Panama, when the U.S. intervened in Haiti, military police were used to mentor local police until a newly trained police force could be put in place. Training a new police force is a long term effort. According to recent reports,[38] despite extensive training, the civilian police in Haiti still harass and intimidate the population.

The UN Department of Peace Keeping Operations (DPKO) has responsibility for assembling and providing civil police during the UN authorized operations. It has established guidelines[39] and standards for training these personnel. The UN assembled civilian police from various nations and deployed them as an International Police Task Force (IPTF) to Bosnia to assist with the retraining and mentoring of the civil police provided by the three factions forming that nation. Other donated civilian police also serve as unarmed Civilian Police Advisors (CIVPOLs) who work with local police officials. The presence of the UN personnel is intended to ensure the local police do not abuse the human rights of the population or fall prey to corruption.

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37 See Policing the New World Disorder: Peace Operations and Public Security, Institute for National Strategic Studies, National Defense University, May 1998.

38 See "Haitian Politics Tinged by Thin Blue Line," *The Washington Post,* 23 October 1999.

39 See United Nations Civilian Police Handbook, October 1995.

In Kosovo, the Serb police were a major contributing factor that led to the international intervention. When they withdrew under terms of the agreement, no one was left to perform policing functions. Because of delays in assembling a large and viable UN civilian force to police the province, the environment is chaotic and ideal for criminals.[40] NATO military forces have had to arrest civilians for murder, arson, larceny, looting, and even reckless driving. However, no one arrested has been brought to trial because UN officials overseeing the operation have ruled the Serb laws that were in place violated the human rights of the Kosovars, but new laws have yet to be drafted.

Based on its experience in Panama, the U.S. Department of Justice established and operates the International Criminal Investigative Training Assistance Program (ICITAP) described earlier in Chapter II. ICITAP has been used in Haiti, Bosnia, and elsewhere, and is tailored to the needs of national police force of the affected nation. Under PDD 71, released in February 2000, the U.S. Secretary of State and the Attorney General are required to prepare a plan to broaden and strengthen ICITAP capacity to train and coordinate with CIVPOL.

When military forces are deployed in complex contingencies, the lack of progress in establishing civil law and order and public security requires the continuing presence of military forces even though military security requirements have been met. The use of Multinational Specialized Units in Bosnia and elsewhere since 1998 indicate that these forces could play a major economy of force role in these types of contingencies and could facilitate earlier withdrawal of military forces when their tasks are completed.

2. Multinational Specialized Unit (MSU)

The MSU was first deployed to Bosnia in August 1998.[41] It is a "police force with military status" intended to fill the gap between local police and the military forces deployed as part of the Stabilization Force (SFOR). The force of about 530 personnel is led by the Italian *Carabinieri* and has Argentine, Romanian, Slovenian police elements, and Dutch and U.S. staff augmentation. Its purpose is to assist with the establishment of public security and freedom of movement for displaced persons and refugees in support of the UNHCR and the IPTF. **It also has the mission to control civil unrest and riots. They are trained as both police and military forces, but are**

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40 See "With Few Police to Stop It, Crime Flourishes in Kosovo," *The Washington Post,* 23 October 1999.

41 See Briefing on Multinational Specialized Unit, Chief of Staff MSU, 18 February 1999.

employed as police and resort to force as a last resort. They employ persuasion, negotiation, and force of presence as their major tools, but are fully capable of employing non-lethal through lethal means to accomplish their tasks.

Similar MSU deployments by the *Carabinieri* took place in Albania in the spring of 1999 when the country was overwhelmed by refugees. They worked with the local police to maintain law and order and to eliminate criminal activities in the refugee camps.

While these MSU deployments have taken place well after the military forces intervene and involved relatively few personnel, the concept should be expanded and planned as an integrated part of the overall security requirement – military and public security – before the intervention takes place.[42] The MSU force should deploy with the military forces. Their public security mission might be either (1) to demobilize existing police forces and temporarily assume the police role until a new international force can be assembled, or (2) to mentor and train local police until the CIVPOL and civilian police training programs become operational. When the local civil police are capable, the MSU can revert to the role it played in Bosnia. If the MSU were made more robust, it could serve in an economy of force role, allowing the more lethal military forces to withdraw from the contingency once military security has been established.

If the MSU concept were to be expanded, it would depend on nations to donate their resources to a program comparable to the SAS for peacekeeping forces. If such a program were to become operational, the resources could also be used to engage and mentor troubled national police forces with a view to mitigating potential future problems.

3. The Judiciary and Administrators of Penal Institutions

The effective and fair administration of justice is also an important component of the legal system. It is essential for civil law and order to function, and necessary to protect the public from lawlessness and support their basic human rights. When international intervention is required, the judiciary and administrators of penal institutions are typically contributors to the unstable environment. They must be

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42 See White Paper: The Clinton Administration's Policy on Managing Complex Contingency Operations: Presidential Decision Directive – 56, May 1997, and the Generic Pol-Mil Plan dated 5 June 1998, and the Clinton Administration's Policy on Strengthening Criminal Justice Systems in Support of Peace Operations, dated February 2000.

retrained or replaced if democratic processes and economic and social development are to succeed.

This activity is a difficult and long term undertaking, but is usually done on an *ad hoc* basis by the international community. Since 1991, the U.S. Department of Justice has operated the Overseas Prosecutorial Development Assistance and Training (OPDAT) program discussed in Chapter II. This program recognizes the need for long term commitment to improve the rule of law in these affected nations, and offers professional programs specially tailored to the needs of the officials. OPDAT has worked with 500 Haitian judges and prosecutors and established a local judicial school to continue the training and mentoring process. Similar programs have been initiated in a number of Latin American and Eastern European countries.

D. SUMMARY AND CONCLUSIONS

Donor nations are the principal source of the resources that make the international community function. Contributions for economic and social development, given either bilaterally or multilaterally, are focused on specific programs and targeted to nations and regions that are in keeping with the donors' national objectives. Emergency assistance is also provided by donor nations and other responding organizations of the international community. When disasters occur, the assistance is provided on a non-political basis and without compensation to meet the needs of the affected population. While the total amount of official aid has declined recently, it has been more than compensated for through private investments. Private investments, however, require a stable and secure environment to make the risks acceptable to the investors.

A secure environment requires both military security from hostile forces and public security from criminal activities and human rights abuses. Nations must agree to take collective action when another nation is confronted by these problems. The donor nations have cooperated to develop a UN system to support peacekeeping operations. When peace enforcement is required, the military task is more complex and is usually conducted by a lead nation and other willing partners as an *ad hoc* coalition or by a regional alliance with sufficient capabilities to ensure success.

Unfortunately, the public security component is a more difficult and longer term task that requires the building of responsive institutions and the rule of law. Donors and the international community have not had as much success with the public security sector as they have with the military sector, and this situation has required the military forces to

remain deployed even though the military tasks have been completed. One factor contributing to this problem is the lack of integrated planning of military and public security activities. Another is the long time required to assemble an international civilian police force. The successful employment of Multinational Specialized Units during complex contingencies since 1998 suggests that this concept may provide the missing capabilities. This concept should be explored by appropriate donor nations and the UN DPKO. In future contingencies, donors should assemble and coordinate the deployment and operation of an MSU with the military forces.

CHAPTER VIII

RESOURCES IN THE BUSINESS COMMUNITY

VIII. RESOURCES IN THE BUSINESS COMMUNITY

An often overlooked potential partner in smaller-scale contingency operations is the business community, especially the multinational corporations.[1] Many of the larger firms in developed nations have extensive operations in troubled areas of the world. Executives from multinational corporations have knowledge of local dynamics and resource availabilities, and their key personnel can be invaluable to crisis intervention organizations. Some of these multinational corporations also operate under contract to governments, UN agencies, and IGOs. In the last decade, corporations and NGOs have begun to collaborate to solve problems with human rights and the environment. **Military planners should take the resources from the business community into account.** This section describes some, but by no means all, of the resources that might be available.

A. GLOBAL SCOPE OF MULTINATIONAL BUSINESS

As international barriers to trade and investment continue to fall, businesses have extended their reach into many of the less stable areas of the world. Corporate motivation is usually to acquire natural resources and cheap labor, or to expand market share. Figure VIII-1 shows the global reach into the world's trouble spots of the 1990s by the top 25 corporations listed in the Fortune 500.

By working with local and national officials, local suppliers, and local labor, the multinational business community usually has acquired a great deal of information that can be of use to governments and other organizations when they must intervene for humanitarian, peacekeeping, or other SSC operations. **Political and military planners should identify and contact the multinational businesses that have a presence where a crisis is developing during the early stages of planning, and continue the contacts throughout the entire operation.** The business community should be able to provide insights into the local environment and resource availability, and the political and cultural dynamics that influence the situation. Depending on the nature of their operations, local

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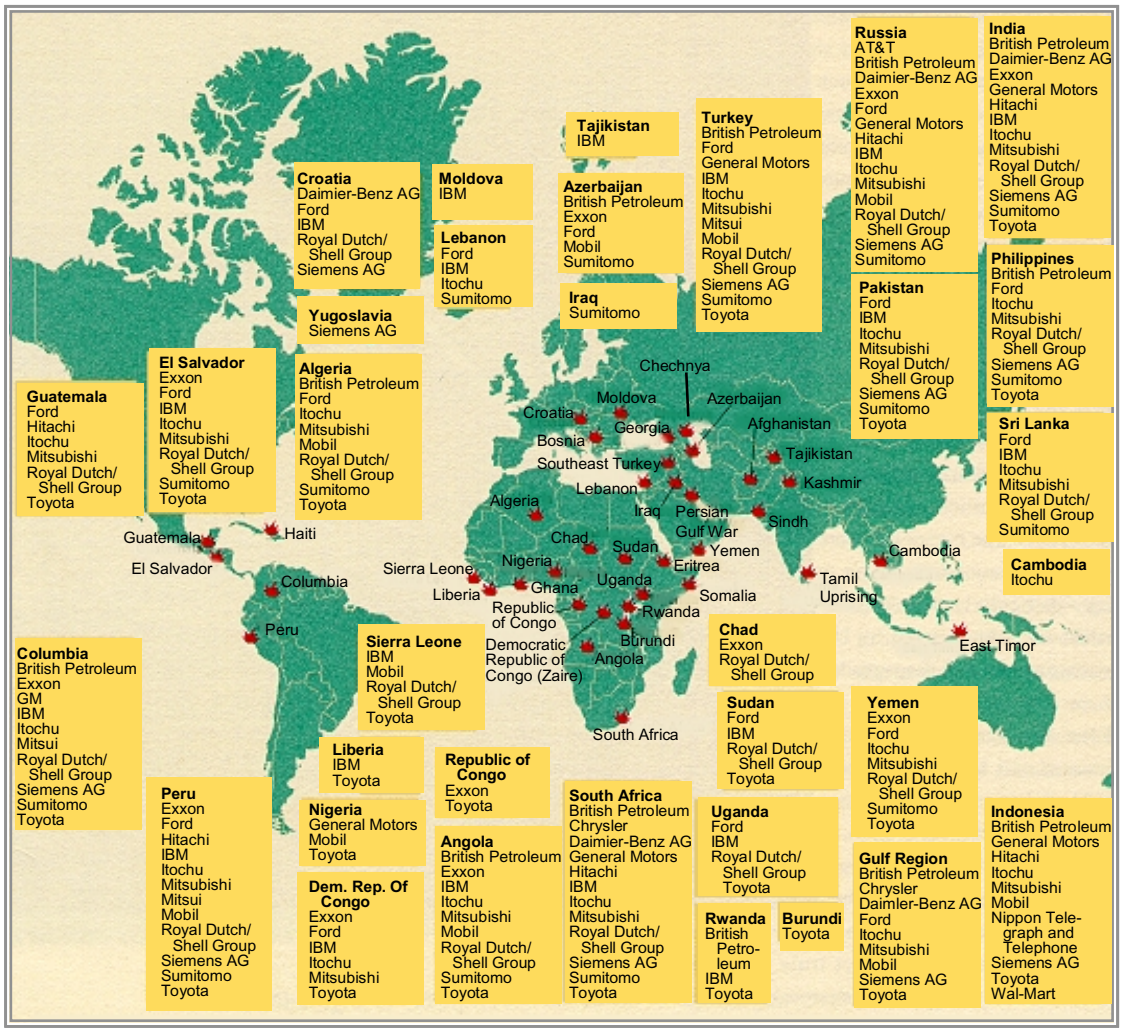
[1] Multinational entities are "for-profit" firms that are headquartered in one nation but have operations in two or more other countries.

elements of multinational corporations might have under their own control extensive global telecommunication systems, power capabilities, and transportation assets.[2] They also have local contacts, contracting arrangements, and advice that might be able to provide key resources and insights for a deploying military force.



Source: Preventing Deadly Conflict, Courage Commission on Preventing Deadly Conflict, December 1997.

Figure VIII-1 Disposition of the Top 25 Corporations of the Fortune 500 in the World's Trouble Spots

In the last decade, multinational corporations have become more knowledgeable about the host nations in which they operate. Corporations have often been criticized as

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2 During the response to Hurricanes Georges and Mitch, United Fruit and other multinational corporations provided engineering equipment to help clear roads and ships to move donated supplies and equipment to the affected area.

being insensitive to issues of human rights, democracy, and conflict resolution, focused exclusively on the "bottom line" for the benefit of their shareholders. However, when these businesses risk investment in trouble spots, they must learn to work with local and national authorities to develop business practices that lead not only to profitability, but also contribute to community stability and security.

Both customers and shareholders can put pressure on multinational corporations to conduct their operations with economic, political, and social justice as objectives. Child labor exploitation, sweat shops, and bribes and kickbacks to local politicians are abuses that today are less tolerated by corporate management of large firms than in the past. Some companies have developed codes of conduct[3] for their business operations. A growing trend among the business community is to reach out to local communities in the host nation to provide health care and education services. Corporations have had a long history of supporting community-based initiatives in the United States, but active programs to "win the hearts and minds" of local residents in other nations are relatively new. In some cases, multinational corporations pair with NGOs to provide health care services and schools; in other cases, businesses work directly with residents to launch local programs.[4]

Businesses are best able to meet their goals in countries where social harmony and basic freedoms are respected. Advocacy and human rights NGOs have become skilled at identifying environmental and labor rights violations overseas. In order to protect against negative press, many multinational corporations have begun to work directly with NGOs to formulate best practices to protect labor rights and the environment. Nike Corporation has a project with the International Youth Foundation to create an NGO called Global Alliance to assess the situation of laborers in Nike factories in Southeast Asia. This NGO-corporate partnership merges the Global Alliance, the International Youth Foundation, the World Bank and St. John's University. A similar initiative at Mattel, the Mattel Independent Monitoring Council (MIMCO), focuses on

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3 See Preventing Deadly Conflict, Carnegie Commission on Deadly Conflict, December 1997, pp. 123-25. These codes share several elements such as respect for human dignity and rights; respect for the environment; respect for stakeholders – customers, employees, shareholders, suppliers, and competitors; respect for the communities in which businesses operate; and maximizing value for the company.

4 In Colombia, oil corporation BP worked directly with local leaders to provide health, education, and micro-credit programs in an attempt to promote stability in the region torn by guerilla violence.

labor rights in factories overseas.[5] High levels of involvement with local communities provide businesses with an added information edge about a wide array of issues.

Identification of companies located in contingency areas usually can be made through the Department of Commerce Officer at the American Embassy. If that source is not available, many countries have American Chamber of Commerce Chapters.[6] There currently are 84 local chapters located in 74 countries organized in four Regional American Chamber Umbrella Groups. These are shown in Table VIII-1.

B. BUSINESSES THAT WORK FOR THE DEPARTMENT OF DEFENSE

The use of contractors to support forward deployed U.S. military forces has been practiced for many years. For example, extensive base camp construction and operation, and helicopter maintenance and supply support were performed in-country by U.S. contractors throughout the decade of U.S. military force employment in Vietnam.[7] In today's environment, use of contractors is often the most cost-effective way to support the forward deployed forces.[8] The U.S. is not the only nation to recognize these potential savings and many other developed nations are now privatizing various aspects of support for their military forces as costs increase. However, a number of issues must be addressed when contractor support is employed in overseas contingencies. A few of the issues include:

- The extent of coverage provided for contractor personnel under the Geneva Conventions and existing Status of Forces Agreements (SOFAs) with the affected or transient nations
- The responsiveness of the contractor to arrive and perform early in the contingency

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5 Monday Developments, "NGO-Corporate Partnerships in Overseas Factories Can Ensure Workers' Rights." 8 November 1999. The NGO-business alliance has been criticized by some as "co-optation of NGOs." Critics say that the big businesses are the primary financial resources for the NGOs that are responsible for monitoring the rights of laborers, and that the NGOs are not able to report objectively out of fear that they will lose their funding. Critics say that NGOs too closely tied with a specific corporation cannot effectively serve as objective advocates for labor and human rights.

6 Current information on the location of chapters and companies operating in overseas areas is available from the Washington, DC office of the U.S. Chamber of Commerce at http://www.uschamber.org/intl/amcham.htm.

7 For example, Brown & Root, a subsidiary of the Halliburton Company, provides services to U.S. forces deployed to Bosnia under a 5-year contract worth about $1 billion.

8 Contractor support is estimated to be about two-thirds of the cost of similar support provided by military forces. These commercial firms are usually staffed by former military personnel and often hire local labor at prevailing rates. See "War and Piecework," *The Economist,* 10 July 1999.

- The ability of the contractor to perform assigned tasks in relatively benign environments that become hostile.

Table VIII-1. Regional American Chamber of Commerce Umbrella Groups

1. Association of American Chambers of Commerce in Latin America (AACCLA)	
Lima, Peru	phone (511) 449-7981, fax (511) 438-5838
Countries:	Argentina, Bolivia, Brazil (2), Chile, Columbia, Costa Rica, Dominican Republic, Ecuador (2), El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Paraguay, Peru, Trinidad and Tobago, Uruguay, and Venezuela
2. European Council of American Chambers of Commerce (ECACC)	
Vienna, Austria	phone (43) 1-319-5751, fax (43) 1-319-5151
Countries:	Austria, Belgium, Bulgaria, Czech Republic, France, Germany, Greece, Hungary, Ireland, Israel, Italy, Luxembourg, Netherlands, Norway, Poland, Portugal, Romania, Russia, Slovak Republic, Sweden, Switzerland, and Turkey
3. Asia-Pacific Council of American Chambers of Commerce (APCAC)	
Bangkok, Thailand	phone: (662) 251-9266, fax (662) 651-4472
Countries:	Australia, Bangladesh, China (3), Guam, Hong Kong, Indonesia, Japan (2), Korea, Malaysia, New Zealand, Pakistan, Philippines, Singapore, Sri Lanka, Taiwan (2), Vietnam (2)
4. American Business Council of the Gulf Countries (ABCGC)	
Dubai, United Arab Emirates	phone (971) 4-283-194, fax (971) 4-227-250
Countries:	Bahrain, Kuwait, Oman, Saudi Arabia (3), and United Arab Emirates (2)

Source: American Chambers of Commerce Abroad from <www.uschamber.org>, July 1999.

Most of the materiel and many services needed by the U.S. military forces are provided by contractors. In overseas areas, local hires also provide services for the deployed forces under contracts. In addition to this traditional contracted support, **each Military Department now has in place programs that can provide contractor support to U.S. forces during SSC operations:** the Army's Logistics Civil Augmentation Program, the Navy's Construction Capabilities Contract, and the Air Force Contract Augmentation Program. These contracts are primarily to meet the logistical

needs of the forces.[9] The Army and Navy programs can be employed within the Continental United States (CONUS) or overseas, but the Air Force program is only used outside of CONUS.

1. Logistics Civil Augmentation Program (LOGCAP)

LOGCAP is a U.S. Army contracting initiative that enables civilian contractors to plan and prepare in peacetime to provide support to the forces deployed to an area in wartime or during other contingencies. LOGCAP is primarily designed for use in areas where no bilateral or multilateral agreements exist, although the contractor may provide additional support in countries where formal Host Nation Support agreements already exist. LOGCAP is also available in the CONUS to support the mobilization of forces.

The first comprehensive multifunctional LOGCAP umbrella support contract was awarded in August 1992 to support U.S. forces in Somalia. Other contingency areas where LOGCAP has been implemented include Rwanda, Haiti, Italy, Saudi Arabia, Kuwait, and southeastern Europe (Bosnia, Croatia, Hungary, etc.)

The contractor capabilities of LOGCAP include the following tasks:

- Planning and preparing for contingency or wartime requirements
- Providing life support such as billeting, mess halls, food preparation, potable water, showers, laundry, transportation, utilities, mortuary affairs, postal, and banking
- Providing support to forces arriving at ports of debarkation (force sustainment, retrograde of equipment and supplies, construction, general logistics, augmentation to engineer units, and facility engineer support)
- Providing maintenance of equipment such as computers and office equipment and tactical equipment and components
- Providing transportation and related services such as cargo transfer, motor pool operation, port and ocean terminal operations, line haul and local haul, and arrival and departure air control groups
- Providing medical services
- Providing communications support to include repair and installation of telephones, cables, and antenna

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[9] Even though each of the Military Departments has their own contingency contract, they can utilize each other's contracts depending upon the circumstances. The circumstances of price, location, or availability will affect the decision of which contract to use.

- Providing support to retrograde equipment and materiel.

The LOGCAP program requires the contractor to provide, within 30 days after notification, the capability for receiving, housing, and sustaining 25,000 troops in eight base camps for 180 days, with options to increase the size of the supported force later to 50,000 personnel.

The Program Manager for LOGCAP is located within the U.S. Army Materiel Command (AMC) headquarters located in Alexandria, Virginia and the program operates through the major commands of the Army. Other important participants in the planning and contracting for LOGCAP are the U.S. Army Corps of Engineers (USACE) and several organizations subordinate to AMC that provide the Army's three Logistic Support Elements (LSEs) for CONUS, Europe, and Far East.

2. Construction Capabilities Contract (CONCAP)

CONCAP is the U.S. Navy program. The initial contracts were solicited in 1995 and since then CONCAP missions have been conducted in Haiti and elsewhere in the Caribbean, the Azores, Bosnia, Crete, and at Camp Lejeune, North Carolina. Capabilities provided by the contractor include the following:

- Airfield runway and facilities repair
- Dredging
- Construction or repair of hardened facilities, roads, piers, troop berthing and billeting facilities, ammunition storage sites, rail facilities, bridges and causeways, and medical clinics and field hospitals
- Electric power generation and distribution
- Construction, rehabilitation, and operation of communication facilities, water treatment plants and water wells, sewage treatment plants, containment and processing facilities, fire fighting facilities, and POL facilities
- Services such as garbage disposal and recycling; operation of transportation depots and warehouses; operation of decontamination equipment and facilities, soils engineering, area decontamination for bacterial, chemical, and radiological situations; and environmental restoration
- Operation of power generation, concrete, and asphalt plants.

The Program Manager for CONCAP is Atlantic Division, Naval Facilities Engineering Command (LANTDIV) located at Norfolk, Virginia. LANTDIV oversees two regional CONCAP contractor operations supporting Atlantic Fleet on the East Coast and Pacific Fleet, both in Hawaii and on the West Coast of CONUS.

3. Air Force Contract Augmentation Program (AFCAP)

AFCAP is the U.S. Air Force program. The initial contract was awarded in 1997. AFCAP has been used for operations in Guam, Chile, and Diego Garcia. Capabilities available through AFCAP include the following:

- Disaster relief by providing temporary facilities for relief workers and victims
- Services such as food, potable water, laundry, janitorial, damage assessment, remedial cost estimating, and temporary electrical power
- Backfill for installation shortfalls in personnel, equipment, and supplies, and comprehensive technical support
- Lodging and physical fitness and recreation facilities
- Comprehensive operations and maintenance for airfields, facilities, and infrastructure
- Reconstitution and site remediation.

The Program Manager for AFCAP is the Air Force Civil Engineer Support Agency (AFCESA) located at Tyndall Air Force Base, Florida.

C. BUSINESSES THAT WORK FOR OTHER SSC PARTICIPANTS

For-profit businesses have a number of opportunities to become involved with SSC operations. Over the past several years, a "disaster industry" has emerged to support the humanitarian and disaster relief agencies. Other agencies of the USG and UN organizations often use businesses to assist them with carrying out their overseas responsibilities. Some of the affected or potentially affected nations also contract with these firms.

1. Disaster Industry

Because of the large amounts of money spent on humanitarian interventions for natural and man-made disasters by donor governments, UN agencies, and other responding organizations, a "disaster industry"[10] has started to appear. This industry is a loose conglomeration of companies and middlemen that supply the needs of both victims and relief workers. **The disaster industry provides both commodities and technical expertise to donor governments, UN agencies, IGOs, IOs, and NGOs.**

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[10] "Supplies-Side Economics – When Disaster Strikes, Someone Must Provide the Tents," *The New York Times*, 5 May 1999.

As donors become more demanding of results, they have turned more to the for-profit providers that have standing inventories and specialized relief commodities. Much in the same way that grocery stores have replaced individual vendors, suppliers of disaster relief commodities have begun to replace individual suppliers of vital commodities. For example, disaster industry middlemen maintain warehouses of commodities like plastic sheeting, prefabricated shelters, medical supplies, cooking oils, bulk food supplies, prepackaged Humanitarian Daily Rations (HDR), and personal hygiene items to support these operations. The industry middlemen have both the needed commodities and provide logistical expertise to identifying quick shipping routes.[11] In addition, there are firms that specialize as brokers and work on commission to search for unique items needed by the requesting organization, such as surplus field kitchens, bulletproof vests, or concertina wire. In other cases, auto dealers have exclusive franchise arrangements to provide special purpose vehicles for governments, UN agencies, and other humanitarian organizations

Although for-profit corporations currently fill the bulk of orders, in the area of medical supplies, corporations and non-profits often cooperate. Sales to NGOs and UN agencies are sometimes at cost or with reduced mark-ups because these consumers buy in huge quantities. Pharmaceutical companies often donate medical supplies that are desperately needed during disasters or humanitarian contingencies and receive tax credits for their contributions.[12]

Not all of the donated medical supplies have been helpful. In some cases, large quantities of donated medical supplies have had to be destroyed because the corporation has sent expired drugs.[13] Other times, drug companies have not made logistical arrangements and have sent unsolicited pharmaceuticals to recipients in crisis areas.[14]

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11 Interview with Gordon King, President of PRO-PAC, a private commercial supplier to NGOs, IOs, and government entities.

12 See Heart to Heart International at http://www.hearttoheart.org/programs/health/commitment.html. This US based NGO focusing on medical supply delivery and medical education for disaster relief and complex emergencies.

13 See Rienstra, Dianna, "Inappropriate Medical Aid: Why the Row Rages on," *Humanitarian Affairs,* Winter 2000.

14 A study done for Medecins Sans Frontieres - Belgium concerning drug donation practices in Bosnia found that about 90 percent of the 34,800 tons of medical supplies donated between 1992 and mid-1996 were useless, unusable, or expired drugs. WHO had to spend about $2,000 per ton to destroy donated drugs and medical supplies that were expired. See Drug Donation Practices in Bosnia I Herzegovina, 1996-1997.

Because of the costly experience with these donations, the World Health Organization now requires donated medical supplies to be no less than a year away from expiration.[15]

2. Businesses That Work for Other USG Agencies

For-profit businesses perform a number of services for other USG agencies that could involve their personnel and resources in a contingency area. USAID[16] uses for profit firms to conduct local training on subjects such as family planning, farming, energy, and judiciary reform. International consulting and accounting firms are hired to advise and assist with the restructuring of financial sector operations, to train local financial management personnel, and to assist with privatization initiatives. Another area where businesses offer their contract services is in contingency and recovery planning. Recruiting for overseas jobs is often handled through a contractor with contacts in the local area. Public information and education programs are often conducted by contracts with for profit businesses. Other firms provide technical leadership for USAID field missions. They manage more complex development projects in an affected nation, essentially serving as the prime contractor and subcontracting with other for profit firms or NGOs to accomplish the task. In other cases, for-profit organizations provide assessments after disasters to provide donors with an understanding of what commodities are needed for immediate relief and long-term rebuilding.[17]

Other examples of business support to USG agencies include the DoS operation of its global communication system using contractors. DoS also augments security for some embassies by contracting with multinational security firms that employ local guards. When civilian police are required for a contingency operation, DoS will contract with a multinational business to recruit, train, equip, and deploy the USG contribution to a UN operation.[18]

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15 The NGO German Pharma Health Fund (GPHF) leads an initiative to improve the pharmaceutical donation process. In the Kosovo crisis, GPHF had corporations submit a form listing available products; this listing was then provided to NGOs. This "recipient-driven" process seeks to end the practice of boxing up whatever is on hand, without asking if the drugs are needed.

16 USAID publishes an annual "Yellow Book" describing its contracts and the countries in which the contract is being performed; current USAID indefinite quantity contracts can be found at <http://www.info.usaid.gov/procurement_bus_opp/procurement/iqc.htm>.

17 The company InterTech, established by the late Fred Cuny, provided needs assessments and relief in the most troubled areas of the world. Some sources contend that InterTech was structured as a for-profit consulting firm because clients do not respect free advice.

18 See www.dyncorp.com/DnIPTF/ for information on DynCorp's recruitment of U.S. law enforcement for International Police Monitor positions for East Timor, Bosnia, and Kosovo.

3. Public-Private Partnerships

When it is in the interests of both parties, commercial businesses will partner with governments to accomplish projects that benefit a recipient organization. One example is the Global Technology Corps (GTC)[19] that recruits high tech volunteers for short-term projects worldwide. GTC works through U.S. embassies on projects that help spread the social and economic benefits of access to information technology to host nation governmental or non-governmental organizations. By supporting activities that integrate computing technologies into the culture and character of local communities, GTC volunteers have completed projects in 22 nations to help build a future in which the global information network is not a luxury of the privileged by a resource open to all.[20]

4. Businesses That Work for Other SSC Participants and Governments

SSC participants frequently contract with corporations to manage long-term development projects, to provide supplies or services. UN agencies, multinational corporations, and NGOs are sometimes required to hire contracted security forces to protect their workers and supplies.

Multinational corporations are accustomed to considering security when balancing the profitability of an overseas operation. Corporations operate in areas where executives can get in the crossfire of terrorists and drug barons, and sometimes must keep a business running in countries that lack law enforcement and rule of law. With these challenges, executives are particularly in tune with security threats, and corporations spend as much as 9 percent of the budget on security.[21] Corporations that are accustomed to threats (for example, airlines and shippers) regularly have internal procedures for dealing with man-made and natural disasters.[22] Multinational corporations often bring in security experts to train executives and local management on

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19 Contact through: TeamGTC@pd.state.gov.

20 Another example is Counterpart International, see www.counterpart.org/. Its focus is on bringing donor and government agencies, community organizations, corporate leaders, and U.S. and local private enterprise together to solve development problems. Currently working with partners and affiliated NGOs in 70 countries, Counterpart is helping to develop local sustainable services. These partnerships leverage capabilities available in advanced economies and provide support to local health and education programs, civil institution building, and more recently agro-forestry projects.

21 See "Businesses in Difficult Places," *The Economist,* 20 May 2000.

22 Davidson, Oliver, "Business/Industry Disaster Loss Reduction Meeting," Tulane University, 24 March 2000.

how to minimize the risks to the business that come from political instability, social movements, terrorism, fraud and crime.[23]

The security consulting industry not only serves corporations, but also governments, NGOs, and IGOs. Governments that are in a weak or conflicted status will sometimes hire contractors to equip and train their local military forces. A recent example occurred in Croatia when that government hired a U.S. firm, MPRI, to provide training for its military forces.[24] MPRI was also contracted to train the Angolan police Rapid Intervention Force and has other contracts with nations in West Africa and the Horn. BDM International and Vinnell Corporation are other U.S. firms that perform similar services for the governments of Saudi Arabia and Egypt, among others. Other multinational companies headquartered in other countries perform similar services by maintaining equipment for the indigenous forces, performing intelligence gathering, and providing personnel and site protection.[25] In other cases, security companies are hired to assist multinational corporations secure the release of kidnapped executives or to fly evacuation missions for expatriate staff.[26]

Some outside control is exercised over these contracts. For example, contracts between foreign governments and U.S. firms are reviewed and approved by the USG. Multinational corporations headquartered in the United Kingdom and South Africa that perform these services usually require clearance by the host government Ministries of Foreign Affairs and Defense. These contracts can exceed $100 million annually, but many of the poorer contracting nations have limited cash available and often must resort to barter arrangements with the firms. The barter arrangement can include direct commodity payment or shares in local firms that produce oil, diamonds, or other natural resources available to the contracting nation. When the arrangement is partial ownership of a local firm, the corporate involvement in the country is typically extended.

Former military or paramilitary personnel with experience in a region are often the founders of the security companies. The larger and more well known firms originate

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23 See Control Risks Group at http://www.crg.com/response.htm. This company has handled over 1,100 kidnapping cases and kidnapping threats in over 80 countries.

24 MPRI was also contracted by the DoS to assist with the equipping and training of the Bosnian Federation forces.

25 See "The Mercenary as Corporate Executive," *African Business,* December 1997.

26 See AirPartner at http://www.airpartner.com/102a.html. This company has successfully evacuated expatriate workers from Indonesia, Kosovo, Chechnya, Kuwait, Saudi Arabia, Sierra Leone, Albania and the West Indies.

in the U.S., United Kingdom, France, Belgium, Netherlands, and Israel, and they actively seek business opportunities in Africa, South America, or other areas where their assistance may be required.[27] There is a great deal of controversy surrounding these businesses. Some of the firms become directly engaged in conducting combat operations.[28]

The "security agencies" will provide protected transportation, security classes (i.e., including escape and evade), and self-defense equipment (i.e., non-lethal weapons, alarm mechanisms, and body armoring). These security agencies also raise legal questions of licensing, criminal procedures, and equal protection.

D. SUMMARY AND CONCLUSIONS

With the globalization of the world economy, the role of business in contingency operations has expanded. Corporations are beginning to play a larger role in relief and development programs. Businesses that have in the past focused exclusively on profit have begun to pair with NGOs to promote stability in the localities where they operate. Because of their forward presence and in-country knowledge, multinational corporations can be a useful source of information for intervening military forces, especially during planning. During execution, they might be able to provide or arrange locally for critical resources needed by the force. Many of the other SSC participants will also contract with firms to provide them with the supplies and services their organizations need to perform their tasks. When the local security situation is poor, these firms might be the only protection available to the population or relief workers until military forces arrive. In some cases, specialized firms might engage directly in combat operations for a government using mercenaries. Military planners should be aware of the various types of organizations, the role they might play, and their potential contribution to SSCs.

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27 In 1997, the Defense Intelligence Agency organized a symposium on "Privatization of Security in Sub-Saharan Africa." See "Mercenaries or Security Men?," *New African,* December 1997.

28 Executive Outcomes, a South African firm best known for its recent "mercenary" operations in Angola and Sierra Leone, specializes in clandestine warfare, combat patrols, advisor services, and sniper training. Its combat operations, conducted in 1996 against rebel groups, were carried out in a highly professional and disciplined manner and inflicted severe damage to the rebel forces and ejected them from the vital diamond mining region of the country. Another security company, Sandline International, was also involved with more controversial combat operations in Papua New Guinea.

CHAPTER IX

MILITARY COMMAND AND CONTROL AND COORDINATION AND COLLABORATION WITH CIVILIAN ORGANIZATIONS DURING SMALLER-SCALE CONTINGENCIES

IX. MILITARY COMMAND AND CONTROL AND COORDINATION AND COLLABORATION WITH CIVILIAN ORGANIZATIONS DURING SMALLER-SCALE CONTINGENCIES

By their nature, SSCs require both military and civilian organizations and resources to accomplish the goals and objectives sought by the participants. **Military forces are designed, organized, and trained to operate in hierarchical and authoritarian structures subject to central authority and direction**. Their civilian counterparts, however, are not always so rigidly structured. Moreover, **the civilian organizations – whether governmental, inter-governmental, international, or non-governmental – operate autonomously and accomplish their tasks through coordination and collaboration rather than from authoritative direction.** Both groups of organizations must understand and bridge their differences to achieve unity of effort and successful outcomes.

This section describes the military command and control structures that are typically used to employ military forces and enable them to interface with civilian organizations to accomplish missions in these environments. It also describes the various civilian organizational entities used in these contingencies, and the civilian networks and systems that are in place to provide information useful to the military force during this type of operation. These networks allow commanders and planners to identify quickly the responders to an SSC and determine which entities to contact for coordination

A. ORGANIZATIONS WITH MILITARY COMPONENTS

Military forces are usually employed in support of civilian authorities during SSCs, but they use the same internal organizational arrangements that are essential in a combat operation. **The task force – a temporary grouping of units, under one commander, formed for the purpose of carrying out a specific operation or mission – is the typical arrangement used.** This organizational arrangement enables the senior commander to allocate appropriate resources to a subordinate commander to accomplish the assigned mission. Task forces are organized at various echelons. Joint or combined task forces integrate the resources of more than one Service or more than one nation's

forces, respectively**. Interagency task forces are used by the USG to control military and civilian resources when they are involved in the same operation.** Each Service also can form its own task forces within the larger joint force to carry out its assigned portion of the overall mission. The discussion that follows describes the various types of task forces that are used by U.S. military forces.

1. Task Force (TF)

At the tactical echelon, the TF is a temporary organizational arrangement used by a senior commander to organize the units of a single Service under a designated commander to perform an assigned mission. The arrangements and responsibilities of the units assigned to the TF are specified in Service doctrine and policies and procedures.

2. Joint Task Force (JTF)

The JTF involves units of more than one Service and may be constituted and designated by the Secretary of Defense, a combatant commander, a sub-unified commander, or an existing joint task force commander. The commander of a JTF is authorized to exercise operational control (OPCON)[1] or tactical control (TACON)[2] of the forces assigned. The responsibilities for administration, logistics, discipline, internal organization, and unit training remain with the Services providing the units to the JTF**. A JTF may be formed either on an *ad hoc* basis for a particular situation, as a planned requirement in an existing OPLAN, or from a standing JTF nucleus of permanently assigned personnel.**

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[1] Transferable command authority which may be exercised by commanders at any echelon at or below the level of combatant command. Operational control is inherent in Combatant Command (command authority) and is the authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction necessary to accomplish the mission. Operational control includes authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command. Operational control should be exercised through the commanders of subordinate organizations; normally this authority is exercised through the Service component commanders. Operational control normally provides full authority to organize commands and forces and to employ those forces as the commander in operational control considers necessary to accomplish assigned missions. Operational control does not, in and of itself, include authoritative direction for logistics or matters of administration, discipline, internal organization, or unit training. (Source: Joint Pub 1-02)

[2] The detailed and, usually, local direction and control of movements or maneuvers necessary to accomplish missions or tasks assigned. (Source: Joint Pub. 1-02)

3. Joint Interagency Task Force (JIATF)

The JIATF is an organizational arrangement used within the USG to integrate joint military units and resources with those of the government civilian agencies to carry out a mission under a single designated commander. A JIATF is usually established by the President for a more long-term and enduring mission. For example, three JIATFs have been established to conduct counter-drug operations under PDDs 14 and 44. The JIATF commanders exercise OPCON and TACON over the resources assigned to the organization, but, like the Services, the parent civilian agency is responsible for administration, logistics, and discipline of its assigned resources. Because establishment and employment of JIATFs are relatively new, the policies and procedures for their formation and operation have not been widely documented.

4. Combined Joint Task Force (CJTF)

A combined force is a military force composed of elements of two or more allied nations. When a military response to a contingency is required and two or more nations contribute military capabilities to the operation, the CJTF structure is normally established to exercise command and control over those resources to ensure unity of effort among the deployed forces during planning and execution of the operation. The CJTF is a relatively new concept for a multinational military organization that has emerged since the end of the Cold War. It was first employed by NATO during exercises and the members of the Alliance are developing the doctrine, policies, and procedures for this concept based on the recent Balkans experience and through a series of additional exercises.

The responsibility to form a CJTF headquarters can be assigned by the participating nations to a single lead nation because it provides the predominance of forces, or it might be assigned to an existing alliance operational headquarters located near the contingency area.[3] Unlike a JTF, the degree of command and control exercised by the CJTF commander must be negotiated and agreed to by the participating nations, and this sometimes delays the establishment of such a headquarters and frequently complicates the employment of the force.

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[3] In 1995, NATO's Commander-in-Chief of Allied Forces Southern Region (CINCSOUTH) was designated the Commander of the multinational Implementation Force (IFOR) employed in Bosnia and that headquarters formed the nucleus of what might be termed a CJTF.

B. CIVIL-MILITARY COORDINATION

Several national and international organizational entities have been created or are under development to facilitate the coordination between the civilian and military participants in SSC operations. Based on its recent involvement in a number of SSC operations, the U.S. military has recognized the differences between its organizations and those of its civilian partners in SSCs. **To achieve unity of effort in these operations, the Civil Affairs elements with the military forces have developed a flexible organizational arrangement to serve as the principal interface between the civilian entities and the military organizations involved in the contingency.**[4] The United Nations has also recognized the need to coordinate the activities of the military and civilian responders to large-scale natural and man-made disasters. In addition, the USG is developing a concept to achieve closer cooperation and unity of effort between its military and civilian resources employed in these operations.

1. The Civil-Military Operation Center (CMOC)

The CMOC is usually a tactical level organization. The purpose of the CMOC is to validate requests for military support from civil agencies and to coordinate the support with the appropriate military elements of the task force. The CMOC also serves as an important information exchange center between civilian and military organizations. The CMOC provides information to civilian personnel – governmental, IGO, IO, NGO, and host nation – on the capabilities and status of the military task force, the current operational activities, and the general security situation for the contingency operation. It also seeks from other participants information on the current situation and their activities. The CMOC also can convene and host *ad hoc* mission planning groups involving military support and other participating civilian organizations.

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4 See Multi-Service Procedures for Humanitarian Assistance Operations, Air Land Sea Applications Center, March 1994 for more detailed discussions of the CMOC and the Humanitarian Operations Center (HOC). Other allied military forces also recognize the importance of bridging the differences between the civilian and military participants in SSCs. They often use the term Civil-Military Cooperation (CIMIC) and establish a Civil-Military Coordination Center (CMCC) which is comparable to the CMOC. See Civil-Military Cooperation in Peace, Emergencies, Crisis and War (B-GG-005-004/AF-023), Canadian Ministry of National Defense, January 1999, a document based on NATO and U.S. military doctrine that has been developed in close coordination with the UN agencies, the IOs, and a number of NGOs.

The CMOC is usually established by operational commanders at locations where military forces operate in conjunction with civilian organizations. Although there is no fixed or standard organization for the CMOC, it will typically have from 8 to 12 personnel assigned to four main elements: an operations section, a civil affairs section, a support section, and a liaison section to coordinate the use of host nation ports and airfields for the multinational operation, one of the many important roles of the CMOC. NGOs also form their own coordination cells, either when access to official cells is in some way restricted, or when NGO-specific business is the focus.

2. The Humanitarian Operations Center (HOC)

The HOC is an operational level organization that is usually established when the situation requires an international response to a large-scale humanitarian disaster. The HOC tends to be not so much a location or cell, but rather a policy making and governing body. The HOC director is usually a senior UN representative, such as the Humanitarian Coordinator, who will coordinate the activities and actions of the international participants with the host nation through the HOC that includes a standing liaison committee, core groups, the CMOC, and sectoral and regional liaison personnel in the affected area.

3. The On-Site Operations Coordination Center (OSOCC)

The OSOCC is an operational level coordinating mechanism established by the UN. Its purpose is to assist the affected nation with coordination of the international response to a large-scale, rapid onset disaster. **The OSOCC is formed in the proximity of the disaster by the Field Coordination Support Unit (FCSU) of OCHA's Disaster Response Branch (DRB) located in Geneva and the resident UNDAC team.[5] The principal mission of the OSOCC is to facilitate the reception of international responders and to coordinate the international search and rescue efforts with the authorities of the affected nation, who retain overall responsibility for conducting the disaster relief operations.** The international responders may include military or civilian resources, and the OSOCC is the coordinating mechanism employed to achieve unity of effort with the host nation.

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5 See "Duties of the OSOCC (Draft)," International Search and Rescue Advisory Group, Geneva, 1999.

4. The Multi-Agency Support Team (MAST)

The MAST concept is currently being developed within the USG. The concept is intended to coordinate all USG activities during complex contingencies as outlined in PDD-56.[6] **When established, the MAST will bring together the strategic national and strategic theater level resources, guidance, and direction and serve as the on-scene coordinator/leader of the U.S. portion of the operation.** This concept is modeled on the Federal Coordinating Officer (FCO)[7] employed during domestic disasters, who is responsible for coordinating the federal response with local and state authorities in the affected area. **The on-scene coordinator/leader will serve as the operational level entity responsible for coordinating the use of U.S. military resources employed by the combatant command responsible for the area, the resources of the ambassador and the country team, and the resources of the other government agencies participating in the operation with the host nation authorities and all of the non-USG organizations participating in the contingency.** A series of exercises will be used to test and modify the MAST procedures before the concept is made operational.

C. CIVILIAN (NON-GOVERNMENTAL) COORDINATION

The non-governmental organizations (NGOs) and non-profit organizations have become better at coordinating amongst themselves in recent years. They have organized into coalitions, associations, and groups, such as InterAction.[8] These mechanisms coordinate via the Internet, formal gatherings and working groups, newsletters, and books. These coalitions are a good way to measure the pulse of the non-profit community.

InterAction: The American Council for Voluntary International Action[9] is composed of more than 150 U.S.-based, non-profit organizations. Its programs are carried out by standing committees, task forces, and working groups. The current standing committees are reflective of their mission statement; they include:

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6 Presidential Decision Directive-56, Managing Complex Contingency Operations, May 1997.

7 See The Federal Response Plan, April 1999.

8 InterAction is the largest American organization. The International Council of Voluntary Agencies is an international association that includes InterAction and other non-profit organizations and is a member of the IASC. Other countries have national councils, also. These coalitions are not just geographically organized, but are also organized around issues, funding methods, and missions.

9 Their home page is at http://www.interaction.org.

- Advocacy Committee
- Committee on Development Policy and Practices
- Commission on the Advancement of Women
- Disaster Response and Resources Committee[10]
- Committee on Migration and Refugee Affairs
- PVO Standards Committee[11]
- Ad-hoc Coordination Group on Transition Issues.[12]

D. CIVILIAN NETWORKS AND SYSTEMS

A number of civilian operated networks and systems provide information that is potentially useful to planners and organizations employed in SSCs. The systems include international and national humanitarian information networks; health and environmental special purpose information network, data base, and warning systems; automated cargo tracking systems; and central registers of national and international resources that might be made available during a contingency.

1. The Integrated Humanitarian Information System (IRIS)

The UN-created IRIS to provide current humanitarian information to support the Emergency Relief Coordinator (ERC) and others involved with humanitarian operations. This information system contains two parts: the ReliefWeb and the Integrated Regional Information Networks.

a. ReliefWeb[13]

In 1996, with the support of donor governments and humanitarian NGOs, DHA developed the ReliefWeb, a consolidated location of relief information on the Internet. ReliefWeb provides information on complex emergencies and natural disasters, with

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[10] This committee participated with other NGO associations in the Sphere Project. The project developed best field practices and international standards for providing humanitarian assistance. See The Sphere Project – Humanitarian Charter and Minimum Standards in Disaster Response, The Steering Committee for Humanitarian Response and InterAction with Voice, CH-1211 Geneva 19, Switzerland, 1998.

[11] This committee drafted InterAction's PVO Standards which members are required to follow. The standard covers such areas as finance, communication, management practice, and professionalism.

[12] USAID(OTI), the World Bank Post-Conflict Reconstruction Unit, and NGO representatives currently work on both relief and development issues.

[13] Web page is at www.reliefweb.int/.

updates every half hour, from over 170 sources, including OCHA, UN agencies, NGOs, governments, and the media. **The ReliefWeb serves as the principal source of current information on global relief efforts** and its Internet web site is managed by OCHA. Users from over 150 countries access an average of 200,000 documents each month. ReliefWeb recently expanded several features to serve the information needs of the international humanitarian community. These include a map center, a humanitarian employment bulletin board, an on-line discussion forum, an advanced search engine, and a humanitarian donation data base.

b. Integrated Regional Information Network (IRIN)[14]

The IRIN provides up to date reporting on humanitarian crises as well as regional events of relevance to the international community and the large community of humanitarian workers in the field. Headquartered in Nairobi, Kenya, IRIN currently covers sub-Saharan Africa with three nets: from Nairobi one IRIN net covers countries in East and Central Africa; a second net links West African countries from Abidjan, Côte d'Ivoire; and the third net covers Southern Africa from Johannesburg, South Africa.

The IRIN is staffed by a combination of journalists and relief professionals. By taking wire stories and building on networked contacts in every country, IRIN provides up to date and insightful coverage of events. The IRIN produces daily and weekly events reporting in English, French, and Swahili (east Africa only). Together, the IRIN offices issue daily and weekly reports, as well as thematic studies, for over 4,000 primary subscribers. Fully integrated on the Internet, the products are delivered daily via automated e-mail as well as by facsimile to those users without Internet access. Currently, it is estimated that these reports reach at least 10,000 readers around the world. The IRIN also produces special reports covering topics in depth, and its OCHA managers have begun exploring other information products and services to assist the subscribers such as relational data bases and geographic information systems.

The IRIN depends entirely on voluntary contributions which results in its chronic shortfalls in funding.[15] The IRIN's extra-budgetary status as a project, however, has allowed it to recruit from a far broader range of professionals than typical UN staff.

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[14] Email address for gaining access is irin@dha.unon.org.

[15] The IRIN does not have access to the Central Emergency Revolving Fund (CERF) because the UN Comptroller has determined that information is not an emergency function.

Plans are being developed to establish an office in Ankara, Turkey to link Eastern Europe, the Balkans, the Caucasus, and Central Asia, and a recent survey conducted by IRIN showed heightened interest to expand its coverage to other areas. With the large funding gaps for the existing nets and programs, any expansion of coverage or services will be impossible unless donors are willing to fund such efforts.

2. The Global Disaster Information Network (GDIN)[16]

The GDIN is an emerging system of integrated national and international systems. It evolved from a 1997 initiative of the U.S. Vice-President to harness information technology for disaster management. An interagency Disaster Information Task Force (DITF) was convened to determine how information technology could be applied to develop a more capable National Disaster Information Network (NDIN) and the feasibility of expanding the concept to a global network.[17] Once work began, consensus for a global network was soon achieved, and the first international meeting[18] was hosted at the U.S. Department of State in July 1998.

The GDIN is intended to meet the information needs of affected nations and the international disaster response organizations when disasters strike. It is intended to complement, not supplant, existing national or international networks. The objective of the network is to improve the effectiveness and interoperability of global systems for sharing natural disaster information, especially maps and data generated by remote and land-based sensors, among the international community. The purpose of the network is to provide better early warning and more informed and effective preparedness, response, recovery, and mitigation of disasters.

The primary functions of the GDIN are as follows:

- To enable disaster managers, relief workers, and others to access rapidly and systematically existing information, to include remote sensing data, maps, situation reports, etc., that is pertinent to their specific needs
- To serve as a mechanism whereby, in the absence of sufficient relevant existing information, disaster managers and relief workers can promptly

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16 The GDIN web page is at www.state.gov/www/issues/relief/gdin.html.

17 The results are available at www.disasterinfo.net.

18 Attending were expert representatives from 52 nations, with 26 from industry, 23 from NGOs, 21 UN officials, 6 from IGOs, and 2 from IOs.

communicate with reliable sources (e.g., governments, international organizations) to request the needed information in a useable form.

The GDIN also serves a number of secondary objectives including:

- Fostering increased sharing of disaster information among governments, international organizations, NGOs, and other entities
- Promoting standardization and integration of disaster information
- Providing an incentive for disaster prone countries and regions that have poor communications facilities to upgrade them so as to be in a position to receive alerts or request information in a timely manner
- Encouraging greater interaction and collaboration among providers, disseminators, and users of disaster information through electronic and other means.

Further GDIN development is an international cooperative effort coordinated by the UN Emergency Relief Coordinator, using the OCHA staff as the secretariat. Annual meetings of experts are held to review progress and to identify areas requiring further research to advance the objectives of the GDIN.

3. Global Information Early Warning Service (GIEWS)

The Food and Agriculture Organization's staff members operate and maintain the Global Information Early Warning System (GIEWS). **GIEWS monitors the crop and food outlook at global and national levels to detect emerging food shortages and assess possible emergency food requirements.** Since its inception in 1975, the system has issued 338 special alerts or regular reports to the international community on the deteriorating food supply prospects in various parts of the world. FAO provides other support to enhance food processing and storage, and pest control programs. They also conduct crop assessments and food balance studies. In coordination with the world Health Organization and the IAEA, they act as focal point for and provide expert advice on the quantitative and qualitative effects of all chemical, biological, and nuclear contaminants on food stuffs.

4. Volunteers in Technical Assistance Net (VITANet)[19]

VITANet is a network established with funding from USAID's Office of Foreign Disaster Assistance and IBM Corporation. VITANet operates from the Disaster Information Center (DIC) located in Arlington, Virginia. It is an on-line Internet-based system linked via low earth orbiting satellite system (VITASat) designed specifically to communicate development and humanitarian information. **This system allows rapid communication of requirements, and by using a bulletin board format, allows tracking of private sector donations and offers of volunteer technical assistance to meet the needs of foreign disasters.** The DIC serves as an information clearinghouse for OFDA and NGOs responding to these disasters to minimize duplication of effort and to ensure all needs are met.

5. Health Related Networks and Data Bases

A number of networks and data bases have been developed by international organizations to assist with mitigation of disasters that can affect the health and treatment of victims.

a. Health Information Network for Advance Planning (HINAP)

The World Health Organization operates and maintains the HINAP. This is a sophisticated information system designed to optimize effective contingency planning for health relief in complex humanitarian emergencies involving sudden population displacements. **HINAP consolidates, analyzes, and deploys health information and news from WHO, other UN agencies, governments, non-governmental organizations, and other related operational organizations.**

The network is designed to support those dealing with global, regional, and country health planning, implementation, management, and monitoring of complex emergency humanitarian preparedness and response activities. The network's target audiences are those involved with strategic decision making regarding the allocation of resources, deployment of relief efforts, and the implementation of preparedness or preventive measures. HINAP includes information on topics such as nutrition, epidemiology, logistics, country health profiles, status of local health facilities, and the availability of resources for emergency contingency planning.

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[19] Volunteers in Technical Assistance (VITA) is an NGO and can be contacted via Internet at vita@ vita.org. Their home page is http://www.vita.org /default.htm.

b. International Nuclear Response Capabilities

The International Atomic Energy Agency maintains a data base of national nuclear accident response capabilities that can be used to identify resources that potentially can be made available in the event of an emergency.[20] **This data base identifies resources in four categories: human resources with health or other technical skills, special teams for monitoring the environment, equipment and materials, and specialized facilities such as hospitals, analytical laboratories, and research institutes.**

c. International Chemical Response Capabilities

The Organization for the Prohibition of Chemical Weapons (OPCW) maintains a similar data base of national capabilities[21] that potentially could be made available in the event of a chemical related emergency. **This data base includes information on national capabilities reported to OPCW in the areas of protective equipment, decontamination equipment, detection equipment and units, medical treatment capabilities, and sources for obtaining technical advise.**

6. Environmental Data Bases and Information Systems

Several UN and national agencies have cooperated to develop useful environmental-related data bases and warning systems.

a. Global Resource Information Database (GRID)[22]

The UN Environment Program (UNEP) developed GRID. It consists of a network of 16 cooperating centers[23] dedicated to making environmental data and information more readily accessible to environmental analysts. **The GRID provides timely and reliable geo-referenced environmental data and information to help address environmental issues at global, regional, and national levels.** GRID's long term objectives are threefold:

- To enhance availability and open exchange of global and regional environmental geo-referenced data sets

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20 See Appendix H for more detailed discussion.

21 See Appendix H.

22 Web page is at www.unep.org/eia/ein/grid/.

23 The U.S. cooperating center is run by the USGS in Sioux Falls, South Dakota.

- To provide UN and inter-governmental bodies with access to improved environmental data management technologies
- To enable all countries in the world to make use of GRID-compatible technology for national environmental assessment and management.

To accomplish these objectives, GRID:

- Maintains a distributed global archive of geo-referenced environmental data, in computer-accessible format, acquired from UN bodies, national agencies, sectoral specialists, and NGOs
- Provides geo-referenced and tabular data and Geographic Information System (GIS) support that can be used in emergency preparedness and response studies and practical exercises
- Meta-data base and catalog systems pointing to substantive environmental information.

b. Tropical Cyclone Projection (TCP) Network

The World Meteorological Organization (WMO) operates the TCP network **to assist members nations with providing better tropical cyclone forecasts and more effective warnings through regionally coordinated systems, and with national efforts to mitigate the effects of tropical cyclone disasters.** The program is effected on both national and regional levels. It covers activities of member nations, WMO Regional Associations (RA), other international and regional bodies, and the WMO secretariat. Members pursue cooperative and coordinated programs of this type through the following regional tropical cyclone bodies:

- ESCAP and WMO Typhoon Committee
- WMO and ESCAP Panel on Tropical Cyclones for the Bay of Bengal and the Arabian Sea
- RA I Tropical Cyclone Committee for the South-West Indian Ocean
- RA IV Hurricane Committee for the Caribbean and Central America
- RA V Tropical Cyclone Committee for the South Pacific and South East Indian Ocean.

The three principal elements of the TCP are as follows:

- **Meteorological Element** – Based on the World Weather Watch (WWW), this element is concerned with providing basic meteorological data and analyses and other processed products required for tropical cyclone forecasting. The operational tropical cyclone plans and manuals published by regional tropical cyclone bodies are important developments under this element

- **Hydrological Element** – Based on the Operational Hydrology Program (OHP), this element provides the basic hydrological data required for flood forecasting, and within Asia and the South Pacific region, this element requires the cooperation of ESCAP
- **Prevention and Preparedness Element** – This element is concerned with all other structural and non-structural measures required to ensure the maximum safety of human life and the reduction of damage to a minimum.

c. Global Maritime Distress and Safety System (GDMSS)

The International Maritime Organization (IMO), with the International Civil Aviation Organization (ICAO), and International Telecommunication Union (ITU), developed the GDMSS. This system brings together a number of separate communications programs and technologies into a comprehensive disaster management package. The components of GDMSS include the International Maritime Satellite (INMARSAT); Enhanced Group Calling (EGC); Emergency Position-Indicating Radio Beacons (EPIRB); high frequency (HF), Digital Selective Calling (DSC), and medium and short-range service; and radar transponders.

GDMSS also includes the World-Wide Navigational Warning Service (WWNWS) established in 1977 by IMO and the IHO. While the **rapid transmission and reception of distress messages is the most important task of radio at sea, it is essential that warnings be given to ships on all matters that can affect their safety. These warnings include the location and any malfunction of lights, sound signals, buoys and other aids to navigation; the location of wrecks and other hazards; and the establishment of offshore structures.**

Under this system, the world's oceans are divided into l6 navigation areas (NAVAREA). The service includes arrangements for disseminating information by regular radio broadcasts and now incorporates Navigation Telecommunications Exchange (NAVTEX). NAVTEX is the primary means for transmitting short range maritime safety information (MSI), including navigational warnings, meteorological forecasts and warnings, ice reports, search and rescue information, pilot messages and details of changes to navigational aids. NAVTEX messages are normally sent only in English using narrow-band direct printing (NBDP) and are received on board the ship on a special printer.

d. Global Information Early Warning System (GIEWS)[24]

The Food and Agriculture Organization created GIEWS in 1975 **to monitor crops and the food outlook at global and national levels. It is designed to detect emerging food shortages and to assess possible emergency food requirements.** In addition to its regular reports, the system has issued 338 special alerts to the international community on deteriorating food supply situations in various parts of the world since its inception.

e. Famine Early Warning System (FEWS)[25]

FEWS is an information system designed by USAID to help decision makers prevent famine in sub-Saharan Africa, and is linked to OCHA's ReliefWeb. The system enables specialists in the U.S. and Africa **to assess remotely sensed data and ground-based meteorological, crop, and range land conditions for early indications of potential famine areas.** FEWS is a cooperative interagency effort and receives much of its data directly from the U.S. Geological Survey (USGS), National Aeronautics and Space Administration (NASA), and the National Oceanographic and Atmospheric Administration (NOAA). FEWS also collaborates with the Sahel Regional Agriculture, Hydrology, and Meteorology Center (AGRHYMET). FEWS includes other factors affecting local food availability and access to identify vulnerable population groups requiring assistance. The assessments are updated continuously and disseminated to decision makers to provide the most timely and accurate information available. This information helps decision makers understand the basic causes and circumstances of famine, detect changes that create serious famine risks, and determine appropriate famine mitigation and prevention strategies.

7. Automated Tracking Systems

Several UN organizations have developed automated tracking systems to monitor and account for the flow of relief materials into the affected region and distribution of supplies within the local area. Many of these systems have been used in various SSCs.

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24 Web page is at http://geoweb.fao.org/.

25 Web page is at www.info.usaid.gov/fews/fews.html.

a. The Commodity Tracking System (CTS)

One of the problems encountered in large-scale responses to disasters is tracking the flow of commodities from multiple sources using different systems. The CTS was developed to accomplish this management task, and is a scalable logistics tracking and monitoring system adapted by UNHCR. The CTS was used extensively throughout the UNHCR operations in Former Yugoslavia. Written in Foxpro®, the CTS was built on modules from the Disaster Assistance Logistics Information System (DALIS), developed by the U.S. Army Reserve's 353rd Civil Affairs Command in 1991, during Operation Provide Comfort.

b. International Food Aid Information System (INTERFAIS)

WFP monitors food aid flows, including emergency food aid, through INTERFAIS. This system collects and makes detailed data available to the international community concerning requirements, donors, allocations, and delivery schedules, and is used as an aid for planning and coordinating these efforts. Information in this system also includes port conditions and overland transport capabilities. WFP has also completed "vulnerability assessment mapping" in 22 African, 8 Asian, and 2 Latin American countries. This mapping identifies the geographic distribution of poverty and food insecurity, and helps to ascertain the underlying causes and appropriate programmatic responses.

c. The Supply and Management (SUMA) System

SUMA[26] is a WHO technical cooperation program. Its purpose is to strengthen the national capacity to manage humanitarian relief supplies effectively from the time pledges are made by donors, through their entry into the disaster area, until they are distributed. The Pan American Health Organization (PAHO), one of the WHO regional organizations, was the developing and implementing agency with the significant support of the Government of Netherlands and the Canadian Development Agency (CDA). SUMA is a tool that accomplishes three key objectives:

- It keeps national authorities and donors informed of exactly what has been received.

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[26] SUMA tracks the following categories of humanitarian supplies: medicine; water and environmental health; health supplies and equipment; food and beverages; shelter, housing, electrical, and construction; logistics and management; personal needs and education; human resources; agricultural and livestock industries. Additional information can be obtained from: http://www.netslalud.sa.cr/ops/suma.

- It can be used to identify and prioritize those supplies that are urgently needed by the disaster-affected population.
- It maintains inventory control of supplies in warehouses and while being distributed during the humanitarian relief operation.

SUMA has completed its first development phase (1992-1997), which established the capability in the Caribbean and Latin America and evaluated its capabilities during a number of actual disasters. The second phase, currently underway, is to use the evaluation results to improve the capability of the system and to expand it as the global standard for the UN System (UNS), affected and donor governments, and NGOs.

The evaluation of Phase I has shown that countries using the SUMA system now identify their post-disaster needs more precisely, and donors have been better educated about humanitarian assistance in the region. An important part of the system's development has been the parallel training of national staffs to operate the system during the emergency. More than 1,700 users from various governmental and non-governmental organizations have been trained in the Caribbean and Latin America.[27] As the system is extended to other regions, the emphasis on training will continue. The DoD Total Asset Visibility Office should develop automated interfaces between DoD cargo tracking systems and the SUMA system to facilitate enroute tracking and accountability of relief supplies delivered by the U.S. during disaster relief operations.

8. OCHA On-Line[28]

This is OCHA's home web site, providing information specific to OCHA and its work. It includes the description of OCHA (its mandate, structure, contact information etc.), news from headquarters and field offices (newsletters, press releases, and official statements), and policy and advocacy position papers (publications, speeches and IASC materials). OCHA On-Line is linked to ReliefWeb and also contains information on the MCDA Central Register and INSARAG programs. OCHA also provides a direct link to the Integrated Regional Information Network (IRIN), previously discussed.

The Central Register of Disaster Management Capacities (Central Register) was established in compliance with the United Nations General Assembly resolutions.[29] The

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27 SUMA was used with some success during the international responses to Hurricanes Georges and Mitch in 1998.

28 Web page is at www.reliefweb.int/ocha_ol/.

Central Register is an operational tool to support, in conjunction with other measures, the UNS and the international community as a whole in their efforts to ensure expeditious delivery of the required emergency humanitarian aid. Its function can be compared to that of a Yellow Pages telephone directory. The collected data on various disaster response capacities, that might be made available by donor countries and organizations, are grouped and presented to users in a structured and consistent manner in the form of specific registers (directories). **The registers are constructed to enable the affected nation to identify immediately where assistance is located so that contact with the potential providers of specific assistance can be accomplished rapidly.**

The role of OCHA in this process is to maintain and update the Central Register and to help users with identifying and contacting the right sources for the assistance that is needed. When required or upon request, OCHA can also mobilize the identified resources through its own mechanisms. The registers should enable UN agencies, inter-governmental, governmental, and non-governmental organizations to identify and contact appropriate authorities quickly to provide the required expertise and assistance.

The Central Register[30] includes the following registers (or directories) of specific disaster management capacities:

a. Directory of International Search and Rescue Teams (SAR Directory)

This directory provides information on more than 20 governmental and non-governmental teams with specialized expertise and equipment that can be deployed with great speed to save lives anywhere in the world, particularly in developing countries. The SAR teams are closely linked to the INSARAG and work under their established guidelines for international SAR operations. **The SAR Directory provides information for each team on such key items as the team name, release authority and providing organization, 24-hour contact points, composition, list of specialized expertise and equipment, mobilization and deployment data, and past experience in emergency assistance.**

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29 A/RES/45/100 adopted on 14 December 1990 and A/RES/46/182 adopted on 19 December 1991.

30 Appendix E summarizes the capabilities of the MCDA and INSARAG elements contained in these directories.

b. Register of Military, Civil Defense, and Civil Protection Assets (MCDA Register)

Military and Civil Defense Assets refer to any resource – personnel, information, equipment, or service – that belongs to an organized military or civil defense[31] institution of a national government. This register contains data on the military, civil defense, and civil protection expertise, capacities, and range of services that might be offered in case of emergency by member states and multinational organizations. These assets are employed to assist during international humanitarian disaster relief operations under the following conditions:

- Listing assets in the MCDA Register does not automatically make them available for international humanitarian assistance; it serves as an indication only that they may be made available, subject to the owner's decision on a case-by-case basis.
- The assets can be made available through the United Nations.
- The assets are provided on a non-reimbursable basis.

For each asset provider, the MCDA Register contains information on such key items as the authority responsible for the release of the assets for international assistance, 24-hour contact points, service modules available and their specifications, and modalities of cooperation with the UN, other organizations, and disaster affected countries.

c. Register of Emergency Stockpiles of Disaster Relief Items (Register of Stockpiles)

This register contains information on emergency stockpiles which are managed by different governmental, international, and non-governmental humanitarian organizations. The stockpiles are established by these organizations to provide disaster relief items directly, or on their behalf, free of charge to a disaster-stricken country. A stockpile of disaster relief items is considered to be an emergency stockpile and is qualified to be entered into the Register of Stockpiles if it complies with the following criteria:

- The stocked disaster relief items can be made available for international assistance through the United Nations

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[31] The term civil defense is used in accordance with the definition given in Article 61 of Protocol I additional to the Geneva Conventions of August 1949. It includes any organization or service that performs such tasks as warning, evacuation, rescue, fire fighting, provision of emergency accommodation and supplies, etc.

- The disaster relief items are provided on a non-reimbursable basis
- The stockpile activity is not limited just to local relief operations (i.e., only in the country of the stockpile's location).

Including an emergency stockpile in the Register of Stockpiles does not mean that the items are automatically available for international humanitarian assistance; it serves as an indication only that they may be made available, subject to decision of the stockpile holder on a case-by-case basis. **The Register of Stockpiles provides the following information on each emergency stockpile: location, responsible organization (stockpile holder), contact persons, disaster relief items stocked and their specifications, regions and organizations serviced, conditions and procedures for access to the stocks, existing facilities and arrangements for customs clearance and transportation, previous experience in relief operations.**

d. Register of Rosters of Disaster Management Expertise (Register of Expertise)

This register contains data on rosters of available international disaster management experts. It includes experts in both general or specialized fields used within the UNS, inter-governmental, non-governmental organizations, national governments, and the private sector. **For each roster, the Register of Expertise provides information on such key items as the roster name, host organization, 24-hour contact points, expertise covered, and modalities of cooperation with the UN, other organizations, and disaster affected countries.**

e. Directory of National Focal Points and Legislation for Customs Facilitation in International Emergency Humanitarian Assistance (Customs Directory)

This directory has been established and is maintained with the assistance of the World Customs Organization. **The Customs Directory contains the names and contact data of the national officials responsible for facilitating customs treatment of consignments of international emergency humanitarian assistance, and a brief account of the relevant national legislation and regulations.**

f. Directory of Contact Points for Disaster Response (Response Directory)

Currently under development, this directory is intended to provide data on emergency response services of national and international organizations designated by relevant authorities to respond to a disaster in a particular country. For each emergency response service, the Response Directory provides information on such key items as the service name, address, telephone, facsimile, telex, cable, electronic mail, name, position,

and contact details of responsible duty officers, disaster types, and affected countries covered.

g. Directory of Major Donors of Emergency Humanitarian Assistance (Donors Directory)

This directory is also under development and when completed will provide data on national and international organizations regularly responding, by contributions in-kind or in cash, to the appeals for international assistance launched by the affected countries. For each organization, the Donors Directory will provide information on such key items as the organization name, address, telephone, facsimile, telex, cable, electronic mail, name, position, and contact details of responsible officers.

E. SUMMARY AND CONCLUSIONS

Military and civilian organizations, although structured differently, must work together in various types of SSC operations. To achieve unity of effort, both communities have recognized these differences and have established or are developing organizational arrangements to facilitate coordination and collaboration between the two groups. Both communities need to understand how the other is organized and operates and where interfaces can be established so that these differences can become transparent during planning and operation.

The use of information technology and the Internet has enabled many civilian organizations to compile and make available very useful information to assist with planning and responding to SSCs. This chapter has identified a number of the networks and data bases that can provide useful information during planning and execution of SSC operations. By accessing the civilian and UN relief web sites, military commanders and their staffs can quickly ascertain which civilian entities will play a role in the operation and can begin coordination and collaboration with the appropriate SSC responders. The civilian tracking systems also provide an automated means for U.S. military forces to enhance accountability and to expedite processing of humanitarian relief supplies. These improvements can only be accomplished if these systems are interoperable with existing and future DoD tracking systems.

APPENDIX A

ABBREVIATIONS AND ACRONYMS

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ABBREVIATIONS AND ACRONYMS

AACCLA	Association of American Chambers of Commerce in Latin America
ARID	Australian Agency for International Development
ABCGC	American Business Council of the Gulf Countries
ABEDA	Arab Bank for Economic Development in Africa
ACC	Administrative Committee on Coordination
ACCORD	African Center for Conflict Resolution and Development
ACCT	Agency for Cultural and Technical Cooperation
ACDA	Arms Control and Disarmament Agency
ACE	Allied Command Europe
ACLANT	Allied Command Atlantic
ACRI	African Crisis Response Initiative
ACS	Association of Caribbean States
ADB	African Development Bank
ADF	African Development Fund
ADPC	Asian Disaster Preparedness Center
ADRA	Adventist Development and Relief Agency
AFCAP	Air Force Contract Augmentation Program
AFCESA	Air Force Civil Engineer Support Agency
AFDB	African Development Bank
AFESD	Arab Fund for Economic and Social Development
AG	Australia Group
AGRHYMET	Agriculture, Hydrology, and Meteorology Center
AIDS	Acquired Immune Deficiency Syndrome
AIOM	International Action of the Order of Malta
ALADI	*Asociacion Latinoameicana de Integracion*
ALITE	Augmented Logistics Intervention Team for Emergencies
AMC	Army Materiel Command
AMF	Arab Monetary Fund
AMS	Aerial Measuring System
AMU	Arab Maghreb Union
AOC	Air Operations Cell
APCAC	Asia-Pacific Council of American Chambers of Commerce
APEC	Asia-Pacific Economic Cooperation
ARAC	Atmospheric Release Advisory Capability
ARF	ASEAN Regional Forum

ARFPS	ACE Reaction Forces Planning Staff
ARG	Accident Response Group
ARRC	ACE Rapid Reaction Corps
AsDB	Asian Development Bank
ASEAN	Association of Southeast Asian Nations
ATF	Alcohol, Tobacco, and Firearms
AWR	Association for the Study of the World Problem of Refugees
BADEA	*Banque Arabe de Developpement Economique en Afrique*
BCIE	*Banco Centroamericano de Integracion Economico*
BDEAC	*Banque de Developpement des Etats de I'Afrique Centrale*
BHR	Bureau for Humanitarian Response
BID	*Banco Interamericano de Desarrollo*
BIS	Bank for International Settlements
BOAD	*Banque Ouest-Africaine de Developement*
BSEC	Black Sea Economic Cooperation Zone
BWI	Bretton Woods Institutions
CARICOM	Caribbean Community and Common Market
CBSS	Council of the Baltic Sea States
CCC	Commodity Credit Corporation
CCPDC	Carnegie Commission on Preventing Deadly Conflict
CDA	Canadian Development Agency
CDB	Caribbean Development Bank
CDC	Center for Disease Control
CDC	Commonwealth Development Corporation
CDERA	Caribbean Disaster Emergency Response Agency
CDMP	Caribbean Disaster Mitigation Project
CDRC	Central Disaster Relief Council
CDRU	CARICOM Disaster Response Unit
CEAU	Council of Economic Arab Unity
CEEAC	*Communaute Economique des Etats de l'Afrique Centrale*
CEI	Central Europe Initiative
CEMAC	*Communaute Economique et Monetaire de l'Afrique Centrale*.
CEPD	Civil Emergency Planning Directorate
CEPGL	*Communaute Economique des Pays des Grands Lacs*
CEPREDNAC	*Coordinacion para La Prevencion de Desastres Naturales en America Central*
CERF	Central Emergency Revolving Fund
CETI	Crisis Environment Training Initiative
CFSP	Common Foreign and Security Policy
CIA	Central Intelligence Agency
CIDA	Canadian International Development Agency
CILSS	Committee for Drought Control in the
CIMIC	Civil-Military Cooperation

CINCSOUTH	Commander-in-Chief of Allied Forces Southern Region
CIOMAL	Committee of the Order of Malta for Leprosy Relief
CIRG	Critical Incident Response Group
CIS	Commonwealth of Independent States
CIVPOL	Civilian Police
CJCS	Chairman of the Joint Chiefs of Staff
CJTF	Combined Joint Task Force
CMCC	Civil-Military Coordination Center
CMG	Conflict Management Group
CMOC	Civil Military Operations Center
CMRT	Consequence Management Response Team
CND	Conference on Narcotic Drugs
CoE	Council of Europe
COMBINET	Commonwealth Business Information Network
COMESA	Common Market for Eastern and Southern Africa
CONCAP	Construction Capabilities Contract
CONUS	Continental United States
CPC	Committee for Program and Coordination
CPLP	*Comunidade de Paises de Lingua Portuguesa*
CRP	Caribbean Regional Program
CRS	Catholic Relief Services
CSBMs	Confidence and Security-Building Measures
CSIS	Center for Strategic and International Studies
CSN	Country Strategy Note
CSREES	Cooperative State Research, Education, and Extension Service
CTS	Commodity Tracking System
CWN	Commonwealth of Nations
DAC	Development Assistance Committee
DAF	Development Assistance Framework
DAICC	Drug Air Interdiction Coordination Center
DALIS	Disaster Assistance Logistics Information System
DANIDA	Danish International Development Agency
DART	Disaster Assistance Response Team
DC	Deputies Committee
DCI	Director of Central Intelligence
DCOs	Defense Coordination Officers
DDA	Department for Disarmament Affairs
DDA	Deputy Director for Administration
DDI	Deputy Director for Intelligence
DDO	Deputy Director for Operations
DDS&T	Deputy Director for Science and Technology
DEA	Drug Enforcement Agency
DEMA	Danish Emergency Management Agency

DEST	Domestic Emergency Support Team
DfID	Department for International Development
DHA	Department of Humanitarian Affairs
DHHS	Department of Health and Human Services
DIA	Defense Intelligence Agency
DIC	Disaster Information Center
DITF	Disaster Information Task Force
DJFHQ	Deployable Joint Force Headquarters
DMAT	Disaster Medical Assistance Teams
DMT	Disaster Mortuary Teams
DO	Designated Official
DoC	Department of Commerce
DoD	Department of Defense
DoE	Department of Energy
DoJ	Department of Justice
DoS	Department of State
DoT	Department of Transportation
DoTr	Department of Treasury
DPA	Department of Political Affairs
DPKO	Department of Peace-Keeping Operations
DPQ	Defense Planning Questionnaire
DRB	Disaster Response Branch
DRC	Danish Refugee Council
DROC	Disaster Response and Operations Coordination Division
EAD	Election Assistance Division
EADB	*East African Development Bank*
EADRCC	Euro-Atlantic Disaster Response Coordination Center
EAPC	Euro Atlantic Partnership Council
EBRD	European Bank for Reconstruction and Development
ECA	Economic Commission for Africa
ECACC	European Council of American Chambers of Commerce
ECE	Economic Commission for Europe
ECHO	European Commission Humanitarian Office
ECLAC	Economic Commission for Latin American and the Caribbean
ECOM	Emergency Corps of the Order of Malta
ECOMOG	ECOWAS Monitoring Group
ECOSOC	Economic and Social Council
ECOWAS	Economic Community of West African States
ECWA	Economic Commission for Western Asia
EFAA	Emergency Finance and Administrative Assistants
EGC	Enhanced Group Calling
EHA	Emergency and Humanitarian Action

EMERCOM	State Committee of Russian Federation for Civil Defense, Emergencies, and Elimination of Consequences of National Disasters
EOC	Emergency Operations Center
EONS	Executive Office for National Security
EPA	Environmental Protection Agency
EPIRB	Emergency Position-Indicating Radio Beacons
EPRO	Emergency Preparedness and Response Officers
EPRS	Emergency Preparedness and Response Section
ERAMS	Environmental Radiation Ambient Monitoring System
ERC	Emergency Relief Coordinator
ERD	Emergency Relief Detachment
ERMA	Emergency Refugee and Migration Assistance Fund
ERO	Emergency Relief Operations Division
ERT	Emergency Response Team
ERT	Environmental Response Teams
ERUs	Emergency Response Units
ESCAP	Economic and Social Commission for Asia and the Pacific
ESCWA	Economic and Social Commission for Western Asia
ESF	Emergency Support Function
EST	Emergency Support Team
EU	European Union
EUROCORPS	European Corps
EUROFOR	European Rapid Deployment Force
EUROMARFOR	European Maritime Force
ExComm	Executive Committee
FAA	Federal Aviation Administration
FALD	Field Administration and Logistics Division
FAO	Food and Agriculture Organization of the United Nations
FAR	Federal Acquisition Regulation
FAS	Foreign Agricultural Service
FAWEU	Forces Answerable to WEU
FBI	Federal Bureau of Investigation
FCO	Federal Coordinating Officer
FCSU	Field Coordination Support Unit
FEMA	Federal Emergency Management Agency
FEST	Foreign Emergency Support Team
FEWS	Famine Early Warning System
FHA	Federal Highway Administration
FNS	Food and Nutrition Service
FRA	Federal Railroad Administration
FRMAC	Federal Radiological Monitoring and Assessment Center
FSA	Farm Service Agency

FTA	Federal Transit Administration
FZ	Franc Zone
GA	General Assembly
GCC	Gulf Cooperative Council
GDIN	Global Disaster Information Network
GIEWS	Global Information Early Warning System
GMDSS	Global Maritime Distress and Safety System
GMDSS	Global Maritime Distress and Safety System
GNP	Gross National Product
Gos	Governmental Organizations
GPHF	German Pharma Health Fund
GRID	Global Resource Information Data Base in Geneva
GTC	Global Technology Corps
GTZ	*Gesellschaft fur Teknische Zusammenarbeit*
H2H	Heart to Heart
HACC	Humanitarian Assistance Coordination Center
HC	Humanitarian Coordinator
HDR	Humanitarian Daily Rations
HEWS	Humanitarian Early Warning System
HF	High Frequency
HIAS	Hebrew Immigrant Aid Society
HINAP	Health Information Network for Advance Planning
HOC	Humanitarian Operations Center
HOLAFOM	Holy Land Foundation of the Order of Malta
HRT	Hostage Rescue Team
HRW	Human Rights Watch
IA	International Alert
IADB	Inter-American Development Bank
IADB	Inter-American Defense Board
IADC	Inter-American Defense College
IAEA	International Atomic Energy Agency
IAMSAR	International Aeronautical and Maritime Search and Rescue
IARA	Islamic African Relief Agency
IASC	Interagency Standing Committee
IASC	Inter-Agency Steering Committee
IAU	International Assistance Unit
IBE	International Bureau of Education
IBRD	International Bank for Reconstruction and Development
ICAO	International Civil Aviation Organization
ICD	the International Cooperation and Development
ICG	International Crisis Group
ICITAP	International Criminal Investigative Training Assistance Program
ICJ	International Court of Justice

ICRC	International Committee of the Red Cross
ICS	International Centre for Science and High Technology
ICSC	International Civil Service Commission
ICSID	International Centre for Settlement of Investment Disputes
ICVA	International Council of Voluntary Agencies
IDA	International Development Association
IDAF	International Disaster Assistance Fund
IDNDR	International Decade for Natural Disaster Reduction
IDP	Internally Displaced Person
1DRO	International Disaster Relief Operations
]EA	International Energy Agency
IEFR	International Emergency Food Reserve
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFES	International Foundation for Electoral Systems
IFI	International Financial Institution
IFOR	Implementation Force
IFRC	International Federation of Red Cross and Red Crescent Societies
IGAD	Inter-Governmental Authority on Development
IGOs	Inter-Governmental Organizations
ILO	International Labor Organization
ILO/ITC	International Training Centre
IMF	International Monetary Fund
IMO	International Maritime Organization
INCB	International Narcotics Control Board
INES	International Nuclear Event Scale
INMARSAT	International Maritime Satellite
INS	Immigration and Naturalization Service
INSARAG	International Search and Rescue Advisory Group
INSTRAW	International Research and Training Institute for the Advancement of Women
INTERFAIS	International Food Aid Information System
INTERFET	International Force for East Timor
INTERPOL	International Criminal Police Organization
IOC	Indian Ocean Commission
IOM	International Organization for Migration
JOS	International Organizations
IPTFs	International Police Task Forces
IRA	Immediate Response Account
IRCM	International Red Cross and Red Crescent Movement
IRF	Immediate Reactions Forces
IRIN	Integrated Regional Information Network
IRIS	Integrated Humanitarian Information System

ISARAG	International Search and Rescue Advisory Group
IsDB	Islamic Development Bank
ISDSC	Interstate Defence and Security Conference
ISG	Inter-Sessional Support Group
ITA	International Trade Administration
ITC	International Training Center
ITSH	International Transport, Storage And Handling
ITU	International Telecommunication Union
IWGs	Interagency Working Groups
JFHQ	Joint Force Headquarters
JIATF	Joint Interagency Task Force
JICA	Japan International Cooperation Agency
JIU	Joint Inspection Unit
JNACC	Joint Nuclear Accident Coordinating Center
JRRF	Joint Rapid Reaction Force
JTF	Joint Task Force
KFOR	Kosovo Force
LANDCENT	Land Forces Central Region
LANTDIV	Atlantic Division, Naval Facilities Engineering Command
LEGATTs	Legal Attaches
LF	*La Francophonie*
LOGCAP	Logistical Civil Augmentation Program
LSE	Logistic Support Element
LWR	Lutheran World Relief
MARAD	Maritime Administration
MAST	Multi-Agency Support Team
MCDA	Military and Civil Defense Assets
MCDU	Military and Civil Defense Unit
MCPMR	Mechanism for Conflict Prevention, Management, and Resolution
MERCOSUR	*Mercado Común del Sur*
MFO	Multinational Force and Observers
MIGA	Multilateral Investment Guarantee Agency
MIMCO	Mattel Independent Monitoring Council
MMST	Metropolitan Medical Strike Teams
MoD	Ministry of Defense
MOOTW	Military Operations Other Than War
MPRI	Military Professional Resources Incorporated
MPS	Mission Planning Service
MRU	Mano River Union
MSF	*Medecins sans Frontieres*
MSI	Maritime Safety Information
MSU	Multinational Specialized Unit
MTCR	Missile Technology Control Regime

NACC	North Atlantic Cooperation Council
NAEWF	NATO Airborne Early Warning Force
NAFTA	North American Free Trade Agreement
NAM	Non-Aligned Movement
NARCL	Nuclear Accident Response Capabilities Listing
NATO	North Atlantic Treaty Organization
NAVAREA	Navigation Areas
NAVTEX	Navigation Telecommunications Exchange
NBDP	Narrow-Band Direct Printing
NCBs	National Central Bureaus
NDI	National Democratic Institute
NDIN	National Disaster Information Network
NDMS	National Disaster Medical System
NEA	Nuclear Energy Agency
NEC	National Economic Council
NERS	National Emergency Relief Services
NEST	Nuclear Emergency Search Team
NGOs	Non-Governmental Organizations
NIC	National Intelligence Council
NICC	National Interagency Coordination Center
NIH	National Institutes for Health
NISTs	National Intelligence Support Teams
NMOG	Neutral Military Observer Group
NMRT	National Medical Response Team
NOAA	National Oceanic and Atmospheric Administration
NOTAMS	Notices to Airmen
NRC	National Response Center
NRC	Norwegian Refugee Council
NRT	National Response Team
NSA	National Security Agency
NSC	National Security Council
NSF	National Strike Force
NSG	Nuclear Suppliers Group
NTF	Nigeria Trust Fund
OAS	Organization of American States
OAU	Organization for African Unity
OCHA	Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
ODCCP	Office for Drug Control and Crime Prevention
OECD	Organization for Economic Cooperation and Development
OECS	Organization of Eastern Caribbean States
OFDA	Office of Foreign Disaster Assistance
OHCHR	Office of the High Commissioner for Human Rights

OHP	Operational Hydrology Program
OIC	Organization of the Islamic Conference
OMIB	Observer Mission
ONDCP	Office of National Drug Control Policy
OOSA	Office for Outer Space Affairs
OPANAL	*Organismo para la Proscripcion de las Armas Nucleares en la America Latina y el Caribe*
OPBAT	Operation Bahamas, Turks, and Caicos
OPCON	Operational Control
OPCW	Organization for the Prohibition of Chemical Weapons
OPDAT	Overseas Prosecutorial Development Assistance Training Program
OPIC	Overseas Private Investment Corporation
OSCE	Organization for Security and Cooperation in Europe
OSOCC	On-Site Operations Coordination Center
OTI	Office of Transition Initiatives
Oxfam	Oxford Committee for Famine Relief
PAHO	Pan American Health Organization
PANAFTEL	Pan African Telecommunications Network
PC	Principals Committee
PCU	Post-Conflict Unit
PDDs	Presidential Decision Directives
PfP	Partnership for Peace
PIC	Peace Implementation Council
PJHQ	Permanent Joint Headquarters
POLF	Points of Light Foundation
PRM	Population, Refugee, and Migration
PSYOP	Psychological Operations
PVO	Private Voluntary Organization
RA	Regional Associations
RAP	Radiological Assistance Program
RC	Resident Coordinator
REACTS	Radiation Emergency Assistance Center/Training Site
REC	Regional Economic Communities
RECAMP	*Renforcement des Capacites de Maintien de la Paix en Afrique*
RedR	Registered Engineers for Disaster Relief
RERT	Radiological Emergency Response Teams
RFAS	Reaction Forces Air Staff
RG	Rio Group
RIIS	Regional Integrated Information System
ROC	Regional Operations Center
RSED	Research and Scientific Exchanges Division
RSMC	Regional and Specialized Meteorological Centers

RSS	Regional Security System
SAARC	South Asian Association for Regional Cooperation
SACCAR	Southern African Center for Cooperation in Agricultural Research
SADC	Southern Africa Development Community
SAR	Search and Rescue
SAS	Standby Arrangement System
SATCC	Southern African Transport and Communications Commission
SC	Security Council
SCEPC	Senior Civil Emergency Planning Committee
SCF	Save the Children Fund
SCG	Search for Common Ground
SCHR	Sanding Committee on Humanitarian Response
SDRA	Swiss Disaster Relief Agency
SEA	Senior Emergency Administrative
SEANWFZ	Southeast Asia Nuclear Weapon-Free Zone
SELA	*Sistema Economica Latinoamericano*
SFOR	Stabilization Forces
SHIBRIG	Standby High Readiness Brigade
SIDA	Swedish International Development Agency
SIECA	*Secretaria de Integracion Economica Centroamericana*
SIPRI	Swedish International Peace Research Institute
SITCEN	Situation Center
SMOM	Sovereign Military Hospitaler Order of Malta
SOFA	Status of Forces Agreement
SPARTECA	South Pacific Regional Trade and Economic Cooperation Agreement
SPC	South Pacific Commission
SPF	South Pacific Forum
SPLA	Sudanese People's Liberation Army's
SRB	Swedish Rescue Board
SRSA	Swedish Rescue Service Agency
SRSG	Special Representative of the Secretary General
SSCs	Smaller-Scale Contingencies
SUMA	Supply and Management
SVF	Special Voluntary Fund
SWAT	Special Weapons and Tactics
TAC	Treaty of Amity and Cooperation
TACON	Tactical Control
TC	Trusteeship Council
TCP	Topical Cyclone Program
TF	Task Force
THW	*Technische Hilfs Werkung*
TIC	The Interdiction Committee

TOKTEN	Transfer of Knowledge through Expatriate Nationals
TPFDD	Time-Phased Force And Deployment Data
UDEAC	*Union Douaniere de l'Afrique Centrale*
UEMOA	*Union Economique et Monetaire Ouest Africaine*
UN	United Nations
UNAIDS	United Nations Staff Pension Fund
UNCC	UN Compensation Commission
UNCDF	United Nations Capital Development Fund
UNCHS	United Nations Centre for Human Settlements
UNCICP	UN Center for International Crime Prevention
UNCITRAL	United Nations Commission on International Trade Law
UNCT	UN Country Team
UNCTAD	United Nations Conference on Trade and Development
UNDAC	UN Disaster Assessment and Coordination
UNDCP	United Nations International Drug Control Programme
UNDMT	UN Disaster Management Team
UNDP	United Nations Development Programme
UNDRO	UN Disaster Relief Organization
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFSTD	United Nations Fund for Science and Technology for Development
UNHCHR	United Nations High Commissioner for Human Rights
UNHCR	United Nations High Commissioner for Refugees
UNHCR	UN High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNICRI	United Nations Interregional Crime and Justice Research Institute
UNIDIR	United Nations Institute for Disarmament Research
UNIDO	United Nations Industrial Development Organization
UNIFEM	United Nations Development Fund for Women
UNITAR	United Nations Institute for Training and Research
UNJLC	United Nations Joint Logistics Center
UNJSPF	United Nations Staff Pension Fund
UNMAS	UN Mine Action Service
UNO	United Nations Organization
UNOG	United Nations Office at Geneva
UNOPS	United Nations Office for Project Services
UNOV	United Nations Office at Vienna
UNPF	United Nations Population Fund
UNRISD	United Nations Research Institute for Social Development
UNRWA	United Nations Relief Works Agency
UNS	United Nations System
UNSC	United Nations Staff College

UNSECOORD	UN Security Coordinator
UNSMT	UN Security Management Team
UNTAC	UN Transitional Authority in Cambodia
UNTAET	UN Transitional Administration in Eastern Timor
UNU	United Nations University
UNV	United Nations Volunteers
UPU	Universal Postal Union
USACE	U.S. Army Corps of Engineers
USAID	U.S. Agency for International Development
USAR	Urban Search and Rescue
USCG	U.S. Coast Guard
USCS	U.S. Customs Service
USDA	U.S. Department of Agriculture
USDE	Unit of Sustainable Development and Environment
USGS	U.S. Geological Survey
USIA	U.S. Information Agency
USIC	U.S. Interdiction Coordinator
USIS	U.S. Information Service
USMS	United States Marshals Service
USNCB	U.S. National Central Bureau
USSS	U.S. Secret Service
VITANet	Volunteers in Technical Assistance Net
WADB	West African Development Bank
WAEMU	West Africa Economic and Monetary Union
WEU	Western European Union
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization
WTO	World Tourism Organization
WWNWS	World-Wide Navigational Warning Service
WWW	World Weather Watch
ZOPFAN	Zone of Peace, Freedom, and Neutrality

APPENDIX B

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APPENDIX C

GLOSSARY

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Acquisition and Cross-Servicing Agreement (ACSA)

Any agreement concluded with the government of a NATO country, NATO subsidiary body, or other designated country under which the United States agrees to provide logistic support, supplies, and services to the armed forces of such government or subsidiary body in return for the reciprocal provision of logistic support, supplies , and services by such country of subsidiary body to the U.S. Armed Forces. Such cross-servicing agreements establish principals and provisions for effecting required support, but do no bind either party to any particular number or monetary value of transaction. (Source: DoDI 2010.9)

Administrative Control

Direction or exercise of authority over subordinate or other organizations in respect to administration and support, including organization of Service forces, control of resources and equipment, personnel management, unit logistics, individual and unit training, readiness, mobilization, demobilization, discipline, and other matters not included in the operational missions of the subordinate or other organizations. (Source: Joint Pub 1-02).

Alliance

An alliance is a result of formal agreements (i.e., treaties) between two or more nations for broad, long-term objectives which further the common interest of the members. (Source: Joint Pub 1-02)

Amnesty

The granting of a pardon for past offenses—especially political offenses—including, for example, human rights violations and war crimes. (Source: University of Colorado Conflict Resolution Center)

Antiterrorism

Defensive measures used to reduce the vulnerability of individuals and property to terrorist acts, to include limited response and containment by local military forces. (Source: Joint Pub 1-02)

Antiterrorism Awareness

Fundamental knowledge of the terrorist threat and measures to reduce personal vulnerability to terrorism. (Source: Joint Pub 1-02)

Arbitration

Arbitration is a method of resolving a dispute in which the disputants present their case to an impartial third party, who then makes a decision for them which resolves the conflict. This decision is usually binding. Arbitration differs from mediation, in which a third party simply helps the disputants develop a solution on their own. (Source: University of Colorado Conflict Resolution Center)

Area of Operations

An operational area defined by the joint force commander for land or naval forces. Areas of operation do not typically encompass the entire operational area of the joint force commander, but should be large enough for component commanders to accomplish their missions and protect their forces. (Source: Joint Pub 1-02)

Area of Responsibility

The geographical area associated with a combatant command within which a combatant commander has authority to plan and conduct operations. (Source: Joint Pub 1-02)

Arms Control

A concept that connotes: a. any plan, arrangement, or process, resting upon explicit or implicit international agreement, governing any aspect of the following: the numbers, types, and performance characteristics of weapon systems (including the command and control, logistics support arrangements, and any related intelligence-gathering mechanism); and the numerical strength, organization, equipment, deployment, or employment of the Armed Forces retained by the parties (it encompasses

disarmament); and, b. on some occasions, those measures taken for the purpose of reducing instability in the military environment. (Source: Joint Pub 1-02)

Assessments

- **Damage Assessment** – The process of evaluating the damages and losses caused by a disaster.
- **Situation Assessment** – The process of evaluating the situation caused by a disaster, such as the number killed, injured, and affected.
- **Needs Assessment** – The process of evaluating the needs of the affected population as a result of the disaster. (Source: OFDA Field Operations Guide)

Assisting State

A state or organization providing international disaster relief assistance. (Source: UNDHA MCDA Field Manual)

Bilateral Agreement

An agreement effected between two nations to achieve a common purpose. During contingency operations, bilateral agreements are often required to ensure goods and services will be made available and provided by a host or transit nation to another nation participating in the operation. (Source: Stipulated)

Bilateral Funding

Bilateral transactions are those undertaken by a donor country directly with an aid recipient. (Source: OECD/DAC Statistical Reporting Directives) Donor nations often use NGOs and contractors to channel relief and development assistance. See also, multilateral funding (source: OECD Development web page).

Buffer Zone

A defined area controlled by a peace operations force from which disputing or belligerent forces have been excluded. A buffer zone is formed to create an area of separation between disputing or belligerent forces and reduce the risk of renewed conflict. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

The neutral space between ceasefire lines. (Source: UK Army Field Manual Volume 5, Part 2)

Cantonment area

A location for the temporary housing, disarmament, and demilitarisation of the parties' forces (within the framework of a demobilisation operation). (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Capability

In military operations other than war, the civilian or military resources available to perform tasks or subtasks. Resources include personnel and equipment – which may be grouped as packages, modules, or task forces to accomplish specific tasks or subtasks – and materials, services, financial assets, and time. (Source: Stipulated)

Capacity

The human resources and skills, and material resources needed by an organization to achieve its objectives or a nation to sustain its population. (Source: Stipulated)

Centers of Gravity

Those characteristics, capabilities, or localities from which a military force derives its freedom of action, physical strength, or will to fight. (Source: Joint Pub 1-02)

Civil Affairs

The activities of a commander that establish, maintain, influence, or exploit relations between military forces and civil authorities, both governmental and non governmental, and the civilian population in a friendly, neutral, or hostile area of operations in order to facilitate military operations and consolidate operational objectives. Civil affairs may include performance by military forces of activities and functions normally the responsibility of local government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence of military operations. (Source: DoDD 2000.13 and Joint Pub 1-02)

Civil Affairs Capabilities

Civil affairs force and other DoD units and organizations that are capable of planning, conducting, or otherwise assisting in civil affairs activities. (Source: DoDD 2000.13)

Civil Affairs Forces

Military units, detachments, or other military organizations that are designated as "civil affairs" organizations and are mission-oriented and trained to plan and conduct civil affairs activities. Also includes personnel who are trained and qualified in civil affairs. (Source: DoDD 2000.13)

Civil Affairs Missions

Missions assigned to the DoD Components that are primarily designed to assist the civil sector. (Source: DoDD 2000.13)

Civil Assistance

Activities undertaken by the DoD Components to assist the civilian sector in foreign areas and in the United States and its territories. (Source: DoDD 2000.13)

Civil Military Cooperation

All actions and measures undertaken between NATO commanders and national authorities, military or civil, in peace or war, which concern the relationship between allied armed forces and the government, civil population, or agencies in the area where such forces are stationed, supported, or employed. (Source: Joint Pub 1-02)

Civil-Military Operations

Groups of planned activities in support of military operations that enhance the relationship between the military force and civilian authorities and population and which promote the development of favorable emotions, attitudes, and behavior in neutral, friendly, or hostile groups. (Source: Joint Pub 1-02)

Civil Police

International civilian police (CIVPOL) monitors operating in a nation under authority granted by the United Nations. CIVPOL are typically unarmed advisors who perform a monitoring function and assist with restructuring the national criminal justice system during contingency operations. (Source: Stipulated)

Coalition

An ad hoc arrangement between two or more nations for common action. (Source: Joint Pub 1-02)

Coalition Action

Multinational action outside the bounds of established alliances, usually for single occasions or longer cooperation in a narrow sector of common interest. (Source: Joint Pub 1-02)

Coalition Force

A force composed of military elements of nations that have formed a temporary alliance for some specific purpose. (Source: Joint Pub 1-02)

Coastal Sea Control

The employment of forces to ensure the unimpeded use of an offshore coastal area by friendly forces and, as appropriate, to deny the use of the area to enemy forces. (Source: Joint Pub 1-02)

Cold Chain

The refrigerated transportation system for vaccines from the manufacturer to the individual. (Source: OFDA Field Operations Guide)

Combatant Command (Command Authority) (COCOM)

Nontransferable command authority established by title 10 ("Armed Forces"), United States Code, section 164, exercised only by commanders of unified or specified combatant commands unless otherwise directed by the President or the Secretary of Defense. Combatant command (command authority) cannot be delegated and is the authority of a combatant commander to perform those functions of command over assigned forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction over all aspects of military operations, joint training, and logistics necessary to accomplish the missions assigned to the command. Combatant command (command authority) should be exercised through the commanders of subordinate organizations. Normally this authority is exercised though subordinate joint force commanders and Service and/or functional component commanders. Combatant command (command authority) provides full

authority to organize and employ commands and forces as the combatant commander considers necessary to accomplish assigned missions. Operational control is inherent in combatant command (command authority. (Source: Joint Pub 1-02)

Combat Search and Rescue

A specific task performed by rescue forces to effect the recovery of distressed personnel during wartime or contingency operations. (Source: Joint Pub 1-02)

Combatting Terrorism

Actions, including antiterrorism (defensive measures taken to reduce vulnerability to terrorist acts) and counterterrorism (offensive measures taken to prevent, deter, and respond to terrorism), taken to oppose terrorism throughout the entire threat spectrum. (Source: Joint Pub 1-02)

Combined Joint Task Force

A multinational (combined) and multi-service (joint) task force, task-organized and formed for contingency operations which require multinational and multi-service command and control exercised by the combined joint task force headquarters. (Source: NATO MC-389)

A multinational military force, under a single commander, composed of units from more than one Service. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Commonality

A state achieved when groups of individuals, organizations, or member states, use common doctrine, procedures, or equipment. (Source: Commander's Handbook Peace Operations)

Compatibility

Capability of two or more items or components of equipment or material to exist or function in the same systems or environment without mutual interference. (Source: Commander's Handbook Peace Operations)

Complex Contingency

A contingency involving territorial disputes, armed ethnic conflicts, or civil wars that pose threats to regional or international peace, accompanied by natural or manmade disasters causing massive human suffering, and requiring multi-dimensional operations to resolve effectively. (Source: paraphrased from PDD-56)

Complex Emergency

A humanitarian crisis in a country, region, or society where there is a total or considerable breakdown of authority resulting from internal or external conflict, and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country program. (Source: UNDHA MCDA Field Manual)

Conciliation

Conciliation involves efforts by a third party to improve the relationship between two or more disputants. It may be done as a part of mediation, or independently. Generally, the third party will work with the disputants to corrects misunderstandings, reduce fear and distrust, and generally improve communication between the parties in a conflict. Sometimes this alone will result in dispute settlement; at other times, it paves the way for a later mediation process. (Source: University of Colorado Conflict Resolution Center)

The reconciling effect wrought on opposing parties to a conflict by agreements resulting from successful negotiation and mediation. (Source: UK Army Field Manual Volume 5 Part 2)

Confidence Building Measures

Sometimes referred to as Confidence and Security Building Measures (CSBMs) or as Stabilizing Measures (SMs). They are intended to contribute to the lowering of tension in an area and may represent the first step towards the restoration of law and order an negotiations for a political settlement. Among the forms they may take are: (1) the establishment of an effective liaison and communications network between all parties; (2) mutual and balanced reductions in personnel and equipment; (3) the separation of forces; (4) zonal restrictions on the deployment of weapons and military personnel, including the enforcement of no-fly zones; (5) advanced reporting of military

activities or exercises; (6) and joint inspections of disputed areas. (Source: University of Colorado Conflict Resolution Center)

Conflict Prevention

Conflict prevention activities are normally conducted in accordance with the principles of Chapter VI of the UN Charter. Conflict prevention activities may range from diplomatic initiatives, through efforts designed to reform a country's security sector and make it more accountable to democratic control, to preventive deployments of forces designed to prevent or contain disputes from escalating to armed conflict. Other conflict prevention activities may include military fact-finding missions, consultations, warnings, inspections and monitoring. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Consensus

Consensus decision making requires that everyone agree with a decision; not just a majority as occurs in majority-rule processes. In consensus-based processes, people must work together to develop an agreement that is good enough (though not necessarily perfect) that all of the people at the table are willing to agree to it. (Source: University of Colorado Conflict Resolution Center)

Consent

The promotion of co-operation and consent is fundamental to achieving the political end-state in all Peace Support Operations. Without the active co-operation and consent of the parties and the indigenous population there cannot be a self-sustaining peace. The need to promote co-operation and consent and the long-term demands of peace will constrain the use of all military techniques and not just the use of force. A loss of consent and non-compliance may result in an escalation of violence, sustained opposition to the Peace Support Force and a possible loss of control. In such circumstances, a Peace Support Force may find it necessary to divert its efforts to force protection tasks rather than the accomplishment of the mission. (Source: draft NATO AJP-3.4.1 'Peace Support Operations')

Consequence Management

Actions taken to mitigate the effects of a counterterrorism or weapons of mass destruction incident. (Source: Adapted from Defense Issues Volume 13 Number 33 Domestic Preparedness)

Constabulary

An armed police force organized on military lines which can operate with regular army forces or conduct independent operations. During contingency operations, a constabulary can assist with training local police forces, provide back up to local forces, or assist regular forces with restoring law and order. (Source: Derived from Webster's and stipulated)

Contingency

An emergency involving military forces caused by natural disasters, terrorists, subversives, or by required military operations. Due to the uncertainty of the situation, contingencies require plans, rapid response and special procedures to ensure the safety and readiness of personnel installations, and equipment. (Source: Joint Pub 1-02)

Contingency Contracting

Contracting performed in support of a peacetime contingency in an overseas location pursuant to the policies and procedures of the Federal Acquisition Regulatory System. (Source: Joint Pub 1-02)

Contingent Owned Equipment (COE)

Any military equipment owned by a member state brought to the mission area with the prior agreement of the UN secretariat and for which the member state intends to claim reimbursement. (Source: Commander's Handbook Peace Operations)

Contractorization

The process by which military operations, generally in the logistic field, are transferred to a civilian body undertaking the same task under contract. (Source: Commander's Handbook Peace Operations)

Control Zone

In military operations other than war, the mutually agreed areas either side of the buffer zone that establish the forward limits of the ceasefire line. (Source: UK Army Field Manual Volume 5, Part 2)

Coordinating Authority

The authority granted to a commander or member state assigned responsibility for coordinating specific functions or activities involving forces of two or more countries. Such a responsibility gives the authority for consultation between the agencies involved or their representatives, but does not give the authority to compel agreement. In the case of disagreement between the agencies involved, attempts should be made to resolve the issue by negotiation. In the event that this fails, the matter shall be referred to the appropriate higher authority. (Source: Commander's Handbook Peace Operations)

A commander or individual assigned responsibility for coordinating specific functions or activities involving forces of two or more Military Departments or two or more forces of the same Service. The commander or individual has the authority to require consultation between the agencies involved, but does not have the authority to compel agreement. In the event that essential agreement cannot be obtained, the matter shall be referred to the appointing authority. Coordinating authority is a consultation relationship, not an authority through which command may be exercised. Coordinating authority is more applicable to planning and similar activities than to operations. ((Source: Joint Pub 1-02)

Counterterrorism

Offensive measures taken to prevent, deter, and respond to terrorism. (Source: Joint Pub 1-02)

Counterdrug

Those active measures taken to detect, monitor, and counter the production, trafficking, and use of illegal drugs. (Source: Joint Pub 1-02)

Counterdrug Nonoperational Support

Support provided to law enforcement agencies/host nations which include loan or lease of equipment without operators, use of facilities (such as buildings, training areas,

and ranges), training conducted in formal schools, transfer of excess equipment, or other support provided by the Services from forces not assigned or made available to the combatant commanders. (Source: Joint Pub 1-02)

Counterdrug Operational Support

Support to host nations and drug law enforcement agencies involving military personnel and their associated equipment, and provided by geographic combatant commanders from forces assigned to them or made available to them by the Service for this purpose. Operations support does not include support in the form of equipment alone, nor the conduct of joint law enforcement investigations with cooperating civil law enforcement agencies. (Source: Joint Pub 1-02)

Counterdrug Operations

Civil or military actions taken to reduce or eliminate illicit drug trafficking. (Source: Joint Pub 1-02)

Countermining

1. Land mine warfare – Tactics and techniques used to detect, avoid, breach, and/or neutralized enemy mines and the use of available resources to deny the enemy the opportunity to employ mines. 2. Naval mine warfare – The detonation of mines by nearby explosions, either accidental or deliberate.(Source: Joint Pub 1-02)

Counterterrorism

Offensive measures taken to prevent, deter, and respond to terrorism. (Source: Joint Pub 1-02)

Country Team

The country team is composed of the senior member of each department or agency of the USG that is represented in the Host Nation. The Ambassador as Chief of the U.S. diplomatic mission heads the country team. The country team concept encourages USG agencies to coordinate their efforts. The senior member of each agency on the country team has direct communication with and line of authority from the parent organization. A member may receive home agency instructions that conflict with the consensus of the country team. Important issue conflicts are resolved internally at the U.S. national level. (Source: draft MCRP 3-33B)

Coup de Main

An offensive operation that capitalizes on surprise and simultaneous execution of supporting operations to achieve success in one swift stroke. (Source: Joint Pub 1-02)

Crisis

An incident or situation involving a threat to the United States, its territories, citizens, military forces, possessions, or vital interests that develops rapidly and creates a condition of such diplomatic, economic, political, or military importance that commitment of U.S. military forces and resources is contemplated to achieve national objectives. (Source: Joint Pub 1-02)

Crisis Management

Actions taken in an attempt to resolve a contingency situation that has reached a critical phase. (Source: Adapted Webster's)

Cross-Servicing

That function performed by one member state for another for which the other member state or UN may be charged. (Source: Commander's Handbook Peace Operations)

Damage Assessment

The determination of the effect of attacks on targets. (Source: Joint Pub 1-02)

The process of evaluating the damages and losses caused by a disaster. (Source: OFDA Field Operations Guide)

Demilitarization

During military operations other than war, the diplomatic and military actions associated with monitoring and enforcing the removal of military forces, resources, and installations from a designated area. The actions may include temporary encampment of belligerent forces outside of the designated area prior to disarmament and demobilization to facilitate the delivery of humanitarian assistance and the resettlement of civilian population within the designated area. (Source: Stipulated)

Demilitarisation means that military personnel and equipment are withdrawn from their military function. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft

Demilitarized Zone

A defined area in which the stationing, or concentrating of military forces, or the retention or establishment of military installations of any description, is prohibited. (Source: Joint Pub 1-02)

A defined area in which the stationing, or concentrating of military forces, or the retention or establishment of military installations of any description, is prohibited. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Demobilization

The process of transitioning a conflict or wartime military establishment and defense-based civilian economy to a peacetime configuration while maintaining national security and economic vitality. (Source: Joint Pub 1-02)

During military operations other than war, the military and civilian actions necessary to sever the authority of former commanders over combatant personnel and to return the combatant personnel to civilian life. Military tasks usually include encampment of combatant personnel; individual registration and personal data collection; physical and mental health screening, treatment, and counseling; and civic education. Civilian tasks typically include longer term actions such as vocational training, education, and development of small scale entrepreneurial activities or other civilian employment opportunities. (Source: Stipulated).

Demobilisation consists of those activities that are undertaken by a Peace Support Force to reduce the number of factions' forces and their equipment in the area of operations to the levels as agreed in the peace settlement. . (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Demonstration

1. An attack or show of force on a front where a decision is not sought, made with the aim of deceiving the enemy. 2. In military deception, a show of force in an area where a decision is not sought, made to deceive an adversary. It is similar to a feint but no actual contact with the adversary is intended. (Source: Joint Pub 1-02)

Denial Measure

An action to hinder or deny the enemy the use of space, personnel, or facilities. It may include destruction, removal, contamination, or erection of obstructions. (Source: Joint Pub 1-02)

Developmental Assistance

US Agency for International Development function chartered under chapter one of the Foreign Assistance Act of 1961, primarily designed to promote economic growth and the equitable distribution of its benefits. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Direct Action

Short duration strikes and other small-scale offensive actions by special operations forces to seize, destroy, capture, recover, or inflict damage on designated personnel or materiel. In the conduct of these operations, special operations forces may employ raid, ambush, or direct assault tactics; emplace mines and other munitions; conduct standoff attacks by fire from air, ground, or maritime platforms; provide terminal guidance for precision-guided munitions; and conduct independent sabotage. (Source: Joint Pub 1-02)

Directive

A written requirement that serves to direct and impel toward an action, attainment, or goal; a pronouncement requiring or prohibiting some action or conduct. USAID directives, according to their content, prescribe USAID policies and essential procedures not just for USAID itself, but for participating agencies, contractors, institutions, grantees, cooperating countries, and others acting on behalf of or in collaboration with USAID. News releases, program announcements, catalogs, price lists, training materials and correspondence are not included. (Source: USAID Automated Directives System)

Direct Liaison Authorized

That authority granted by a commander (any level) to a subordinate to directly consult or coordinate an action with a command or agency within or outside of the granting command. Direct liaison authorized is more applicable to planning that operation and always carries with it the requirement of keeping the commander granting

direct liaison authority informed. Direct liaison authorized is a coordination relationship, not an authority through which command may be exercised. (Source: Joint Pub 1-02)

Disarmament

During military operations other than war, the removal, collection, accounting for, and safeguarding and/or disposal of all weapons, ammunition, and explosive devices and material from belligerent forces. (Source: Stipulated)

A sub-process of demilitarisation. It means the (controlled process) of taking weapons away from military forces. Demilitarisation and disarmament usually take place within the framework of demobilisation operations. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Disaster

The occurrence of a sudden misfortune which disrupts the basic fabric and normal functioning of a society (or community). An event or series of events which gives rise to casualties and/or damage or loss of property, infrastructure, essential services or means of livelihood on a scale which is beyond the normal capacity of the affected communities to cope with unaided. (Source: UNDHA MCDA Field Manual)

The following definitions compiled at the Center for Research on the Epidemiolgy of Disasters (CRED) and are based on the glossary of terms developed at a workshop organized by the United Nations Department of Humanitarian Affairs (UNDHA) in Prague in 1991, as well as on detailed discussions and documents from the World Health Organization (WHO), the World Meteorological Organization (WMO), and technical staff of UNDHA. The Scientific Technical Committee of the International Decade for Natural Disaster Reduction also has contributed significantly to the formulation of these terms.

- **Sudden Natural Disasters**
  - **Avalanche –** Rapid and sudden sliding and flowing of masses of usually incoherent and unsorted mixtures of snow, ice and/or rock material.
  - **Cold Wave –** Long-lasting period with extremely low surface temperature.
  - **Dam Collapse –** May be caused by a shifting of a dam foundation after an earthquake, nearby oil drilling, or due to faulty construction. Earth dams are more likely to collapse when excessive rainfall fills the reservoir to overflowing. The excess water then pours over the top of the dam, gradually washing it down and cutting deep channels into it. This

weakens the entire structure so that it then gives way entirely. The result of a dam collapse is a sudden release of large amounts of water which sweep over low-lying villages, causing many deaths and injuries.

- **Earth Flow –** A mass movement characterized by slow, down-slope translation of soil and weathered rock within a landslide.
- **Earthquake –** Sudden break within the upper layers of the earth, sometimes breaking the surface, resulting in the vibration of the ground; when strong enough will cause the collapse of buildings and destruction of life and property. There are two scales for measuring the impact of an earthquake: the Richter scale (0 to 8.9) measures the energy dissipated in the quake and the Mercalli scale of intensity (from 1 to 12) measures the destructive effects at the site where it is measured; a reading of 1 can barely be read by the instruments while a 12 represents almost total destruction.
  - **Aftershock –** A smaller earthquake that follows the main shock and originates close to its focus. Aftershocks generally decrease in number and magnitude over time. Aftershocks that follow the main shock have to be considered as the same event as the main earthquake.
- **Floods** – Significant rise of water level in a stream, lake, reservoir, or a coastal region. A flood is a harmful inundation of property and land utilized by man and may be of two types:
  - **Slow Flood** – caused by an increase in the volume of water produced by rain in rivers and lakes over a long period, days or weeks, mainly affecting property such as houses and cattle, and displace the inhabitants from the usual dwelling places;
  - **Sudden Flood –** caused by an increase in the volume of water in rivers and lakes, causing death, injuries and violent destruction of property. It may be the result of torrential rain, cyclones, structural failures such as the collapse of walls of a reservoir or the embankment of a river proving insufficiently robust to contain the strong flow of water.
  - **Flash Flood –** A sudden and extreme volume of water that flows rapidly and causes inundation, and, because of its nature, is difficult to forecast.
- **Heat Wave –** Long-lasting period with extremely high surface temperature.
- **Insect Infestation or Animal Infestation –** Pervasive influx and development of insects or parasites affecting humans, animals, crops and materials.

- **Landslide** – Downhill sliding or falling movement of dry soil and rock. Landslides are difficult to estimate as an independent phenomenon. It seems appropriate, therefore, to associate landslides with other hazards such as tropical cyclones, severe local storms and river floods. The term "landslide" is used in its broad sense to include downward and outward movement of slope-forming materials (natural rock and soil). It is caused by heavy rain, soil erosion and earth tremors and may also happen in areas under heavy snow (avalanches).
- **Power Shortage –** Total or partial disruption of electrical power for an extended period causing significant damage to services and normal livelihood.
- **Storm –** Atmospheric disturbance involving perturbations of the prevailing pressure and wind fields, on scale ranging from tornadoes (one km across) to extra tropical cyclone (2,000-3,000 km across).
  - **Hail –** Derives from the impact of hailstones, precipitated particles of ice, and is most commonly associated with thunderstorms.
  - **High Wind Cyclone –** This storm type includes hurricane and typhoon. Large-scale close circulation system in the atmosphere with low barometric pressure and strong winds that rotate counter clockwise in the northern hemisphere and clockwise in the southern hemisphere. The normal path of these storms curves in the opposite direction to its rotation, i.e., clockwise in the northern hemisphere and counterclockwise in the southern hemisphere. The system is referred to as a cyclone in the Indian Ocean and South Pacific, hurricane in the western Atlantic and eastern Pacific, and typhoon in the western Pacific. Hurricanes and typhoons are the same storm types as tropical cyclones. They are the local names for storms which originate in the Caribbean and China Sea region respectively. Hurricanes are large atmospheric vortices with wind speeds of more than 100 kph; they develop in the doldrums of the tropics and move in an often erratic way towards higher latitudes.
  - **Sand Storm –** Dust or sand energetically lifted to great heights by strong and turbulent winds.
  - **Storm Surges** – A sudden rise of sea as a result of high winds and low atmosphere pressure; sometimes called a storm tide, storm wave, or tidal wave (this name indicates waves caused by the tidal action of the moon and the sun in the same way as regular ocean tides. It is often erroneously given to tsunamis, see below). Generally affects only coastal areas but may intrude some distance inland.

- **Thunderstorm –** A large cumulus cloud on which localized centers of electrical charge have developed.
- **Tornado –** Localized and violently destructive windstorm occurring over land. Characterized by a long funnel-shaped cloud composed of condensation and debris extending to the ground and marking a path of greatest destruction.
- **Tropical Storm –** Formed over open seas and characterized by extreme wind damage, intense downpours of rain, wave storms at sea, severe coastal wave action, marine flooding, riverine flooding, lightning and thunderstorms.

- **Tsunami and Tidal Wave –** Series of large sea waves generated by sudden displacement of seawater (caused by earthquake, volcanic eruption or submarine landslide); capable of propagation over large distance.
- **Volcanic Eruption –** Discharge of fragmentary ejecta, lava and gases from a volcanic vent. The most common consequences are displacement of population, temporary food shortage and volcanic ash landslides called lahar.
  - **Glowing Avalanches –** Hot pyroclastic flows formed from freshly erupted magma, with temperatures of up to 1,200 degrees. The pyroclastic flow is formed from rock fragments derived from a volcanic explosion which, when suspended in a flow of rapidly expanding gas and dust, surges down the flanks of the volcano at speeds of up to several hundred kilometers per hour, to distances often up to 40 km from the event. This is the most dangerous type of volcanic eruption.

- **Long-Term Natural Disasters**
  - **Drought –** Period of deficiency of moisture in the soil such that there is inadequate water required for plants, animals, and human beings. A drought causes malnutrition, epidemics and displacement of populations from one area to another.
  - **Desertification –** The processes by which an already arid area becomes even more barren, less capable of retaining vegetation, and progresses towards becoming a desert. This is often a cause of long-term disasters. This type of disaster will normally be entered as a consequence.
  - **Epidemic –** An unusual increase in the number of cases of an infectious disease which already exists in the region or population concerned. The appearance of a significant number of cases of an infectious disease introduced in a region or population that is usually free from that disease. Epidemics may be the consequence of disasters of another kind, such as

tropical storms, floods, earthquakes, droughts, etc. Epidemics may also attack animals, causing local economic disasters.

- **Famine –** Catastrophic food shortage affecting large numbers of people due to climatic, environmental and socio-economic reasons. The cause of the famine may produce great migrations to less-affected regions.
- **Food Shortage or Crop Failure –** Abnormal reduction in crop yield such that it is insufficient to meet the nutritional or economic needs of the community. This type of disaster is always a consequence of another disaster type and will therefore be classified under the major cause.

- **Sudden Man-Made Disasters**
  - **Structural Collapse –** The disaster type "structural collapse" is used when the structure collapse results independently, without any outside force. If the collapse is due to an outside force such as an earthquake, tornado, or explosion, then it is classified under the initial causal factor.
    - **Building Collapse –** Entails the sudden falling apart of a building in the absence of any outside force.
    - **Mine Collapse or a Mine Cave-In.** Takes place in an excavation below the earth's surface. In a cave-in, parts of the overlying rocks fall down and tunnels are blocked.
  - **Transport Accidents**
    - **Air Transport Accidents** – Involve violent impacts of aircraft which transport passengers or freight.
    - **Land Transport Accidents –** Include collisions or derailments of freight or passenger trains or vehicles in towns and in the country.
    - **Sea Transport Accidents –** Involve ships. Ships may sink in a storm, explode, burn, crash into each other, crash into an iceberg or rock, capsize, or vanish without explanation. Note: sea disasters caused by conflict are classified under Conflict. Those which result in oil slicks are classified under Industrial/technological accident (pollution).
  - **Industrial or Technological Accident –** Accidental release occurring during the production, transportation or handling of hazardous chemical substances.
  - **Explosions –** Disasters will only be classified as explosions when the explosion is the actual disaster. If the explosion is the cause of another disaster, the event will be classified as the resulting disaster.
    - **Chemical Explosions –** Result in violent destruction caused by the explosion of combustible material, nearly always of chemical origin.

- **Mine Explosions –** Occur when natural gas or coal dust reacts with an oxidant.
- **Nuclear or Thermonuclear Contamination –** Accidental release of radiation occurring in civil or military nuclear facilities, exceeding the internationally established safety levels.

- **Pollution –** Degradation of one or more elements or aspects in the environment by noxious industrial, chemical or biological wastes, from debris or man-made products or from mismanagement-management of natural and environmental resources.
  - **Acid rain –** A washout of an excessive concentration of acidic compounds in the atmosphere, resulting from chemical pollutants such as sulfur and nitrogen compounds. When deposited these increase the acidity of the soil and water causing agricultural and ecological damage.
  - **Atmosphere pollution –** Contamination of the atmosphere by large quantities of gases, solids and radiation produced by the burning of natural and artificial fuels, chemicals and other industrial processes and nuclear explosions.
  - **Chemical pollution –** A sudden pollution of water or air near industrial areas, leading to internal body disorders which may be fatal, or to external disorders with permanent damage of the skin.
  - **Chlorofluoro-carbons (CFC) –** A group of chemical compounds used in industry and in the house-hold, of which the excessive and universal use is believed to be one of the causes of ozone depletion, with resulting environmental damage.
  - **Oil pollution –** Pollution of oceans, lakes, or rivers. This results from the discharge of hydrocarbons (often petroleum or crude oil) from tanks, tankers or pipelines during transportation or storage. Oil spills are accidental discharge often resulting from storms or collisions. Oil pumping is intentional discharge from flushing the holds of tankers. Oil slicks are generally small discharges on the water's surface. Black tides are substantial deposits on tidelands from oil spills or dumping.

- **Fires –** Usually caused by man but may occasionally occur through natural causes, for example, forest fires can be caused by lightning in thunderstorms. Note: when a fire is a result of a natural cause, it will be classified under the natural cause.
  - **Forest or Grassland Fires –** Fires in forest or bush grasslands that cover extensive areas and usually do damage. They may start by natural causes such as volcanic eruptions or lightning, or they may be

caused by arsonists or careless smokers, by those burning wood or by clearing a forest area.

- **Long-Term Man-Made Disasters**
  - **National (Civil Strife, Civil War) Conflict –** Warlike encounters between armed groups from the same country which take place within the borders. This may pose large-scale medical problems such as epidemics, lack of water, accumulation of rubbish, displaced persons, refugees, food shortage, hunger, etc.
  - **International Conflict –** Warlike encounters between two or more armies from different countries. These may cause large-scale mass movements of refugees and displaced persons.

Disaster Alert

The period from the issuing of a public warning of an imminent disaster threat to its actual impact. The period during which pre-impact precautionary or disaster containment measures are taken.(Source: UNDHA MCDA Field Manual)

Disaster Control

Measures taken before, during, or after hostile action or natural or manmade disasters to reduce the probability of damage, minimize its effects, and initiate recovery. (Source: Joint Pub 1-02)

Disaster Management

A collective term encompassing all aspects of planning for and responding to disasters, including both pre-end post- disaster activities. It refers to the management of both the risks and the consequences of disasters. (Source: UNDHA MCDA Field Manual)

Disaster Mitigation

A collective term used to encompass all activities undertaken in anticipation of the occurrence of a potentially disastrous event, including preparedness and long-term risk reduction measures. (Source: UNDHA MCDA Field Manual)

Disaster Preparedness

Measures that ensure the readiness and ability of a society to forecast and take precautionary measures in advance of an imminent threat and respond to and cope with

the effects of a disaster by organizing and delivering timely and effective rescue, relief, and other appropriate post-disaster assistance. (Source: UNDHA MCDA Field Manual)

Distribution Point

A point at which supplies and/or ammunition, obtained from supporting supply points by a division or other unit, are broken down for distribution to subordinate units. Distribution points usually carry no stocks; items drawn are issued completely as soon as possible. (Source: Joint Pub 1-02)

Distribution System

That complex of facilities, installations, methods, and procedures designed to receive, store, maintain, distribute, and control the flow of military materiel between the point of receipt into the military system and the point of issue to using activities and units. (Source: Joint Pub 1-02)

DoD Support to Counterdrug Operations

Support provided by the Department of Defense to law enforcement agencies to detect, monitor, and counter the production, trafficking, and use of illegal drugs. (Source: Joint Pub 1-02)

Emergency Support Function (ESF)

A functional area of response activity established to facilitate the delivery of Federal assistance required during the immediate response phase of a disaster to save lives, protect property and public health, and to maintain public safety. ESFs represent those types of Federal assistance which the State will most likely need because of the overwhelming impact of a catastrophic or significant disaster on its own resources and response capabilities, or because of the specialized or unique nature of the assistance required. ESF missions are designed to supplement State and local response efforts. (Source: The Federal Response Plan)

End State

What the National Command Authorities want the situation to be when operations conclude — both military operations, as well as those where the military is in support of other instruments of national power. (Source: Joint Pub 1-02)

Ensuring Freedom of Navigation

Operations conducted to demonstrate US or international rights to navigate air or sea routes. (Source: Joint Pub 1-02

Exclusion Zone

A zone established by a sanctioning body to prohibit specific activities in a specific geographic area. The purpose may be to persuade nations or groups to modify their behavior to meet the desires of the sanctioning body or face continued imposition of sanctions, or use or threat of force. (Source: Joint Pub 1-02)

Executive Agent

A term used in the Department of Defense and Service regulations to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An agreement between equals does not create an executive agent. For example, a Service cannot become a Department of Defense Executive Agent for a particular matter with simply the agreement of the other Services; such authority must be delegated by the Secretary of Defense. Delegation as executive agent, in and of itself, confers no authority. The exact nature and scope of the authority delegated must be stated in the document designating the executive agent. An executive agent may be limited to providing only administration and support or coordinating common functions, or it may be delegated authority, direction, and control over specified resources for specific purposes. (Source: Joint Pub 1-02)

Executive Authority

In relation to law enforcement, Executive Authority provides a law enforcement agency the right to enforce local laws. Executive Authority allows police to respond to local crimes, detain suspects, and use deadly force when there is a risk of death or serious bodily harm. In general, Executive Authority remains with the local law enforcement, but in some instances international police monitors assume the responsibility for law enforcement. (Source: PDD-71)

Facilitation

Facilitation is done by a third party who assists in running consensus-building meetings. The facilitator typically helps the parties set ground rules and agencies, enforces both, and helps keep the participants on track and working toward their mutual

goals. While similar to a mediator, a facilitator usually plays a less active role in the deliberations and often does not see resolution; as a goal of his or her works, as mediators usually do. (Source: University of Colorado Conflict Resolution Center)

Food Basket

The particular selection of food commodities that are handled by the assistance operation and included in the rations distributed to the target beneficiaries. (Source: OFDA Field Operations Guide)

Food for Work

Disaster relief intervention designed to use capabilities of the affected population to improve systems within the community by paying workers with food. (Source: OFDA Field Operations Guide)

Food Security

The term used to describe a population's access to basic food requirements. Food security is generally measured at the household level and takes into account market access, demographics, health, household income, income sources, agricultural production, socio-cultural constraints, and security. The assessment process makes use of quantitative data and qualitative information to establish relative risk and prioritization for all types of humanitarian assistance. (Source: Stipulated)

Force Protection

Security program designed to protect soldiers, civilian employees, family members, facilities, and equipment, in all locations and situations, accomplished through planned and integrated application of combating terrorism, physical security, operations security, personal protective services, and supported by intelligence, counterintelligence, and other security programs. (Source: Joint Pub 1-02)

Foreign Assistance

Assistance ranging from the sale of military equipment to donations of food and medical supplies to aid survivors of natural or man-made disasters; United States assistance takes three forms – development assistance, humanitarian assistance, and security assistance. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Foreign Disaster

An act of nature (such as a flood, drought, fire, hurricane, earthquake, volcanic eruption, or epidemic), or an act of man (such as a riot, violence, civil strife, explosion, fire, or epidemic), which is or threatens to be of sufficient severity and magnitude to warrant United States foreign disaster relief to a foreign country, foreign persons, or to an international; organization. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Foreign Disaster Relief

Prompt aid which can be used to alleviate the suffering of foreign disaster victims. Normally it includes humanitarian services and transportation; the provision of food, clothing, medicine, beds and bedding; temporary shelter and housing; the furnishing of medical materiel, medical and technical personnel; and making repairs to essential services. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Foreign Internal Defense

Participation by civilian and military agencies of a government in any of the action programs taken by another government to free and protect its society from subversion, lawlessness, and insurgency. (Source: Joint Pub 1-02)

Foreign Emergency Support Team

In consequence management (CM) scenarios involving intentional/malevolent use of WMD or CBRN material contamination, Department of State's Office of Counter Terrorism deploys a Foreign Emergency Support Team (FEST). It provides the Ambassador with robust communication and other capabilities and allows the Ambassador to operate a 24 hour Command Center. It is made up of FBI, DOD, Department of Health and Human Services (DHHS), DOE, DOJ, DOS and scientific assets that help differentiate CM from similar man-made disasters and helps preserve evidence. (Source: draft MCRP 3-33B, 17 March 2000)

Foreign Humanitarian Assistance

Operations conducted to relieve or reduce the results of disaster brought on by either natural (flood, drought, fire, hurricane) or manmade (civil violence, nuclear, biological or chemical accident) causes, or other endemic conditions such as human pain, disease, hunger or privation in countries or regions outside the United States. It is

generally limited in scope and duration: it is intended to supplement or complement efforts of the host nation civil authorities or agencies with primary responsibility for providing assistance. (Source: Draft MCRP 3-33B, 17 March 2000**)**

Framework Nation

A nation within an alliance or coalition that agrees to provide the key military command and control elements and other essential combat support and service support capabilities needed to form an effective multinational force for a contingency operation. Other alliance or coalition participants contribute national force elements that operate under the operational or tactical control of the framework nation's commander while planning and executing missions assigned to the multinational force during the contingency. (Source: Stipulated)

Functional Area

A subdivision of a sector into finite actions and resources with relatively homogeneous characteristics that can be subjected to assessment and coordinated corrective actions by appropriate authorities. Currently, there are twenty-one functional areas used by the U.S. Government. (Source: Adapted from draft Interagency Assessment Checklist)

General Agreement

Basic agreements normally conducted at government to UN level. They are sometimes known as an umbrella agreement or as a Memorandum of Understanding. (Source: Commander's Handbook Peace Operations)

Host Nation Support

Civil and/or military assistance rendered by a nation to foreign forces within its territory during peacetime, crisis or emergencies, or war based on agreements mutually concluded between nations. (Source: Joint Pub 1-02)

Humanitarian and Civic Assistance

Assistance to the local populace provided by predominantly US forces in conjunction with military operations and exercises. This assistance is specifically authorized by Title 10, United States Code, section 401, and funded under separate authorities. Assistance provided under these provisions is limited to (1) medical, dental,

and veterinary care provided in rural areas of a country; (2) construction of rudimentary surface transportation systems; (3) well drilling and construction of basic sanitation facilities; and (4) rudimentary construction and repair of public facilities. Assistance must fulfill unit training requirements that incidentally create humanitarian benefit to the local populace. (Source: Joint Pub 1-02)

Humanitarian Assistance

Programs conducted to relieve or reduce the results of natural or manmade disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. Humanitarian assistance provided by US forces is limited in scope and duration. The assistance provided is designed to supplement or complement the efforts of the host nation civil authorities or agencies that may have the primary responsibility for providing humanitarian assistance. (Source: Joint Pub 1-02)

Humanitarian Assistance Contingency

A contingency resulting from natural or manmade disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. (Source; derived from Joint Pub 1-02)

Humanitarian Coordinator

The senior United Nations official appointed by the Inter-Agency Standing Committee (IASC) and the Office for the Coordination of Humanitarian Affairs (OCHA) to oversee the coordination of all aspects of humanitarian affairs for the emergency. The humanitarian coordinator is responsible for defining the strategy, policy, and goals of the humanitarian assistance program. The coordinator also oversees information collection, analysis, dissemination; conducts humanitarian diplomacy; plans the transition from relief to development; coordinates operational security of humanitarian relief efforts; and serves as the principal link between the humanitarian community and the political and military sectors of the operation. While the coordinator advises the United Nations Special Representative (UNSR), the coordinator maintains a direct reporting responsibility to OCHA. (Source: Stipulated)

Humanitarian Demining Activities

Reduce or eliminate the threat to noncombatants and friendly military forces posed by mines and other explosive devices by training host nation personnel in their recognition, identification, marking, and safe destruction. Provide instruction in program management, medical, and mine awareness activities. (Source: Special Operations Command Posture Statement 1998)

Humanitarian Relief

Activities conducted to alleviate human suffering. Humanitarian relief may precede or accompany humanitarian activities provided by specialised civilian organisations. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Immediate Response

Immediate response is any form of immediate action taken by a DoD component or military commander under the authority of DoDD 3025.1 and any supplemental guidance prescribed by the head of a Department of Defense component, to assist civil authorities or the public to save lives, prevent human suffering, or mitigate great property damage under imminently serious conditions occurring where there has not been any declaration of catastrophic or major disaster or emergency by the president or attack. A military commander at the scene of a foreign humanitarian disaster may undertake prompt relief operations when time is of the essence and when humanitarian considerations make it advisable to do so. The commander should report at once the action taken and request guidance. Reimbursement of funds expended under these circumstances is not assured. Responding elements must track costs incurred by maintaining detailed records of expenditures, and provide detailed billing information to support their reimbursement for supplies an/or services provided in support of foreign disaster relief. (Source: draft MCRP 3-33B, 17 March 2000)

Impartiality

This refers to the attitude of the third party. An impartial third party will not prefer one side or one side's position to another's, but will approach them both as equally valid. In principle, this objective can be hard to achieve, although a third party can make an active effort to treat each side the same, even if her or she tends to prefer one party or one party's argument over the other. (Source: University of Colorado Conflict Resolution Center)

In Extremis

A situation of such exceptional urgency that immediate action must be taken to minimize imminent loss of life or catastrophic degradation of the political or military situation. (Source: Joint Pub 1-02)

Information

Facts, data, or instructions in any medium or form. (Source: Joint Pub 1-02)

Information Operations

Actions taken to affect adversary information and information systems while defending one's own information and information systems. (Source: Joint Pub 1-02)

Intelligence

1. The product resulting from the collection, processing, integration, analysis, evaluation, and interpretation of available information concerning foreign countries or areas. 2. Information and knowledge about an adversary obtained through observation, investigation, analysis, or understanding. (Source: Joint Pub 1-02)

Interagency Coordination

The process that enables the various organizations of the U.S. government to work together during planning and execution of contingency operations to achieve unity of purpose and effort and to work with other United Nations, international, regional, or non-governmental organizations or allied nations to achieve similar objectives. (Source: Stipulated)

Inter-Entity Boundary Line

The line established within a nation that delineates the separation between territory controlled by warring factions. The inter-entity boundary line is a temporary control measure used by the peacekeeping or peace enforcement force to separate the factions until they can be united under the control of a national government. (Source: Stipulated)

Internally Displaced Person (see People Classifications)

Internal Defense and Development

The full range of measures taken by a nation to promote its growth and protect itself from subversion, lawlessness, and insurgency. It focuses on building viable institutions (political, economic, social, and military) that respond to the needs of society. (Source: Joint Pub 1-02)

International Disaster Relief Assistance

Material, personnel, and services provided to a Receiving State to meet the needs of those affected by a disaster. It includes all actions necessary to grant and facilitate movement over the territory, including the territorial waters and the airspace, of a Transit State. It is exclusively humanitarian and impartial in character. It is based on the respect of the principle of the sovereignty of States and is executed without discrimination of any kind based on race, color, sex, language, or political or religious convictions. It shall be provided free of charge to the Receiving State, unless otherwise agreed between the Assisting and Receiving States beforehand. (Source: UNDHA MCDA Field Manual)

International Logistics

The negotiating, planning, and implementation of supporting logistics arrangements between the nations, their forces, and agencies. It includes furnishing logistic support (major end items, materiel, and/or services) to, or receiving logistic support from, one or more friendly foreign governments, international organizations, or military forces, with or without reimbursement. It also includes planning and actions related to the intermeshing of a significant element, activity, or component of the military logistic systems or procedures of the United States with of one or more foreign governments, international organizations, or military forces on a temporary or permanent basis. It includes planning and actions related to the utilization of United States logistics policies, systems, and/or procedures to meet requirements of one or more foreign governments, international organizations, or forces. (Source: Joint Pub 1-02)

International Police Task Force

A United Nations organization of international civilian police created to support contingency operations by rebuilding local capacity to maintain law and order. (Source: Stipulated)

Interposition

These operations take place in areas of recent or potential, rather than actual, conflict, either between states or within a state where tension is rising between parties. Though there would be consent to the operation, at least from the Host State, a peace plan or formal cease-fire may not have been agreed and the situation may be characterized by sporadic outbreaks of violence. Interposition operations will generally take the form of the establishment of a buffer zone (see also Zone of Separation). (Source: draft NATO AJP-4.3.1. Peace Support Operations)

Interoperability

The ability of systems, units, or forces to provide services to and accept services from other systems, units, or forces and to use the services so exchanged to enable them to operate effectively together. (Source: Joint Pub 1-02)

Joint Force Commander

A general term applied to a combatant commander, subunified commander, or joint task force commander authorized to exercise combatant command (command authority) or operational control over a joint force. (Source: Joint Pub 1-02)

Lead Agency

Designated among US Government agencies to coordinate the interagency oversight of the day-to-day conduct of an ongoing operation. The lead agency is to chair the interagency working group established to coordinate policy related to a particular operation. The lead agency determines the agenda, ensures cohesion among the agencies and is responsible for implementing decisions. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Lead Nation

A nation within an alliance or coalition that agrees to assume operational responsibility for providing support (e.g.; operation of an aerial or sea port of debarkation and embarkation) to other participating forces during a contingency operation. The support is usually required by the lead nation forces and allied requirements are incorporated into the overall plan and executed on a gratis basis. (Source: Stipulated)

Legitimacy

Legitimacy refers to the perceived fairness of a dispute resolution process. For example, fair elections or litigation based on socially-accepted laws are generally considered legitimate, as are the decisions that result from such processes. On the other hand, elections where voters are harassed or forced to vote a particular way are usually considered illegitimate, as are court decisions handed down by biased courts. Legitimacy of decision making procedures is important, because illegitimate procedures almost always escalate conflicts, making their ultimate resolution more difficult. (Source: CRC)

Lesson Learned

The conclusions extracted from reviewing a development program or activity by participants, managers, customers or evaluators with implications for effectively addressing similar issues/problems in another setting.. (Source: USAID Automated Directives System)

Letter of Assist

A contractual document issued by the UN to a government authorizing it to provide goods or services to a peacekeeping operation; the UN agrees either to purchase the goods or services or authorizes the government to supply them subject to reimbursement by the UN. (Source: Joint Pub 3-08, approved for inclusion in Joint Pub 1-02)

Liaison

That contact or intercommunication maintained among elements of military forces and between military and civilian organizations to ensure mutual understanding and unity of purpose and action. (Source: Adapted from Joint Pub 1-02)

Life Support

The provision of food, water, shelter, and emergency medical treatment to military or civilian personnel. (Source: Stipulated)

Low Density/High Demand Asset

Force elements consisting of major platforms, weapons systems, units, and/or personnel that possess unique mission capabilities and are in continual high demand to

support worldwide joint military operations. (Source: CJCS Message 231301Z JUL 96, Subject: Global Military Force Policy)

Low Intensity Conflict

Political-military confrontation between contending states or groups below conventional war and above the routine, peaceful competition among states. It frequently involves protracted struggles of competing principles and ideologies. Low intensity conflict ranges from subversion to the use of armed force. It is waged by a combination of means employing political, economic, informational, and military instruments. Low intensity conflicts are often localized, generally in the Third World, but contain regional and global security implications. (Source: Joint Pub 1-02)

Low Visibility Operations

Sensitive operations wherein the political-military restrictions inherent in covert and clandestine operations are either not necessary or not feasible; actions are taken as required to limit exposure of those involved and/or their activities. Execution of these operations is undertaken with the knowledge that the action and/or sponsorship of the operation may preclude plausible denial by the initiating power. (Source: Joint Pub 1-02)

Major Theater War

A state of open, armed, active, and often prolonged conflict carried on between nations. The conflict is typically confined to a region, but the effects may well impact beyond that area. These conflicts usually include large-scale cross-border aggression employing conventional forces, but may include the use or threaten use of nuclear, biological, and chemical weapons, information warfare, terrorism, or other asymmetric means. (Source: Derived from Webster's Dictionary, the Quadrennial Defense Review, December 1997, and Defense Science Board reports)

Measures of Effectiveness

Measures of Effectiveness (MOE) provide an underlying basis for quantifying progress. MOEs should be based on task-related, measurable criteria. They can be used as an interagency tool to achieve common understanding. MOE are a means of determining information requirements and can provide a common language for resource allocation and phase transition. Examples of MOE include morbidity/mortality rate

reduction and tons of relief supplies delivered. (Source: Stipulated) Although it is possible for some measurable criteria to be subjective—normally based on expert judgment of an assessor—most MOE should be objective. While it must be recognized that the success of the mission cannot be measured by numbers and percentages alone, quantitative MOE are one of the indicators of an operation's progress. (Source: draft MCRP 3-33B, 17 March 2000)

Mediation

Mediation is a method of conflict resolution that is carried out by an intermediary who works with the disputing parties to help them improve their communication and their analysis of the conflict situation, so that the parties can themselves identify and choose an option for resolving the conflict that meets the interests or needs of all the disputants. Unlike arbitration, where the intermediary listens to the arguments of both sides and makes a decision for the disputants, a mediator will help the disputants design a solution for themselves. (Source: University of Colorado Conflict Resolution Center)

The activities of a go-between connecting parties to a dispute. The mediator has no position of his own and he acts as the means whereby opposing parties communicate with each other and he encourages them to identify and reach mutually agreed solutions. (Source: UK Army Field Manual Volume 5 Part 2)

Military Capability

The ability to achieve a specified wartime objective (win a war or battle, destroy a target set). It includes four major components: force structure, modernization, readiness, and sustainability. a. force structure – Numbers, size, and composition of the units that comprise our Defense forces; e.g., divisions, ships, airwings. b. modernization – Technical sophistication of forces, units, weapon systems, and equipment. c. unit readiness – The ability to provide capabilities required by the combatant commanders to execute their assigned missions. This is derived from the ability each unit to deliver the outputs for which is was designed. d. sustainability – The ability to maintain the necessary level and duration of operational activity to achieve military objectives. Sustainability is a function of providing for and maintaining those levels of ready forces, materiel, and consumables necessary to support military effort. (Source: Joint Pub 1-02)

Military Civic Action

The use of preponderantly indigenous military forces on projects useful to the local population at all levels in such fields as education, training, public works, agriculture, transportation, communications, health, sanitation, and others contributing to economic and social development, which would also serve top improve the standing of the military forces with the population. (US forces may at times advise or engage in military civic actions in overseas areas.) (Source: Joint Pub 1-02)

Military and Civil Defense Assets

Relief personnel, equipment, supplies, and services provided by foreign military and civil defense organizations for international disaster relief assistance. These assets include any organization that, under the control of a Government, performs the functions enumerated in paragraph 61 of Additional Protocol I to the Geneva Conventions of 1949. (Source: UNDHA MCDA Field Manual)

Military Disaster Relief

Prompt aid to alleviate suffering of a target population. The aid normally includes humanitarian services and transportation; the provision of food, clothing, medicine, beds and bedding; temporary shelter and housing; the furnishing of medical materiel, medical and technical personnel; and making repairs to essential services. Disaster relief provided by U.S. military forces to the target population is furnished on a reimbursable basis through the Federal Emergency Management Agency in a domestic disaster and through the Office of Foreign Disaster Assistance in a foreign disaster, or as otherwise directed by the National Command Authorities. (Proposed definition)

Military Humanitarian Assistance

Immediate emergency assistance rendered to a primary affected population in a domestic or foreign contingency to reduce human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage or loss of property. Commanders are authorized to take these actions, but must inform their superiors of the actions taken as soon as practicable. Assistance rendered by U.S. military forces is limited in scope and duration, and may not be reimbursable. Direct U.S. military assistance should terminate as soon as civilian authorities are capable of meeting the needs of the population, or continued as military disaster relief under direction of appropriate USG authorities. (Proposed definition)

Military Operations Other Than War (MOOTW)

Operations that encompass the use of military capabilities across the range of military operations short of war. These military actions can be applied to complement any combination of the other instruments of national power and occur before, during, and after war. (Source: Joint Pub 1-02)

Military Support to Civil Authorities (MSCA)

Those activities and measures taken by the Department of Defense to foster mutual assistance and support between the Department of Defense and any civil government agency in planning or preparedness for, or in the application of resources for response to, the consequences of civil emergencies or attacks, including national security emergencies. (Source: Joint Pub 1-02)

Minimum Necessary Force

The measured and proportionate application of violence or coercion, sufficient only to achieve a specific objective and confined in effect to the legitimate target intended. (Source: draft NATO AJP-3.4.1 Peace Support Operations)

Mission

In military operations other than war, the action to be taken and the purpose for U.S. intervention. (Source: Adapted from Joint Pub 1-02)

Movement Control

The planning, routing, scheduling, and control of personnel and cargo movements over lines of communication. 2. An organization responsible for the planning, routing, scheduling, and control of personnel and cargo over lines of communications. (Source: Joint Pub 1-02)

Multilateral Funding

Method of funding in which donor nations contribute to a UN, regional, or International Financial Institution. These organizations then use the funds for programs in developing countries. Examples: UNDP, UNHCR, The World Bank, The European Community Humanitarian Office (ECHO) received financing from donor nations to provide relief and development in affected nations. (Source: OECD Development Committee web page). (see also, bilateral funding).

Multilateral Peace Operations

Actions taken by the United Nations under the authority of Chapter VI or Chapter VII of the United Nations Charter, by regional arrangements pursuant to Chapter VII of the UN Charter, or by *ad hoc* coalitions pursuant to a UN Security Council resolution under the authority of Chapter VI or VII of the UN Charter or consistent with Chapter VI of the UN Charter, in order to preserve, maintain, or restore the peace. (Source: PDD 25)

Multinational Operations

A collective term to describe military actions conducted by forces of two or more nations, typically organized within the structure of a coalition or alliance. (Source: Joint Pub 1-02)

Multinational Force Commander

A general term applied to a commander who exercises command authority over a military force composed of elements from two or more nations. The extent of the MNFC's command authority is determined by the participating nations. (Source: Joint Pub 1-02)

Multinational Operations

A collective term to describe military actions conducted by forces of two or more nations, typically organized within the structure of a coalition or alliance. (Source: Joint Pub 1-02)

National Command Authorities

The President and the Secretary of Defense or their duly deputized alternates or successors. (Source: Joint Pub 1-02)

Nation Assistance

Civil and/or military assistance rendered to a nation by foreign forces within that nation's territory during peacetime, crises or emergencies, or war based on agreements mutually concluded between nations. Nation assistance programs include, but are not limited to, security assistance, foreign internal defense, other US Code title 10 (DOD) programs, and activities performed on a reimbursable basis by Federal agencies or international organizations. (Source: Joint Pub 1-02)

Naval Coastal Warfare

Coastal sea control, harbor defense, and port security, executed both in coastal areas outside the United States in support of national policy and in the United States as part of this Nation's defense. (Source: Joint Pub 1-02)

Negotiation

Negotiation is bargaining—it is the process of discussion and give-and-take between two or more disputants who seek to find a solution to a common problem. It can be relatively cooperative, as it is when both sides seek a solution that is mutually beneficial (commonly called win-win or cooperative bargaining), or it can confrontational (commonly called win-lose or adversarial) bargaining, when each side seeks to prevail over the other. (Source: University of Colorado Conflict Resolution Center)

Direct dialogue between parties in which the negotiator plays an active role to gain particular ends while protecting his own interests. (Source: UK Army Field Manual Volume 5 Part 2)

Noncombatant Evacuation Operations

Operations conducted to relocate threatened noncombatants from locations in a foreign country. These operations normally involve US citizens whose lives are in danger, and may also include selected foreign nationals. (Source: Joint Pub 1-02)

Non-Governmental Organizations (NGOs)

Transnational organizations of private citizens that maintain a consultative status with the Economic and Social Council of the United Nations. Nongovernmental organizations may be professional associations, foundations, multinational businesses or simply groups with a common interest in humanitarian assistance activities (development and relief). "Nongovernmental organizations" is a term normally used by non-United States organizations. (Source: Joint Pub 1-02).

An NGO is an independent, non-profit-making organization formed from a variety of religious and humanitarian motives. (Source: UN Charter – Article 71)

NGO is an organization that works nationally or internationally and is constituted separately from the government of the country in which it is founded. (Source: The International Red Cross and Red Crescent Movement-Code of Conduct)

In general, any association of individuals, other than a government agency, pursuing a common purpose. Usually, an organization, based in the United States, in the host country, or in a third country, engaged in voluntary charitable or development assistance operations including, but not limited to, services of relief, rehabilitation, disaster assistance, development assistance, welfare, training, or coordination of such services in the fields of health, nutrition, agriculture, industry, environment, ecology, refugee services, emigration, resettlement, and development of capabilities of indigenous institutions to meet basic human needs. The term NGOs is generally synonymous with Private Voluntary Organizations (PVOs), with the latter more commonly used to refer to U.S.-based NGOs. (Source: Adapted from USAID Registration Guidelines)

Objective

The agreed aim, goal, or end state to be achieved within a sector or functional area during a complex contingency. (Source: Stipulated)

Observation

In military operations other than war, the gathering of information to monitor, verify, and report adherence to agreements of any kind to deter and provide evidence of breaches. (Source: UK Army Field Manual Volume 5, Part 2)

Operational Command

The authority granted to a commander to assign missions or tasks to subordinate commanders to deploy units, to reassign forces, and to retain or delegate operational and tactical control; it is the highest level of operational authority which can be given to an appointed commander who is acting outside of his own chain of command, and is seldom authorized by Member States. (Source: UN Glossary)

Operational Control (OPCON)

Transferable command authority that may be exercised by commanders at any echelon at or below the level of combatant command. Operational control is inherent in combatant command (command authority). Operational control may be delegated and is the authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command. Operational control should

be exercised through commanders of subordinate organizations. Normally this authority is exercised though subordinate joint force commanders and Service and/or functional component commanders. Operational control normally provided full authority to organize commands and forces and to employ those forces as the commander in operational control considers necessary to accomplish assigned missions., Operational control does not, in and of itself, include authoritative direction for logistics or matters of administration, discipline, internal organization, or unit training. (Source: Joint Pub 1-02)

Operating Tempo Metrics

- **Steady State –** The maximum level of peacetime operations that can be reasonable sustained indefinitely – which does not adversely affect normal training, exercise support, or scheduled maintenance cycles – and does not violate Service personnel tempo goals.
- **Surge –** The additional level of operations during crisis or contingency response that can be sustained for up to (a minimal) 60 days with some decline in readiness and possibly exceeding Service personnel tempo goals. This level may adversely impact training, exercises support, and/or maintenance, requiring an appropriate follow-on recovery period at or below steady-state operational tempo.
- **Total Capability –** This level is used only in time of war and represents the maximum capability with all available assets committed. There is a significant and immediate operating and personnel tempo impact during the time this level of operations is sustained. (Source: CJCS Message 231301Z JUL 96, Subject: Global Military Force Policy)

Partner

An organization or customer representative with which/whom USAID works cooperatively to achieve mutually agreed upon objectives and intermediate results, and to secure customer participation. Partners include: private voluntary organizations, indigenous and other international non-government organizations, universities, other USG agencies, UN and other multilateral organizations, professional and business associations, private businesses, and host country governments at all levels. (Source: USAID Automated Directives System)

Peace Building

Post-conflict actions, predominately diplomatic and economic, that strengthen and rebuild governmental infrastructure and institutions in order to avoid a relapse into conflict. (Source: Joint Pub 1-02)

Peace building is the process of restoring normal relations between people. It requires the reconciliation of differences, apology and forgiveness of past harm, and the establishment of a cooperative relationship between groups, replacing the adversarial or competitive relationship that used to exist. (Source: University of Colorado Conflict Resolution Center)

Peace Enforcement

Application of military force, or the threat of its use, normally pursuant to international authorization, to compel compliance with resolutions or sanctions designed to maintain or restore peace and order. (Source: Joint Pub 1-02)

Peacekeeping

Military operations undertaken with the consent of all major parties to a dispute, designed to monitor and facilitate implementation of an agreement (ceasefire, truce, or other such agreement) and support diplomatic efforts to reach a long-term political settlement. (Source: Joint Pub 1-02)

Peacekeeping is the prevention or ending of violence within or between nations-states through the intervention of an outside third party that keeps the warring parties apart. Unlike peacemaking, which involves negotiating a resolution to the issue in conflict, the goal of peacekeeping is simply preventing further violence. (Source: University of Colorado Conflict Resolution Center)

Peacemaking

The process of diplomacy, mediation, negotiation, or other forms of peaceful settlements that arranges an end to a dispute, and resolves issues that led to conflict. (Source: Joint Pub 1-02)

Peacemaking is the term often used to refer to negotiating the resolution of a conflict between people, groups, or nations. It goes beyond peacekeeping to actually deal with the issues in dispute, but falls short of peace building, which aims toward reconciliation and normalization of relations between ordinary people, not just the formal

resolution which is written on paper. (Source: University of Colorado Conflict Resolution Center)

Peace Operations

A broad term that encompasses peacekeeping operations and peace enforcement operations conducted in support of diplomatic efforts to establish and maintain peace. (Source: Joint Pub 1-02)

Peacetime Engagement Activities

A series of political-military actions that implement the U.S. National Strategy to enhance international stability and confidence, and that reduce the potential for crises or conflicts. These actions typically include maintaining a steadfast and credible forward military presence, ensuring strong bilateral and multilateral relationships, and participating in dialogues and exercises with other nations and organizations. Other actions include supporting responsible military forces, developing and nurturing close relationships with political and military leaders and their subordinates, and effecting interagency coordination within the U.S. Government, with international, regional, and non-governmental organizations, and other elements of society to achieve the desired outcome. (Source: Derived from the Quadrennial Defense Review, December 1997, Defense Science Board reports, and selected mission statements of combatant commands)

Peace Support Operations

Multi-functional operations, conducted impartially, normally in support of an internationally recognised organisation such as the UN or Organisation for Security and Co-operation in Europe (OSCE), involving military forces and diplomatic and humanitarian agencies. PSO are designed to achieve a long term political settlement or other specified conditions. They include Peacekeeping and Peace Enforcement as well as conflict prevention, peacemaking, peace building and humanitarian. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

People Classifications

(Source: Center for Research on the Epidemiolgy of Disasters (CRED) for the UNDHA unless otherwise indicated)

- **Dead –** Persons confirmed dead and persons missing and presumed dead (official figures when available). Comments: The number of missing is usually not included in the "dead" figure if the source used gives preliminary figures. The figure has accordingly to be updated as missing persons are determined to be dead. The figure is expected to be exclusive.
- **Displaced Person –** A civilian who is involuntarily outside the national boundaries of his or her country. (Source: Joint Pub 1-02)
- **Displaced Persons –** People who have been displaced but remain within the territory of their own country.
- **Dislocated Civilian –** A broad term that includes a displaced person, an evacuee, an expellee, or a refugee. (Source: Joint Pub 1-02)
- **Evacuee –** A civilian removed from a place of residence by military direction for reasons of personal security or the requirements of the military situation. (Source: Joint Pub 1-02)
- **Expellee –** A civilian outside the boundaries of the country of his or her nationality or ethnic origin who is being forcibly repatriated to that country or to a third country for political or other purposes. (Source: Joint Pub 1-02)
- **Homeless –** People needing immediate assistance with shelter. Comments: The definition applies also to displaced populations/refugees to which shelter has to be provided. This figure is necessary for operational purposes. Homeless people are always part of the primary affected population
- **Injured –** People with physical injuries/trauma/illness requiring medical treatment (therapeutic feeding included) as a direct result of a disaster. Comments: This category will include the severely malnourished as well as victims of radiation exposure and chemical intoxication. The injured are always part of the primary affected population.
- **Internally Displaced Persons –** Persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border. (Source: UN Guiding Principles on Internal Displacement)
- **Refugee –** A civilian who, by reason of real or imagined danger, has left home to seek safety elsewhere. (Source: Joint Pub 1-02)
- **Refugees –** Persons having a well-founded fear of persecution for reasons of race, religion, nationality, membership of a particular social group or political opinion mostly outside the country of nationality and unable to return or avail themselves of the protection of that country. Includes mass exodus of peoples

for reasons of conflict and natural disasters moving outside their country of origin.

- **Repatriate –** A person who returns to his or her country or citizenship, having left his or her native country, either against his or her will, or as one of a group who left for reasons of politics, religion, or other pertinent reasons. (Source: Joint Pub 1-02)

Planning

- **Advanced Planning –** The interagency planning conducted prior to employing resources of the United States Government in a contingency. Advanced planning produces the specific Political-Military Implementation Plan for the contingency called for in Presidential Decision Directive 56. In situations where a rapid response is essential, advanced planning and crisis action planning may be accomplished in parallel, but the assumptions used for parallel planning must be shared. (Source: Derived from PDD-56)
- **Crisis Action Planning –** 1. The Joint Operation Planning and Execution System process involving time-sensitive development of joint operation plans and orders in response to an imminent crisis. Crisis action planning follows prescribed crisis action procedures to formulate and implement an effective response within the time frame permitted by the crisis. 2. The time-sensitive planning for the deployment, employment, and sustainment of assigned and allocated forces and resources that occurs in response to a situation that may result in actual military operations. Crisis action planners base their plan on circumstances that exist at the time planning occurs. (Source: Joint Pub 1-02)
- **Deliberate Planning –** 1. The Joint Operation Planning and Execution System process involving the development of joint operation plans for contingencies identified in strategic planning documents. Conducted principally in peacetime, deliberate planning is accomplished in prescribed cycles that complement other Department of Defense planning cycles in accordance with the formally established Joint Strategic Planning System. 2. A planning process for the deployment and employment of apportioned forces and resources that occurs in response to a hypothetical situation. Deliberate planners rely heavily on assumptions regarding the circumstances that will exist when the plan is executed. (Source: Joint Pub 1-02)

Population Classifications

(Source: Center for Research on the Epidemiolgy of Disasters (CRED) for the UNDHA)

- **Displaced Population –** Persons who for different reasons or circumstances have been compelled to leave their homes. They may or may not reside in

their country of origin, but are not legally regarded as refugees. They may be forced out by natural disasters, industrial disasters, international conflicts or strife. There are three sorts of mass movements: exodus, expulsion, and returnees. The displaced populations are listed under the country which received the displaced persons. This type of disaster is always a consequence of another disaster type. The classification will be made by the original cause.

- **Exposed Population –** The total population potentially susceptible to the effects of a hazard.
- **Population at Risk –** Population whose life, property and livelihood are directly threatened by a hazard.
- **Primary Affected Population –** People requiring immediate assistance during an emergency situation. Comments: Immediate assistance means meeting basic "life-line" needs, such as food, water, shelter, sanitation and immediate medical assistance. This information has to be available as soon as possible for the launching of appeals. For epidemics, all persons who have contracted the disease and fallen ill but have not died from it will be considered as primary affected. It is important to distinguish "primary affected" populations from the following categories of populations concerned by the disaster.
- **Secondary Affected Population –** People who at a certain point will require long-term social and economic assistance as a direct consequence of a disaster situation. Comments: The assistance could include agricultural support (e.g., seeds and tools), housing and infrastructure rehabilitation, environmental clean-up and medical rehabilitation. The category of "secondary affected" population includes the "primary affected" population.
- **Target Population –** The group of people to whom relief services and supplies are provided.

Port Security

The safeguarding of vessels, harbors, ports, waterfront facilities and cargo from internal threats such as: destruction, loss, or injury from sabotage or other subversive acts; accidents; thefts; or other causes of similar nature. (Source: Joint Pub 1-02)

Preparedness

Activities that aim to limit the impact of a disaster by structuring the response and providing quick, effective actions after the disaster. Addresses actions in both the pre-disaster and post-disaster phases. Also includes early warning systems. (Source: OFDA Field Operations Guide)

Prevention

Activities taken to prevent a natural phenomenon or potential hazard from having harmful effects on either persons or economic assets. Includes channeling the direction of debris flow away from population centers, construction of dams or dikes to eliminate flooding, and safe destruction of outdated hazardous materials. (Source: OFDA Field Operations Guide)

Preventive Deployment

The deployment of military forces to deter violence at the interface or zone of potential conflict where tension is rising among parties. Forces may be employed in such a way that they are indistinguishable from a peacekeeping force in terms of equipment, force posture, and activities. (Source: Joint Pub 1-02)

Preventive Diplomacy

Diplomatic actions taken in advance of a predictable crisis to prevent or limit violence. (Source: Joint Pub 1-02)

Primary Agency

The Federal department or agency assigned primary responsibility to manage and coordinate a specific Emergency Support Function (ESF). Primary agencies are designated on the basis of their having the most authorities, resources, capabilities, or expertise relative to accomplishment of the specific ESF support. Primary agencies are responsible for overall planning and coordination of the delivery of ESF-related Federal assistance to their State counterparts, in conjunction with their support agencies. (Source: The Federal Response Plan)

Private Voluntary Organizations (PVOs)

Private, nonprofit humanitarian assistance organizations involved in development and relief activities. Private voluntary organizations are normally United States-based. "Private voluntary organization" is often used synonymously with the term "nongovernmental organization." (Source: Joint Pub 1-02)

Proactive Measures

In antiterrorism, measures taken in the preventive stage of antiterrorism designed to harden targets and detect actions before they occur. (Source: Joint Pub 1-02)

Protection of Shipping

The use of proportionate force by United States warships, military aircraft, and other forces, when necessary for the protection of United States flag vessels and aircraft, United States citizens (whether embarked in United States or foreign vessels), and their property against unlawful violence. This protection may be extended (consistent with international law) to foreign flag vessels, aircraft, and persons. (Source: Joint Pub 1-02)

Psychological Consolidation Activities

Planned psychological activities in peace and war directed at the civilian population located in areas under friendly control in order to achieve a desired behavior which supports the military objectives and the operational freedom of the supported commanders. (Source: Joint Pub 1-02)

Psychological Operations

Planned operations to convey selected information and indicators to foreign audiences to influence their emotions, motives, objective reasoning, and ultimately the behavior of foreign governments, organizations, groups, and individuals. The purpose of psychological operations is to induce or reinforce foreign attitudes and behavior favorable to the originator's objectives. (Source: Joint Pub 1-02)

Public

Concept that includes all audiences, both internal and external. (Source: Joint Pub 1-02)

Public Affairs

Those public information and community relations activities directed toward the general public by various elements of the Department of Defense. (Source: Joint Pub 1-02)

Public Diplomacy

The coordinated use of information by the interagency participants in a contingency operation to shape perceptions at the outset of a crisis and to maintain support during the crisis. (Source: Stipulated)

Public Information

Information of military nature, the dissemination of which through public news media is not inconsistent with security, and the release of which is considered desirable or non-objectionable to the responsible releasing agency. (Source: Joint Pub 1-02)

Quick Impact Project

A project intended to fill the gap between individual relief activities and longer term development through re-establishing the livelihoods of returnee communities. Normally rapid and locally implemented small-scale community-wide rehabilitation projects, they are established on the principle of non-discrimination between returnees, internally displaced persons, and receiving populations. (Source: UNHCR Paper: Reintegration in the Transition from War to Peace)

Raid

An operation, usually small scale, involving a swift penetration of hostile territory to secure information, confuse the enemy, or to destroy installations. It ends with a planned withdrawal upon completion of the assigned mission. (Source: Joint Pub 1-02)

Rapid Onset Disasters

Disasters which develop suddenly. Examples are earthquakes, hurricanes, volcanic eruptions, floods, and tsunamis. (Source: OFDA Field Operations Guide)

Rationalization

Any action that increases the effectiveness of allied forces through more efficient or effective use of defense resources committed to the alliance. Rationalization includes consolidation, reassignment of national priorities to higher alliance needs, standardization, specialization, mutual support or improved interoperability, and greater cooperation. Rationalization applies to both weapons/materiel resources and non-weapons. (Source: Joint Pub 1-02)

Receiving State

A state which has requested or concurred with the offer of international disaster relief assistance. (Source: UNDHA MCDA Field Manual)

Recovery

Activities traditionally associated with providing Federal supplemental disaster recovery assistance under a Presidential major disaster declaration. These activities usually begin within days after the event and continue after the response activities cease. Recovery includes individual and public assistance programs which provide temporary housing assistance, grants and loans to eligible individuals and government entities to recover from the effects of a disaster. (Source: The Federal Response Plan)

Recovery Operations

Operations conducted to search for, locate, identify, rescue, and return personnel, sensitive equipment, or items critical to national security. (Source: Joint Pub 1-02)

Refugee (see People Classifications)

Reintegration

The long term process of restoring affected populations to productive roles in a civil society and economy. Target populations vary with each contingency but typically include ex-combatants, displaced persons, refugees, the handicapped, single mothers, etc. (Source: Stipulated)

Relief Personnel

Those individuals, groups of individuals, teams, and constituted units executing international disaster relief assistance. (Source: UNDHA MCDA Field Manual)

Relief Supplies

Goods, such as survival items, temporary shelter, foodstuffs, medical supplies, clothing, and other materiel required for international disaster relief assistance. (Source: UNDHA MCDA Field Manual)

Relief Services

Capabilities, arrangements, and systems required to support and facilitate international disaster relief assistance. They include *inter-alia*, logistics, telecommunications, and air-traffic control. (Source: UNDHA MCDA Field Manual)

Repatriation

The procedure whereby American citizens and their families are officially processed back into the United States subsequent to an evacuation. (Source: Joint Pub 1-02)

- **Refoulement –** Expulsion or return of a refugee to a place where his life or freedom would be threatened. Refoulement is prohibited by Article 33 of the Refugee Convention. (Source: adapted from "Refugee Repatriation, Return, and Refoulement During Conflict," USAID Conference Promoting Democracy, Human Rights, and Reintegration in Post-Conflict Societies, October 1997.)
- **Voluntary Repatriation –** The refugee voluntarily returns to his home country and there is a restoration of the bond between citizen and fatherland. (Source: adapted from "Refugee Repatriation, Return, and Refoulement During Conflict," USAID Conference Promoting Democracy, Human Rights, and Reintegration in Post-Conflict Societies, October 1997.)

Resident Coordinator

The senior United Nations official in a country during peacetime who is responsible for coordinating the programs of the various United Nations agencies operating in the country. The resident coordinator, traditionally a representative of the United Nations Development Program (UNDP), is now selected from other agencies based on recent reforms instituted by the United Nations. The resident coordinator serves as the chair of the United Nations Country Team. (Source: Stipulated)

Response

Activities to address the immediate and short-term effects of an emergency or disaster. Response includes immediate actions to save lives, protect property, and meet basic human needs. Based on the requirements of the situation, response assistance will be provided to an affected State under the Federal Response Plan using a partial activation of selected Emergency Support Functions (ESFs) or the full activation of all ESFs to meet the needs of the situation. (Source: The Federal Response Plan)

Ripeness

A conflict is said to be "ripe" for settlement or negotiation when it has reach a stalemate, or when all of the parties have determined that their alternatives to negotiation will not get them what they want or need. In this case, they are likely to be ready to

negotiate a settlement which will attain at least part of their interests—more than they are getting otherwise or stand to get if they pursue their force-based options further. (Source: University of Colorado Conflict Resolution Center)

Role Specialist Nation

A nation within an alliance or coalition that agrees to provide a specific functional service (e.g., fuel support, food, etc.) for all members of the alliance or coalition while participating in the contingency operation. The role specialist nation assumes full responsibility for management of the functional service. The functional service is usually provided on a reimbursable basis negotiated by the role specialist nation with other participants. (Source: Stipulated)

Rules of Contact

Directives issued by competent civil authority which delineate the circumstances and limitations under which police forces will conduct law enforcement operations and interact with the civilian population they are established to protect. (Source: Stipulated)

Rules of Engagement

Directives issued by competent military authority which delineate the circumstances and limitations under which United States forces will initiate and/or continue combat engagements with other forces encountered. (Source: Joint Pub 1-02)

Directives issued by competent military authority which specify the circumstances and limitations under which forces will initiate and/or continue combat engagement with other forces encountered. (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

Resources Support Services Agreement (RSSA)

An agreement between AID and another U.S. agency or department that authorizes work. (Source: OFDA Field Operations Guide)

Sanction Enforcement/Maritime Intercept Operations

Operations which employ coercive measures to interdict the movement of certain types of designated items into or out of a nation or specified area. (Source: Joint Pub 1-02)

Search and Rescue (SAR)

The use of aircraft, surface craft, submarines, and specialized rescue teams and equipment to search for and rescue personnel in distress on land or at sea. (Source: Joint Pub 1-02)

Sector

A sector is one of eight subdivisions of actions that occur during a complex contingency established to assign interagency responsibilities, to allocate resources effectively and efficiently, and to effect interagency coordination of United States Government actions with the host nation and allied authorities and organizations involved with resolving the conditions which created the crisis. Collectively, sectors encompass all of the nation's or region's political, economic, social, cultural, and military institutions and resources. The eight sectors are: (1) diplomacy, (2) military, (3) humanitarian assistance, (4) internal politics, (5) civil law and order and public security, (6) public information and education, (7) infrastructure and economic restoration, and (8) human rights and social development. (Source: Stipulated as paraphrased from PDD-56)

Security Assistance (SA)

Group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statues by which the United States provided defense articles, military training, and other defense-related services, by grant, loan, credit, or cash sales in furtherance of national policies and objectives. (Source: Joint Pub 1-02)

Selective Feeding

A collective term used for all feeding/food distribution programs in which food is provided to specifically selected beneficiaries. It typically includes both supplementary and therapeutic feeding. (Source: OFDA Field Operations Guide)

Show of Force

An operation, designed to demonstrate US resolve, which involves increased visibility of United States deployed forces in an attempt to defuse a specific situation, that if allowed to continue, may be detrimental to United States interests or national objectives. (Source: Joint Pub 1-02)

Situation Assessment

The process of evaluating the situation caused by a disaster, such as the number killed, injured, and affected. (Source: OFDA Field Operations Guide)

Slow Onset Disasters

Disasters which develop over a period of time. Examples are famine, civil strife, and insect infestations. (Source: OFDA Field Operations Guide)

Smaller-Scale Contingency

A contingency involving civilian and military organizations of the U.S. government, and possibly others from the international community. These interventions are to prevent and contain localized conflicts and crises before they require a military response. If, however, such efforts do not succeed, swift intervention by military forces may be the best way to contain, resolve, or mitigate the consequences of the conflict that could otherwise become far more costly and deadly. These operations encompass the full range of joint military operations beyond peacetime engagement activities, but fall short of major theater warfare. (Source: paraphrased from the Quadrennial Defense Review, December 1997)

Special Reconnaissance

Reconnaissance and surveillance actions conducted by special operations forces to obtain or verify, by visual observation or other collection methods, information concerning capabilities, intentions, and activities of an actual or potential enemy or to secure data concerning the meteorological, hydrographic, or geographic characteristics of a particular area. It includes target acquisition, area assessments, and post-strike reconnaissance. (Source: Joint Pub 1-02)

Stakeholders

Stakeholders are the parties who will be affected by a conflict or the resolution of that conflict. This includes both the current disputants and parties that might become involved because they are likely in the future to be affected by the conflict or its outcome. (Source: University of Colorado Conflict Resolution Center)

Standardization

The process by which the Department of Defense achieves the closet practicable cooperation among the Services and Defense agencies for the most efficient use of research, development, and production resources, and agrees to adopt on the broadest possible basis the use of: a. common or compatible technical procedures; b. common or compatible technical procedures and criteria; c. common, compatible, or interchangeable supplies, components, weapons, or equipment; and d. common or compatible tactical doctrine with corresponding organizational compatibility. (Source: Joint Pub 1-02)

State Classifications

(Source: UNHCR Paper Reintegration in the Transition from War to Peace and stipulated)

- **Failed State –** A state lacking centralized authority and a situation of general anarchy, such that there is no authority to provide effective national protection.
- **Failed State –** A country or geographic region in which the central government is no longer capable of providing for the security and welfare of its citizens. Specifically, the institutions of the central government – political, military, justice, economic, public diplomacy, and human rights – lack the capacity to enforce civil law and order, public security, or freedom from persecution. The breakdown of central authority may lead to internal conflict among factions, widespread public health and welfare problems, economic instability and increasing criminal activity, and large numbers of internally displaced persons and refugees. (Source: Stipulated)
- **Weak State –** A state that has a semblance of authority, but is unable to exercise effective power over all of its territory. Authority may be limited geographically, or in terms of the ability to carry out state functions (e.g., provision of services, or maintenance of law and order).
- **Conflicted or Contested State –** A state that is not necessarily weak, but in which there is a conflict between groups for control of the state or specific geographic areas within the state. The state may be willing to extend national protection only to persons from particular groups or regions.
- **Repressive State –** A state which exercises authority but does not extend protection to all of its citizens. Repressive states command strong central authority, and are able to crush potential rebellions and outbreaks of violent conflict.
- **Troubled State** – A state which for internal reasons has attracted the attention of the international community as a possible location for intervention,

including states against which international sanctions are being enforced. (Source: Stipulated)

Status-of-Forces Agreement

An agreement which defines the legal position of a visiting military force deployed in the territory of a friendly state. Agreements delineating the status of visiting military forces may be bilateral or multilateral. Provisions pertaining to the status of visiting forces may be set forth in a separate agreement, or they may form a part of a more comprehensive agreement. These provisions describe how the authorities of a visiting force may control members of that force and the amenability of the force or its members to local law or to the authority of local officials. To the extent that agreements delineate matters affecting the relations between a military force and civilian authorities and populations, they may be considered as civil affairs agreements. (Source: Joint Pub 1-02) [NB: The assumption that the state is friendly is unwarranted. For example, the Military Technical Agreement with Yugoslavia requires the negotiation of a SOFA. Also, the fact that a SOFA or similar agreement needs to be negotiated with transit states should be understood. The UN will normally negotiate a Status of Mission Agreement (SOMA) covering its civilian personnel.]

Strike

An attack which is intended to inflict damage on, seize, or destroy an objective. (Source: Joint Pub 1-02)

Subtasks

A subdivision of a task that requires one or more capabilities to accomplish. (Source: Stipulated)

Supplementary Feeding Program (SFP)

Feeding program offering extra calories for vulnerable populations of displaced persons. (Source: OFDA Field Operations Guide)

Supply Control

The process by which an item of supply is controlled within the supply system, including requisitioning, receipt, storage, stock control, shipment, disposition, identification, and accounting. (Source: Joint Pub 1-02)

Supply Point

Any point where supplies are issued in detail. (Source: Joint Pub 1-02)

Support Agency

A Federal department or agency designated to assist a specific primary agency with available resources, capabilities, or expertise in support of Emergency Support Function response operations, under coordination of the primary agency. (Source: The Federal Response Plan)

Support to Counterinsurgency

Support provided to a government in the military, paramilitary, political, economic, psychological, and civic actions it undertakes to defeat insurgency. (Source: Joint Pub 1-02)

Support to Insurgency

Support provided to an organized movement aimed at the overthrow of a constituted government through use of subversion and armed conflict. (Source: Joint Pub 1-02)

Sustainable Development

Continued economic and social progress that rests on four key principles: improved quality of life for both current and future generations; responsible stewardship of the natural resource base; broad-based participation in political and economic life; and effective institutions which are transparent, accountable, responsive and capable of managing change without relying on continued external support. The ultimate measure of success of sustainable development programs is to reach a point where improvements in the quality of life and environment are such that external assistance is no longer necessary and can be replaced with new forms of diplomacy, cooperation and commerce, (Source: USAID Automated Directives System)

Tactical Control (TACON)

Command authority over assigned or attached forces or commands, or military capability or forces made available for tasking, that is limited to the detailed and, usually, local direction and control of movements or maneuvers necessary to accomplish missions or tasks assigned. Tactical control is inherent in operational control. Tactical control

may be delegated to, and exercised at any level at or below the level of combatant command. (Source: Joint Pub 1-02)

Tasks

During military operations other than war, the work to be accomplished through coordinated application of resources to achieve a sector or functional area objective. (Source: Stipulated)

Team

A group of individuals coming together through consensus to achieve agreed-upon objectives or results. Teams may be comprised of employees of USAID and/or other federal agencies, partners, customers, and contractors. A team may or may not exist as an official organizational unit. Ideally, a team is a self-directed group of people who are responsible and accountable for accomplishing a set of results or a work process. Members of a 'virtual team' are not collocated and therefore participate primarily through telecommunications. (Source: USAID Automated Directives System)

Technical Agreement

The document negotiated and agreed to by the host nation and the military force that specifies the details necessary to implement a status of force agreement. (Source: Stipulated)

Technological Hazard

A range of hazards emanating from the manufacture, transportation, and use of such substances as radioactive materials, chemicals, explosives, flammables, agricultural pesticides, herbicides and disease agents; oil spills on land, coastal waters or inland water systems; and debris from space. (Source: The Federal Response Plan)

Therapeutic Feeding Program (TFP)

Intensive feeding program offering total calories for severely malnourished infants and small children in a health care setting (sometime referred to as "nutritional rehabilitation"). (Source: OFDA Field Operations Guide)

Track Two Diplomacy

Track Two diplomacy involves unofficial dialogue, discussion, or even negotiation among ordinary citizens about topics that are usually reserved for diplomats—for instance about arms control agreements, or negotiations to end long-standing international conflicts. It is differentiated from Track One diplomacy which involves formal discussions between official diplomats. (Source: University of Colorado Conflict Resolution Center)

Transit Agreement

Formal agreement by a sovereign nation to allow passage of U.S. military forces – units, personnel, equipment, sustaining materiel, and contracted support – through its territory, including the procedures with which the transiting forces must comply while enroute. (Source: Stipulated)

Transit State

Any state whose territory, including its airspace and/or territorial waters, are traversed for the delivery of international disaster relief assistance. (Source: UNDHA MCDA Field Manual)

Unconventional Warfare

A broad spectrum of military and paramilitary operations, normally of long duration, predominantly conducted by indigenous or surrogate forces who are organized, trained, equipped, supported, and directed in varying degrees by an external source. It includes guerilla warfare and other direct offensive, low visibility, covert, or clandestine operations, as well as the indirect activities of subversion, sabotage, intelligence activities, and evasion and escape. (Source: Joint Pub 1-02)

United Nations Special Representative

A notional title that may include specific titles such as Special Representative of the Secretary General (SRSG), Special Envoy of the Secretary General (SESG), Representative of the Secretary General (RSG), etc. The incumbent serves as the highest ranking United Nations official in a country and carries the rank of ambassador. The individual is most often accredited to a single country and his authority may not extend to neighboring countries in a region. When the international organization upon whose

authority an operation is being conducted is other than the UN, this individual is normally referred to as a Head of Mission (HoM) or Chief of Mission (CoM). (Source: Stipulated)

Volunteers In Technical Assistance (VITA)

An information clearinghouse called the Disaster Information Center located in Rosslyn, Virginia, which is designed to track private sector donations and offers of volunteer technical assistance for use by OFDA and NGOs responding to foreign disasters. Also provides a computer bulletin board system, VITANet, which enables NGOs easy access to offers of private sector disaster assistance that are collected by VITA. (Source: OFDA Field Operations Guide)

Weapon Holding Area/Site

A location for the temporary or (semi-) permanent storage of weapons and/or other military equipment of the parties' forces (within the framework of a demobilisation operation). (Source: NATO Allied Joint Publication 3.4.1 4th Study Draft)

WHO Emergency Kit

Standard list of drugs and medical supplies the World Health Organization has identified and can make available as needed for an emergency. The kit is configured to be used by 10,000 people for 3 months. (Source: OFDA Field Operations Guide)

Zone of Separation

The specified area delineating neutral territory established between warring factions within a nation or between warring parties from two or more nations. All activity in the zone and transit through the zone is controlled by the peacekeeping or peace enforcement force. (Source: Stipulated)

APPENDIX D

FEDERAL EMERGENCY MANAGEMENT AGENCY FORCE LIST AND MOVEMENT REQUIREMENTS

FORCE LIST/MOVEMENT REQUIREMENTS WORKING PAPER (F11D)

OPLAN INITIATION DATE: 04–MAR–98
REPORT DTG: 18 2103Z MAR 98
REPORTED ITEMS: 119

LIMITING PARAMETERS APPLIED:

DATA ITEM	VALUE

FORCE LIST/MOVEMENT REQUIREMENTS WORKING PAPER (F11D)

REPORT DTG:	18 2103Z MAR 98
PAGES:	11
REPORTED ITEMS:	119

SORT SEQUENCE APPLIED:

REQ ID

FORCE LIST/MOVEMENT REQUIREMENTS WORKING PAPER (F11D)

OPLAN NUMBER – 61758

DEFINITIONS OF HEADINGS:

ULN/CIN/PIN	=	UNIT LINE NBR/CARGO INCREMENT NBR/PERSONNEL INCREMENT NBR
CEI	=	CRITICAL EMPLOYMENT INDICATOR
FORCE DESCRPTION	=	FORCE DESCRIPTION
SERVICE RESERVED	=	RESERVED FORCE DESCRIPTION
UNIT NAME	=	NAME OF UNIT
UIC	=	UNIT IDENTIFICATION CODE
UTC	=	UNIT TYPE CODE
ULC	=	UNIT LEVEL CODE
ORIGIN	=	ORIGIN GEOGRAPHIC LOCATION DATA
FIC	=	FORCE INDICATOR CODE
PIC	=	PARENT INDICATOR CODE
SVC	=	SERVICE CODE
PROV ORGN NAME	=	PROVIDING ORGANIZATION NAME
AUTH PERS	=	AUTHORIZED PERSONNEL STRENGTH
PAX	=	PERSONNEL REQUIRING TOA TRANSPORT
TOTAL STONS	=	TOTAL CARGO FOR THE UNIT IN SHORT TONS
TOTAL MBBLS	=	TOTAL BULK POL FOR THE UNIT IN MBBLS
LOCATION NAME POD	=	POINT OF DEBARKATION LOCATION NAME
LOCATION NAME'DESTINATION	=	DESTINATION LOCATION NAME
EAD	=	POD EARLIEST ARRIVAL DATE
LAD	=	POD LATEST ARRIVAL DATE
RDD	=	DESTINATION REQUIRED DELIVERY DATE
MODE POD	=	PREFERRED MODE OF TRANSPORT TO POINT OF DEBARKATION
MODE DEST	=	PREFERRED MODE OF TRANSPORT TO DESTINATION
SRC	=	TRANSPORTATION SOURCE CODE
SCD	=	STATUS CODE
PCD	=	PROJECT CODE

FORCE LIST/MOVEMENT REQUIREMENTS WORKING PAPER (F11D)

OPLAN NUMBER - 61758

ULN/ CIN/ PIN	C E I	FORCE DESCRIPTION / SERVICE RESERVED UNIT NAME / UIC	UTC ORIGIN	ULC	F I C	P I C	S V C	PROV ORGN NAME	AUTH PERS/ PAX	TOTAL STONS/ MBBLS	LOCATION NAME POD/ DESTINATION	EAD	LAD/ RDD	MODE POD/ DEST	S R C	S C D	PCD
PANRT01		NATIONAL RESPONSE TEAM	999BB		8		A		28	21.6			C999				
		NC NRT W40SAA	GREENSBORO HIGH P						28	0.0							
PANRT02		164	999BB		8		A		28	21.6			C999				
		CO NRT W40SAA	DENVER						28	0.0							
PANRT03		NATIONAL RESPONSE TEAM	999BB		8		A		28	21.6			C999				
		LA NRT W40SAA	LOS ANGELES						28	0.0							
PANRT04		NRT SUPPORT	999BB		8		A		25	23.0			C999				
		MD NRT W40SAA	ROCKVILLE						25	0.0							
PARTF51		RESPONSE FASK FORCE WEST	799BB		8		A	CINCFOR	60	17.2			C999				
		W0G0 FIFTH US ARMY HQ W0G0AA	FT SAM HOUSTON						60	0.0							
PEASR01		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	23.0			C999				
		AZ FT1 DJ2000	PHOENIX AFIT 01						62	0.0			C999				
PEASR02		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	16.6			C999				
		CA TF1 DJ2000	LOS ANGELES						62	0.0			C999				
PEASR03		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	25.4			C999				
		CA TF2 DJ2000	LOS ANGELES Z12						62	0.0			C999				
PEASR04		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	26.2			C999				
		CA TF3 DJ2000	MENLO PARK						62	0.0			C999				
PEASR05		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	21.5			C999				
		CA TF4 DJ2000	OAKLAND						62	0.0			C999				
PEASR06		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	28.8			C999				
		CA TF5 DJ2000	ANAHEIM						62	0.0			C999				
PEASR07		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	21.9			C999				
		CA TF6 DJ2000	RIVERSIDE						62	0.0			C999				
PEASR08		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	26.5			C999				
		CA TF7 DJ2000	SACRAMENTO						62	0.0			C999				
PEASR09		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	14.1			C999				
		CA TF8 DJ2000	SAN DIEGO						60	0.0			C999				
PEASR1A		URBAN SEARCH AND RESCUE	Z99BB		8		A		0	17.0			C999				
		CO TF1 DJ2000	DENVER						60	0.0			C999				

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ULN/ CIN/ PIN	C E I	FORCE DESCRIPTION / SERVICE RESERVED UNIT NAME / UIC		UTC ORIGIN	ULC	F I C	P I C	S V C	PROV ORGN NAME	AUTH PERS/ PAX	TOTAL STONS/ MBBLS	LOCATION NAME POD/ DESTINATION	EAD	LAD/ RDD	MODE POD/ DEST	S R C	S C D	PCD
PEASR1B		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	25.4			C999				
		FL TF1	DJ2000	MIAMI						62	0.0			C999				
PEASR1C		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	21.5			C999				
		FL TF2	DJ2000	MIAMI						62	0.0							
PEASR1D		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	23.5			C999				
		IN TF1	DJ2000	INDIANAPOLIS						62	0.0			C999				
PEASR1E		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	25.0			C999				
		MD TF1	DJ2000	COLLEGE PARK						62	0.0			C999				
PEASR1F		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	21.0			C999				
		MA TF1	DJ2000	BEVERLY						62	0.0			C999				
PEASR1G		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	11.0			C999				
		NE TF1	DJ2000	LINCOLN						62	0.0			C999				
PEASR1H		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	18.0			C999				
		NV TF1	DJ2000	LAS VEGAS						62	0.0			C999				
PEASR1J		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	18.0			C999				
		NM TF1	DJ2000	ALBUQUERQUE						62	0.0			C999				
PEASR1K		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	29.0			C999				
		NY TF1	DJ2000	NEW YORK						62	0.0			C999				
PEASR1L		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	20.0			C999				
		TN TF1	DJ2000	MEMPHIS						62	0.0			C999				
PEASR1M		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	18.0			C999				
		OH TF1	DJ2000	DAYTON						62	0.0			C999				
PEASR1N		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	18.0			C999				
		PA TF1	DJ2000	HARRISBURG						62	0.0			C999				
PEASR1P		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	23.6			C999				
		UT TF1	DJ2000	SALT LAKE CITY						62	0.0			C999				
PEASR1Q		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	23.2			C999				
		VA TF1	DJ2000	FAIRFAX						62	0.0			C999				
PEASR1R		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	28.0			C999				
		VA TF2	DJ2000	VIRGINIA BEACH						63	0.0			C999				
PEASR1S		URBAN SEARCH AND RESCUE		Z99BB		8		A		0	22.8			C999				
		WA TF1	DJ2000	TACOMA						62	0.0			C999				
PPA0 01		EIMA ERT-N AUG TEAM		A99BB		8		A		24	1.0			C999				
		EIPA ERT-N AUD	DJ2000	WASHINGTON						24	0.0							

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ULN/ CIN/ PIN	C E I	FORCE DESCRIPTION / SERVICE RESERVED UNIT NAME / UIC	UTC ULC ORIGIN	F I C	P I C	S V C	PROV ORGN NAME	AUTH PERS/ PAX	TOTAL STONS/ MBBLS	LOCATION NAME POD/ DESTINATION	EAD	LAD/ RDD	MODE POD/ DEST	S R C	S C D	PCD
PPA0 02		EIMA ERT-N ADVON	A99BB	8		A		6	1.0			C999				
		EIPA ERT-N ADVN DJ2000	WASHINGTON					6	0.0							
PVRR 02		PORTA QUICK/SHOWERS/REF VAN	A99BB	8		A		0	3.6			C999				
		IRR COMMODITIES DJ2000	FT WORTH GSA FAC					0	0.0							
PVRR 03		BLANKETS, COTS,& SLEEPING BAGS	A99BB	8		A		0	42.8			C999				
		IRR COMMODITIES DJ2000	FT WORTH GSA FAC					0	0.0							
PVRRE02		PORTA QUICK/SHOWERS/REF VAN	A99BB	8		A		0	3.6			C999				
		IRR COMMODITIES DJ2000	FT GILLEM					0	0.0							
PVRRE03		BLANKETS,COTS,SLEEPING BAGS	A99BB	8		A		0	42.8			C999				
		IRR COMMODITIES DJ2000	FT GILLEM					0	0.0							
PVRRW02		PORTA QUICK/SHOWERS/REF VAN	A99BB	8		A		0	3.6			C999				
		IRR COMMODITIES DJ2000	MOFFETT FIELD					0	0.0							
PVRRW03		BLANKETS/COTS/SLEEPING BAGS	A99BB	8		A		0	42.8			C999				
		IRR COMMODIT DJ2000	MOFFETT FIELD					0	0.0							
PWDF0		AS	A99BB	8		A		0	19.8			C999				
		DFO EQUIPMENT DJ2000	FT WORTH GSA FAC					0	0.0							
PWDF00E		DFO EQUIPMENT	A99BB	8		A		0	18.7			C999				
		DFO EQUIPMENT DJ2000	FT GILLEM					0	0.0							
PWDF00W		DFO EQUIP	A99BB	8		A		0	19.8			C999				
		DFO EQUIP DJ2000	MOFFETT FIELD					0	0.0							
PWDL 01		DISASTER AREA LIAISON OFFICER	Z99BB	8		A		4	0.8		C000	C999				
		ESF 2 DJ2000	WASHINGTON					4	0.0							
PWDL 02		GTE MOBILE NET COLT	Z99BB	8		A		2	13.0		C000	C999				
		ESF 2 DJ2000	SAN DIEGO					2	0.0							
PWDL 03		PHONE/TELEREGISTER CENTER	Z99BB	8		A		12	15.0		C000	C999				
		ESF 2 DJ2000	RICHARDSON					12	0.0							
PWER 01		LOGISTICS LIFE SUPPORT (ERTS P	Z99BB NSL	8		A		14	63.6		C000	C999				
		MERS DJ2000	MAYNARD					14	0.0							
PWER 02		FIELD ASSESSMENT TEAM (COMAR,L	Z99BB NSL	8		A		13	16.7		C000	C999				
		FAST DJ2000						13	0.0							
PWES 01		THOMASVILLE ERTS	Z99BB NSL	8		A		19	187.0		C000	C999				
		TV-MERS ERTS DJ2000	THOMASVILLE					19	0.0			C000				
PWES 02		THOMASVILLE ERTS	Z99BB NSL	8		A		13	183.5		C000	C999				
		MERS ERTS DJ2000	THOMASVILLE					13	0.0							

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PWES 03		THOMASVILLE ERTS		Z99BB	NSL	8		A		0	674.0		C000	C999				
		TV-MERS ERTS	DJ2000	THOMASVILLE						0	0.0							
PWES 04		THOMASVILLE ERTS		Z99BB	NSL	8		A		19	187.0		C000	C999				
		TV-MERS ERTS	DJ2000	BOTHELL						19	0.0			C000				
PWES 05		THOMASVILLE ERTS		Z99BB	NSL	8		A		19	187.0		C000	C999				
		TV-MERS ERTS	DJ2000	DENTON						19	0.0			C000				
PWES 06		THOMASVILLE ERTS		Z99BB	NSL	8		A		19	187.0		C000	C999				
		TV-MERS ERTS	DJ2000	DENVER						19	0.0			C000				
PWES 07		THOMASVILLE ERTS		Z99BB	NSL	8		A		19	187.0		C000	C999				
		TV-MERS ERTS	DJ2000	MARYLAND						19	0.0			C000				
PWMS A1		MSU WASHINGTON DC		Z99BB	NSL	8		A		35	68.8		C000	C999				
		PHS/OEP MSU	DJ2000	WASHINGTON DULLES						35	0.0							
PWMS B1		AR-1 LITTLE ROCK ARK		Z99BB	NSL	8		A		35	31.7		C000	C999				
		AR-1 DMAT	DJ2000	LITTLE ROCK						35	0.0							
PWMS C1		CA-2 DMAT SAN BERNARDINA CA		Z99BB	NSL	8		A		40	37.0		C000	C999				
		CA-2 DMAT	DJ2000	SAN BERNARDINO IN						40	0.0							
PWMS D1		CA-4 DMAT SAN DIEGO		Z99BB	NSL	8		A		35	10.0		C000	C999				
		CA-4 DMAT	DJ2000	SAN DIEGO						35	0.0							
PWMS E1		FL-1 DMAT SHALIMAR FLA		Z99BB	NSL	8		A		35	8.2		C000	C999				
		FL-1 DMAT	DJ2000	SHALIMAR						35	0.0							
PWMS F1		FL-2 DMAT PORT CHARLOTTE FLA		Z99BB	NSL	8		A		35	10.2		C000	C999				
		FL-2 DMAT	DJ2000	PORT CHARLOTTE						35	0.0							
PWMS G1		GA-3 DMAT ATLANTA GA		Z99BB	NSL	8		A		35	36.0		C000	C999				
		GA-3 DMAT	DJ2000	ATLANTA						35	0.0							
PWMS H1		IN-2 DMAT FT WAYNE IND		Z99BB	NSL	8		A		35	61.1		C000	C999				
		IN-2 DMAT	DJ2000	FORT WAYNE INTL						35	0.0							
PWMS J1		KY-1 DMAT FT THOMAS KY		Z99BB	NSL	8		A		35	39.3		C000	C999				
		KY-1 DMAT	DJ2000	FT THOMAS						35	0.0							
PWMS K1		MA-1 DMAT BOSTON MASS		Z99BB	NSL	8		A		35	12.5		C000	C999				
		MA-1 DMAT	DJ2000	BOSTON						35	0.0							
PWMS L1		MA-2 DMAT WORCESTER MASS		Z99BB	NSL	8		A		35	20.8		C000	C999				
		MA-2 DMAT	DJ2000	WORCESTER						35	0.0							
PWMS M1		MI-1 MICHIGAN DELTA D MAT		Z99BB	NSL	8		A		35	16.9		C000	C999				
		MI-1 DMAT	DJ2000	WESTLAND						35	0.0							

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ULN/ CIN/ PIN	C E I	FORCE DESCRIPTION / SERVICE RESERVED UNIT NAME / UIC		UTC ORIGIN	ULC	F I C	P I C	S V C	PROV ORGN NAME	AUTH PERS/ PAX	TOTAL STONS/ MBBLS	LOCATION NAME POD/ DESTINATION	EAD	LAD/ RDD	MODE POD/ DEST	S R C	S C D	PCD
PWMS N1		NC-1DMAT WINSTON-SALEM		Z99BB	NSL	8		A		35	10.6		C000	C999				
		NC-1 DMAT	DJ2000	WINSTON SALEM						35	0.0							
PWMS P1		OH-1 TADMAT TOLEDO OH		Z99BB	NSL	8		A		35	7.8		C000	C999				
		OH-1 TADMAT	DJ2000	TOLEDO						35	0.0							
PWMS Q1		OK-1 TULSA OK		Z99BB	NSL	8		A		35	14.1		C000	C999				
		OK-1 DMAT	DJ2000	TULSA						35	0.0							
PWMS R1		PH-1 DMAT ROCKVILLE MD		Z99BB	NSL	8		A		35	30.0		C000	C999				
		PH-1 DMAT	DJ2000	WASHINGTON DULLES						35	0.0							
PWMS S1		RI-1 PROVIDENCE		Z99BB		8		A		31	11.2		C000	C999				
		RI-DMAT	DJ2000	PROVIDENCE						31	0.0							
PWMS T1		TX-1 DMAT ELPASO TX		Z99BB	NSL	8		A		35	4.0		C000	C999				
		TX-1 DMAT	DJ2000	EL PASO						35	0.0							
PWMS U1		WA-1 DMAT SEATTLE KING CO		Z99BB	NSL	8		A		35	12.0		C000	C999				
		WA-1 DMAT	DJ2000	SEATTLE						35	0.0							
PWMS V1		HI-1 WAILULUI HI.		Z99BB	NSL	8		A		35	2.5		C000	C999				
		HI-1 DMAT	DJ2000	HAWAII						35	0.0							
PWMS W1		NM-1 DMAT ALBUQUERQUE NM.		Z99BB	NSL	8		A		35	7.5		C000	C999				
		NM-1 DMAT	DJ2000	ALBUQUERQUE						35	0.0							
PWMS X1		EMER.MED.RESP.TEAM		Z99BB		8		A		55	6.5		C000	C999				
		EMER MED RES TM	DJ2000	ATLANTA						55	0.0							
PWNC 01		MOB AIR TRANSPORTABLE TELECOM		Z99BB	NSL	8		A		14	45.7		C000	C999				
		FEMA MATTS	DJ2000							14	0.0			C000				
PWNC 02		ANALOG KEYBOARD FLYAWAY		Z99BB		8		A		2	0.8		C000	C999				
		FEMA ITS KYBD	DJ2000	BERRYVILLE						2	0.0							
PWNC 03		DIGITAL KU BAND FLYAWAY		Z99BB		8		A		2	0.9		C000	C999				
		FEMA ITS KU-BD	DJ2000	BERRYVILLE						2	0.0							
PWNC 04		PHS/OEP		Z99BB		8		A		35	68.1		C000	C999				
		PHS/OEP MSU	DJ2000	WASHINGTON						35	0.0							
PWRC 01		ESF-6 SECTION ADVANCE PARTY		Z99BB	NSL	8		A		6	0.0		C000	C999				
		ARC	DJ2000	WASHINGTON DULLES						6	0.0			C000				
PWRC 02		ESF-6		Z99BB	NSL	8		A		14	0.0		C000	C999				
		ARC	DJ2000	WASHINGTON DULLES						14	0.0			C000				
PWRC 03		COMMUNICATIONS COMMAND & CONTR		Z99BB	NSL	8		A		2	4.0		C000	C999				
		ARC	DJ2000							2	0.0			C000				

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PWRC 04		ARC QUICK RESPONSE TEAM	Z99BB	NSL	8		A		12	0.0		C000	C999				
		ARC DJ2000							12	0.0			C000				
PWRC 05		ARC MAIN BODY	Z99BB	NSL	8		A		804	0.0		C000	C999				
		ARC DJ2000							804	0.0			C000				
PWRC 06		SOUTHERN BAPTIST MOBILE KITCHE	Z99BB	NSL	8		A		30	4.0		C000	C999				
		ARC DJ2000							30	0.0			C000				
PWRC 07		SOUTHERN BAPTIST MOBILE KITCHE	Z99BB	NSL	8		A		30	4.0		C000	C999				
		ARC DJ2000	MARIETTA CAP						30	0.0			C000				
PWRC 08		SOUTHERN BAPTIST MOBILE KITCHE	Z99BB	NSL	8		A		30	4.0		C000	C999				
		ARC DJ2000	BAXLEY						30	0.0			C000				
PWRC 09		MASS CARE SO.BAPT.MOB.KIT.	Z99BB	NSL	8		A		30	4.0		C000	C999				
		ARC DJ2000	ATLANTA						30	0.0			C000				
PWRC 10		SOUTHERN BAPTIST MOB KITCHEN	Z99BB	NSL	8		A		30	3.0		C000	C999				
		ARC/MASS CARE DJ2000	SPARTANBURG						30	0.0			C000				
PWRC 11		SOUTHERN BAPTIST MOB KITCHEN	Z99BB	NSL	8		A		30	3.4		C000	C999				
		ARC/MASS CARE DJ2000	MEMPHIS						30	0.0			C000				
PWRC 12		MASS CARE SO.BAPT.MOB.KIT.	Z99BB	NSL	8		A		30	1.7		C000	C999				
		ARC/MASS CARE DJ2000	MONTGOMERY						30	0.0			C000				
PWRC 13		MASS CARE SO.BAPT.MOB.KIT.	Z99BB	NSL	8		A		30	22.0		C000	C999				
		ARC/MASS CARE DJ2000	RALEIGH						30	0.0			C000				
PWRC 14		SOUTHERN BAPTIST WATER PURIFIE	Z99BB	NSL	8		A		0	0.2		C000	C999				
		ARC DJ2000	MEMPHIS						0	0.0			C000				
PWRCH20		WATER	A99BB		8		A		0	14.0			C999				
		IRR COMMODIT DJ2000	FT WORTH						0	0.0							
PWRE01A		IRR GENERATORS	A99BB		8		A		0	101.8			C999				
		IRR COMMODIT DJ2000	FT GILLEM						0	0.0							
PWREH20		WATER	A99BB		8		A		0	14.0			C999				
		IRR COMMODIT DJ2000	FT GILLEM						0	0.0							
PWRETNS		TENTS	A99BB		8		A		0	18.7			C999				
		IRR COMMODIT DJ2000	FT GILLEM						0	0.0							
PWRR 01		IRR GENERATORS	A99BB		8		A		0	41.9			C999				
		IRR COMMODIT DJ2000	FT GILLEM						0	0.0							
PWRR 04		PLASTIC TARPS	A99BB		8		A		0	248.4			C999				
		IRR COMMODITIES DJ2000	FT WORTH						0	0.0							

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PWRR 05		MRES AND H2O	A99BB		8		A		0	31.9			C999				
		IRR COMMODITIES DJ2000	MULLINS						0	0.0							
PWRR01A		IRR GENERATORS	A99BB		8		A		0	102.2			C999				
		IRR COMMODIT DJ2000	FT GILLEM						0	0.0							
PWRRE04		PLASTIC TARPS	A99BB		8		A		0	248.4			C999				
		IRR COMMODITIES DJ2000	FT GILLEM						0	0.0							
PWRWH20		WATER	A99BB		8		A		0	14.0			C999				
		IRR COMMODIT DJ2000	MOFFETT FIELD						0	0.0							
PWSF A1		ERT-N	Z99BB	NSL	8		A		5	1.3		C000	C999				
		GSA ERT-N DJ2000	WASHINGTON 01						5	0.0							
PWSF B1		ERT-A	Z99BB	NSL	8		A		41	1.3		C000	C999				
		GSA ERT-A REG1 DJ2000	BOSTON						41	0.0							
PWSF C1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG2 DJ2000	NEW YORK						43	0.0							
PWSF D1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG3 DJ2000	PHILADELPHIA						43	0.0							
PWSF E1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG4 DJ2000	ATLANTA						43	0.0							
PWSF F1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG5 DJ2000	CHICAGO						43	0.0							
PWSF G1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG6 DJ2000	DENTON						43	0.0							
PWSF H1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG7 DJ2000	KANSAS CITY						43	0.0							
PWSF J1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG8 DJ2000	DENVER						43	0.0							
PWSF K1		ERT-A	Z99BB	NSL	8		A		43	1.3		C000	C999				
		GSA ERT-A REG 9 DJ2000	SAN FRANCISCO						43	0.0							
PWSF L1		ERT-A	Z99BB	NSL	8		A		43	1.9		C000	C999				
		GSA ERT-A REG10 DJ2000	BOTHELL						43	0.0							
PWSF M1		ERT-A	Z99BB		8		A		43	4.1		C000	C999				
		NAT CAP ERT-A DJ2000	WASHINGTON 01						43	0.0							
PWSR C1		FEMA US&R IST (18 MAN TEAM) 57101	Z99BB		8		A	DOD AGCY	18	1.5			C999				
		USAR-IST W0TRAA	WASHINGTON 01						18	0.0							

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PWSR C2		FEMA US&R IST 45 MAN TEAM	57101	Z99BB		8		A	DOD AGCY	45	3.0			C999				
		USER-IST	W0TRAA	WASHINGTON	01					45	0.0							
PWSR C3		FEMA US&R IST 90 MAN TEAM	57101	Z99BB		8		A	DOD AGCY	90	6.0			C999				
		USAR-IST	W0TRAA	WASHINGTON	01					90	0.0							

APPENDIX E

UNITED NATIONS SERVICE MODULES STANDBY ARRANGEMENTS

APPENDIX E
UNITED NATIONS SERVICE MODULES AND STANDBY ARRANGEMENTS

This appendix summaries two United Nations initiatives established to improve response coordination among member nations and elements of the UN System. The first initiative focuses on humanitarian response to a natural or man-made situation. It establishes "service modules," which are statements of capabilities that might be required during an international response to such a crisis. The second initiative focuses on the standby arrangements for an international response to a peacekeeping mission when established by the UN under provisions of Chapter VI of the UN Charter, where the parties have agreed to a treaty or agreement.

A. SERVICE MODULES FOR HUMANITARIAN ASSISTANCE

Service modules are objective-based statements of capabilities that are normally required during humanitarian assistance operations. The modules have clearly defined performance criteria and some have established exit plans. Since 1995, three UN organizations – the United Nations High Commissioner for Refugees (UNHCR), the World Food Programme (WFP), and the Office for the Coordination of Humanitarian Affairs (OCHA)[1] – have developed sets of service modules or packages.[2]

1. United Nations High Commissioner for Refugees Packages

The experience of the international humanitarian response community, especially during recent emergencies involving thousands of refugees or displaced persons, has pointed to the need to identify well-defined packages of personnel, equipment, and material capabilities that can be used by the diverse group of international providers to plan and coordinate humanitarian refugee responses. In 1995, the UNHCR brought

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1 Formerly the Department of Humanitarian Affairs (DHA).

2 The term service modules is largely used by OCHA, whereas UNHCR (and the WFP) more commonly use the term service packages.

together a group of international experts to develop and formalize such a response packaging scheme called service packages.[3]

The UNHCR service packages define 20 sets of response capabilities that the community of providers has found to be common to most disasters involving large numbers of refugees or internally displaced persons. Each package includes established objectives, specified activities to be performed, and detailed lists of personnel, equipment, and material the package should contain. Based on the UN Inter-Agency Needs Assessment for a contingency, the appropriate type and number of service packages can be identified to meet the requirements of the emergency, and donations of capabilities can then be solicited from responding organizations – donor nations (civil or military assets) or international and non-governmental organizations. Many of the UNHCR standby agreements with donors are based on specific service packages, and relief organizations such as the International Federation of Red Cross and Red Crescent Societies (IFRC) have tailored their response capabilities[4] to conform more closely to the established service packages. In large-scale emergency response operations, an agency or a nation may be designated as the lead organization for a single service package. The lead agency has responsibility for coordinating the capabilities for that package provided by the diverse group of donors.

The service packages have been grouped into four general categories:

- Air delivery packages
- General support packages
- Water packages
- Refugee camp development and operation packages.

Although designed primarily to assist with large refugee populations, many of the packages might use in other types of humanitarian emergencies. Brief descriptions of these packages follow.[5]

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3 Expressions of Interest in Service Packages, United Nations High Commissioner for Refugees, CH-1211 Geneva 2 Depot, Switzerland, 2 April 1995.

4 See Emergency Response Units, IFRC, 1211, Geneva 19, Switzerland, 5 January 1996.

5 A summary list of all service packages and modules is included in Table E-3 at the end of this section.

a. Air Delivery Packages

Four Service Packages cover air transportation: SP-01–Air Operations Cell,[6] SP-02–Strategic Airlift, SP-03–Theater Airlift, and SP-04–Airport Ground Handling Services. These packages were designed for situations that require large volumes of aid to be delivery by air. They are intended to operate 7 days a week for a period of 60 days.

b. General Support Packages

Three packages were designed to provide general support for emergency relief operations. They include: SP-05–Warehousing and Store Keeping, SP-06–Road Transport, and SP-07–Field Hospital. These packages are designed for 7-day-a-week operation and are expected to remain in place for approximately 90 days.

c. Water Packages

Seven packages establish capabilities to provide water to a needy population: SP-08–Hydrogeological Survey, SP-09–Water Tanker Operation, SP-10–Surface Water, SP-11–Borehole Drilling, SP-12–Water Treatment, SP-13–Water Distribution, and SP-14–Water Storage. The water packages are based on meeting the daily individual "survival" allocation of 7 liters per day of safe water[7] for 10,000 refugees, and the communal needs when this population is located in camps within a 20 kilometer radius. The packages should be operational as rapidly as possible after the need has been identified and remain until cost-effective alternatives have been put in place.

d. Camp Development and Operation Package

Six packages cover various activities associated with the development and operation of refugee camps. They include: SP-15–Latrine Construction, SP-16–Vector Control, SP-17–Solid Waste Management, SP-18–Waste Water Systems, SP-19–Site Preparation/Site Development, and SP-20–Road Construction. These capabilities are typically stand-alone, self-sustained packages of personnel, materials, and equipment

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6 The Air Operations Cell (AOC) was first established by UNHCR in 1993 at its headquarters in Geneva to coordinate the air delivery of supplies (both air landed and air dropped) during the emergency operations in the Balkans. It was formed using military staff members on loan from Canada, France, Germany, the United Kingdom, and the U.S. When the crisis in Rwanda occurred in 1994, the cell also coordinated the air delivery of relief into that region. At the initiation of Operation Joint Endeavor, the functions performed by the AOC were assumed by the Regional Air Mobility Coordination Center (RAMCC) established by NATO in Vicenza, Italy.

7 Defined as water exceeding WHO and UNHCR standards, as reflected in Annex C of UNHCR's Manual for Refugee Situations.

capable of operating independently from all other humanitarian relief operations, but coordinating their activities with other appropriate service providers as necessary. The packages are required to be operational as quickly as possible and remain for at least 90 days. The requirements are based on a refugee population of 10,000 people distributed in two 5,000 person camps with each camp located on approximately 15 hectares of land.

2. World Food Programme Packages

The WFP has been designated the UN agency with primary responsibility for matters relating to transport and logistics of both food and non-food aid. Annually, the WFP moves between 2 and 4 million metric tons of material by sea, air, and land to support its own programs and those of other UN agencies. In mid-1995, the Logistics Service of the WFP established the Augmented Logistics Intervention Team for Emergencies (ALITE) unit to improve logistics preparedness and response capabilities of the WFP.

As part of its improvement program, the WFP also developed a set of eight service packages related to the type of work that organization is called upon to perform. These packages serve as the mechanism by which the WFP can identify needed capabilities so that donor nations or NGOs can organize their response capabilities during humanitarian emergencies. Similar to the UNHCR packages, the WFP packages are modular and can be tailored to meet the unique requirements of any emergency. A number of potential donors have identified the capabilities they are willing to provide and under which conditions they will be made available. Working relationships between the WFP and these donors are often documented in formal Memorandums of Understanding (MOUs).

The WFP service packages are prioritized in three categories based on their contribution to the operation in the specific emergency. A package identified as **immediate** is required at the onset of an emergency and is essential to the WFP operation. These packages must be deployed as rapidly as possible (less than 72 hours). A package identified as **high** is required at the beginning of an emergency and is critical to expand and firmly establish an operation. A package classified as **moderate** provides enhanced efficiencies or cost savings. All service packages must be self-sustaining for at least 30 days and should be available for at least 90 days. The WFP service packages include: support of airfield operations, construction support, improvement to transportation throughput, or other support to the logistics pipeline.

a. Airhead Operations

Because complex emergencies often occur in remote and inaccessible areas, the WFP typically airlifts more than 100,000 metric tons of food each year using its own fleet of light aircraft or leased cargo transports, and often conducts specialized air drop operations. Three service packages have been developed to support operations at an airhead: WFP-01–Flight Operations (immediate), WFP-02–Airfield Control Team (immediate), and WFP-03–Aircraft Handling (immediate).

b. Construction Support

Two construction support service packages have been developed for improving transportation and logistics infrastructure: WFP-04–Horizontal Construction for Road and Airstrip Repair (high or moderate), and WFP-05–Vertical Engineer Construction for Logistics Base Establishment (high or moderate).

c. Surface Transportation Throughput

Three service packages have been designed to enhance surface transportation throughput: WFP-06–Port Operations (immediate to high), WFP-07–Rail Operations (high to moderate), and WFP-09–Long Haul Transportation (high to moderate).

d. Other Support

Two service packages provide communications and logistics expertise: WFP-08–Field Communications (immediate), and WFP-10–Logistics Services (immediate to moderate).

3. Military and Civil Defense Assets Service Modules of the UN Office for the Coordination of Humanitarian Affairs

Based on experience gained during a number of recent emergency operations (e.g., Northern Iraq, Ethiopia, Somalia, Southern Sudan, former Yugoslavia, Rwanda, Chechnya, and Liberia), the UN humanitarian relief agencies have recognized the value of employing military and civil defense resources, especially in complex emergencies. The UN Inter-Agency Working Group supported the formation of Military and Civil Defense Unit (MCDU) within OCHA (formerly DHA). This unit became operational in March 1996 within the Disaster Response Branch and acts a facilitator for all agencies in

matters related to military and civil defense resources and military provided service packages. [8]

The MCDU has developed a more comprehensive list of 58 service modules.[9] The major categories of the Military and Civil Defense Assets (MCDA) modules used in the register and the number of modules in each category are shown in Table E-1.

Table E-1. Major Categories of Military and Civil Defense Assets

Category	Number of Modules
Aviation Operations	5
Command and Control	5
Communications	3
Explosive Ordnance Disposal	3
Engineering	7
Logistics	10
Medical	3
NBC Support	7
Search and Rescue	4
Surface Transport	6
Water Supply	5

The MCDU maintains a Central Register of Disaster Management Capacities Available for International Assistance (Central Register).[10] The register is an operational tool to support the UN system and the international community, a kind of Yellow Pages telephone directory for emergency humanitarian aid. The "Reference List of Announced MCDA Service Modules and Information on Providing Countries" identifies by MCDA service module the countries that have agreed to provide these capabilities. This information is summarized in Table E-2 and identifies the countries and MCDA capabilities they have indicated could be made available.

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8 A U.S. Air Force officer (05) was assigned on a gratis basis to the DHA/OCHA MCDU in March 1997, but this position was eliminated during 1999.

9 MCDA Register, OCHA-online, 1 February 1999.

10 The Central Register can be located at: http://www.reliefweb.int/ocha_ol/programs/response/register.htm.

Table E-2. Announced MCDA Service Modules (Nations)

| Country | OSOCC Level 1/2/3 | Mapping (air photo) | Movement control | Cable Communications | Satellite Communications | Signal Communications | Power Generations | Bridge Construction | Field Engineers | Road/airfield Construction | Engineering Contract Management | Site Construction/Preparation | Explosive Ordnance Disposal | Mine Clearing | Training Mine Awareness/Clearing | Field Bakery | Field Catering | Field Hospital | Medical Evacuation & Transport | Laundry and Bath | Logistics Advisory Service | Logistics Base Establishment | Warehouse and Storekeeping | Self Sustained Warehouse | Armored Detective Vehicles | Chemical/Radiation Sensory Team | Decontamination | Mobile NBC Laboratory | N-Detection | NBC Assistance to Affected Pop | NBC Protection | Latrine Construction | Solid Waste Management | Wastewater System | Vector Control | Boats/Ships for Rescue & Support | Aircraft for Search & Rescue | Rescue Operations | Search Operations | Fire Fighting | Flight Operations | Airfield Control | Airport Ground Handling | Fixed Wing Strategic Airlift | Fixed Wing/Helio Theater Airlift | Cargo Road Transport | Personnel Transport | Transport for Liaison & Assessment | Rail Operations | Transport Ships | Seaport 0perations | Water Storage/distribution | Water Transportation | Water Treatment/Purification 1/2/3 | Hydrological Survey | Borehole Drilling |
|---|---|---

The MCDU has also established a set of procedures for employing[11] the modules and operating in the field.[12] The MCDA modules are identified as having high, medium, or low deployment priority. Moreover, the module is required to have sufficient internal tactical communications to carry out its functions, and additional communications capabilities that are compatible with UN standard equipment (SAT-C, UHF, VHF, and HF) so that its personnel can communicate and exchange information with other relief operations headquarters. The personnel should also have English language skills, the UN standard for humanitarian assistance operations, to enable them to operate in multinational relief efforts.

During 1998, a total of 26 requests for MCDA and other service modules were processed by the MCDU. Many of these requests were in support of the international relief operations necessitated by Hurricane George and Mitch in the Caribbean and Central America and were met by Canada, Netherlands, and the U.S. Others requests for assistance were for:

- Airlift of flood relief in Bangladesh (cancelled because no response was received)
- Relief efforts for an earthquake in Afghanistan provided by Belgium, Netherlands, Russia, and the Ukraine
- Truck transport requirements in Albania provided by the U.S.
- Toxic waste problems in Paraguay responded to by France
- Aerial search and rescue in Moldova provided by France
- An air operations cell in Sudan provided by Belgium
- Air transport of supplies to the Democratic Republic of the Congo provided by OFDA using commercial aircraft, to Sudan (cancelled because no response was received), and to Eritrea, provided by Italy.

In some cases, the MCDA modules identify the number of personnel and vehicles and the type of communications equipment that should be included. Many of the modules are comparable to those already established by UNHCR and the WFP, and work continues within these organizations to develop and refine a single list.

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11 Guidelines on the Use of Military and Civil Defense Assets in Disaster Relief, DHA, May 1994; currently under revision by OCHA.

12 MCDA Field Manual (Draft), DHA, 27 April 1995; currently under revision by OCHA.

Table E-3 consolidates the lists of the UNHCR, WFP, and MCDA service modules found in the OCHA-Online data base and other cited documents, and uses the more comprehensive major categories established by OCHA. The headings in this table identify: (a) Number – assigned by the author to the module to facilitate grouping like packages together within categories; (b) Source – UN agency defining the package; (c) Module – name assigned to the capability; (d) Sector – the major classifications used by MCDA, (e) UTC – a space for U.S. military Unit Type Codes; (f) Capability – the specification of capability provided by the sponsoring organization; (g) Personnel – number specified for the module; (h) Vehicles – number and type specified; and (i) Communications – the type of communications capability required, if not otherwise specified in the capability.

Table E-3. Summary of UN Service Modules

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
AV		**Aviation Operations**	**Avn**		**Priority**				
AV-01	SP-01	Air Operations Cell	Avn			Provides the technical expertise to establish a 24-hours-per-day AOC in Geneva and in the crisis area to schedule, monitor, advise, plan, control, and analyze airlift activities delivering humanitarian relief resources into and within the AOR			
AV-02A	WFP-01	Flight Operations	Avn		Immediate	For a specified airfield, exercise 24 hour control over all activities related to air traffic control, communications, and planning. Work in close cooperation with the relevant air planning cell, host nation authorities, and neighboring countries.			
AV-02B	MCDA-40	Flight Operations	Avn		Medium	For specific airfield, exercise control on a 24-hour basis over all activities related to air traffic control, communications, and planning. Work in cooperation with the UN Air Operations Center, host country authorities, and neighboring countries to ensure a smooth, uninterrupted flow of relief; be prepared to coordinate activities of the Air Control Team and Air Ground Handling Team; maintain liaison with humanitarian organizations			Tactical SAT-C, UHF, VHF, HF
AV-03A	WFP-02	Airfield Control Team	Avn		Immediate	For a specified airfield, exercise control over all ground activities to include loading and unloading of aircraft, servicing of aircraft (if needed), fire suppression, fuel handling, ground services, oversee local contractors, and assist with security			
AV-03B	MCDA-41	Airfield Control	Avn		Medium	Plan, schedule, and direct all activities related to the unloading, loading, and servicing of aircraft for a specific airfield on a 24-hours-per-day basis; oversee activities of local contractors or Airfield Ground Handling Team; coordinate with UN Air Planning Center, Flight Operations Center, Movement Control Team, and host nation authorities and humanitarian organizations; be prepared to assist with airfield security			Tactical SAT-C, UHF, VHF, HF
AV-04	WFP-03	Aircraft Handling	Avn		Immediate	For a specified airfield, execute the actual loading and unloading of aircraft to support the rapid and smooth delivery of humanitarian food assistance. Establish a marshaling yard for onward movement of relief and prepare to palletize items			

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
AV-04A	SP-04	Airport Ground Handling Services	Avn			Provide manpower and support equipment to load/unload as many as 30 military and civilian aircraft at up to 4 separate airfields on a 24-hours-per-day basis. Process 400 metric tons of cargo and 100 passengers per day.			
AV-04B	MCDA-42	Airport Ground Handling	Avn		Medium	For a specific airfield, provide manpower and support equipment to load and unload aircraft on a 24-hours-per-day basis during humanitarian relief operations in coordination with local airport authorities; establish and operate marshalling yard; capabilities include handling 400 metric tons of cargo and 100 passengers per day with a maximum of 30 aircraft per day			Tactical SAT-C, UHF, VHF, HF
AV-05A	SP-02	Strategic Airlift	Avn			Provide strategic airlift capability for delivery of goods and cargo and emergency personnel to the crisis area or designated airport. Deliver 200 to 400 metric tons of relief per day.			
AV-05B	MCDA-43	Fixed Wing Strategic Airlift	Avn		Medium	Provide strategic (long haul) airlift of humanitarian goods/cargo and the transportation of emergency personnel and equipment to the crisis area within 72 hours of notification; coordinate transport to crisis area with UN Air Operations Center; arrange/provide ground support; notify UN Air Operations Center of confirmed manifests at time of take-off			Tactical SAT-C, UHF, VHF, HF
AV-06A	SP-03	Theater Airlift	Avn		Medium	Provide regional airlift for humanitarian goods/cargo and emergency personnel within the crisis region. Deliver up to 200 metric tons per day.			
AV-06B	MCDA-44	Fixed Wing/Helicopter Theater Airlift	Avn		Medium	Provide regional airlift (short-haul) capability for delivery of personnel, equipment, and/or humanitarian cargo within the crisis region in coordination with the UN Air Operations Center, local authorities, and humanitarian organizations involved; perform aircraft ground support operations; maintain communications with regional and local aviation authorities			Tactical SAT-C, UHF, VHF, HF
C2		**Command and Control**	**C2**						
C2-01	MCDA-01	OSOCC Support (Level 1)	C2		High	Personnel, vehicles, and communications equipment to support disaster assessment (UNDAC) team (3-5 UN staff)	2 to 3 vehicle and comm operators	1 to 2 liaison	Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
C2-02	MCDA-02	OSOCC Support (Level 2)	C2		High	Personnel, vehicles, and communications equipment to support OSOCC or HOCC team (12-14 UN staff)	10 vehicle and comm operators	3 to 5 liaison	Tactical SAT-C, UHF, VHF, HF
C2-03	MCDA-03	OSOCC Support (Level 3)	C2		Medium	Personnel, vehicles, and communications equipment to support OSOCC or HOCC team (20-24 UN staff at up to 4 sites)	22 to 24 vehicle and comm operators	7 to10 liaison	Tactical SAT-C, UHF, VHF, HF
C2-04	MCDA-04	Mapping (air photo)	C2		Medium	Provide air photo and/or maps of area (1:25,000; 1:50,000,and 1: 200,000) to facilitate relief coordination			Tactical SAT-C, UHF, VHF, HF
C2-05	MCDA-05	Movement Control	C2		Medium	Plan and supervise road, rail, air, and sea movements to ensure smooth flow of resources into and within the crisis area			Tactical SAT-C, UHF, VHF, HF
CC		**Communications**	**Comm**						
CC-01	WFP-08	Field Communications	Comm			Establish a reliable field communications system to support information exchange both out of area to WFP HQ and within area to WFP sub-offices, warehouses, and personnel. The communications system should support radio-telex, satellite, and e-mail			
CC-02	MCDA-06	Cable Communications	Comm		Medium	Establish a cable communications system to support information exchange between emergency relief headquarters and the area of operations; internal lines for up to 5 headquarters (OSOCC, HOCC, civil authorities, etc.); establish fax, teletype, telephone, telex, and PC capabilities			Tactical SAT-C, UHF, VHF, HF
CC-03	MCDA-07	Satellite Communications	Comm		Medium	Establish satellite communication links by mobile terminals to support information exchange by voice, fax, data, and mobile telephone both within and out of the area of humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF
CC-04	MCDA-08	Signal Communications	Comm		Medium	Establish a HF/VHF radio communication system to support information exchange within the area of operations for up to 5 headquarters and 10 mobile teams: includes ground to air capability			Tactical SAT-C, UHF, VHF, HF
ED		**Explosive Ordnance Disposal**	**EOD**						
ED-01	MCDA-14	Explosive Ordnance Disposal	EOD		Medium	Provide explosive ordnance disposal services in support of humanitarian relief operations; includes unexploded ammunition disposal, mine clearing assistance, and local information and training			Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
ED-02	MCDA-15	Mine Clearing	EOD		Medium	Provide mine clearing services in support of humanitarian relief operations; includes mine clearing, mined zone fencing, mine disposal, and population awareness			Tactical SAT-C, UHF, VHF, HF
ED-03	MCDA-16	Training Mine Awareness/Clearing	EOD		Medium	Provide mine awareness/clearing training support to population and/or humanitarian relief personnel in the crisis area; includes local training in mine awareness, mine marking, and mine clearing			Tactical SAT-C, UHF, VHF, HF
EN		**Engineering**	**Eng**						
EN-01	MCDA-09	Power Generation	Eng		Medium	Generate electricity (50 or 60 Hz) for power supply to equipment and camp installations in support of humanitarian relief operations; ground or ship-based			Tactical SAT-C, UHF, VHF, HF
EN-02	MCDA-10	Bridge Construction	Eng		Medium	Construct and maintain 50 meter bridges of 20 metric ton capacity for vehicles and/or pedestrians using military bridging or local resources			Tactical SAT-C, UHF, VHF, HF
EN-03	SP-19	Site Preparation/ Development	Eng			Provide civil engineering capability to prepare and develop as many as 20 refugee camp sites (5,000 person capacity per site) at a rate of 2 camps per week on undeveloped land; includes site preparation, construction, maintenance with planned life of 2 yr			
EN-04	MCDA-11	Field Engineers	Eng		Medium	Provide general military engineering capabilities in support of humanitarian relief operations: minor bridge repair, destruction of damaged buildings, and vertical and horizontal construction tasks			Tactical SAT-C, UHF, VHF, HF
EN-05	SP-20	Road Construction	Eng			Provide capability to construct rapidly all-weather access roads to refugee camps, including necessary bridging; includes operators, technicians, and supervisory personnel; heavy equipment; and materials to complete task in 3 months			
EN-06	WFP-04	Horizontal Contruction for Road and Airstrip Repair	Eng		High or Moderate	Assess, prepare, and conduct either road or airstrip repair and/or new construction to improve existing transportation systems to support heavy volumes of humanitarian food, improve airfield to C141 capability			

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
EN-07	MCDA-12	Road/Airfield Construction	Eng		Medium	Assess, prepare and conduct road/airstrip repair/construction to improve existing transportation systems in order to support heavy volumes of humanitarian aid; includes technical survey, project planning, construction, and local sub-contracting			Tactical SAT-C, UHF, VHF, HF
EN-08	WFP-05	Vertical Engineer Construction	Eng		High or Moderate	Construct facilities for the receipt, storage, and dispatch of food shipments, rudimentary office facilities, and truck fleet support activities. Manage local contractors or material providers.			
EN-09	MCDA-39	Fire Fighting	Eng		Medium	Provide fire fighting capability both for urban and forest/bush fires; pumping capacity 18,000 liters per minute and water delivery distance of 1 kilometer; includes capabilities to fight fires with full breath protection and employing foam or chemicals			Tactical SAT-C, UHF, VHF, HF
EN-10	MCDA-13	Engineer Contract Management	Eng		Medium	Manage all engineering contracts to be executed in an area of humanitarian relief operations; includes project planning, budget planning, preparation and coordination of projects, and taking over or handing over projects			Tactical SAT-C, UHF, VHF, HF
EN-11	MCDA-56	Site Construction/ Preparation	Eng		Medium	Rapidly develop virgin territories into safe camps for affected population; includes management of camp construction, construction of shelters, storm water and drainage, social services area, and maintenance of camp			Tactical SAT-C, UHF, VHF, HF
LG		**Logistics Support**	**Log**						
LG-01	MCDA-23	Logistics Base Establishment	Log		Medium	Construct facilities for the receipt, storage, and dispatch of relief items, basic office environment and truck fleet support activities; includes technical survey, plan development and implementation, facilities construction, and electrification and power supply			Tactical SAT-C, UHF, VHF, HF
LG-02A	WFP-10	Logistics Advisory Services	Log			Develop, coordinate, and plan the overall area logistics system in conjunction with WFP staff to ensure rapid and efficient delivery of humanitarian food assistance.			

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
LG-02B	MCDA-22	Logistics Advisory Service	Log		Medium	Develop, coordinate, and plan the overall area logistics system in conjunction with the relief headquarters to ensure rapid and efficient delivery of humanitarian assistance; includes logistics assessment, plan development, contract supervision, and coordination of logistics services and supplies			Tactical SAT-C, UHF, VHF, HF
LG-03A	SP-05	Warehousing and Store Keeping	Log			Provide self-contained stand-alone warehousing facilities and store keeping for food and non-food items and other goods and materials for up to 250,000 aid recipients.			
LG-03B	MCDA-24	Warehouse and Store Keeping	Log		Medium	In an existing logistics base (warehouse), provide warehousing and store keeping services, seven days a week, for food and non-food items, and other goods/materials needed to support humanitarian relief operations; includes warehousing and storekeeping services, supervision of loading and unloading , registration of goods, reporting, and reconditioning of damaged goods			Tactical SAT-C, UHF, VHF, HF
LG-03C	MCDA-25	Self-Sustained Warehouse	Log		Medium	Establish and operate a warehouse for food and/or non-food relief supplies in humanitarian relief operations; includes construction of prefabricated warehouse and provision of warehouse and storekeeping services			Tactical SAT-C, UHF, VHF, HF
LG-04	MCDA-17	Field Bakery	Log		Medium	Provide freshly baked bread in support of humanitarian relief operations for a camp (5,000 persons); bake in accordance with cultural requirements and be prepared to purchase necessary food items on local market			Tactical SAT-C, UHF, VHF, HF
LG-05	MCDA-18	Field Catering	Log		Medium	Provide food preparation and catering services to humanitarian relief personnel and/or population in the crisis area for a camp (5,000 persons); prepare food in accordance with cultural/religious requirements of camp population and be prepared to purchase necessary food items on local market			Tactical SAT-C, UHF, VHF, HF
LG-06	MCDA-21	Laundry and Bath	Log		Medium	Provide laundry and bath facilities for personnel in humanitarian relief operations; includes warm water showers for up to 20 persons per hour, and facilities for washing and ironing clothes of up to 100 persons per day			Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
LG-07A	SP-15	Latrine Construction	Log		Medium	Construct temporary communal or individual latrines to support 10,000 people to be operational in 3 weeks and more permanent latrines for same population in 3 months			
LG-07B	MCDA-33	Latrine Construction	Log		Medium	Construct latrines to prevent the spread of disease, and ensure a hygienic disposal of human feces in the shortest time possible; includes construction of temporary facilities such as trench latrines and more permanent facilities with up to a 2 year life span, and ventilation and emptying capabilities.			Tactical SAT-C, UHF, VHF, HF
LG-08A	SP-17	Solid Waste Management	Log			Collect, transport, and dispose of all types of solid wastes, including domestic and medical wastes for a community of 10,000 people			
LG-08B	MCDA-34	Solid Waste Management	Log		Medium	Ensure that all kinds of solid wastes (incl. domestic refuse and medical wastes) are properly dealt with on a daily basis to prevent a possible proliferation of disease-carrying insects or pests while reducing nuisance for the population on a given site			Tactical SAT-C, UHF, VHF, HF
LG-09A	SP-18	Waste Water System	Log		Medium	Create and maintain a sanitary environment at water sources, water collection points, and latrines for community of 10,000 people; includes construction of drainage facilities, septic tanks, or stabilization ponds to collect and treat water			
LG-09B	MCDA-35	Waste Water System	Log			Drain away wastewater from populated areas and treat it, when necessary, before it reaches natural water			Tactical SAT-C, UHF, VHF, HF
ME		**Medical**	**Med**						
ME-01A	SP-07	Field Hospital	Med			Provide medical capability for tertiary level of health emergency service to complement those of national or local structures. Provide 1 to 2 beds per 1,000 in-patient refugees and 1 bed per 5,000 persons requiring surgery			
ME-01B	MCDA-19	Field Hospital	Med		Medium	Provide up to 100-bed patient care facility with full range of military level three support in austere environment; includes in-bed patient care, emergency surgery and obstetrics, infectious disease treatment, laboratory services, and handling and provision of safe blood			Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
ME-02	MCDA-20	Medical Evacuation and Transport	Med		Medium	Provide first, second, and third line medical evacuation and transport support (road and off-road) within an area of humanitarian relief operations; includes provision of first aid and preparation of patients for transport			Tactical SAT-C, UHF, VHF, HF
ME-03A	SP-16	Vector Control	Med		Medium	Provide capability to control vectors found in refugee situations based on specific needs assessment to complement other sanitation and hygiene measures employed in the area			
ME-03B	MCDA-36	Vector Control	Med		Medium	Provide pest and rodent control for camps, or other localized sites within a crisis area (up to 100,000 persons) for two sites simultaneously			Tactical SAT-C, UHF, VHF, HF
NB		**NBC Support**	**NBC**						
NB-01	MCDA-26	Armored Vehicle Reconnaissance	NBC		Medium	Conduct 3 to 5 nuclear and/or chemical detection missions per day in a contaminated area using armored vehicles in order to minimize danger for involved personnel and to accelerate the provision of results; includes sampling, determination of scale and borders of contamination, marking contaminated area, determining ways and means of decontamination, and reporting information to relief operations headquarters and local authorities			Tactical SAT-C, UHF, VHF, HF
NB-02	MCDA-27	Chemical/Radiation Sensory Team	NBC		Medium	Determine nuclear, biological, and chemical threats in a given area, provide limited decontamination facilities, conduct 3 to 5 SAR missions per day, install alert warning system, and make recommendations to relief headquarters, and local authorities			Tactical SAT-C, UHF, VHF, HF
NB-03	MCDA-28	Decontamination	NBC		Medium	Provide danger minimization for mission personnel and affected population after NBC contact (for 50 persons and equipment items per day); includes providing decontamination chemicals, briefing personnel, performing decontamination, and ensuring quality control			Tactical SAT-C, UHF, VHF, HF
NB-04	MCDA-29	Mobile NBC Laboratory	NBC		Medium	Collect and analyze 10 to 15 samples per day in the case of nuclear, biological, and chemical contamination, and assist relief headquarters and local authorities in decision finding			Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
NB-05	MCDA-30	Nuclear Detection	NBC		Medium	Provide 3 to 5 detection missions per day to detect nuclear contaminated groups and execute decontamination measures for relief personnel as required; includes detection and analysis, establishing a local warning center, and provision of decontamination facilities			Tactical SAT-C, UHF, VHF, HF
NB-06	MCDA-31	NBC Assistance to Affected Population	NBC		Medium	Conduct 3 to 5 SAR missions per day; determine nuclear, biological, and chemical threats in a given area; and provide information and basic awareness training to relief personnel and affected population; carry out NBC decontamination for up to 50 hours			Tactical SAT-C, UHF, VHF, HF
NB-07	MCDA-32	NBC Protection	NBC		Medium	Provide appropriate NBC protection for relief personnel and equipment, and be prepared to carry out first aid and medical treatment training to relief personnel and affected population			Tactical SAT-C, UHF, VHF, HF
SA		**Search and Rescue**	**SAR**						
SA-01	MCDA-37	Boats/Ships for Rescue and Support Operations	SAR		Medium	Provide ships or boats for rescue and support operations on sea or on inland water; includes locating victims, rescuing them, providing first aid, and distributing food and non-food items to flood affected population			Tactical SAT-C, UHF, VHF, HF
SA-02	MCDA-38	Aircraft for Search and Rescue Operations	SAR		Medium	Provide helicopters or fixed wing aircraft for search and rescue operations in connection with a humanitarian relief operation; includes locating victims, providing first aid, and conducting rescue from hazardous areas			Tactical SAT-C, UHF, VHF, HF
SA-03	MCDA-57	Rescue Operations	SAR		Medium	Recover persons trapped under debris, whether injured, not injured, or dead; provide life-saving first aid where appropriate, and prepare patients for transportation to assembly points			Tactical SAT-C, UHF, VHF, HF
SA-04	MCDA-58	Search Operations	SAR		Medium	Locate persons (dead or alive) trapped under debris or avalanches; includes locating persons with search dogs, ultrasonic, optic, or thermal detectors			Tactical SAT-C, UHF, VHF, HF
TP		**Surface Transportation**	**Tpt**						
TP-01A	SP-06	Road Transport	Tpt			Provide self-contained, stand-alone road transport with a generic fleet of trucks capable of moving food and non-food-food items to supply humanitarian relief operations for 250,000 aid recipients. Vehicles and maintenance facilities are included in package			

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
TP-01B	WFP-09	Long Haul Transportation	Tpt		High to Moderate	To establish and support reliable long haul, high capacity trucking and convoy operations over difficult terrain (primarily on a commercial basis).			
TP-01C	MCDA-45	Cargo Road Transport	Tpt		Medium	Provide stand alone, 7 days a week company/platoon/squad size element for road/off-road delivery of food and non-food items needed in humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF
TP-01D	MCDA-46	Personnel Transport	Tpt		Medium	Provide stand alone, 7 days a week vehicles for road/off-road transport of up to 10 persons plus equipment in humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF
TP-02	MCDA-47	Transport for Liaison and Assessment	Tpt		Medium	Provide stand alone, 7 days a week vehicles for road/off-road liaison and assessment transport for a single person or teams of up to 3 persons plus equipment, in support of humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF
TP-03A	WFP-07	Rail Operations	Tpt		Immediate to High	To increase rail capacity through improved rail operations management and wagon tracking as well as rolling stock and track repair. Recommend management, engineering, or equipment enhancements, including cost estimates, and develop computerized tracking			
TP-03B	MCDA-48	Rail Operations	Tpt		Medium	Increase rail capacity through improved rail operations management, wagon tracking as well as rolling stock and track repair; includes assessment and recommendations, computerized tracking, local supervision, and close cooperation with humanitarian officials			Tactical SAT-C, UHF, VHF, HF
TP-04A	WFP-06	Port Operations	Tpt		Immediate to High	Rapidly increase port capacities through improving port management and cargo handling in order to support large scale, cost effective humanitarian food aid deliveries and throughput. Coordinate scheduling, discharge, storage, and supervise stevedores.			
TP-04B	MCDA-50	Seaport Operations	Tpt		Medium	Rapidly increase port capacities by improving port management and cargo handling in order to support large scale, cost effective humanitarian aid deliveries and throughput; includes development of a port operations plan, local supervision of stevedoring and cargo handling equipment operators, and coordination of schedules, discharge of cargo, and on site storage			Tactical SAT-C, UHF, VHF, HF

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
TP-05	MCDA-49	Transport Ships	Tpt		Medium	Provide ships for transportation of emergency relief goods, personnel, or equipment in support of humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF
WT		**Water Supply and Distribution**	**Wtr**						
WT-01A	SP-08	Hydrogeological Survey	Wtr			Provide necessary technical input for the location of adequate water sources and for planning their development during the emergency			
WT-01B	MCDA-54	Hydrogeological Survey	Wtr		Medium	Provide the necessary technical input for the location of adequate water sources and for planning their development during emergencies to facilitate the provision of safe water (7 liters per person per day) in the shortest time possible and in the most cost-effective way; includes inventory of existing information, surveys and identification of immediate and medium and long term sources, and developing a plan of action			Tactical SAT-C, UHF, VHF, HF
WT-01C	SP-10	Surface Water	Wtr			Provide engineering support for identification and assessment of potential sites (SP-08); development of extraction, treatment, storage, and distribution, monitoring and supervision of all water operations			
WT-02A	SP-14	Water Storage	Wtr			Engineering support needed to identify, prepare, construct foundations and drainage, and assemble and connect tanks to store 10 liters of water per person; minimum storage is for 12,000 liters and desired volume is 70,000 liters			
WT-02B	MCDA-51	Water Storage/Distribution	Wtr		Medium	Provide the necessary technical input and equipment to design, construct, and maintain an adequate storage and distribution system for potable water in humanitarian relief operations: includes potable water reservoirs of 20,000 liter capacity, water pipeline from reservoirs to distribution points, and water tap stations			Tactical SAT-C, UHF, VHF, HF
WT-02C	SP-13	Water Distribution	Wtr			Provide technical input and equipment to design, construct, and maintain an adequate distribution system for refugees. Includes networks and standposts for distribution within camps			
WT-03A	SP-09	Water Tanker Operation	Wtr			Provide capability to extract 100 cubic meters of water in a 10 hour day, transport to a camp within 25 kilometers, store 95 cubic meters at extraction site, and use gravity unloading at four sites.			

Table E-3. Summary of UN Service Modules (con't)

Number	Source	Module	Sector	UTC	Dep	Capability	Personnel	Vehicles	Comms
WT-03B	MCDA-52	Water Transportation	Wtr		Medium	Deliver safe water (7 liters/person per day) from available resources to water distribution points in the most cost-effective way during emergency situations transport up to 264,000 gallons (1,200 cubic meters) per day to as many as 6 distribution points; establish infrastructure to facilitate unloading into storage and distribution facilities; manage transportation distribution			Tactical SAT-C, UHF, VHF, HF
WT-04A	SP-12	Water Treatment	Wtr			Provide capability to identify And treat at least 70 cubic meters of water per day by filtration, chemical disinfecting, or boiling as required.			
WT-04B	MCDA-53	Water Treatment/Purification	Wtr		Medium	Operate water purification equipment to provide potable water and provide quality control; Level 1- disinfect at least 10,000 liters of potable water per day, Level 2- disinfect between 10,000 to 50,000 liters of potable water per day , and Level 3-disinfect more than 50,000 liters of potable water per day			Tactical SAT-C, UHF, VHF, HF
WT-05A	SP-11	Borehole Drilling	Wtr			Provide engineering capability to assess and construct boreholes to tap aquifers. Package includes drilling equipment, hand pumps for emergency needs, and diesel pumps for extracting larger volumes			
WT-05B	MCDA-55	Borehole Drilling	Wtr		Medium	Construct small diameter and large diameter boreholes and pump the water from the boreholes to provide groundwater in humanitarian relief operations			Tactical SAT-C, UHF, VHF, HF

Sources: 1. OCHA Register of Military and Civil Defense Assets (MCDA Register), 1 February 1999. (Service Modules), OCHA-Online.
2. Expressions of Interest in Service Packages, UNHCR, 2 April 1995. (Service Packages).
3. Logistics Preparedness ALITE (Augmented Logistics Intervention Team for Emergencies) Logistics Service Transport

4. International Urban Search and Rescue Teams

The search and rescue category in the MCDA inventory includes aerial and maritime search and rescue modules. Two additional modules are for search and rescue on land when people are trapped in collapsed buildings, mud-slides, or avalanches. The Urban Search and Rescue (USAR) capabilities, however, are separately identified in the "Directory of International Search and Rescue Teams (SAR Directory)" maintained on the OCHA-Online[13] registry. The directory list more than 20 international teams currently registered with the UN that are provided by governmental and non-governmental organizations. These USAR teams are equipped and trained in accordance with standards established by the International Search and Rescue Advisory Group (INSARAG).

Because the USAR teams must respond rapidly to emergencies, the directory provides a 24-hour point of contact, the release authority, and the list of specialized expertise and equipment they contain. These teams deploy with a 30-day self-sustaining capability so they do not impose an additional burden on the affected nation while performing their tasks. Each of the two U.S teams[14] maintained on contract by OFDA will typically deploy with 60 personnel, equipment, and sustainment, and require the equivalent of two C5A aircraft. The list summarized in Table E-4 identifies only the teams that have registered with OCHA and adhere to the INSARAG standards. There are many other USAR teams[15] throughout the world with various capabilities that could respond to local situations; the Federal Emergency Management Agency has 27 teams under contract for domestic employment throughout the U.S., and more than 150 teams offered their services to the Japanese Government after the Kobe earthquake. These teams should be added to the MCDA list if they are deployable to assist other nations.

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13 This directory can be located at: http://www.reliefweb.int/ocha_ol/programs/response/sarnet.htm.

14 One team is provided from the Miami-Dade County, Florida Fire Department and the other is from the Fairfax County, Virginia Fire Department.

15 A total of nine USAR teams from Austria, Estonia, Lithuania, Romania, Russia, and the Ukraine participated with several Icelandic teams during the field training phase of Exercise Cooperative Safeguard 1997, a NATO Partnership for Peace exercise scheduled by the Supreme Allied Commander Atlantic.

Table E-4. Summary of International Urban Search and Rescue Teams

Country	Medical			<-----Search Equipment------>								<----------Cutting Equipment---------->												<----Lifting---->				<Pulling>		
Country	Paramedics	Physicians	Trama Management	Electric-Visual	Fiber-Optic	Geophone	Infrared Goggles	Search Dogs	Sound	Thermal-Imaging	Ultrasonic	Blasting Kit	Chain Saw	Chisel	Compressor	Rebar Cutter	Disc Cutter	Gas Cutter	Hammer Drill	Heavy Boring	Hydraulic Cutter/Spreader	Saw	Thermal Cutter	Air Bag	Heavy Crane	Heavy-Duty Jack	Jack	Pulley	Truck Mounted	Winch
Columbia	y	y	y		y			y			y			y			y	y						y						y
Denmark		y						y			y			y			y							y		y				y
Ecuador	y	y	y					y						y			y													
Finland	y	y	y					y		y	y			y			y	y						y		y	y			y
France	y	y						y	y					y			y						y	y		y				y
Germany Tm 1	y	y						y									y									y				y
Germany Tm 2	y	y	y					y			y																			
Germany Tm 3	y							y																						
Germany Tm 4	y	y	y					y			y			y			y	y						y		y				y
Honduras	y	y	y																						y	y				y
Indonesia	y	y	y														y							y						y
Italy	y	y	y			y		y						y			y	y						y		y				y
Japan	y	y	y		y		y			y	y			y			y	y	y					y						y
Singapore	y	y	y	y						y	y			y			y	y			y			y		y				y
Sweden	y	y	y					y						y			y	y		y						y		y		
Switzerland	y	y	y					y			y			y			y							y				y		y
Turkey											y			y			y	y						y				y	y	
United Kingdom Tm 1	y	y	y		y					y	y						y													y
United Kingdom Tm 2	y	y	y	y	y					y	y			y			y	y						y				y		y
United States Tm 1	y	y	y		y			y			y			y		y						y		y		y				y
United States Tm 2	y	y	y		y			y			y			y		y						y		y		y				y

Source: http://www.reliefweb.int/ocha_ol/programs/response/register.html, 15 January 1999.

5. Euro-Atlantic Disaster Response Coordination Centre

The Euro-Atlantic Partnership Council (EAPC) – the 42 nations of the North Atlantic Council and the Partnership for Peace program – established the Euro-Atlantic Disaster Response Coordination Centre (EADRCC) in Brussels in June 1998. Its purpose is to coordinate on a regional basis the response of its member nations to requests for disaster relief assistance either from one of its members or from OCHA for international assistance. This new center employs the MCDA modules and has established standing operating procedures to facilitate the coordination process among its members and OCHA.[16] Although only operational for a short part of the year, the EADRCC coordinated the response to the OCHA request for the transportation service module provided by the U.S. to Albania, and is currently coordinating the EAPC response to the crisis in Kosovo.

B. STANDBY ARRANGEMENTS FOR PEACEKEEPING RESPONSE

The UN has been engaged in at least 48 operations to keep the peace beginning with its first involvement in the Middle East in 1948. Many of these missions have continued for several years, others are of relatively short duration, and in a few situations, missions have been reestablished because the conditions that caused the crisis were not completely eliminated. These missions often include a mix of military troops, civilian police, election observers, UN staff, and local civilians hired to support the contingent. Missions have ranged in size from two observers in the Dominican Republic to nearly 40,000 troops in Bosnia.[17] These operations are summarized in Table E-5 by mission name, location, maximum number of personnel, and the initiating UN Security Council Resolution (UNSCR), sorted by start date. There has been an increasing requirement for the UN to establish new peacekeeping missions throughout the troubled world, and more than two-thirds of the peacekeeping operations have occurred in the decade since the end of the Cold War. Resolution (UNSCR), sorted by start date. There has been an increasing requirement for the UN to establish new peacekeeping missions throughout

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16 Standing Operating Procedures for the Euro-Atlantic Disaster Response Coordination Centre (EADRCC), September 1998.

17 During 1998, 77 member nations contributed a total of 14,347 personnel (2,718 civilian police, 10,708 troops, and 921 observers) to 17 ongoing UN peacekeeping operations, down from a peak of more than 70,000 troops per year in the 1993-1995 period. Summary of Troop Contributors to Peacekeeping Operations, DPKO web page.

the troubled world, and more than two-thirds of the peacekeeping operations have occurred in the decade since the end of the Cold War.

Table E-5. UN Peacekeeping Missions

Mission	Name	Start	End	First UNSCR	Max Pers	Location
UNTSO	UN Truce Supervision Organization	Jun-48	Present	50	572	Middle East
UNIMOGIP	UN Military Observer Group in India and Pakistan	Jan-49	Present	47	102	India/Pakistan
UNEF I	First UN Emergency Force	Nov-56	Jun-67	998	6,073	Suez
UNOGIL	UN Observation Group in Lebanon	Jun-58	Dec-58	128	591	Lebanon
ONOC	UN Operation in the Congo	Jul-60	Jun-64	143	19,828	Congo
UNSF	UN Security Force in West New Guinea (West Irian)	Oct-62	Apr-63	1752	1,576	West New Guinea
UNYOM	UN Yemen Observer Mission	Jul-63	Sep-64	179	189	Yeman/Saudi Arabia
UNFICYP	UN Peacekeeping Force in Cyprus	Mar-64	Present	186	6,411	Cyprus
DOMREP	Mission of the Representative of the Secretary-General in the Dominican Republic	May-65	Oct-66	203	2	Dominican Republic
UNIPOM	UN India-Pakistan Observation Mission	Sep-65	Mar-66	211	96	India/Pakistan
UNEF II	Second UN Emergency Force	Oct-73	Jul-79	340	6,973	Suez
UNDOF	UN Disengagement Observer Force	May-74	Present	350	1,450	Syrian Golan Heights
UNIFIL	UN Interim Force in Lebanon	Mar-78	Present	425	7,000	Southern Lebanon

Table E-5. UN Peacekeeping Missions (cont'd)

Mission	Name	Start	End	First UNSCR	Max Pers	Location
UNGOMAP	UN Good Office Mission Afghanistan and Pakistan	Apr-88	Mar-90	622	50	Afghanistan/ Pakistan
UNIIMOG	UN Iran-Iraq Military Observer Group	Aug-88	Feb-91	598	400	Iran/Iraq
UNAVEM I	UN Angola Verification Mission I	Jan-89	Jun-91	626	70	Angola
UNTAG	UN Transition Assistance Group	Apr-89	Mar-90	632	7,500	Namibia
ONUCA	UN Observer Group in Central America	Nov-89	Jan-92	644	1,098	Central America
UNIKOM	UN Iraq/Kuwait Observer Misison	Apr-91	Present	687	1,181	Iraq/Kuwait
UNAVEM II	UN Angola Verification Mission	Mar-91	Feb-95	696	1,118	Angola
MINURSO	UN Mission for Referendum in Western Sahara	Apr-91	Present	690	3,000	Western Sahara
ONUSAL	UN Observer Mission in El Salvador	Jul-91	Apr-95	693	1,583	El Salvador
UNOMIL	UN Observer Mission in Liberia	Sep-91	Present	866	374	Liberia
UNAMIC	UN Mission in Cambodia	Oct-91	Mar-92	717	1,091	Cambodia
UNPROFOR	UN Protection Force	Mar-92	Dec-95	743	39,922	FRY
UNTAC	UN Transitional Authority in Cambodia	Mar-92	Sep-93	745	26,384	Cambodia
UNOSOM I	UN Operations in Somalia	Apr-92	Mar-93	745	4,279	Somalia
ONUMOZ	UN Operation in Mobambique	Dec-92	Dec-94	797	9,884	Mozambique
UNOSOM II	UN Operations in Somalia	Mar-93	Mar-95	814	30,800	Somalia

Table E-5. UN Peacekeeping Missions (cont'd)

Mission	Name	Start	End	First UNSCR	Max Pers	Location
UNOMUR	UN Operation Uganda-Rwanda	Jun-93	Sep-94	846	81	Uganda/Rwanda
UNYOM	UN Yemen Observation Mission	Jul-93	Sep-94	179	189	Yemen
UNOMIG	UN Observer Mission in Georgia	Aug-93	Present	849	275	Georgia
UNMIH	UN Mission in Haiti	Sep-93	Jun-96	867	7,150	Haiti

Source: 1. The Blue Helmets - A Review of United Nations Peace-Keeping, 1996.
2. Janes' Defense Weekly.

The limited time available to organize and deploy the increasing number of peacekeeping missions caused the Secretary General to establish the Standby Arrangement System (SAS) in early 1994. Standby Arrangements are conditional commitments by member states to provide specified resources within the agreed response times for UN peacekeeping operations. The resources include military units, specialized personnel (civilian and military), services, or materiel. The resources remain on standby in their home country. Where necessary, training is conducted to prepare the personnel and units to fulfill tasks or functions in accordance with UN provided guidelines.[18] These resources are only employed for peacekeeping operations mandated by the UN Security Council under Chapter VI of the UN Charter. Missions will be authorized for the standby forces when there is consent of parties (1) to implement arrangements relating to the control of conflicts, (2) to monitor the resolution of conflicts, or (3) to protect the delivery of humanitarian relief in situations of conflict.

1. SAS Procedures

A total of 85 member nations have officially expressed willingness to participate in the SAS. Sixty-one members have provided a list of capabilities to the UN Department of Peace-Keeping Operations (DPKO) describing the types of resources they will make available. The list of capabilities also identifies the tasks the resources can perform, the number of personnel, the response time, and any national restrictions on the employment of the forces. Thirty-six members have completed more detailed "Planning

[18] Examples include the UN Military Observers Handbook, the UN Civilian Police Handbook, the General Guidelines for Peace-Keeping Operations, and the Selection Standards and Training Guidelines for United Nations Civilian Police (CIVPOL) (Draft).

Data Sheets" for DPKO that describe the major equipment, level of self-sufficiency, transportation data, the organization of the units, and data on individuals. Of the 61 nations listing their capabilities, 24 have also signed a Memorandum of Understanding (MOU) with the UN Standby Arrangements Unit of the DPKO, based on the model agreement of 23 May 1991. The "Summary of Contributions" Annex to the MOU specifies information on the resources made available, their composition, response times, and conditions for employment.

The willing nations[19] and their level of participation in the SAS program are summarized in Table E-6. Some of the nations have agreed to contribute their forces to the Standby High Readiness Brigade (SHIBRIG), the largest formation in the SAS, and these nations are identified in the same table.

When a requirement for a peacekeeping force is authorized by the Security Council, the Secretary General will request resources from member states through the SAS. When a contributing nation approves its force commitment, their resources will be deployed rapidly with those of other contributing nations either to set up a new peacekeeping mission or to reinforce one that already exists. The member states retain command of their contributed forces while on the mission, but the personnel are placed under the "operational command"[20] of the designated UN force commander.

The resources covered by the SAS include military units (personnel organized and trained to fulfill a task or mission), specialized personnel (civilian or military individuals able to perform specific functions such as observers, monitors, or staff officers), material and equipment, and services. The criteria for SAS readiness to deploy is specified in three categories:

- Seven Days – Individual personnel
- Fifteen Days – Units, sub-units, or elements involved in the reception phase
- Thirty Days – Other units, sub-units, and elements of the peacekeeping force.

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19 As of 1 April 1999, the SAS participating nations have identified for the DPKO 146,800 personnel who could be made available for peacekeeping missions. Of this total, 84,00 personnel are assigned to operational military units and 56,700 are in support units; 2,050 are civilian police; 1,600 are military observers; and 2,450 are other civilians.

20 Operational Command – "The authority granted to a commander to assign missions or tasks to subordinate commanders to deploy units, to reassign forces, and to retain or delegate operational and tactical control; it is the highest level of operational authority which can be given to an appointed commander who is acting outside of his own chain of command, and is seldom authorized by Member States." (Source: UN Glossary)

Member states assume all costs as long as the resources remain on standby in their own country. Personnel are paid by their own governments according to their national rank and salary scale. When the arrangements are activated, reimbursement is according to the existing UN rules and regulations.[21] The Standby Arrangements require units, sub-units, and elements to be employed for six months. Individuals are employable for one year tours. The member states establish their own personnel rotation policies within the framework of the standard employment periods. Logistics support for the mission is normally the responsibility of the UN, but the deployed elements must be self-sustaining until the UN system is established. The arrangements recommend units deploy with 180 days of spare parts and 60 days of all other items to cover the startup period for the UN logistics system.

During the execution phase of the operation, a minimum of 30 days of stock is recommended to offset any interruptions in the UN logistics system.

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[21] Currently the UN reimburses countries to approximately $1,000 per soldier per month. The UN also reimburses for equipment contributed. Reimbursements are often delayed when members fail to pay UN Security Council approved assessments.

Table C-6. Member Nations Participating in the UN Standby Arrangement System

Nation	Interest	List	Data	MOU	SHIRBRIG	Nation	Interest	List	Data	MOU	SHIRBRIG
Algeria	Yes					Malaysia	Yes	Yes	Yes	Sep-96	
Argentina	Yes	Yes	Yes	Nov-97		Malawi	Yes				
Australia	Yes	Yes	Yes			Mali	Yes				
Austria	Yes	Yes	Yes	Nov-96	Yes	Mongolia	Yes				
Bangladesh	Yes	Yes	Yes	Dec-97		Myanmar	Yes	Yes			
Belarus	Yes	Yes				Namibia	Yes	Yes			
Belgium	Yes	Yes	Yes			Nepal	Yes	Yes	Yes	Sep-97	
Benin	Yes					Netherlands	Yes	Yes	Yes	Oct-98	Yes
Bolivia	Yes	Yes	Yes	May-97		New Zealand	Yes	Yes	Yes		
Botswana	Yes					Niger	Yes	Yes			
Brazil	Yes	Yes				Nigeria	Yes	Yes	Yes	Feb-98	
Bulgaria	Yes	Yes	Yes			Norway	Yes	Yes			Yes
Burkina Faso	Yes					Pakistan	Yes	Yes	Yes		
Canada	Yes	Yes	Yes		Yes	Poland	Yes	Yes	Yes		
Chad	Yes	Yes				Portugal	Yes	Yes	Yes		
Chile	Yes					Republic of Korea	Yes	Yes			
China	Yes					Republic of Moldova	Yes	Yes			
Cote d'Ivoire	Yes					Romania	Yes	Yes	Yes	Sep-98	
Croatia	Yes					Russian Federation	Yes	Yes			
Czech Republic	Yes	Yes	Yes			Senegal	Yes	Yes			
Denmark	Yes	Yes	Yes	May-95	Yes	Singapore	Yes	Yes	Yes	May-97	
Ecuador	Yes					Slovak Rep	Yes	Yes			
Egypt	Yes					Slovenia	Yes	Yes			
Estonia	Yes					Spain	Yes	Yes			
Finland	Yes	Yes	Yes	Mar-98		Sri Lanka	Yes	Yes			
France	Yes	Yes	Yes			Sudan	Yes	Yes			
Gambia	Yes	Yes				Sweden	Yes	Yes			Yes
Georgia	Yes					Syria	Yes	Yes	Yes		
Germany	Yes	Yes	Yes	Jul-98		Tanzania	Yes	Yes	Yes		
Ghana	Yes	Yes	Yes	May-96		Thailand	Yes	Yes			
Greece	Yes	Yes				Togo	Yes	Yes			
Guatemala	Yes	Yes	Yes			Tunisia	Yes	Yes			
Hungary	Yes	Yes				Turkey	Yes	Yes			
India	Yes	Yes				Ukraine	Yes	Yes	Yes	Aug-97	
Indonesia	Yes					United Kingdom	Yes	Yes	Yes		
Iran	Yes					United States	Yes	Yes			
Ireland	Yes	Yes		Oct-98		Uruguay	Yes	Yes	Yes	Sep-97	
Italy	Yes	Yes	Yes	May-97		Uzbekistan	Yes				
Jordan	Yes	Yes	Yes	Jan-95		Zambia	Yes	Yes			
Kazakstan	Yes					Zimbabwe	Yes	Yes			
Kenya	Yes	Yes									
Kyrgyzstan	Yes	Yes		Dec-98							
Latvia	Yes	Yes									
Lithuania	Yes	Yes	Yes	Jan-98							
Madagascar	Yes										

Source: UN Standy Arrangements Monthly Status Report, 1 July 1999. See http://www.un.org/depts/dpko.

2. SAS Tables of Organization and Equipment

The SAS has developed more than 100 Tables of Organization and Equipment (TO&Es) so that member states, regardless of size, capabilities, or situation, could participate at some level in these operations. The TO&Es provide guidelines to member states for determining their contributions, and have been developed to respond to the most demanding conditions that a mission might encounter. The TO&Es provide building blocks of capabilities that can be selectively tailored to the environment in which the mission is expected to operate and the tasks the mission will be expected to perform.

The TO&Es, shown in Table E-7, are grouped in the following categories: (a) Headquarters and Support, (b) Mission Forces, (c) Communications Support, (d) Aviation Support, (e) Engineering Support, (f) Medical Support, and (g) Logistical Support. The table also identifies the unit type, a number assigned by the author to track units and sub-units within the categories, the number of personnel, the number and type of vehicles, and the unit mission statement. Contributing nations determine which of the TO&Es they will be willing to make available for these operations and provide that information to the DPKO.

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
A. HEADQUARTERS AND SUPPORT				
HQ Support Unit	**H001**	65	16 total	Provide administrative and logistics support to a mission and/or a force headquarters.
– HQ Element	H001A	5	3xsedans	
– Unit Support Section	H001B	10	2xsedans	
– HQ Clerical Support Platoon	H001C	30		
– Transport Platoon	H001D	20	3xminibus, 3xsedans, 2xlight trks	
– HQ Defense and Security Platoon	H001E	30	5xAPC, 3xmdm trk, 2xminibus, 3xlt trks	
HQ Defense and Security Sub-unit	**H002**	100	10 total	Provide perimeter defense and internal security to force headquarters.
– HQ Element	H002A	5		
– Defense Platoon (x3)	H002B	27	3xAPC, 3x0.75t trks, 3x2.5t trks	
– Physical Security Section	H002C	14	2x0.75t trks	
Military Police Sub-unit	**H003**	48	17 total	Police a UN Peacekeeping Mission area in order to maintain law, order, and discipline within the force.
– HQ Element	H003A	12	5x0.75t trks	
– Investigations Element	H003B	5	2x0.75t trks	
– Traffic Element	H003C	5	2x0.75t trks	
– Military Police Platoon	H003D	26	8x0.75t trks	
Personnel Security Element	**H004**	13	4x0.75t trks	Provide personnel security to designated senior officials and VIPs.
Public Affairs Element	**H005**	15 a	5x0.75t trks	Advise Mission Headquarters and deal with all media/public relations matters in the Area of Operations.
Protocol Element	**H006**	18 a	9xcommercial vehicles	Coordinate and organize all visits to a UN mission area.
Postal Element	**H007**	15 a	6x0.75t trks	Provide postal services to Force/Mission.
Military Observer/Monitor Group	**H008**	400 b	52 total	Provide observers/monitors for a single mission.
– HQ Element	H008A	25	6x0.75t trks, 4x2.5t trks, 2xminibus	
– Observer/Monitor Section (x4)	H008B	90	36x0.75t trks	
– Civilian Administration Component	H008C	TBD		

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
– Logistics Support Element	H008D	15	3x0.75t trks, 2x2.5t trks, 1xambulance	
Military Observer/Monitor Sector	**H009**	90	34 total	Provide observers/monitors for a single mission.
– HQ Element	H009A	5	3x0.75t trks	
– Observer/Monitor Team (x5)	H009B	14	5x0.75t trks	
– Logistics Support element	H009C	15	3x0.75t trks, 2x2.5t trks, 1xambulance	
Civilian Police		TBD		Monitor police officers in the host country, and exercise general supervision and control of the UN public security in the mission area.
B. MISSION FORCES				
Protected Infantry Battalion	**M001**			Ensure a visible UN presence in a peacekeeping area of operations.
– HQ Element	M001A	72	7x0.75t trks	
– Rifle Company (per co)	M001B	155	5x0.75t trks, 3x2.5t trks	
– Mechanized Company (per co)	M001C	173	7x0.75t trks, 2x2.5t trks, 3x1.5t trks, 1xshop van, 13xAPC, 1xAPC cgo, 1xARV	
– HQ and Logistics Company	M001D	140	16x0.75t trks, 5x ambulance	
C. COMMUNICATIONS SUPPORT				
Satellite Communications Unit	**C001**	300	75 total	Provide satellite communications within a UN peacekeeping mission.
– HQ Element	C001A	10	4x0.75t trks	
– Shelter and Mobile Stations	C001B	210	30x2.5t trks	
– Mobile Telephone System	C001C	20	20x0.75t trks	
– Maintenance Sub-unit	C001D	30	10x1.5t trks	
– Logistics Support Sub-unit	C001E	30	5x2.5t trks, 6x1.5t trks	
Signal Unit	**C002**	269	94 total	Provide signal communications from a UN peacekeeping force headquarters to contingent/unit headquarters.
– HQ Element	C002A	9	2x0.75t trks	
– Radio HF Troop	C002B	30	18x0.75t trks	

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
– Radio VHF Troop	C002C	50	10x0.75t trks, 7x0.25t trks	
– Radio UHF Troop	C002D	23	10x2.5t trks	
– Line Troop	C002E	68	5x1.5t trks, 6x2.5t trks, 1x0.75t trk	
– Communications Center	C002F	43	8x0.75t trks, 10x2.5t trks	
– Logistics Troop	C002G	46	1x1.25t trk, 9x1.5t trks, 11x2.5t trks, 1x5t trk	
Radio/Television Broadcast Sub-unit	**C003**	31	2x0.75t trks, 2x1.5t trks, 5x2.5t trks	Provide international, regional and particular information to the external or internal public, by the transmission of radio and television messages.
Communications Security Sub-unit	**C004**	85	24 total	Provide communications security for the UN peacekeeping force.
– HQ Element	C004A	7	2xcivil veh, 2xlight trks	
– Communications Integrity Troop (x2)	C004B	30	1xcivil veh, 5xlight trks	
– Support Troop	C004C	18	1xcivil veh, 7xlt/med trks	
Fixed Wing VIP/Liaison Flight	**A001**	40	4xa/c (TBD), 1x0.75t trk, 3x1.5t trks, 2xminibus	To provide in-theater and regional VIP/liaison air services, including SAR/Medevac missions, to an assigned mission.
D. AVIATION SUPPORT				
Fixed Wing Tactical Transport Unit	**A002**	50	8xa/c (TBD), 1x0.75t trk, 3x1.5t trks, 3xminibus	To provide in-theater and regional VIP/liaison air services, including SAR/Medevac missions, to an assigned mission.
Liaison/Light Transport Helicopter Unit	**A003**	80	4xhel (TBD), 1x0.75t trk, 5x1.5t trks, 1x2.5t trk, 3xminibus	Provide in-theater light helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.
Liaison/Light Transport Helicopter Unit	**A004**	160	8xhel (TBD), 3x0.75t trks, 4x1.5t trks, 1x2.5t trk, 6xminibus	Provide in-theater light helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
Medium Transport Helicopter Unit	**A005**	90	4xhel (TBD), 2x0.75t trks, 4x1.5t trks, 1x2.5t trk, 4xminibus	Provide in-theater medium helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.
Medium Transport Helicopter Unit	**A006**	180	8xhel (TBD), 3x0.75t trks, 4x1.5t trks, 1x2.5t trk, 8xminibus	Provide in-theater medium helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.
Heavy Transport Helicopter Unit	**A007**	90	4xhel (TBD), 2x0.75t trks, 4x1.5t trks, 1x2.5t trk, 4xminibus	Provide in-theater heavy helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.
Heavy Transport Helicopter Unit	**A008**	180	8xhel (TBD), 3x0.75t trks, 4x1.5t trks, 1x2.5t trk, 8xminibus	Provide in-theater heavy helicopter transport services, including SAR/Medevac tasks, to an assigned region, sector or mission.
Flight Safety Element	**A009**	15	4x0.75t trks	To ensure UN flight safety regulations and directives are followed by all UN assigned or contracted air services agencies.
Air Operations Center	**A010**	45	8 total	For a specified airfield, exercise control over all operational activities related to the arrival and departure of aircraft
– HQ Element	A010A	5	1x0.75t trk	
– Support Section	A010B	12	1x1.5t trk, 1x2.5t trk	
– Air Operations Room	A010C	12	3x0.75t trks	
– Air Traffic Control Comms Section	A010D	16	1x0.75t trk	
E. ENGINEERING SUPPORT				
Field Engineer Unit c	E001	505	56 total	Provide mobility, survivability and general engineering support to traditional UN peacekeeping missions.
– HQ Element	E001A	17	6x0.75t trks	
– Headquarters Company	E001B	109	14x0.75t trks, 15x5/10t trks, 2xambulances	

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
– Field Engineer Company (x2)	E001C	157	5x0.75t trks, 4x5/10t trks	
– Support Company	E001D	65	2x0.75t trks, 1x5/10t trks	
Multi-role Engineer Unit c	**E002**	525	57 total	Provide full scale engineering support to a multi-role UN mission.
– HQ Element	E002A	15	6x0.75t trks	
– Headquarters Company	E002B	93	14x0.75t trks, 15x5/10t trks, 2xmed/hy rcvy vehs	
– Mechanized Engineer Company	E002C	135	10xAPC pers, 3xAPC cgo 1xAPC ambul, 1xAPC maint	
– Construction Engineer Company	E002D	275	10x0.75t trks, 12x5/10t trks	
– Support Company	E002E	7	2x0.75t trks, 1x5/10t trks	
Water Provisioning Sub-unit	**E003**	31	1x0.75t trk, 2x5/10t trks	Locate and access sources of water in severely degraded mission area, purify and provide not less than 40,000 gallons of potable water per day.
Mine Awareness Sub-unit	**E004**	23	3x0.75t trks, 1x5/10t trk	Provide mine awareness training support.
Explosive Ordnance Disposal Sub-unit	**E005**	15	6x0.75t trks, 3xEOD vehs	Locate and dispose of explosive ordnance in the mission area.
Independent Roads and Airfield Engineer Sub-unit c	**E006**	170	20x0.75t trks, 5x5/10t trks	Provide horizontal engineer support services.
Engineer Contract Management Sub-unit	**E007**	27	4x0.75t trks	Manage all engineering contracts to be exercised in a UN mission area.
F. MEDICAL SUPPORT				
Mission/Force Headquarters Clinic	**L003**	55	6x0.75t trks, 4x1.5t trks 2x2.5t trks, 2xambulances 1xminivan	Provide 10-bed and general medical support to mission/force headquarters of a UN peacekeeping operation.
Field Hospital	**L004**	310		Provide second and third line medical support to military units and other components of a UN mission as requested.
– HQ Element	L004A	10	2x0.75t trks	
– Hospital Services Department	L004B	75	9x0.75t trks, 5xambulances 2x2.5t trks, 1xminivan	
– Medical Department	L004C	85	8x0.75t trks	

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
– Surgical Department	L004D	95	7x0.75t trks, 2xminivans	
– Ward (x5)	L004E	5		
– Dental Clinic	L004E	20		
Field Surgical Team	**L005**	50	6x0.75t, 1x2.5t 1xambulance	Provide mobile field surgical services.
Preventative Medicine/Hygiene Element	**L006**	20	4x0.75t trks	Provide preventative medicine services.
Medical Evacuation Transportation Unit	**L007**	80	2x0.75t trks, 3x1.5t trks 50xambulances	Provide second and third line medical evacuation transport support beyond the self-sufficiency of the military unit, and limited support to other components within a multi-role mission, as requested.
G. LOGISTICS SUPPORT				
Airlift Control Sub-unit	**L001**	30	6 total	For a specific airfield, exercise control over all activities related to the loading and unloading of aircraft.
– HQ Element	L001A	5	1x1.5t trk	
– Airport Operations Team	L001B	5	1x1.5t trk	
– Airfield Operations Team	L001C	5	1x1.5t trk	
– Duty Center	L001D	15	1x0.75t trk, 2x1.15t trk	
Mobile Air Movement Sub-unit	**L002**	30	8 total	For a specific airfield, execute the actual loading or unloading of aircraft.
– HQ Element	L002A	9	1x0.75t trk, 1x1.5t trk	
– Mobile Air Movement Team (x3)	L002B	7	1x0.75t trk, 1x1.5t trk	
Light Multi-role Logistic Unit	**L003**	190	40 total	Provide second and third line light logistic support to the military component, and limited support to the other components within a multi-role mission.
– HQ Element	L003A	15		
– Supply Platoon	L003B	30		
– Transport Company	L003C	85	2xsedans, 5xbuses 10xminibus, 20x5/8t(+) cgo 10x8t cgo w/tlr, 5xtractor with lowboy	
– Support Company	L003D	60		

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
Medium Multi-role Logistic Unit	**L004**	300	90 total	Provide second and third line medium logistic support to the military component, and limited support to the other components within a multi-role mission, as well as provide second line support to these components at regional/sector level.
– HQ Element	L004A	20		
– Supply Company	L004B	50		
– Transport Company	L004C	100	10xsedans, 10xminibus, 5xbuses, 20x5/8t cgo trks 5xtractor w/lowboy, 10x8t(+) trks, 10xmed water trks, 10xmed fuel trks 10x med refrig trks	
– Maintenance Company	L004D	50		
– Support Company	L004E	80		
Reception Assistance Unit	**L005**	150	38 total	Plan and organize the reception of units, individuals and equipment for a UN peacekeeping operation, at various disembarkation points in the mission area.
– HQ Element	L005A	10	2x0.75t trks	
– Defense Platoon	L005B	30	1x0.75t trk, 3x2.5t trks	
– Engineer Platoon	L005C	30	1x0.75t trk, 3x2.5t trks	
– Airport Reception Team	L005D	10	1xminibus	
– Support Platoon	L005E	70	6x0.75t trks, 10x2.5t trks 10x3/5t trks, 1xminivan	
Personnel Transport Unit	**L006**	80	32xsedans, 2xminivans 16xminibus, 5xbuses	Provide personnel transport support beyond the self-sufficiency of military units, and limited support to other components of a multi-role mission, as requested.

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
Light Cargo Transport Unit	**L007**	80	2x0.75t trks, 3x1.5t trks 50x3/5t cgo trks	Provide light cargo transport support beyond the self-sufficiency of military units, and limited support to other components within a multi-role mission, as requested.
Medium Cargo Transport Unit	**L008**	80	2x0.75t trks, 3x1.5t trks 50x5/10t cgo trks	Provide medium cargo transport support beyond the self-sufficiency of military units, and limited support to other components within a multi-role mission, as requested.
Heavy Cargo Transport Unit	**L009**	80	2x0.75t trks, 3x1.5t trks 40xhvy cgo trks, 10xhvy cgo trls, 10xtractors 10xlowboy trls	Provide heavy cargo transport support beyond the self-sufficiency of military units, and limited support to other components within a multi-role mission, as requested.
Composite Transport Unit	**L010**	235	20xsedans, 1x0.75t trk 2x1.5t trks, 2x2.5t trks 25xlt cgo trks, 50xmdm cgo trks, 25xhvy cgo trks 5xtractors, 5xlowboy trls, 10xminibuses, 5xbuses	Provide light, medium, and heavy cargo transport support beyond the self-sufficiency of military units, and limited support to other components within a multi-role mission, as requested.
Off-Road Transport Unit	**L011**	60	2x0.75t trks, 3x1.5t trks 25xoff-road cgo vehs	Provide off-road transport support beyond the self-sufficiency of military units, and limited support to other components within a multi-role mission, as requested.
Commercial Maintenance/Repair Unit	**L012**	160	9x0.75t trks, 2x1.5t trks 6x2.5t trks, 3xmdm rcvy vehs, 3xhvy rcvy vehs	Provide maintenance support to UN-owned fleet of vehicles up to three regions/sectors, through own resources or by contracting.
Electronics Repair Sub-unit	**L013**	30 a	5x0.75t trks	To repair UN-owned electronic equipment

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
Electro-Mechanical Repair Sub-unit	**L014**	30 a	5x0.75t trks	Ensure the serviceability of all electro-mechanical equipment, and devices on charge to the UN mission, at the theater level, through own resources or by contracting.
Power Generating Repair Sub-unit	**L015**	65 a	4x0.75t trks, 5x2.5t trks	Ensure the serviceability of all power generating equipment on charge to the UN mission.
Composite Supply Unit	**L016**	80	5x0.75t trks, 2x1.5t trks 2x2.5t trks	Provide second and third line supply support beyond the self-sufficiency of military units through its regional sub-units, and limited support to other components within a multi-role mission, as requested.
Depot Level Supply Unit	**L017**	60	4x0.75t trks, 2x1.5t trks 4x2.5t trks	Provide theater supply support to military and other components within a multi-role mission, as requested.
Mobile Supply Unit	**L018**	110	16x0.75t trks, 2x1.5t trks 3x2.5t trks	Provide mobile supply support to three regional/sector level areas within a multi-role mission.
Inventory Control Element	**L019**	22	1x0.75t trks, 3x1.5t trks	Keep inventory of all UN property in a mission area, control and manage all receipts and issues.
Procurement Services Element	**L020**	22	1xsedan, 2xminibuses	Provide supplemental procurement services to the civilian administrative component.
Post Exchange Element	**L021**	25 a	4xsedans, 2xminivans 1x5/10t cgo trk	Provide sundry items for sale to the mission personnel.

Table E-7. Tables of Organization and Equipment for UN Standby Arrangement System (cont'd)

Unit Type	TO&E Number	Number Personnel	Number and Type Vehicle	Mission
Movement Control Unit (Reception Phase)	**L022**	60	32	Plan and supervise the execution of road, rail, air, and sea movements in order to secure a smooth reception and deployment of units, equipment and logistics into a new UN area of operations within the planned time frame.
– HQ Element	L022A	4	3xsedans	
– Support Section	L022B	9	4xsedans	
– Civil Administration Traffic Cell	L022C	3	1xsedan	
– Terminal Services Platoon	L022D	21	3xsedans, 9xminivans	
– In Theater Movement Control Platoon	L022E	24	16xsedans	
Movement Control Unit (Execution Phase)	L023	30	21	Plan and supervise the execution of road, rail, air, and sea movements in order to secure a smooth flow of units, equipment and logistics into a new UN area of operations within the planned time frame.
– HQ Element	L023A	3	3xsedans	
– Civil Administration Traffic Cell	L023B	3	2xsedans	
– Seaport Detachment	L023C	3	2xsedans	
– Airport Detachment (x2)	L023D	3	2xsedans	
– In Theater Movement Control Platoon	L023E	15	10xsedans	
Seaport Management Element	**L024**	26 a	4xsedans, 1xminibus 2xminivans	Control and manage terminal services in a seaport within a UN mission area.
Catering Sub-unit	**L025**	20	1xlight trk	Provide food preparation and catering services in a force and/or mission headquarters.
Field Catering Sub-unit	**L026**	40	1x0.75t trk, 2x2.5t trks	To provide field catering services to mission personnel of 250-400 strength.

Source: Standby Arrangements Tables of Organization and Equipment, 1998.

Footnote: a = Personnel could be military or civilian

Footnote: b = Excludes civilian component

Footnote: c = Suggested equipment list provided

APPENDIX F

TERMS OF REFERENCE (TOR) OF THE HUMANITARIAN COORDINATOR

APPENDIX F
TERMS OF REFERENCE OF THE HUMANITARIAN COORDINATOR[1]

[AS APPROVED BY THE INTER-AGENCY STEERING COMMITTEE-WORKING GROUP ON 30 NOVEMBER 1994]

Upon the occurrence of a complex emergency in a country, the United Nations emergency Relief Coordinator, on behalf of the Secretary-General, will designate a Humanitarian Coordinator for that country. The Humanitarian coordinator serves as the direct representative of the Emergency Relief Coordinator (and therefore of the Department of Humanitarian Affairs) for matters dealing with this complex emergency.

In all instances, the Humanitarian Coordinator will report directly to the UN Emergency Relief Coordinator. If a Special Representative of the Secretary-General (SRSG) is appointed for the country in question, the Humanitarian Coordinator will function under the overall authority of the SRSG, with responsibility for coordination of UN humanitarian assistance for the complete emergency in question. If the Emergency Relief Coordinator has designated a lead agency for the provision of humanitarian assistance, with the in-country agency head also serving as Humanitarian Coordinator, this individual will also report directly to his/her agency headquarters.

The UN Resident Coordinator and the in-country disaster Management Team (DMT) should serve as the first line of initial response to a new emergency, and should normally have established mechanisms of coordination prior to the onset of the complex emergency. Once appointed, the Humanitarian Coordinator will utilize and build upon these DMT mechanisms as required in the performance of his/her duties.

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1 Retyped from facsimile received from United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA).

The primary function of the Humanitarian Coordinator is to facilitate and ensure the quick, effective, and well-coordinated provision of humanitarian assistance to those seriously affected by the complex emergency in question.

Within this context, the Terms of Reference of the Humanitarian Coordinator include:

Humanitarian Assistance Coordination Mechanisms and Agreements

1. Convening and serving as the Chair for meetings of the DMT in-country to deal with matters relating to the complex emergency in question, and providing the necessary secretarial support to the DMT. For purposes of dealing with the complex emergency in question, the regular DMT will usually be expanded to include other relevant entities, such as NGOs involved in related relief efforts.
2. Reaching agreement on the basic division of responsibilities among the UN agencies, in accordance with their respective mandates and capacities, as well as working with the other relief entities to facilitate such agreements within the larger relief community.
3. Developing and maintaining a central registry of locally represented humanitarian assistance agencies and organizations, including information on their respective activities and expertise.
4. Ensuring that effective inter-agency coordination within specific sector areas is undertaken by the relevant agencies, and that coordination of the overall logistics needs of the relief operation is effectively undertaken.
5. Obtaining guidance from the Designated Official regarding the implementation of security procedures in support of humanitarian assistance activities, ensuring that this is effectively communicated to the concerned agencies in the filed, and facilitating their coordinated implementation.
6. Acting as a focal point for discussion within the relief community regarding policy issues of inter-agency concern (e.g., wage levels for local staff, difficulties with customs procedures and policies, government clearances for travel and passes, etc.) and as an interlocutor with the relevant parties (e.g., the host government) for resolution of such matters.
7. Facilitating the provision of key support services for the larger relief community, such as telecommunications, transportation (e.g., via vehicle or light aircraft operation), etc.

8. Ensuring consultation with government and national authorities on matters regarding the planning and implementation of humanitarian assistance.

9. Facilitating communications, and ensuring overall coordination, between the UN and other humanitarian aid agencies on the one hand and the relevant components of bilateral military forces and/or those of UN Department of Peacekeeping Operations when such forces are present, including promoting resolution of matters of joint concern to the humanitarian aid agencies.

Assessing and Addressing Humanitarian Needs

10. Ensuring that the overall coordination of inter-agency, multisectoral assessments of needs, including the identification of priority needs, and ensuring that such assessments are quickly initiated, adequately supported, and effectively carried out.

11. Coordinating the preparation of an overall humanitarian assistance strategy and Plan of Action of UN agencies, including the establishing of priorities for assistance and agreed collaborative approaches, and coordinating revisions and modifications as required by changing conditions and needs. The preparation and revision of this Plan should be done in close collaboration with the other relevant humanitarian assistance entitles, including reflecting their activities and future plans in the Plan.

12. Coordinating the preparation of inter-agency consolidated appeals for humanitarian assistance for the complex emergency in question, including working with the agencies both in-country and at the headquarters level to ensure that the actions described in the IASC Consolidated Appeal Guidelines (currently being finalized) are implemented.

13. Monitoring the provision of resources against such appeals, bringing donor attention to important outstanding gaps, and facilitating inter-agency resource mobilization efforts both in-country as well as at the headquarters level (e.g., via local donor meetings and briefings, convening donor conferences if appropriate, etc.).

14. Monitoring humanitarian needs and identifying specific gaps in the provision of humanitarian assistance. Working with UN and other entities to ensure that such gaps are addressed before they reach the crisis point.

15. Facilitating ongoing strategic planning for the relief effort, including the provision of early warning of major changes in needs or delivery capacities, and contingency planning for such eventualities.

16. Monitoring and facilitating UN humanitarian assistance to special population groups (e.g., internally displaced persons, demobilized soldiers, etc.) to ensure that it is provided in an adequate and timely manner, and coordinating such UN efforts (unless such coordination has been delegated by the Emergency Relief Coordinator to a specific agency).

17. Ensuring that the necessary support is provided to field staff assisting in local coordination of humanitarian assistance and in situation monitoring.

18. Ensuring that effective evaluations of the overall relief efforts, especially the coordination aspects, are undertaken, the lessons to be learned clearly identified, and appropriate follow-up actions taken.

19. Cooperating with entities responsible for planning and implementation of rehabilitation and development activities to ensure that rehabilitation actions begin as soon as they become feasible (which will often be simultaneous with relief efforts), and that relief actions are planned and undertaken with the perspective of their longer-term impacts.

Humanitarian Advocacy

20. Serving as a focal point for the humanitarian community for ensuring the protection of humanitarian mandates in conflict situations, including by:

    a. seeking acceptance by all parties to the civil conflict in question on the key principles that must underlie UN humanitarian aid efforts (e.g., neutrality, impartiality, access to those in need, accountability to donors for aid provided, etc.), and

    b. promoting, assisting, and if necessary, leading negotiations to obtain free, safe and unimpeded access for humanitarian assistance to those in need.

Information dissemination

21. Collecting, analyzing, and disseminating information regarding humanitarian needs and operations to the wider community (e.g., through the production of regular Situations Reports).

22. Ensuring the provisions of timely, accurate and relevant information to media, and of briefing information to assist new agencies and NGOs, visiting missions and delegations, etc.

APPENDIX G

NATIONAL AFFILIATION WITH INTER-GOVERNMENTAL ORGANIZATIONS

APPENDIX G
NATIONAL AFFILIATIONS WITH INTER-GOVERNMENTAL ORGANIZATIONS

A. INTRODUCTION

This appendix first displays the national alignments with the geographic U.S. Combatant Commands and selected regional groups of the UN System. It then summarizes the national members affiliated with the major IGOs discussed in Chapter IV. These arrangements are contained in seven tables.

1. Table G-1 National Affiliation with the UN System

This table lists the states and territories of the world and identifies to which geographic U.S. Combatant Command's area of responsibility each has been assigned by the Department of Defense Unified Command Plan. The table also lists the state and territorial affiliations with both the Regional Groups used by UN General Assembly and the Regional Economic Commissions of the UN Economic and Social Council.

The General Assembly regional groups have some unique affiliations. For example, the U.S. is not a member of any of the General Assembly regional groups, but attends meetings of the Western European and Other states (WEO) group as an observer and is considered to be a member of that group for electoral purposes. Turkey participates fully in both Asian and WEO groups, but for electoral purposes is considered a member of the WEO group only. As of 31 May 1999, Estonia, Israel, and Palau, although members, were not affiliated with any regional group. Moreover, the Federal Republic of Yugoslavia in 1992 was no longer permitted by the General Assembly to retain its membership in the UN after the Slovenia, Croatia, Bosnia and Herzegovina, and the Former Yugoslav Republic of Macedonia achieved independence and became members of the UN. The General Assembly Resolution decided that the Federal Republic of Yugoslavia (now Serbia and Montenegro) should apply for membership and not participate in the work of the General Assembly.

In addition to the member nations, the General Assembly has granted a standing invitation to a number of entities, IGOs, and IOs to participate as observers in the work of

the General Assembly and to maintain permanent offices at the UN Headquarters. These non-member nation organizations with observer status in the General Assembly are not listed in Table G-1, but include the following:

- Inter-Governmental Organizations
  - Caribbean Community
  - Commonwealth Secretariat
  - European Community
  - International Organization for Migration
  - International Organization of la Francophonie
  - League of Arab States
  - Organization of African Unity
  - Organization of Islamic Conference
- International Organizations
  - International Committee of Red Cross
  - International Federation of Red Cross and Red Crescent Societies
  - Sovereign Military Hospitaler Order of Malta
- Other Entities
  - Asian-African Legal Consultative Committee
  - International Seabed Authority
  - International Tribunal for the Law of the Sea.

Another regional affiliation has been established within the UN Economic and Social Council (ECOSOC). This arrangement provides for five regional economic commissions including members from the following regions:

- Economic Commission for Africa (53 members)
- Economic and Social Commission for Asia and the Pacific (ESCAP) (51 members and 9 associate members)
- Economic Commission for Europe (ECE) (55 members)
- Economic Commission for Latin America and the Caribbean (ECLAC) (41 members and 9 associate members)
- Economic and Social Commission for Western Asia (ESCWA) (13 members)

The ECOSOC regional arrangement was used to organize the discussion of regional IGOs in Chapter IV.

2. Other Tables

The six other tables in this appendix summarize the national affiliations by the ECOSOC regional commissions and the international financial groups discussed in Chapter IV. The appendix includes the following tables:

- Table G-2, National Affiliations with Global Focus or that Span Multiple Regions
- Table G-3, National Affiliations with IGOs in the Latin America and Caribbean Region
- Table G-4, National Affiliations with IGOs in the Africa Region
- Table G-5, National Affiliations with IGOs in the Asia and Pacific Region, and the Western Asia Region
- Table G-6, National Affiliations with IGOs in the Europe Region
- Table G-7, National Affiliations with International Financial Institutions.

B. LEGEND USED IN THE TABLES

Several codes were used to summarize the information displayed in these tables. These codes are identified below.

1. Combatant Command Areas of Responsibility (CINC AOR)

Code	Command
C	U.S. Central Command
E	U.S. European Command
F	U.S. Joint Forces Command
P	U.S. Pacific Command
S	U.S. Southern Command

2. UN General Assembly Regions

Code	Region
1	Africa
2	Asia
3	Eastern Europe

4	Latin America and Caribbean
5	Western Europe and Other States

3. Membership or Affiliation with the IGO

Code	Affiliation
A	Associate
AM	Applicant for Membership
G	Guest
M	Member
O	Observer
S	Signatory State, membership pending treaty ratification
SM	Special Member

Table G-1. National Affiliation with the UN Organization

States and Territories	CINC AOR	United Nations Systems							
		UN Member	GA Regions	ECA	ESCAP	ECE	ECLAC	ESCWA	
Afghanistan	C	M	2		M				
Albania	E	M	3			M			
Algeria	E	M	1	M					
American Samoa	P				A				
Andorra	E	M	5						
Angola	E	M	1	M					
Anguilla	S						A		
Antigua and Barbuda	S	M	4				M		
Argentina	S	M	4				M		
Armenia	E	M	3		M	M			
Aruba	S						A		
Australia	P	M	5		M				
Austria	E	M	5			M			
Azerbaijan	E	M	3		M	M			
Bahamas	S	M	4				M		
Bahrain	C	M	2					M	
Bangladesh	P	M	2		M				
Barbados	S	M	4				M		
Belarus	E	M	3			M			
Belgium	E	M	5			M			
Belize	S	M	4				M		
Benin	E	M	1	M					
Bhutan	P	M	2		M				
Bolivia	S	M	4				M		
Bosnia and Herzegovina	E	M	3			M			
Botswana	E	M	1	M					
Brazil	S	M	4				M		
British Virgin Islands	S						A		
Brunei Darussalam	P	M	2		M				
Bulgaria	E	M	3			M			
Burkina Faso	E	M	1	M					
Burundi	E	M	1	M					
Cambodia	P	M	2		M				
Cameroon	E	M	1	M					
Canada	J	M	5			M	M		
Cape Verde	E	M	1	M					
Central African Republic	E	M	1	M					
Chad	E	M	1	M					
Chile	S	M	4				M		
China	P	M	2		M				
Colombia	S	M	4				M		
Comoros	P	M	1	M					
Congo	E	M	1	M					
Cook Islands	P				A				
Costa Rica	S	M	4				M		
Côte d'Ivoire	E	M	1	M					
Croatia	E	M	3			M			
Cuba	S	M	4				M		
Cyprus	E	M	2			M			

Table G-1. National Affiliation with the UN Organization (cont'd)

		United Nations Systems							
States and Territories	CINC AOR	UN Member	GA Regions	ECA	ESCAP	ECE	ECLAC	ESCWA	
Czech Republic	E	M	3			M			
Democratic People's Republic of Korea	P	M	2		M				
Democratic Republic of the Congo	E	M	1	M					
Denmark	E	M	5			M			
Djibouti	C	M	1	M					
Dominica	S	M	4				M		
Dominican Republic	S	M	4				M		
Ecuador	S	M	4				M		
Egypt	C	M	1	M				M	
El Salvador	S	M	4				M		
Equatorial Guinea	E	M	1	M					
Eritrea	C	M	1	M					
Estonia	E	M				M			
Ethiopia	C	M	1	M					
Fiji	P	M	2		M				
Finland	E	M	5			M			
France	E	M	5		M	M	M		
French Polynesia	P				A				
Gabon	E	M	1	M					
Gambia	E	M	1	M					
Georgia	E	M	3			M			
Germany	E	M	5			M			
Ghana	E	M	1	M					
Greece	E	M	5			M			
Grenada	S	M	4				M		
Guam	P				A				
Guatemala	S	M	4				M		
Guinea	E	M	1	M					
Guinea-Bissau	E	M	1	M					
Guyana	S	M	4				M		
Haiti	S	M	4				M		
Holy See (Vatican City)	E	O				O			
Honduras	S	M	4				M		
Hong Kong	P				A				
Hungary	E	M	3			M			
Iceland	F	M	5			M			
India	P	M	2		M				
Indonesia	P	M	2		M				
Iran, Islamic Republic of	C	M	2		M				
Iraq	C	M	2					M	
Ireland	E	M	5			M			
Israel	E	M				M			
Italy	E	M	5			M	M		
Jamaica	S	M	4				M		
Japan	P	M	2		M				
Jordan	C	M	2					M	
Kazakhstan	C	M	2		M	M			
Kenya	C	M	1	M					
Kiribati	P	M	2		M				

Table G-1. National Affiliation with the UN Organization (cont'd)

States and Territories	CINC AOR	UN Member	GA Regions	United Nations Systems: ECA	ESCAP	ECE	ECLAC	ESCWA	
Kuwait	C	M	2					M	
Kyrgyzstan	C	M	2		M	M			
Lao People's Democratic Republic	P	M	2		M				
Latvia	E	M	3			M			
Lebanon	E	M	2					M	
Lesotho	E	M	1	M					
Liberia	E	M	1	M					
Libyan Arab Jamahiriya	E	M	1	M					
Liechtenstein	E	M	5			M			
Lithuania	E	M	3			M			
Luxembourg	E	M	5			M			
Macau	P				A				
Macedonia, The Former Yugoslav Republic of	E	M	3			M			
Madagascar	P	M	1	M					
Malawi	E	M	1	M					
Malaysia	P	M	2		M				
Maldives	P	M	2		M				
Mali	E	M	1	M					
Malta	E	M	5			M			
Marshall Islands	P	M	2		M				
Mauritania	E	M	1	M					
Mauritius	P	M	1	M					
Mexico	J	M	4				M		
Micronesia, Federated States of	P	M	2		M				
Moldova, Republic of	E	M	3			M			
Monaco	E	M	5			M			
Mongolia	P	M	2		M				
Monserrat	S						A		
Morocco	E	M	1	M					
Mozambique	E	M	1	M					
Myanmar	P	M	2		M				
Namibia	E	M	1	M					
Nauru	P	M	2		M				
Nepal	P	M	2		M				
Netherlands	E	M	5		M	M	M		
Netherlands Antilles	S						A		
New Caledonia	P				A				
New Zealand	P	M	5		M				
Nicaragua	S	M	4				M		
Niger	E	M	1	M					
Nigeria	E	M	1	M					
Niue	P				A				
Northern Mariana Islands	P				A				
Norway	E	M	5			M			
Oman	C	M	2					M	
Pakistan	C	M	2		M				
Palau	P	M			M				
Panama	S	M	4				M		
Papua New Guinea	P	M	2		M				

Table G-1. National Affiliation with the UN Organization (cont'd)

		United Nations Systems							
States and Territories	CINC AOR	UN Member	GA Regions	ECA	ESCAP	ECE	ECLAC	ESCWA	
Paraguay	S	M	4				M		
Peru	S	M	4				M		
Philippines	P	M	2		M				
Poland	E	M	3			M			
Portugal	E	M	5			M	M		
Puerto Rico	S						A		
Qatar	C	M	2					M	
Republic of Korea	P	M	2		M				
Romania	E	M	3			M			
Russian Federation	E	M	3		M	M			
Rwanda	E	M	1	M					
Saint Kitts and Nevis	S	M	4				M		
Saint Lucia	S	M	4				M		
Saint Vincent and the Grenadines	S	M	4				M		
Samoa	P	M	2		M				
San Marino	E	M	5			M			
Sao Tome and Principe	E	M	1	M					
Saudi Arabia	C	M	2					M	
Senegal	E	M	1	M					
Seychelles	C	M	1	M					
Sierra Leone	E	M	1	M					
Singapore	P	M	2		M				
Slovakia	E	M	3			M			
Slovenia	E	M	3			M			
Solomon Islands	P	M	2		M				
Somalia	C	M	1	M					
South Africa	E	M	1	M					
Spain	E	M	5			M	M		
Sri Lanka	P	M	2		M				
Sudan	C	M	1	M					
Suriname	S	M	4				M		
Swaziland	E	M	1	M					
Sweden	E	M	5			M			
Switzerland	E	O				M			
Syrian Arab Republic	E	M	2					M	
Tajikistan	C	M	3		M	M			
Tanzania (United Republic of)	E	M	1	M					
Thailand	P	M	2		M				
Togo	E	M	1	M					
Tonga	P	M	2		M				
Trinidad and Tobago	S	M	4				M		
Tunisia	E	M	1	M					
Turkey	E	M	5		M	M			
Turkmenistan	C	M	2		M	M			
Tuvalu	P				M				
U.S. Virgin Islands	S						A		
Uganda	E	M	1	M					
Ukraine	E	M	3			M			
United Arab Emirates	C	M	2					M	

Table G-1. National Affiliation with the UN Organization (cont'd)

		United Nations Systems							
States and Territories	CINC AOR	UN Member	GA Regions	ECA	ESCAP	ECE	ECLAC	ESCWA	
United Kingdom of Great Britain and Northern Ireland	E	M	5		M	M	M		
United States of America	J	M	5		M	M	M		
Uruguay	S	M	4				M		
Uzbekistan	C	M	2		M	M			
Vanuatu	P	M	2		M				
Venezuela	S	M	4				M		
Viet Nam	P	M	2		M				
Yemen	C	M	2					M	
Yugoslavia (Serbia, Montenegro, Kosovo, Vojvodina)	E	M				O			
Zambia	E	M	1	M					
Zimbabwe	E	M	1	M					

Table G-2. National Affiliation with IGOs with Global Focus or Multiple Regions

States and Territories	IOM	INTERPOL	OECD	FZ	LF	CWN	CIS	CPLP	NAM	OPEC	OIC	ACC	AFESD	AL	AMF	CAEU	OPCW	MTCR	NSG	AG
Afghanistan	O								M		M						S			
Albania	M	M			O						M						M			
Algeria	O	M							M	M	M		M	M	M		M			
American Samoa		A																		
Andorra		M																		
Angola	M	M						M	M											
Anguilla		A																		
Antigua and Barbuda		M				M			O											
Argentina	M	M															M	M	M	M
Armenia	M	M					M		O								M			
Aruba		M																		
Australia	M	M	M			M											M	M	M	M
Austria	M	M	M										M	M			M	M	M	M
Azerbaijan		M					M		O		M						S			
Bahamas		M				M			M								S			
Bahrain		M							M		M		M	M	M		M			
Bangladesh	M	M				M			M		M						M			
Barbados		M				M			M											
Belarus	O	M					M		O								M			
Belgium	M	M	M		M												M	M	M	M
Belize	O	M				M			M											
Benin		M		M	M				M		M						M			
Bermuda		A																		
Bhutan									M								S			
Bolivia	M	M							M								M			
Bosnia and Herzegovina	O	M									O						M			
Botswana		M				M			M								M			
Brazil	O	M						M	O								M	M	M	
British Virgin Islands		A																		
Brunei Darussalam		M				M			M		M						M			
Bulgaria	M	M			M												M		M	
Burkina Faso		M		M	M				M		M						M			
Burundi		M			M				M								M			
Cambodia		M			M				M								S			
Cameroon		M		M	M	M			M		M						M			
Canada	M	M	M		M	M											M	M	M	M
Cape Verde	O	M			M			M	M								S			
Cayman Islands		A																		
Central African Republic		M		M	M				M		O						S			
Chad		M		M	M				M		M						S			
Chile	M	M							M								M			
China		M							O								M			
Colombia	M	M							M								S			
Comoros				M	M				M		M			M	M		S			
Congo	O	M		M	M				M								S			
Cook Islands																	M			
Costa Rica	M	M							O								M			
Côte d'Ivoire	M	M		M	M				M		O						M			
Croatia	M	M							O								M			
Cuba	O	M							M								M			
Cyprus	M	M				M			M								M			
Czech Republic	M	M	M														M	M	M	M
Democratic People's Republic of Korea									M											

Table G-2. National Affiliation with IGOs with Global Focus or Multiple Regions (cont'd)

States and Territories	IOM	INTERPOL	OECD	FZ	LF	CWN	CIS	CPLP	NAM	OPEC	OIC	ACC	AFESD	AL	AMF	CAEU	OPCW	MTCR	NSG	AG
Democratic Republic of the Congo	O	M			M				M								S			
Denmark	M	M	M														M	M	M	M
Djibouti		M			M				M		M		M	M	M		S			
Dominica		M			M	M			O								S			
Dominican Republic	M	M							O								S			
Ecuador	M	M							M								M			
Egypt	M	M			A				M		M	M	M	M	M	M				
El Salvador	M	M							O								M			
Equatorial Guinea		M		M	M				M								M			
Eritrea									M								M			
Estonia	O	M															M			
Ethiopia	O	M							M											
Fiji		M				M											M			
Finland	M	M	M														M	M	M	M
France	M	M	M	M	M												M	M	M	M
French Guiana				M																
French Polynesia				M																
Gabon		M		M	M				M		M						S			
Gambia		M				M			M		M						M			
Georgia	O	M															M			
Germany	M	M	M														M	M	M	M
Ghana	O	M				M			M								M			
Gibraltar		A																		
Greece	M	M	M														M	M	M	M
Grenada		M				M			M								S			
Guadeloupe				M																
Guatemala	M	M							M								S			
Guinea	O	M			M				M		M						M			
Guinea-Bissau	M	M			A			M	M		M						S			
Guyana		M				M			M		M						M			
Haiti	M	M			M												S			
Heard Island and Mcdonald Islands													M							
Holy See (Vatican City)	O																M			
Honduras	M	M							M								S			
Hong Kong		A																		
Hungary	M	M	M														M	M	M	M
Iceland		M	M														M	M		M
India	O	M				M			M								M			
Indonesia	O	M							M	M	M						M			
Iran, Islamic Republic of	O	M							M	M	M						M			
Iraq		M							M	M	M	M	M	M	M	M				
Ireland	O	M	M														M	M	M	M
Israel	M	M															S			
Italy	M	M	M														M	M	M	M
Jamaica	O	M				M			M								S			
Japan	M	M	M														M	M	M	M
Jordan	O	M							M		M	M	M	M	M	M	M			
Kazakhstan	O	M					M		O		M						S			
Kenya	M	M				M			M								M			
Kiribati		M				M														
Kuwait		M							M	M	M		M	M	M	M	M			
Kyrgyzstan	O	M					M		O		M						S			

Table G-2. National Affiliation with IGOs with Global Focus or Multiple Regions (cont'd)

States and Territories	IOM	INTERPOL	OECD	FZ	LF	CWN	CIS	CPLP	NAM	OPEC	OIC	ACC	AFESD	AL	AMF	CAEU	OPCW	MTCR	NSG	AG
Lao People's Democratic Republic		M			M				M								M			
Latvia	O	M															M			
Lebanon		M			M				M		M		M	M	M					
Lesotho		M				M			M								M			
Liberia	M	M							M								S			
Libyan Arab Jamahiriya		M							M	M			M	M	M	M				
Liechtenstein		M															S			
Lithuania	M	M															M			
Luxembourg	M	M	M		M												M	M	M	M
Macau		A																		
Macedonia, The Former Yugoslav Republic of		M			O												M			
Madagascar	O	M			M				M								S			
Malawi		M				M			M								M			
Malaysia		M				M			M		M						S			
Maldives		M				M			M		M						M			
Mali	M	M		M	M				M		M						M			
Malta	O	M				M			M								M			
Marshall Islands		M															S			
Martenique				M																
Mauritania		M			A				M		M		M	M		M	M			
Mauritius		M			M	M			M								M			
Mayotte				M																
Mexico	O	M	M						O								M			
Micronesia, Federated States of																	M			
Moldova, Republic of	O	M			M		M										M			
Monaco		M			M												M			
Mongolia		M							M								M			
Monserrat		A																		
Morocco	M	M			M				M		M		M	M	M		M			
Mozambique	O	M				M		M	M		M									
Myanmar		M							M								S			
Namibia	O	M				M			M								M			
Nauru		M				M											S			
Nepal		M							M								M			
Netherlands	M	M	M														M	M	M	M
Netherlands Antilles		M																		
New Caledonia				M																
New Zealand	O	M	M			M											M	M	M	M
Nicaragua	M	M							M								S			
Niger		M		M	M				M		M						M			
Nigeria		M				M			M	M	M						M			
Norway	M	M	M														M	M	M	M
Oman		M							M		M		M	M	M		M			
Pakistan	M	M				M			M		M						M			
Palestinian Authority									M		M		M	M	M	M				
Panama	M	M							M								M			
Papua New Guinea	O	M				M			M								M			
Paraguay	M	M							O								M			
Peru	M	M							M								M			
Philippines	M	M							M								M			
Poland	M	M	M		O												M	M	M	M
Portugal	M	M	M					M									M	M	M	M

Table G-2. National Affiliation with IGOs with Global Focus or Multiple Regions (cont'd)

States and Territories	IOM	INTERPOL	OECD	FZ	LF	CWN	CIS	CPLP	NAM	OPEC	OIC	ACC	AFESD	AL	AMF	CAEU	OPCW	MTCR	NSG	AG
Puerto Rico		A																		
Qatar		M							M	M	M		M	M	M		M			
Republic of Korea	M	M	M														M		M	M
Reunion				M																
Romania	M	M			M		M										M		M	M
Russian Federation	O	M															M	M	M	
Rwanda	O	M			M				M								S			
Saint Kitts and Nevis		M				M											S			
Saint Lucia		M			M	M			M								M			
Saint Pierre and Miquelon				M																
Saint Vincent and the Grenadines		M				M											S			
Samoa						M											S			
San Marino	O																S			
Sao Tome and Principe	O	M			M			M	M				M	M	M					
Saudi Arabia		M							M	M	M		M	M	M		M			
Senegal	M	M		M	M				M		M						M			
Seychelles		M			M	M			M								M			
Sierra Leone		M				M			M		M						S			
Singapore		M				M			M								M			
Slovakia	M	M															M		M	M
Slovenia	O	M															M			
Solomon Islands						M														
Somalia	O	M							M		M		M	M	M	M				
South Africa	M	M				M			M								M	M	M	
Spain	O	M	M														M	M	M	M
Sri Lanka	M	M				M			M								M			
Sudan	M	M							M		M		M	M	M	M	M			
Suriname		M							M		M						M			
Swaziland		M				M			M								M			
Sweden	M	M	M														M	M	M	M
Switzerland	M	M	M		M												M	M	M	M
Syrian Arab Republic		M							M		M		M	M	M	M				
Tajikistan	M						M				M						M			
Tanzania (United Republic of)	M	M				M			M								M			
Thailand	M	M							M		O						S			
Togo		M		M	M				M		M						M			
Tonga		M				M														
Trinidad and Tobago		M				M			M								M			
Tunisia	M	M			M				M		M		M	M	M		M			
Turkey	O	M	M								M						M	M		
Turkmenistan	O						M		M		M						M			
Turks and Caicos Islands		A																		
Tuvalu						M														
Uganda	M	M				M			M		M						S			
Ukraine	O	M					M		O								M	M	M	
United Arab Emirates		M							M	M	M		M	M	M	M	S			
United Kingdom of Great Britain and Northern Ireland	O	M	M			M											M	M	M	M
United States of America	M	M	M														M	M	M	M
Uruguay	M	M							O								M			
Uzbekistan		M					M		M		M						M			
Vanuatu					M	M			M											
Venezuela	M	M							M	M							M			

Table G-2. National Affiliation with IGOs with Global Focus or Multiple Regions (cont'd)

States and Territories	IOM	INTERPOL	OECD	FZ	LF	CWN	CIS	CPLP	NAM	OPEC	OIC	ACC	AFESD	AL	AMF	CAEU	OPCW	MTCR	NSG	AG
Viet Nam	O	M			M				M								M			
Wallis and Futuna				M																
Yemen	M	M							M		M	M	M	M	M	M	S			
Yugoslavia (Serbia, Montenegro, Kosovo, Vojvodina)	O								M											
Zambia	M	M				M			M								S			
Zimbabwe	O	M				M			M								M			

Table G-3. National Affiliations with IGOs in Latin America and Caribbean Region

States and Territories	OAS	CARICOM	OECS	ACS	MERCOSUR	AC	LAIA	LAES	OPANAL	G-11	G-3	RG	SIECA	
Algeria	O													
Angola	O													
Anguilla		A	A											
Antigua and Barbuda	M	M	M	M					M					
Argentina	M			O	M	O	M	M	M	M		M		
Aruba		O		A										
Australia					O									
Austria	O					O								
Bahamas	M	M		M				M	M					
Barbados	M	M		M				M	M					
Belgium	O					O								
Belize	M	M		M				M	M					
Bermuda		O												
Bolivia	M					M	M	M	M	M				
Bosnia and Herzegovina	O													
Brazil	M			O	M	O	M	M	M	M		M		
British Virgin Islands		A	A											
Bulgaria	O													
Canada	M			O		O								
Cayman Islands		O												
Chile	M			O			M	M	M	M				
China							O							
Colombia	M	O		M		M	M	M	M	M	M	M		
Costa Rica	M			M		O	O	M	M				M	
Croatia	O													
Cuba	M			M			O	M						
Cyprus	O													
Czech Republic	O													
Denmark						O								
Dominica	M	M	M	M					M					
Dominican Republic	M	O		M			O	M	M	M				
Ecuador	M			O		M	M	M	M	M				
Egypt	O			O		O								
El Salvador	M			M			O	M	M				M	
Equatorial Guinea	O													
Finland	O			A		O								
France	O					O								
Germany	O					O								
Ghana	O													
Greece	O													
Grenada	M	M	M	M				M	M					
Guatemala	M			M			O	M	M				M	
Guinea-Bissau		O												
Guyana	M	M		M				M	M					
Haiti	M			M				M	M					
Holy See (Vatican City)	O													
Honduras	M			M			O	M	M				M	
Howland Island							O							
Hungary	O													
India	O			O		O								
Israel	O					O								
Italy	O			O		O	O							
Jamaica	M	M		M				M	M					
Japan	O					O								
Kazakhstan	O													

Table G-3. National Affiliations with IGOs in Latin America and Caribbean Region (cont'd)

States and Territories	OAS	CARICOM	OECS	ACS	MERCOSUR	AC	LAIA	LAES	OPANAL	G-11	G-3	RG	SIECA	
Latvia	O													
Lebanon	O			O										
Liberia		O		M										
Mexico	M	O		M		O	M	M	M	M	M	M		
Monserrat		M	M											
Morocco	O			O										
Netherlands	O			O		O								
Netherlands Antilles		O		A										
Nicaragua	M			M			O	M	M				M	
Pakistan	O													
Panama	M			M		A	O	M	M			M	O	
Paraguay	M				M	O	M	M						
Peru	M			O		M	M	M	M	M		M		
Philippines	O													
Poland	O													
Portugal	O						O							
Puerto Rico		O												
Republic of Korea	O			O										
Romania	O						O							
Russian Federation	O			O			O							
Saint Kitts and Nevis	M	M	M	M					M					
Saint Lucia	M	M	M	M					M					
Saint Vincent and the Grenadines	M	M	M	M					M					
Saudi Arabia	O													
Seychelles			A											
Singapore										M				
Spain	O			O		O	O							
Sri Lanka	O													
Suriname		M						M	M					
Svalbard			M											
Sweden	O					O								
Switzerland	O					O	O							
Tajikistan			M											
Thailand	O													
Trinidad and Tobago	M	M		M				M	M					
Tunisia	O		M											
Turkey	O													
Turks and Caicos Islands		A		A										
Ukraine	O													
United Kingdom of Great Britain and Northern Ireland	O					O								
United States of America	M					O								
Uruguay	M		M		M	O	M	M	M	M		M		
Venezuela	M	O	M	M		M	M	M	M	M	M	M		
Wallis and Futuna	M	M		M				M						
Yemen	O													
Yugoslavia (Serbia, Montenegro, Kosovo, Vojvodina)						O								

Table G-4. National Affiliation with IGOs in the African Region

States and Territories	OAU	SADC	IGAD	COMESA	IOC	ECOWAS	WAEMU	MRU	CEEAC	CEPGL	CEMAC	AMU
Algeria												M
Angola	M	M		M					O			
Anguilla									M			
Benin	M					M	M					
Botswana	M	M										
Burkina Faso	M					M	M					
Burundi	M			M					M	M		
Cameroon	M								M		M	
Cape Verde	M					M						
Central African Republic	M								M		M	
Chad	M								M		M	
Colombia				M								
Comoros	M				M							
Congo	M								M			
Congo, Democratic Republic of the	M	M		M					M	M		
Côte d'Ivoire	M					M	M					
Djibouti	M		M	M								
Egypt	M			M								
Equatorial Guinea	M								M		M	
Eritrea	M		M	M								
Ethiopia	M		M	M								
Gabon	M								M		M	
Gambia	M					M						
Ghana	M					M						
Guinea	M					M		M				
Guinea-Bissau	M					M	M					
Kenya	M		M	M								
Lesotho	M	M										
Liberia	M					M		M				
Libyan Arab Jamahiriya	M											M
Madagascar	M			M	M							
Malawi	M	M		M								
Mali	M					M	M					
Mauritania	M					M						M
Mauritius	M	M		M	M							
Morocco												M
Mozambique	M	M										
Namibia	M	M		M								
Niger	M					M	M					
Nigeria	M					M						
Reunion					M							
Rwanda	M			M					M	M		
Sahrawi Arab Democratic Republic	M											
Sao Tome and Principe	M								M			
Senegal	M					M	M					
Seychelles	M	M		M	M							
Sierra Leone	M					M		M				
Somalia	M		M									
South Africa	M	M										
Sudan	M		M	M								
Swaziland	M	M		M								
Tanzania (United Republic of)	M	M		M								
Togo	M					M	M					
Tunisia	M											M

Table G-4. National Affiliation with IGOs in the African Region (cont'd)

States and Territories	OAU	SADC	IGAD	COMESA	IOC	ECOWAS	WAEMU	MRU	CEEAC	CEPGL	CEMAC	AMU	
Uganda	M		M	M									
Zambia	M	M		M									
Zimbabwe	M	M		M									

Table G-5. National Affiliation with IGOs in Asia and Pacific, and Western Asia Regions

States and Territories	APEC	CP	SAARC	ASEAN	SPC	SPF	SPARTECA	ECO	GCC
Afghanistan		M						M	
American Samoa					M				
Australia	M	M			M	M	M		
Azerbaijan								M	
Bahrain									M
Bangladesh		M	M						
Bhutan		M	M						
Brunei Darussalam	M			M					
Cambodia		M							
Canada	M								
Chile	M								
China	M								
Cook Islands					M	M	M		
Cyprus								A	
Fiji		M			M	M	M		
France					M				
French Polynesia					M				
Guam					M				
Hong Kong	M								
India		M	M						
Indonesia	M	M		M					
Iran, Islamic Republic of		M						M	
Japan	M	M							
Kazakhstan								M	
Kiribati					M	M	M		
Kuwait									M
Kyrgyzstan								M	
Lao People's Democratic Republic		M		O					
Malaysia	M	M		M					
Maldives		M	M						
Marshall Islands					M	M	M		
Mexico	M								
Micronesia, Federated States of					M	M	M		
Myanmar		M							
Nauru					M	M	M		
Nepal		M	M						
New Caledonia					M				
New Zealand	M	M			M	M	M		
Niue					M	M	M		
Northern Mariana Islands					M				
Oman									M
Pakistan		M	M					M	
Palau					M	M			
Papua New Guinea	M	M			M	M	M		
Philippines	M	M		M					
Pitcairn Islands					M				
Qatar									M
Republic of Korea	M	M							
Samoa					M	M	M		
Saudi Arabia									M
Singapore	M	M		M					
Solomon Islands					M	M	M		
Sri Lanka		M	M						
Taiwan	M								

Table G-5. National Affiliation with IGOs in Asia and Pacific, and Western Asia Regions (cont'd)

States and Territories	APEC	CP	SAARC	ASEAN	SPC	SPF	SPARTECA	ECO	GCC	
Tajikistan								M		
Thailand	M	M		M						
Tokelau					M					
Tonga					M	M	M			
Turkey								M		
Turkmenistan								M		
Tuvalu					M	M	M			
United Arab Emirates									M	
United Kingdom of Great Britain and Northern Ireland					M					
United States of America	M	M			M					
Uzbekistan								M		
Vanuatu					M	M	M			
Viet Nam				M						
Wallis and Futuna					M					

Table G-6. National Affiliations with IGOs in Europe Region

States and Territories	OSCE	EU	WEU	COE	NATO	CBSS	NC	BSEC	CEI	AAWC	
Albania	M	L		M	P			M			
Algeria	P										
Andorra				M							
Armenia	M				P			M			
Austria	M	M	O	M	P				M	M	
Azerbaijan	M				P			M			
Belarus	M			G	P				A		
Belgium	M	M	M	M	M						
Bosnia and Herzegovina	M			G					M		
Bulgaria	M	L	A	M	P			M	A		
Canada	M			M	M						
Croatia	M			G					M	M	
Cyprus	M	L		M							
Czech Republic	M	L	A	M	M				M		
Denmark	M	M	O	M	M	M	M				
Egypt	P							O			
Estonia	M	L	A	M	P	M					
Finland	M	M	O	M	P	M	M				
France	M	M	M	M	M						
Georgia	M				P			M			
Germany	M	M	M	M	M	M				M	
Greece	M	M	M	M	M			M			
Holy See (Vatican City)	M										
Hungary	M	L	A	M	M				M	M	
Iceland	M		A	M	M	M	M				
Ireland	M	M	O	M							
Israel	P			O				O			
Italy	M	M	M	M	M				M	M	
Japan	P		O								
Kazakhstan	M				P						
Kyrgyzstan	M				P						
Latvia	M	L	A	M	P	M					
Liechtenstein	M			M							
Lithuania	M	L	A	M	P	M					
Luxembourg	M	M	M	M	M						
Macedonia, The Former Yugoslav Republic of	M			M	P				M		
Malta	M	L		M							
Moldova, Republic of	M			M	P			M			
Monaco	M										
Morocco	P										
Netherlands	M	M	M	M	M						
Norway	M		A	M	M	M	M				
Poland	M	L	A	M	M	M		O	M		
Portugal	M	M	M	M	M						
Republic of Korea	P										
Romania	M	L	A	M	P			M	A		
Russian Federation	M			M	P	M		M			
San Marino	M			M							
Slovakia	M	L	A	M	P			O	A		
Slovenia	M			M	P				A		
Spain	M	M	M	M	M						
Sweden	M	M	O	M	P	M	M				
Switzerland	M			M	P					M	
Tajikistan	M										

Table G-6. National Affiliations with IGOs in Europe Region (cont'd)

States and Territories	OSCE	EU	WEU	COE	NATO	CBSS	NC	BSEC	CEI	AAWC	
Tunisia	P							O			
Turkey	M		A	M	M			M			
Turkmenistan	M				P						
Ukraine	M			M	P			M	A		
United Kingdom of Great Britain and Northern Ireland	M	M	M	M	M						
United States of America	M				M						
Uzbekistan	M				P						
Yugoslavia (Serbia, Montenegro, Kosovo, Vojvodina)	M										

Table G-7. National Affiliations with International Financial Institutions

States and Territories	IBRD	IDA	IFC	IMF	G-10	BIS	AFDB	IsDB	AsDB	ABEDA	EADB	BDEAC	EBRD	IADB	CDB
Afghanistan	M		M	M				M	M						
Albania	M	M	M	M				M					M		
Algeria	M	M	M	M			M	M		M					
Angola	M	M	M	M			M								
Anguilla															M
Antigua and Barbuda	M		M	M											M
Argentina	M	M	M	M			M							M	
Armenia	M	M	M	M									M		
Australia	M	M	M	M		M			M				M		
Austria	M	M	M	M		M	M		M				M	M	
Azerbaijan	M	M		M				M					M		
Bahamas	M		M	M										M	M
Bahrain	M			M				M		M					
Bangladesh	M	M	M	M				M	M						
Barbados	M		M	M										M	M
Belarus	M		M	M									M		
Belgium	M	M	M	M	M	M	M		M				M	M	
Belize	M	M	M	M										M	M
Benin	M	M	M	M			M	M							
Bhutan	M	M		M					M						
Bolivia	M	M	M	M										M	
Botswana	M	M	M	M			M								
Brazil	M	M	M	M			M							M	
British Virgin Islands															M
Brunei Darussalam	M			M				M							
Bulgaria	M		M	M		M									
Burkina Faso	M	M	M	M			M	M							
Burundi	M	M	M	M			M								
Cambodia	M	M		M					M						
Cameroon	M	M	M	M			M	M				M			
Canada	M	M	M	M	M	M	M		M					M	M
Cape Verde	M	M	M	M			M								
Cayman Islands															M
Central African Republic	M	M	M	M			M					M			
Chad	M	M		M			M	M				M			
Chile	M	M	M	M										M	
China	M	M	M	M			M		M						M
Colombia	M	M	M	M										M	M
Comoros	M	M	M	M			M	M							
Congo, Democratic Republic of	M	M	M	M			M								
Congo, Republic of	M	M	M	M			M					M			
Cook Islands									M						
Costa Rica	M	M	M	M										M	
Côte d'Ivoire	M	M	M	M			M								
Croatia	M	M	M	M									M	M	
Cyprus	M	M	M	M		M							M		
Czech Republic	M	M	M	M									M		
Denmark	M	M	M	M		M	M						M	M	
Djibouti	M	M	M	M		M	M	M		M					
Dominica	M	M	M	M											M
Dominican Republic	M	M	M	M										M	
Ecuador	M	M	M	M										M	
Egypt	M	M	M	M			M	M		M			M		
El Salvador	M	M	M	M										M	

Table G-7. National Affiliations with International Financial Institutions (cont'd)

States and Territories	IBRD	IDA	IFC	IMF	G-10	BIS	AFDB	IsDB	AsDB	ABEDA	EADB	BDEAC	EBRD	IADB	CDB	
Equatorial Guinea	M	M	M	M			M					M				
Eritrea	M	M		M			M									
Estonia	M		M	M		M							M			
Ethiopia	M	M	M	M			M									
Fiji	M	M	M	M					M							
Finland	M	M	M	M		M	M		M				M	M		
France	M	M	M	M	M	M	M		M			M	M	M	M	
Gabon	M	M	M	M			M	M				M				
Gambia	M	M	M	M			M	M								
Georgia	M	M	M	M									M			
Germany	M	M	M	M	M	M	M		M			M	M	M	M	
Ghana	M	M	M	M			M									
Greece	M	M	M	M		M							M			
Greenland																
Grenada	M	M	M	M											M	
Guatemala	M	M	M	M										M		
Guinea	M	M	M	M			M	M								
Guinea-Bissau	M	M	M	M			M	M								
Guyana	M	M	M	M										M	M	
Haiti	M	M	M	M										M		
Honduras	M	M	M	M										M		
Hong Kong									M							
Hungary	M	M	M	M		M							M			
Iceland	M	M	M	M		M							M			
India	M	M	M	M			M		M							
Indonesia	M	M	M	M				M	M							
Iran, Islamic Republic of	M	M	M	M				M								
Iraq	M	M	M	M				M		M						
Ireland	M	M	M	M		M							M			
Isle of Man																
Israel	M	M	M	M									M	M		
Italy	M	M	M	M	M	M	M		M				M	M	M	
Jamaica	M		M	M				M						M	M	
Japan	M	M	M	M	M	M	M		M				M	M		
Jordan	M	M	M	M				M		M						
Kazakhstan	M	M	M	M				M	M				M			
Kenya	M	M	M	M			M				M					
Kiribati	M	M	M	M					M							
Kuwait	M	M	M	M			M	M		M		M				
Kyrgyzstan	M	M	M	M				M	M				M			
Lao People's Democratic Republic	M	M	M	M					M							
Latvia	M	M	M	M		M							M			
Lebanon	M	M	M	M				M		M						
Lesotho	M	M	M	M			M									
Liberia	M	M	M	M			M									
Libyan Arab Jamahiriya	M	M	M	M			M	M		M						
Liechtenstein													M			
Lithuania	M		M	M		M							M			
Luxembourg	M	M	M	M									M			
Macedonia, The Former Yugoslav Republic of	M	M	M	M									M			
Madagascar	M	M	M	M			M									
Malawi	M	M	M	M			M									
Malaysia	M	M	M	M				M	M							
Maldives	M	M	M	M				M	M							

Table G-7. National Affiliations with International Financial Institutions (cont'd)

States and Territories	IBRD	IDA	IFC	IMF	G-10	BIS	AFDB	IsDB	AsDB	ABEDA	EADB	BDEAC	EBRD	IADB	CDB	
Mali	M	M	M	M			M	M								
Malta	M			M									M			
Marshall Islands	M	M	M	M					M							
Mauritania	M	M	M	M			M	M		M						
Mauritius	M	M	M	M			M									
Mexico	M	M	M	M									M	M	M	
Micronesia, Federated States of	M	M	M	M					M							
Moldova, Republic of	M	M	M	M									M			
Mongolia	M	M	M	M					M							
Monserrat															M	
Morocco	M	M	M	M			M	M		M			M			
Mozambique	M	M	M	M			M	M								
Myanmar	M	M	M	M					M							
Namibia	M		M	M			M									
Nauru									M							
Nepal	M	M	M	M					M							
Netherlands	M	M	M	M	M	M	M		M				M	M		
New Zealand	M	M	M	M					M				M			
Nicaragua	M	M	M	M										M		
Niger	M	M	M	M			M	M								
Nigeria	M	M	M	M			M									
Norway	M	M	M	M		M	M		M				M	M		
Oman	M	M	M	M				M		M						
Pakistan	M	M	M	M				M	M							
Palestinian Authority								M		M						
Panama	M	M	M	M										M		
Papua New Guinea	M	M	M	M					M							
Paraguay	M	M	M	M										M		
Peru	M	M	M	M										M		
Philippines	M	M	M	M					M							
Poland	M	M	M	M		M							M			
Portugal	M	M	M	M		M	M						M	M		
Qatar	M			M				M		M						
Republic of Korea	M	M	M	M			M		M				M			
Romania	M		M	M		M							M			
Russian Federation	M	M	M	M									M			
Rwanda	M	M	M	M			M									
Saint Kitts and Nevis	M	M		M											M	
Saint Lucia	M	M	M	M											M	
Saint Vincent and the Grenadines	M	M		M											M	
Samoa	M	M	M	M					M							
San Marino				M												
Sao Tome and Principe	M	M		M			M									
Saudi Arabia	M	M	M	M			M	M		M						
Senegal	M	M	M	M			M	M								
Seychelles	M		M	M			M									
Sierra Leone	M	M	M	M			M	M								
Singapore	M		M	M					M							
Slovakia	M	M	M	M		M							M			
Slovenia	M	M	M	M									M	M		
Solomon Islands	M	M	M	M					M							
Somalia	M	M	M	M			M	M		M						
South Africa	M	M	M	M		M										
Spain	M	M	M	M		M	M		M				M	M		

Table G-7. National Affiliations with International Financial Institutions (cont'd)

States and Territories	IBRD	IDA	IFC	IMF	G-10	BIS	AFDB	IsDB	AsDB	ABEDA	EADB	BDEAC	EBRD	IADB	CDB
Sri Lanka	M	M	M	M					M						
Sudan	M	M	M	M			M	M		M					
Suriname	M			M										M	
Swaziland	M	M	M	M			M								
Sweden	M	M	M	M	M	M	M		M				M	M	
Switzerland	M	M	M	M	M	M	M		M				M	M	
Syrian Arab Republic	M	M	M	M				M		M					
Taiwan									M						
Tajikistan	M	M	M	M				M					M		
Tanzania (United Republic of)	M	M	M	M			M				M				
Thailand	M	M	M	M					M						
Togo	M	M	M	M			M								
Tonga	M	M	M	M					M						
Trinidad and Tobago	M	M	M	M										M	M
Tunisia	M	M	M	M				M		M					
Turkey	M	M	M	M		M	M	M	M				M		
Turkmenistan	M			M				M					M		
Turks and Caicos Islands															M
Tuvalu									M						
Uganda	M	M	M	M			M	M			M				
Ukraine	M		M	M									M		
United Arab Emirates	M	M	M	M			M	M		M					
United Kingdom of Great Britain and Northern Ireland	M	M	M	M	M	M	M		M				M	M	M
United States of America	M	M	M	M	M	M	M		M				M	M	
Uruguay	M		M	M										M	
Uzbekistan	M	M	M	M					M				M		
Vanuatu	M	M	M	M					M						
Venezuela	M		M	M										M	
Viet Nam	M	M	M	M					M						
Yemen	M	M	M	M				M		M					
Zambia	M	M	M	M			M								
Zimbabwe	M	M	M	M		M	M								

APPENDIX H

INTERNATIONAL RESPONSE CAPABILITIES FOR NUCLEAR AND CHEMICAL DISASTERS

APPENDIX H
INTERNATIONAL RESPONSE CAPABILITIES FOR NUCLEAR AND CHEMICAL DISASTERS

This appendix describes the international capabilities to respond to nuclear or chemical technological disasters. It provides an overview of the international procedures that have been put into operation by conventions or treaties among nations, and the organizational responsibilities assigned to various members of the international community.

A. INTERNATIONAL NUCLEAR RESPONSE CAPABILITIES

The International Atomic Energy Agency (IAEA), although an independent inter-governmental organization, is classified as a specialized agency of the UN. Responsibilities of the agency include monitoring and assisting with implementation of two conventions[1] that deal with nuclear accidents.

1. International Nuclear Event Scale

To provide the international community with a single system for classifying nuclear events, IAEA and the Nuclear Energy Agency of the Organization for Economic Coordination and Development (OECD) have jointly published the International Nuclear Event Scale (INES).[2] The system was put in place to facilitate communication between the nuclear community and the media and public when such events occur. This classification system ranks events from 0 for events with no significance to 7 for a major accident. The INES is displayed in Table H-1. The table lists criteria for each level and also uses recent examples to illustrate its application to nuclear accidents or incidents, with the Chernobyl event the most serious major accident (scale of 7) experienced to

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1 See Convention on Early Notification of a Nuclear Accident and Convention on Assistance in Case of a Nuclear Accident or Radiological Emergency, both adopted on 26 September 1986.

2 See INES: The International Nuclear Event Scale User's Manual, International Atomic Energy Agency, 1992.

date. The recent accident in Japan in October 1999 has been classified as a Level 3 on-site event.

Table H-1. International Nuclear Event Scale

LEVEL	DESCRIPTOR	CRITERIA	EXAMPLES
Accidents 7	Major Accident	• External release of a large fraction of the radioactive material in a large facility (e.g., the core of a power reactor). This would typically involve a mixture of short- and long-lived radioactive fission products (in quantities radiologically equivalent to more than tens of thousands of terabecquerels of iodine-131). Such a release would result in the possibility of acute health effects; delayed health effects over a wide area, possibly involving more than one country; long term environmental consequences.	Chernobyl NPP, USSR (now in Ukraine),1986
8	Serious Accident	• External release of radioactive material (in quantities radiologically equivalent to the order of thousands to tens of thousands of terabecquerels of iodine-131). Such a release would be likely to result in full implementation of countermeasures covered by local emergency plans to limit serious health effects.	Kyshtym Reprocessing Plant, USSR (now in Russia), 1957
5	Accident With Off-Site Risk	• External release of radioactive material (in quantities radiologically equivalent to the order of hundreds to thousands of terabecquerels of iodine-131). Such a release would be likely to result in partial implementation of countermeasures covered by emergency plans to lessen the likelihood of health effects.	Windscale Pile UK, 1957
		• Severe damage to the nuclear facility. This may involve severe damage to a large fraction of the core of a power reactor, a major criticality accident or a major fire or explosion releasing large quantities of radioactivity within the installation.	Three Mile Island, USA, 1979
4	Accident Without Significant Off-Site-Risk	• External release of radioactivity resulting in a dose to the most exposed individual off-site of the order of a few millisieverts.* With such a release the need for off-site protective actions would be generally unlikely except possibly for local food control.	
		• Significant damage to the nuclear facility. Such an accident might include damage to nuclear plant leading to major on-site recovery problems such as partial core melt in a power reactor and comparable events at non-reactor installations.	Windscale Reprocessing Plant, UK, 1979; Saint-Laurent NPP, France, 1980
		• Irradiation of one or more workers which result in an overexposure where a high probability of early death occurs.	Buenos Aires Critical Assembly, Argentina, 1983
Incidents 3	Serious Incident	• External release of radioactivity above authorized limits, resulting in a dose to the most exposed individual off the site of the order of tenths of millisievert. With such a release, off-site protective measures may not be needed.	
		• On-site events resulting in doses to workers sufficient to cause acute health effects and/or an event resulting in a severe spread of contamination, for example a few thousand terabecquerels of activity released in a secondary containment where the material can be returned to a satisfactory storage area.	
		• Incidents in which a further failure of safety systems could lead to accident conditions, or a situation in which safety systems would be unable to prevent an accident if certain indicators were to occur.	Vandellos NPP, Spain, 1989

Table H-1. International Nuclear Event Scale (cont'd)

LEVEL	DESCRIPTOR	CRITERIA	EXAMPLES
2	Incident	• Incidents with significant failure in safety provisions but with sufficient defence in depth remaining to cope with additional failures.	
		• An event resulting in a dose to a worker exceeding a statutory annual dose limit and/or an event which leads to the presence of significant quantities of radioactivity in the installation in areas not expected by design and which require corrective action.	
1	Anomaly	• Anomaly beyond the authorized operating regime. This may be due to equipment failure, human error, or procedural inadequacies. (Such anomalies should be distinguished from situations where operational limits and conditions are not exceeded and which are properly managed in accordance with adequate procedures. These are typically "below scale.")	
Below Scale/Zero	Deviation	NO SAFETY SIGNIFICANCE	

* The doses are expressed in terms of effective dose equivalent (whole body dose). Those criteria where appropriate can also be expressed in terms of corresponding annual effluent discharge limits authorized by national authorities.

Source: INES: The International Nuclear Event Scale User's Manual, 1992.

2. Notification Procedures

Any state that is a signatory to the convention on notification and assistance in the event of a nuclear accident has several obligations when an accident or radiological emergency occurs within its borders, and the effects have the potential of affecting other states. The affected state must notify directly, or through the IAEA, those states which are or may be physically affected by the accident providing the following information:

- Time, exact location, and the nature of the nuclear accident
- Facility or activity involved
- Assumed or established cause of the accident or incident, and how the state expects the situation to develop, particularly in respect to transboundary release of radioactive material
- General characteristics of the radioactive release, including, as far as is practical, the identity of and the probable physical and chemical form of the contamination, as well as the quantity, composition, and effective height of the radioactive release
- Information on current and forecast meteorological and hydrological conditions in the area of the release to forecast potential paths of the materials
- The results of environmental monitoring in both the area of the release and areas downwind of the release
- The off-site protective measures the state has taken or has planned

- The predicted behavior over time of the radioactive release.

Although all of this information is unlikely to be available shortly after a potential or actual accident or release, the affected state should provide as much information as possible. Moreover, each state that is party to the conventions is obliged to provide the IAEA both official state points of contacts (POCs) and a national focal point responsible for issuing and receiving the IAEA accident notification and follow-up information. When notified by an affected state of an accident or release, the IAEA notifies those states which are or may be physically affected, as well as relevant members of the international community.

3. Procedures to Request Assistance

If a state which is party to the conventions needs assistance, whether or not the accident originates within its territory, it can call for such assistance directly from any other state, through the IAEA from other international community members, directly from the IAEA, or directly from other international community members. When requesting assistance, the state should specify the scope and type of assistance it requires. When a state or agency has been asked to provide assistance, it must notify the requesting state whether it can render assistance and the scope and terms of the assistance that it can provide.

The IAEA can provide the following assistance:

- Making available IAEA technical experts who are specifically identified for this purpose
- Promptly transmitting requests for assistance to other states and international community members which have the necessary resources
- If requested by the state, coordinate the international assistance operation.

Overall direction, control, coordination, and supervision of the international assistance provided is the responsibility of the requesting state. The requesting state also provides, to the extent of its capabilities, local facilities and services for effective administration of these resources. Furthermore, the requesting state must ensure the protection of personnel, equipment, and materials brought into its territory by or on behalf of the assisting parties.

4. Assistance Available from UN Agencies

Several UN agencies have the capacity and responsibility to assist when a nuclear event occurs. The two key UN organizations that provide assistance to the requesting state during a nuclear accident are IAEA and the Office for the Coordination of Humanitarian Assistance (OCHA).[3] As a general rule, IAEA coordinates the international response for activities inside the nuclear facility while OCHA coordinates the international response outside the facility.

a. IAEA Role

In accordance with the conventions, IAEA performs the following information processing functions:

- Authenticate, screen, verify, and compile information and data about the nuclear accident or radiological release
- Prepare and distribute periodic press releases or information summaries for the affected state authorities
- If requested, coordinate press and other inquiries for information
- Assist states in controlling rumors and clarifying unconfirmed reports
- Providing requesting states and organizations with information from the IAEA data base for nuclear engineering, radiological monitoring, medical, and radiological decontamination capabilities of other IAEA signatory states.

b. OCHA Role

If requested to assist with the coordination of international response, OCHA will establish an On-Site Operations Coordination Center (OSOCC) to serve as the focal point for coordinating these resources for the requesting nation. OCHA can also request specific assistance from the international response community using the MCDA service modules described in Chapter III and Appendix G.

c. The UN Resident Coordinator's Role

In most nations, the UN Resident Coordinator is the senior UN official present and s/he chairs the UN Disaster Management Team (UNDMT) made up of all UN

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[3] The United Nations High Commissioner for Refugees (UNHCR) will play a key role when a large number of refugees or internally displaced persons are caused by such an accident (usually when more than 250,000 persons are involved) and either OCHA or UNHCR may be designated as the UN General Coordinator for the operation.

agencies present in the receiving state. The UNDMT provides the focal point at the national level for all UN activities in the receiving country, and this team works alongside the national emergency management authorities during the response.

d. World Meteorological Organization (WMO) Role

When IAEA is informed of or becomes aware of a situation which could potentially involve transboundary radiological release, it will immediately inform and provide the WMO Secretariat in Geneva and the Global Data Processing System (GDPS) Center in Toulouse, France with all available information about the accident. The center can provide the following information for the international community:

- Detailed historical, current, and predicted meteorological information to the affected nation and adjacent states
- Current and projected trajectories for the movement of the radiological material in the atmosphere
- Predictions of concentrations and dosage rates in the affected area
- Estimation of uncertainties on all of these projections.

For the duration of the emergency, the GDPS Center will produce the following products twice each day for IAEA, WMO, and the affected and adjacent states:

- Mean concentration of radionuclides in the atmosphere
- Locations and total deposition of radionuclides
- Radionuclide plume trajectories.

e. Food and Agricultural Organization (FAO) Role

When notified of the accident or incident, FAO will request the following supplemental information from the affected nation or the IAEA:

- Range of nuclear contamination values found in the affected areas (especially the maximum values)
- Representative contamination values (usually average or mean value) found in foodstuffs which may be subject to export or of potential radiological significance
- Affected states prohibitions on the use of certain food stuffs.

The affected nation and IAEA will start collecting such information within 24 hours of the contamination deposition for foodstuffs such as milk and milk products,

fresh fruits, and leafy vegetables. Collection of such information on other foodstuffs should start within a week.

After the initial stages of the accident (two to seven days), FAO serves as the UN's focal point for detailed information about the affects of the accident on foodstuffs in the affected area. FAO provides expert advice on both the qualitative and quantitative effects of all chemical, biological, and nuclear contamination on foodstuffs, to include radionuclides on food supplies. In addition, FAO can also advise governments on acceptable levels of radionuclide contamination levels in agricultural, fishery, and forest products entering national and international trade. Representatives from the FAO are also competent to advise governments on measures to be taken to minimize the effects of radiological contamination on these products, develop emergency procedures for alternative agricultural practices, and decontaminate food products, soil, and water. If required, FAO also can coordinate with the United Nations Children's Fund (UNICEF) to provide supplemental milk and formula for young children and mothers.

f. World Health Organization (WHO) Role

WHO provides information on the risk to both indigenous and relief personnel in the affected areas. The appropriate WHO regional office will coordinate the organization's activities at the accident site. If needed, WHO can provide the requesting nation with access to its Radiation Emergency Medical Preparedness and Assistance Network.

If the accident or release occurs in a country lacking adequate monitoring facilities for the potentially large number of people at risk, such assistance can be coordinated by WHO. France and other countries have established mobile facilities and specially trained teams of personnel that can measure both external and internal radiological contamination in humans, and WHO or IAEA can request this type of assistance from the donor nations. In addition, WHO can order medical supplies though the UNICEF Packing and Assembly Center (UNIPAC), a UN facility in Copenhagen, which is sponsored by the Danish Government. UNIPAC stockpiles prepackaged drugs and medical supplies for use during humanitarian relief operations.

g. UN Environment Program (UNEP)

UNEP provides IAEA, the international response community, and affected nations with environmental and natural resource information through the Global Environment Monitoring System (GEMS) and the Global Resource Information Database

(GRID). These systems use geographic information systems, satellite image processing, and telecommunications technologies for the analysis of environmental conditions and to develop other input data.

WHO and UNEP have jointly developed and implemented a Global Environment Radiation Monitoring Network (GERMON) within the framework of GEMS. The International Reference Center for Radioactivity in Paris is the coordinating center for this program.

h. International Labor Organization (ILO) Role

Activities of the ILO are directed towards the prevention of occupational accidents and of work related diseases. While ILO does not have the charter, funding, equipment, or expertise to assist directly in emergency situations, it sponsors several activities in the field of occupational safety and health issues, including radiation protection of workers. In the event of a nuclear accident or radiological emergency, ILO may reply to requests for information, and provide information to its constituents, which are primarily employers, unions, and government labor ministries.

i. International Maritime Organization (IMO) Role

In case the nuclear emergency can affect shipping on the high seas, the IMO can provide technical expertise on salvage operations of vessels and cargo. IMO can also help promulgate appropriate warnings to shipping traffic.

5. International Nuclear Response Capabilities

The nuclear response capabilities are maintained in an international data base.[4] While most of the response is provided by individual nations, IAEA maintains the current data base of these capabilities. These capabilities are summarized in the table at the end of this section where they are listed in four categories: human resources, special teams, equipment and materials, and specialized facilities.

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4 The U.S. Department of Energy (DoE) and Department of Defense also maintain a national-level response capability for nuclear accidents. The DoE capabilities are described in Chapter II. The DoD capabilities are listed in the Nuclear Accident Response Capability Listing (NARCL) maintained by the Joint Nuclear Accident Coordination Center (JNACC).

a. Human Resources

This category includes 8 separate classifications of human resources and within the classification they are grouped by number of personnel: up to 10 (listed as 10), 11 to 100 (listed as 100), and more than 101 (listed as 101+). The classifications are as follows:

(1) HR-1 – Number of professional health physical/radiation protection specialists.

(2) HR-2 – Number of professional health physical/radiation protection technicians.

(3) HR-3 – Number of professional medical doctors with special education and training in dealing with radiation and contamination injuries.

(4) HR-4 – Number of professional nuclear engineers.

(5) HR-5a – Number of experts on food chain and agricultural product radioactivity analysis and control.

(6) HR-5b – Number of experts in meteorological and radiological dose assessment and projections, and environmental consequence assessment.

(7) HR-5c – Number of experts in radiological decontamination of facilities and the environment.

(8) HR-5d – Number of experts in radiological waste collection, processing, storage, and disposal.

b. Special Teams

There are two types of special teams, Field Monitoring and Airborne Monitoring. If the nation has such capability, the response is listed as a yes. If there is no capability, the response is none.

(1) Tm-1 – Field radiological monitoring and sampling teams with their equipment.

(2) Tm-2 – Airborne radiological monitoring and surveillance teams with their equipment, aircraft, and crews.

c. Equipment and Materials

There are six classes in this category. They are reported as yes or none as appropriate. The definition of each classification follows:

(1) Eq-1 – Portable radiation monitoring and analytical equipment includes resources that could be transported to and around an affected site for the purpose of detecting and measuring radiation levels in the environment. This equipment includes radiation monitoring instruments, sampling and collection devices, and radioactivity analytical equipment.

(2) Eq-2 – Stationary radiation monitoring equipment that can be transported to and installed at or near an affected area to detect and measure radiation and radioactivity releases from an affected facility or site.

(3) Eq-3 – Robotically controlled radiological survey equipment.

(4) Eq-4 – Specialized decontamination materials, such as detergents, and contamination fixative and removal agents.

(5) Eq-5 – Transportable radiological waste collection, processing, and contamination equipment.

(6) Eq-6 – Equipment to protect personnel from radiological agents, including dosimeters, respiratory protection devices, and special protective clothing.

d. Specialized Facilities

This group has three classifications and are reported as yes (capabilities exist) or none. The definitions of categories follow:

(1) SF-1 – Hospitals that are capable of treating persons with severe radiation exposure or radiological contamination. These facilities could also be used to treat traumatic injuries.

(2) SF-2 – Laboratories for large scale and specialized analysis of radiological contamination, including radiochemical analysis.

(3) SF-3 – Institutions capable of conducting real-time mesoscale projections of meteorological or hydrological transport, diffusion, and dispersion of released radioactive materials, as well as radiological dosage projections.

Table H-2. International Nuclear Response Capabilities by Providing Nation

State Parties	Code	HR-1	HR-2	HR-3	HR-4	HR-5a	HR-5b	HR-5C	HR-5d	Tm-1	Tm-2	Eq-1	Eq-2	Eq-3	Eq-4	Eq-5	Eq-6	SF-1	SF-2	SF-3
Afghanistan	AFG																			
Albania	ALB																			
Algeria	DZA	100	100	none	100	yes	yes	yes	yes	yes	none	none	none	none	none	none	yes	none	none	yes
Argentina	ARG																			
Armenia	ARM																			
Australia	AUS	101+	100	100	100	yes	yes	yes	yes	yes	yes	yes	yes	none	none	yes	yes	yes	yes	yes
Austria	AUT	100	10	10	10	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	yes	none	yes	yes
Azerbaijan	AZE																			
Bangladesh	BGD	10	10	10	10	yes	yes	none	yes	none	none	none	yes	none	none	none	none	yes	yes	yes
Belarus	BLR	100	101+	101+	101+	yes	yes	yes	yes	yes	yes	yes	none	none	none	none	none	yes	yes	yes
Belgium	BEL																			
Bolivia	BOL																			
Bosnia and Herzegovina	BIH																			
Brazil	BRA	101+	101+	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	none	yes	yes	yes	none
Bulgaria	BGR	100	100	10	100	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes
Cambodia	KHM																			
Cameroon	OMR	100	100	10	10							yes	none						none	none
Canada	CAN	101+	101+	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes
Chile	CHL	10	10	10	100	yes	yes	yes	yes	yes	yes	yes	none	none	yes	none	yes	none	none	none
China	CHN																			
Columbia	COL	100	10	none	10	yes	none	yes	yes	yes	none	yes	none	none	none	none	none	none	none	none
Costa Rica	CRI																			
Cote d'Ivoire	CIV	10	10	10	none	yes	yes	none	none	yes	none	none	none	none	none	none	none	none	none	none
Croatia	HRV																			
Cuba	CUB	100	100	100	101+	yes	yes	yes	yes	yes	none	none	none	none	none	none	none	yes	yes	yes
Cyprus	CYP	10	10	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Czech Republic	CZR	100	101+	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes
Democratic Peoples Rep Korea	PRK																			
Denmark	DNK	100	100	10	10	yes	yes	yes	yes	yes	yes	yes	yes	none	none	none	yes	none	yes	none
Dominican Republic	DOM																			
Ecuador	ECQ	100	100	10	10	yes	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Eqypt	EGY	100	100	100	100	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	none	none	yes	none
El Salvador	SLV																			
Estonia	EST																			

Table H-2. International Nuclear Response Capabilities by Providing Nation (con't)

State Parties	Code	HR-1	HR-2	HR-3	HR-4	HR-5a	HR-5b	HR-5C	HR-5d	Tm-1	Tm-2	Eq-1	Eq-2	Eq-3	Eq-4	Eq-5	Eq-6	SF-1	SF-2	SF-3
Ethopia	ETH																			
Finland	FIN	100	100	10	101+	yes	yes	yes	yes	yes	none	yes	none	none	none	none	yes	none	yes	yes
France	FRA	101+	101+	101+	101+	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes
Gabon	GAB																			
Georgia	GEO																			
Germany	DEU	101+	101+	101+	101+	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes	yes	yes	yes
Ghana	GHA	10	10	none	10	yes	none	none	none	yes	none	none	none	none	none	none	none	none	none	none
Greece	GRC	100	100	100	10	yes	yes	yes	yes	none	none	none	none	none	none	none	yes	none	yes	yes
Guatemala	GTM																			
Haiti	HTI																			
Hungary	HUN	101+	101+	100	101+	yes	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	yes	yes	yes
Iceland	ISL																			
India	IND	101+	101+	10	101+	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	none	yes	yes	yes	yes
Indonesia	IDN	100	100	10	100	yes	yes	none	yes	yes	none	none	none	none	none	none	none			
Iran	IRN																			
Iraq	IRQ																			
Ireland	IRL																			
Israel	ISR	100	100	10	100	yes	yes	yes	none	yes	none	yes	yes	yes	yes	yes	yes	yes	yes	yes
Italy	ITA																			
Jamaica	JAM	10	10	none	none	yes	none	yes	yes	yes	none	yes	yes	none	none	none	none	none	yes	none
Japan	JPN	101+	101+	100	101+	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	yes	yes	yes	yes
Jordon	JOR																			
Kazakhstan	KAZ																			
Kenya	KEN	100	100	10	none	yes	yes	none	none	yes	none	yes	none	none	none	none	yes	none	yes	none
Kuwait	KWT																			
Kyrgyzstan	KGZ																			
Latvia	LVA																			
Lebanon	LBN																			
Liberia	LBR																			
Libya	LBY																			
Lichtenstein	LIE																			
Lithuania	LTU	10	10	10	10	none	none	yes	yes	none	none	none	yes	none	none	none	none	none	none	none
Luxembourg	LUX	10	10	10	none	yes	none	yes	none	yes	none	yes	yes	none	none	none	yes	none	yes	none
Madagascar	MDG																			
Malaysia	MYS	10	10	none	10	yes	none	none	none	yes	none	none	none	none	none	none	none	none	none	none
Mali	MLI																			
Marshall Islands	MHL																			

Table H-2. International Nuclear Response Capabilities by Providing Nation (con't)

State Parties	Code	HR-1	HR-2	HR-3	HR-4	HR-5a	HR-5b	HR-5C	HR-5d	Tm-1	Tm-2	Eq-1	Eq-2	Eq-3	Eq-4	Eq-5	Eq-6	SF-1	SF-2	SF-3
Mauritius	MUS	100	10	10	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Mexico	MEX	100	100	10	100	yes	yes	yes	yes	yes	none	none	none	none	none	none	none	none	yes	none
Moldova	MDA																			
Monaco	MCO	10	10	10						yes	none	yes			yes		yes	yes	none	
Mongolia	MNG																			
Morocco	MAR																			
Myanma	MNR																			
Namibia	NAM																			
Netherlands	NLD	10	100	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	none	yes	yes	yes	yes
New Zealand	NZL	10	10	none	none	yes	yes	none	yes	none	none	none	none	none	none	none	none	none	none	none
Nicaragua	NIC																			
Niger	NER																			
Nigeria	NGA																			
Norway	NOR	100	100	10	100	yes	yes	yes	yes	yes	yes	yes	none	none	none	none	yes	none	none	yes
Pakistan	PAK	100	100	10	101+	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	yes	none	none	none
Panama	PAN																			
Paraguay	PRY	10	none	none	none	yes	yes	yes	none	none	none	none	none	none	none	none	none	none	none	none
Peru	PER	10	100	10	100	yes	none	yes	yes	yes	none	yes	yes	none	yes	none	yes	yes	none	none
Phillippines	PHL	100	100	none	100	yes	yes	yes	yes	yes	none	none	none	none	none	none	yes	none	none	none
Poland	POL	100	101+	100	100	yes	yes	yes	yes	yes	none	yes	yes	none	yes	yes	yes	yes	yes	yes
Portugal	PRT																			
Qatar	QAT	10	10	10	10							yes	yes					yes	yes	yes
Rep of Tanzania	TZA																			
Republic of Korea	KOR	100	101+	10	101+	yes	yes	yes	yes	yes	none	yes	yes	none	yes	none	yes	yes	yes	yes
Romania	ROM	100	101+	10	101+	yes	yes	yes	yes	yes	none	none	none	none	none	none	yes	yes	yes	yes
Russia	RUS	101+	101+	101+	101+	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes
Saudi Arabia	SAU																			
Senegal	SEN																			
Serbia	SRB																			
Sierra Leone	SLE																			
Singapore	SGP																			
Slovenia	SVN	100	100	10	100	yes	yes	yes	yes	yes	none	none	none	none	none	none	yes	none	none	yes
Solvakia	SVK																			
South Africa	ZAF	100	100	10	100	yes	yes	yes	yes	yes	none	none	none	none	none	none	none	yes	none	none
Spain	ESP	101+	101+	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes
Sri Lanka	LKA																			
Sudan	SDN	10	10	10	10	yes	yes	none	none	yes	none	none	none	none	none	none	none	none	none	yes

Table H-2. International Nuclear Response Capabilities by Providing Nation (con't)

State Parties	Code	HR-1	HR-2	HR-3	HR-4	HR-5a	HR-5b	HR-5C	HR-5d	Tm-1	Tm-2	Eq-1	Eq-2	Eq-3	Eq-4	Eq-5	Eq-6	SF-1	SF-2	SF-3
Sweden	SWE	101+	101+	100	101+	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes
Switzerland	CHE	10	10	10	10	yes	yes	yes	yes	none	none	none	none	none	none	none	yes	yes	yes	none
Syria	SYR	10	10	none	none	yes	none	none	none	yes	none	yes	none	none	none	none	none	none	yes	none
Taiwan	TWN	101+	101+	100	101+	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	none	yes	yes	yes	yes
Tajikistan	TJK																			
Thailand	THA	10	100	10	10	none	none	none	none	none	none	none	none	none	none	none	none	none	none	none
Tunisia	TUN																			
Turkey	TUR	100	100	10	100	yes	yes	yes	yes	yes	yes	yes	yes	none	yes	yes	yes	none	yes	yes
Turkmenistan	TKM																			
Uganda	UGA																			
Ukraine	UKR	101+	101+	100	101+	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes	yes	yes	yes
United Arab Emirates	ARE																			
United Kingdom	GBR	101+	101+	100	101+	yes	yes	yes	yes	yes	none	yes	yes	yes	yes	yes	yes	yes	yes	yes
United States	USA	101+	101+	101+	101+	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes	yes
Uruguay	URY																			
Uzbekistan	UZB																			
Vatican	VAT																			
Venezula	VEN																			
Vietnam	VNM																			
Yugoslovia	YUG	100	100	100	100	yes	yes	yes	yes	yes	yes	none	none	none	none	none	yes	yes	yes	yes
Zaire	ZAR																			
Zambia	ZMB	10	10	none	none	yes	none	yes	yes	yes	none	yes	yes	none	none	none	yes	yes	yes	none
Zimbabwe	ZWE																			

Source: IAEA, see: www.isaea.or.at/programmes/inis/inisdb.htm/.

B. INTERNATIONAL CHEMICAL RESPONSE CAPABILITIES

The Organization for the Prohibition of Chemical Weapons (OPCW) is an inter-governmental organization established by member states to oversee implementation of the convention[5] on chemical weapons and to inspect and verify compliance. This convention prohibits nations from developing, producing, stockpiling, or using chemical weapons, and also provides for the destruction of these weapons and production facilities.

1. Chemical Response Procedures

Under Article X of the convention, OPCW is responsible for assisting member states in emergency situations. OPCW has developed standard operating procedures[6] for providing such support. Located in the Hague, Netherlands, OPCW has formed an Operational Readiness Section within its headquarters to oversee both the inspection program and the procedures for providing assistance to member states during emergency situations. The headquarters also maintains a 24-hour operations center so that requests for emergency assistance can be acted upon immediately, once the Director General authorizes action.

When a request for assistance is received, an Emergency Assistance Group (EAG) will be task organized from the various OPCW staff sections within 3 hours. The EAG supports the Director General and the Secretariat with formulating the response. The EAG will form and deploy an advance investigation assistance team (AT) of experts to the affected area both to investigate the cause of the emergency and to provide an assessment of the support requirements.

The investigation by the AT will include the following activities:

- Locating chemical weapons or chemical hazards causing the emergency
- Collecting and analyzing samples
- Medical examinations of alleged victims
- Interviewing eye witnesses
- Advising the EAG of required actions that need to be taken

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5 See Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction, 8 August 1994.

6 See Briefing: "Standard Operating Procedure for IAU and Emergency Assistance Initiated Under Article X (Draft)," Organization for Prohibition of Chemical Weapons, June 1999.

- The assessment by the AT will include:
- Evaluation of the request based upon on-site observations
- Estimates of protection requirements
- Determination of the types of assistance needed, including technical and humanitarian assistance.

The EAG will coordinate the personnel, equipment, and logistical support needed to provide the assistance called for in the emergency situation based on the AT assessment. Support may be provided from the limited capabilities maintained by OPCW, or if more extensive capabilities are required, from those maintained by other member states or agencies of the international community. The EAG will coordinate the requests and offers of assistance, and the transportation to deliver the personnel, equipment, and material to the area. OPCW will also coordinate the international relief effort in support of the affected nation by establishing an international management center near the affected area.

During the response, situation reports from the AT will be initiated within 24 hours of the request. Progress reports will be rendered as necessary or as the need for additional assistance is identified. A preliminary report will be made within 72 hours after returning to the headquarters and a final report covering the investigation, assessment of the implementation of assistance, and recommendations for further actions is required within 30 days.

2. Resources Potentially Available for Chemical Emergencies

OPCW requested member states to identify in various categories the type of assistance that could provide during a chemical emergency. The national responses are compiled in a list maintained by the Operational Readiness Section. The list, provided at Table H-3, includes five categories: protective equipment, decontamination equipment, detection equipment and units, medical treatment, and technical advice.

Table H-3. Offers of Assistance Made by States Parties to the Chemical Weapons Convention

Country	Protective Equipment			Decontamination Equipment			Detection Equipment and Units			Medical Treatment		Technical Advice
	Protective Mask	Protective Clothing	Collective Protection	Decontamination Kit	Decontamination System	Decontamination Units	Portable detection Device	Mobile Laboratory	NBC Reconnaissance Unit	Antidotes	Medical Treatment	
Australia	respirators, NBC protective suits, NBC gloves, overboots			personnel deco kits, equipment, deco stations			portable CW detection systems, hand-held monitors, detector kits, detector paper			nerve agent pre-treatment, treatment (autoinjectors)	artificial respiration units	treatment of casualties, CW defence equipment
Austria	provides the service of special units of AFDRU (max. 195 troops): detection, special analysis, decontamination, EOD task, medical first aid for own forces. The following equipment is available:											
					DS-10 portable deco system		Proengin AP2C, CAM,	Mobile Mass Spectrometer				
					Karcher Decojet trailer		DRAGER Multiwarn equip.					
					Vehicle for material and personnel decontamination		DRAGER detector pump system					
Belarus	personal protective equipment											military experts
Bulgaria	1000 kits of respirators	1000 kits of protective clothing										
		1000 individual protective packages										
Cuba										medical treatment up to five medical specialist in the field of toxicology		
Czech Republic				Decontamination Kit OS-3 with decontamination solution OR-3			Nerve agents Detection Strip	Mobile Chemical laboratory				
							Detector Kit for CWA ORI-217	equipped with portable Gas Chromatograph, Infrared Spectrometers				
							Detector Tubes for ORI-217					
							CWA Liquid Detector CALID-3	including qualified staff				
France									sending team to carry out detection procedures; rapid deployment of team for investigation of alleged use		medical treatment of cases of poisoning	expert advise of diagnosis and protection of public

Table H-3. Offers of Assistance Made by States Parties to the Chemical Weapons Convention (cont'd)

Country	Protective Equipment			Decontamination Equipment			Detection Equipment and Units			Medical Treatment		Technical Advice
	Protective Mask	Protective Clothing	Collective Protection	Decontamination Kit	Decontamination System	Decontamination Units	Portable detection Device	Mobile Laboratory	NBC Reconnaissance Unit	Antidotes	Medical Treatment	
Germany	individual protective equipment and collective equipment			decontamination devices		decontamination sub-units and water purification sub-units	detection, measuring and warning equipment	Mass spectrometer in the NBC reconnaissance vehicle	NBC reconnaissance sub-units with NBC reconnaissance vehicles			chemical-medical defence; chemical defence (research and tech..); chemical defence equipment
India	100 set of Individual Protective Equipment						2 sets of hand-held Chemical Agent Detectors (AP2C)					
Iran, Islamic Republic											hospitalisation: 100 casualties a medical rescue team consisting of 5 persons send medicines and required medical equipment for 100 CW casualties	
Mongolia	20,000 sets with filters	20,000 sets of impermeable type		10 decontami-nation equipment sets			100 sets of CW detector equipment			requested amount of "Pankipsin" antidote	1-2 field hospital sets: 10,000 individual anti-gas first aid kits	
Pakistan	2,000 sets respirators with canisters	1,000 sets of NBC protective suits										
Poland	personnel and equipment for chemical agent detection and decontamination; a unit of up to battalion size can be available for unit tasks											
Romania	150 protective masks of military type											

Table H-3. Offers of Assistance Made by States Parties to the Chemical Weapons Convention (cont'd)

Country	Protective Equipment			Decontamination Equipment			Detection Equipment and Units			Medical Treatment		Technical Advice
	Protective Mask	Protective Clothing	Collective Protection	Decontamination Kit	Decontamination System	Decontamination Units	Portable detection Device	Mobile Laboratory	NBC Reconnaissance Unit	Antidotes	Medical Treatment	
Slovak Republic						One deco platoon: 19 team member, 2 cars ARS-12M for deco, 2 cars TZ-74 (warm-air), 1 car ST-T-815 for deco, 1 car PV3S for logistic		Field laboratory: 8 team members, 1 Ford-Transit car, 1 trail car Ford-Transit, 1 car PV3S with chemical extension Automobile laboratory: 3 team members, 1 car AL-1 PV3S with analytical equipment	Two radiation and chemical recon platoons: 18 team members, 6 recon armoured BRDM-2rch		special treatment of intoxication: 55 patients; special treatment of burns: 50 patients	
Slovenia								Ecological laboratory with mobil unit: chem. and microbio. anal. of food, water and air	6 regional units for RBC protection: recon, sample taking, success of decon. one unit has 9 persons		Facilities for temporary accomodation of 600 endangered persons	Use of the Civil Defence Training Centre
Spain												Hand books on chemical defence; specialist instructors for protection, detection and deco techniques; skilled support in analytical techniques
South Africa												assist National Authorities of S.P. in its region in advising on the preparation of procedures and measures related to protection against CW

Table H-3. Offers of Assistance Made by States Parties to the Chemical Weapons Convention (cont'd)

Country	Protective Equipment			Decontamination Equipment			Detection Equipment and Units			Medical Treatment		Technical Advice
	Protective Mask	Protective Clothing	Collective Protection	Decontamination Kit	Decontamination System	Decontamination Units	Portable detection Device	Mobile Laboratory	NBC Reconnaissance Unit	Antidotes	Medical Treatment	
Sweden												expertise in the following areas: detection equipment and alarm systems; protective equipment; deco and deco equipment; medical antidotes and treatment, rescue service
Switzerland	10,000 NBC masks with filter	10,000 NBC protective overalls; 10,000 pairs of NBC gloves ("Rolamit")		10,000 bottles of deco powder	250 deco apparatus‘; 500 cans of deco solution		10,000 pads of CWA detector paper; 100 CWA detector kits			10,000 auto-injectors "Combo-Pen"		Manual on the personal protective kits; training course on chemical protection and protective measures (4 days)
United Kingdom											medical treatment	technical support in the areas of the threat assessment, analytical services, and other technical advise; training on protective measures
United States of America										medical antidotes	medical treatment	other assistance

Source: Status of the Chemical Weapons Convention, Organization for Prohibition of Chemical Weapons, 26 June 1999

APPENDIX I

RESPONSE CAPABILITIES OF THE INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES AND THE EMERGENCY CORPS OF THE ORDER OF MALTA

APPENDIX I
RESPONSE CAPABILITIES OF THE INTERNATIONAL FEDERATION OF RED CROSS AND RED CRESCENT SOCIETIES AND THE EMERGENCY CORPS OF THE ORDER OF MALTA

This appendix provides additional detail on the response capabilities of two international organizations: the International Federation of Red Cross and Red Crescent Societies (IFRC) and the Sovereign Military Order of St. John of Jerusalem, of Rhodes, and of Malta (SMOM).

A. IFRC EMERGENCY RESPONSE UNITS

Eight types of Emergency Response Units (ERUs) have been developed as part of the Federation's strategy to improve its rapid response capacity. They are trained groups of specialists together with their equipment, ready to operate on 48-hour notice, and capable of being deployed and operating in a self-contained manner for a maximum period of at least 3 weeks before being integrated into the IFRC's delegation.

1. Types of Emergency Response Units (ERU)

The ERUs established by the Federation are similar in concept to the service modules used by the UN, but intended to support the IFRC operations in an affected area.

a. Specialized Water Unit

This unit provides mechanical and chemical treatment of raw water and production of safe drinking water. It has the capacity to store, transport, and distribute about 120,000 liters per unit per day for health and medical installations such as hospitals, feeding centers, and dispensaries. See Tab 1 for detailed organization, personnel, and equipment.

b. Mass Water Unit

This unit provides chemical treatment of raw water and production of clean water that meets the WHO standards. The unit has the capacity to store, transport, and distribute approximately 400,000 to 600,000 liters per unit per day. This water is

intended to meet the needs of large populations of up to 40,000 persons, and livestock if necessary. See Tab 2 for detailed organization, personnel, and equipment.

c. Sanitation Unit

This unit provides sanitation facilities for large populations along with essential environmental health activities required during relief operations. A unit has the capacity to provide facilities for up to 40,000 personnel. See Tab 3 for detailed organization, personnel, and equipment.

d. Basic Health Care Unit

This unit provides basic, essential curative, preventive, and community health care in emergency situations, where local medical facilities are insufficient or have been destroyed. If possible, existing health care structures should be assisted, rehabilitated, and further developed. The unit is structured to provide basic health care for a population of 20,000 to 30,000 people and has 20 beds for overnight care. See Tab 4 for detailed organization, personnel, and equipment.

e. Referral Hospital Unit

This unit serves as a first level medical referral unit and is to be deployed when local medical facilities are insufficient or have been destroyed. It is designed to support a population of 150,000 to 250,000 people and can accommodate an in-patient load of 120 to 150 beds. The unit is able to function as part of a district-type autonomous medical system, with no secondary referral. See Tab 5 for detailed organization, personnel, and equipment.

f. Telecommunication Unit

This unit provides communications support within a disaster area and between the area and the secretariat located in Geneva. It also provides support to other information technology systems deployed with the delegation. The unit provides the necessary telecommunication systems support for one main office, two vehicles, and ten handsets for field use. See Tab 6 for detailed organization, personnel, and equipment.

g. Logistics Unit (under development)

This unit is currently under development by the Federation. It is intended to facilitate and safeguard the reception, storage, and distribution of relief consignments arriving in the affected area by air or surface. The unit records and reports on the status

of these goods. The unit is also intended to conduct logistical assessments and arrange for local logistical support for the other ERUs deploying into the area. See Tab 7 for detailed organization, personnel, and equipment.

h. Information Unit

This unit has not been officially established by the IFRC. The national society of Denmark is currently experimenting with the concept. The unit is focused more on public relations than information collection and processing.

2. Employment of the ERUs

The decision to deploy ERUs will be made by the Under Secretary General, Disaster Response and Operations Coordination (USG, DROC). This decision will be made upon the recommendation of the director of the regional department concerned, or a task force established for the operation, as an integral part of the Federation's disaster response. Consultations with both the affected national society and IFRC delegation, where one exists in the nation, will be conducted before the decision is made.

The national society that provides the ERU is responsible for the professional qualifications of the members of the unit and ensuring that personnel are available for deployment within the agreed time frame, 48 hours after notification. The national society also ensures that the unit deploys in the agreed ERU configuration and that team members have a good working knowledge of the language agreed for their unit. When the unit deploys, it will be available for a minimum period of four weeks, with the understanding that the deploying national society will remain responsible for maintaining the ERU in the field for a period of four months. All expenses relating to salaries, insurance, benefits, and travel to the country of operation are borne by the deploying national society for this period of time. The national societies provide the ERU personnel, material, spare parts, and the replacement of material as their contribution to the operation.

As soon as possible, but not later than 21 days after deployment, the ERU will be integrated into the IFRC delegation. No local employees may be hired by the ERU, other than daily paid labor, before the ERU has formally been integrated into the delegation. An agreement on the integration of the ERU defining the responsibilities of the delegation and the deploying national society will be formalized by written agreement between the leader of the ERU and head of the delegation. The agreement will also list the current assets of the ERU. After the ERU is formally integrated into the delegation,

the deploying national society continues to be responsible for the providing personnel and the operating costs although the ERU will receive normal support from the delegation. After 4 months, the Federation assumes responsibility for all aspects of the work of the ERU.

Members of unit report exclusively to the ERU team leader. All members have the status of delegates and sign the Federation Rules of Conduct. Security regulations established by the head of delegation apply to the ERU staff from the moment they are deployed. The ERU leader reports to the head of delegation on general matters, but on technical matters to the appropriate technical delegate or IFRC secretariat.

B. THE EMERGENCY CORPS OF THE ORDER OF MALTA RESPONSE UNITS

The Emergency Corps of the Order of Malta (ECOM) is capable of responding flexibly and adequately to various types of disasters and emergency situations. For this purpose, the Emergency Relief Detachment (ERD), the response unit of ECOM at the field level, is tailored with various team components, known as operational modules. For the most part, these modules are intended to complement each other, although some of them are also capable of working independently. Hence, some of them may be brought into action successively, while others have to be on the spot simultaneously. The personnel who form these modules are volunteers of various national associations, but the module may be staffed by one country's members.

The ECOM equipment and material used for the module must conform to established standards and the personnel use the standing operational procedures of the corps. Within this framework, each national association and service is invited to contribute personnel and equipment resources to the modules in accordance with its means. These modules are expected to be able to deploy within 3 days.

There are six types of modules, described briefly below.

a. Mobile Ambulance Units

This unit provides mobile primary health care for persons living in the vicinity of disaster areas (camps, villages, settlements, etc.), who do not need further and more extensive assistance of any kind. The mobile unit works in the proximity to its base camp and returns there every night.

b. Detached Medical Units

These units provide fixed site outpatient medical care for persons living in those peripheral parts of a disaster area which are difficult to reach. Therefore, the team is capable of operating independently at a site for up to one week. If necessary, specialty capabilities will be added to support the relief effort of the Detached Medical Unit.

c. Kitchen and Food Supply Units

This unit prepares food and distributes it to the needy. It has the capability to feed up to 1,000 persons per day.

d. Housing Units

This unit provides temporary shelter and sanitation facilities for up to 1,000 people.

e. Water Purification Units:

This unit produces, stores, and distributes sufficient potable water to meet the daily needs of a population of up to 1,000 persons.

f. Search Dog Unit:

The ECOM is developing this type of unit to be employed in the event of an earthquake.

The ECOM has cataloged the relief capacities of the 32 member nations, and their national associations that have agreed to support the corps' operation. The providing associations are listed in Table D-1 and are the principal sources of the emergency response units that form the modules of the Emergency Relief Detachment.

Table D-1. ECOM Relief Organizations

Country	Association
Austria	Malteser-Hospitaldienst Austria (MHDA)
Belgium	Malte Assistance
Bosnia-Herzegovina	Permanent Co-ordination of the activities of Malteser-Hilfsdienst
Chile	Auxilios Maltes
Croatia	Hrvatska Malteska Slusba (HMS)
Czech Republic	Ceská Maltéská Pomoc (CMP)
France	Association des Oeuvres Hospitalières Françaises de l'Ordre de Malte (O.H.F.O.M.)
Germany	Malteser-Hilfsdienst e.V. (MHD)
	Malteser-Hilfsdienst e.V. / Auslandsdienst
	Malteser Werke e.V.
	Malteser Werke gGmbH (MWgG)
	Malteser Trägergesellschaft gGmbH (MTG)
	Malteser Akademie
	Malta Controlling GmbH (MC)
	Malteser Schwesternschaft
Hungary	Magyar Máltai Szeretetszolgálat (MMSZ) Hungarian Malteser Charity Service
Ireland	Order of Malta Ambulance Corps (OMAC) [Belfast Unit, Sligo Unit,| Tramore Unit, and Tullamore Unit]
Italy	Corpo Militare
	Corpo Italiano di Soccorso del Sovrano Militare Ordine di Malta (CISOM)
Latvia	Maltas Palidzibas Dienests (MPD)
Lithuania	Maltos Ordino Pagalbos Tarnyba (MOPT)
Luxembourg	Premier Secours de la Croix de Malte - Asbl
Malta	Friends of the Order
	Volunteers of the Order (V.O.T.O.)
	St. John's Foundation for Gozo (S.J.F.G.)

Table D-1 ECOM Relief Organizations (Concluded)

Country	Association
	Malta Cross Corps (M.C.C.)
Mexico	Fundación de Apoyo social I.A.P.'
	Associación para Ayuda de Ancianos I.A.P. Internado San Juan Bosco
Paraguay	Servicio de Emergencia Malta (SEMA)
Philippines	Auxiliary Corps of the Philippine Association
Poland	Fundacja sw. Jana Jerozolimskiego - Pomoc Maltanska
Portugal	Serviçio Assistencial Corpo de Voluntários da Orden de Malta
	Fundação Frei Manuel Pinto da Fonseca
Romania	Serviciul de Ajutor Maltez in România (S.A.M.R.) Aiud Unit
Russian Federation	Russian Relief Corps of the Sovereign Military Order of Malta
	Corps de Secours Russe de l'Ordre Souverain Militaire de Malte (C.S.R.S.M.O.M.)
Slovakia	Verein der Freunde des Malteser-Hospitaldienstes
Slovenia	Slovenska Malteska Bolniska Pomoc (SMBP)
South Africa	Brotherhood of Blessed Gérard (BBG)
Spain	Fundacion asistencial de Malta
	Asociacion del cuerpo de volontarios del Subpriorato Español de la Orden de Malta - Valencia
	Fundación Hospitalaria de la Orden de Malta en España
Switzerland	Hospitaller Service of the Sovereign Order of Malta in Switzerland (HSOMS)
	Servizio Ospedaliero dell'Ordine di Malta in Svizzera (SOOMS)
	Service Hospitalier de l'Ordre de Malte en Suisse (SHOMS)
	Malteser-Hospitaldienst Schweiz (MHDS)
Ukraine	Ucrainska Maltijska Slushba Dopomohy (UMSD) Allukrainischer Hilfsdienst
United Kingdom	Order of Malta Volunteers
United States of America	Tri-state Auxiliary of the Sovereign Military Order of Malta
Vatican	First Aid Post
Yugolslavia	Malteska Dobrotvorna Organizacija Jugoslavije (MDOJ)

Tab 1 to Appendix I

SPECIALIZED WATER ERU

A. PURPOSE

This unit provides safe drinking water for health installations, such as hospitals, feeding centers, dispensaries, first aid posts and staff quarters, and for smaller populations of up to 10,000 to 15,000 people in emergency situations.

B. CAPACITY

This unit has a principal production capacity of 120,000 liters per day operating 10 hours per day.

C. PRINCIPAL TASKS

- Treatment: The unit performs mechanical and chemical treatment of raw water and ensures the production of approximately 120,000 liters daily of safe drinking water.
- Storage: The unit provides storage for approximately 200,000 liters of treated water daily.
- Transport and Distribution: The unit has the capability to transport and distribute approximately 120,000 liters daily.

D. PERSONNEL

- 1 Sanitary Engineer, Team Leader
- 1-2 Plumber Technicians
- 1 Electrician
- 1 Mechanic

E. EQUIPMENT MODULES

- 1 Logistical Equipment Module
  - 1 Unit Generator, Diesel
  - 1 Unit Toyota Land Cruiser Pick Up
- 4 - 5 Personal Equipment Modules: The unit has to be self-supporting (shelter and sanitation facilities, food, cash flow, spare parts, etc.) for a maximum period of 21 days.
- 1 Technical Equipment Module

- 2 Water Purification Units
- Chemicals for Water Purification
- 1 Water test kit -Field laboratory
- 4 Units Water Pump
- 1 Unit Water Pump
- Jerry Cans
- 1 Unit Water Supply Material Assorted
- 1 Unit Water Supply Material Assorted
- 1 Unit Water Supply Material Assorted
- Water Pipes - layflat hoses
- Water Taps
- Bladder Tanks - Collapsible water tanks
- 20 Units Tap Stand, distribution frames
- 500 Meters Water Hose
- 35 Units Water hose connectors
- 100 Units Water hose connectors
- 6 Units Water Pipe Joint Distributor 1 - 3
- 775 Meters Water Hose
- 40 Meters Water Hose
- 1 Unit High-pressure Water cleaner
- 1 Unit Tool box (complete)
- 1 Lot Tools
- 5 Rolls 100M Fence Netting, Demarkation fluorescent orange

- 1 Telecommunication Equipment Module
  - 1 Unit IFRC Radio Equipped Car Set HF & VHF
  - 4 Units IFRC VHF Mobius MT2100 N5/1500A (complete)
    - 1 Unit Suitcase Aluminum Large Model

Tab 2 to Appendix I

MASS WATER ERU

A. PURPOSE

The unit provides clean water in accordance with WHO standards for mass populations of up to 40,000 beneficiaries, and, if necessary, livestock during relief operations.

B. CAPACITY

This unit produces, stores, and distributes 400,000 to 600,000 liters of potable water per day. The unit has a storage and treatment capacity of over 500 cubic meters which, depending on the quality of the raw water, can be used for the production of up to 1,000 cubic meters of safe drinking water per day.

C. PRINCIPAL TASKS

1. Production: The unit is structured to supply raw water to large tanks using pumps or gravity, where a sedimentation and chemical treatment takes place.
2. Storage and Distribution: The water is stored and distributed either by gravity or pumping, to large populations.

D. PERSONNEL

6 personnel

E. EQUIPMENT MODULES

- Water Pumps
- 4 Pumping Pipework modules
- 4 Pumping Oil modules
- 2 Pumping Tool Kits
- 4 70 cubic meter Tank Steel Liner and Roof modules
- Tank Liner and Accessories module
- Tank Roof module
- 2 95 cubic meter Tank Steel Liner and Roof module
- Tank Liner and accessories module

- Tank Roof module
- 2 Link Pipework Kit modules
- 2 Chlorination Kits
- 2 Tank Tool Kits
- 1 15 cubic meter Bladder Tank module
- 2 10 cubic meter Bladder Tank module
- 1 5 cubic meter Bladder Tank
- 13 Tapstand Kits
- 2 Distribution Pipework Kits
- Flexible Hose with Taps and Nozzle 200m module
- 1 Adaption Equipment module
- 1 Spares Kit
- 1 Pipe Suction Discharge x 390 meters module
- 1 Chemicals and Water Testing Equipment for Water Treatment and Testing
- 1 Additional Equipment from the Mass Water Training Kit (if included in the
- deployment)
- 1 Surveying equipment module
- Staff Module
  - 1 Accommodation / Administration module
  - 1 Vehicle / telecommunication module
  - 1 Tool kit

Tab 3 to Appendix I

SANITATION ERU

A. PURPOSE

This unit provides sanitation facilities for mass populations along with essential environmental health interventions during relief operations.

B. CAPACITY

This unit supports a population of up to 40,000 people.

C. PRINCIPAL TASKS

This unit plans and initiates latrine construction programs, garbage collection and disposal programs, funerals, and vector control and protection such as spraying of health installations, latrines, garbage disposal points against flies, fleas, rats and mosquitoes.

D. PERSONNEL

Six Personnel

E. EQUIPMENT MODULES

The modules contain the equipment that will be needed during the start-up phase of a relief operation (e.g. spades, shovels, pick axes, cobra rock drill, wheelbarrows. back-pack sprayers, chemicals and insecticides, plastic sheeting and prefabricated PVC squatting plates). It is equipped with accommodation material such as tents, generator, fencing material, food supplies and cooking utensils as well as a 4x4 vehicle, telecommunication equipment and office material such as computer and printer.

- Staff Module
  - 1 Accommodation / Administration module
  - 1 Vehicle / telecommunication module
  - 1 Tool kit
- 1 Digging equipment module
- 1 Spraying equipment, chemicals
- 1 General Equipment module

Tab 4 to Appendix I

BASIC HEALTH CARE ERU

A. PURPOSE

To provide basic, essential curative, preventive and community health care in emergency situations, where local medical facilities are insufficient or have been destroyed.

B. CAPACITY

This unit has a capacity to serve a population of 20,000 to 30,000 and to provide 20 overnight beds. The unit is self-contained for one month.

C. PRINCIPAL TASKS

1. Outpatient Curative: Basic treatment according to WHO basic treatment protocols, using WHO essential drug lists. Services, with overnight beds mainly for diarrheal and observation cases.
2. Preventive Mother and Child Health Care (MCH): Services, with an immunization capacity for epidemics such as measles and very simple delivery in bed.
3. Community Health with Primary Health Care (PHC) Education: Concentrating on the eight essential PHC fundamentals, and the training, supervision, and use of Community Health Workers (CHWs), including Traditional Birth Attendants and Health Information Teams (HIT).
4. Nutritional Surveillance: Disease and nutritional surveillance, with formal reporting.

D. PERSONNEL

- 1 Pharmacist / Nurse
- 1 Curative / Community Health Nurse
- 1 Midwife / Nurse
- 2 General Technicians

E. EQUIPMENT MODULES

- 1 Technical Equipment Module
  - 2 WHO New Emergency Health Kits
- 1 Administration Equipment Module

  - 1 Unit Administrative Kit (IFRC)
  - 1 Unit Photocopier
  - 1 Unit Computer Laptop
  - 10 Units Chairs
  - 2 Units Tables
- 1 Clinic Complementary Equipment Module
  - 3 Units MCH / Delivery Sets
  - 1 Unit Suction Pump, Aspiration pedal AMBU "Twin Pump"
- 1 Logistical Equipment Module
  - 10 Units Tent - Medical
  - 5 Units Box Aluminum Large Size
  - 35 Units Chairs
  - 5 Units Jerry Cans
  - 5 Units Megaphones
  - 15 Units Padlock Abus 65/30
  - 5 Units Stretchers
  - 25 Units Tables
  - 1 Unit Toyota Land Cruiser Hard Top
  - 2 Units Generator, Diesel
  - 1 Unit Refrigerator
  - 3 Units IFRC Tools Emergency Basic set
  - 12 Units Tent - Family
  - 20 Units Beds
  - 5 Kg Nails
  - 1 roll 50 m Plastic sheeting, reinforced green
- 1 Personal Equipment Module
  - 1 set Cooking Set (for 5 persons)
  - 2 Units Water Filters (Katadyn)
  - 5 Units Sleeping bag
  - 10 Units Sheet Set
  - 5 Units Mattresses

- 5 Units Box aluminum Small Size
- 4 Units Personnel Field Equipment Kit (IFRC)

- 1 Sanitation Equipment Module
  - 5 Units Pick Axe (Point/Chisel length 550 mm, carbon steel)
  - 15 Units Shovels (Round point, carbon steel, Ash handle)
  - 3 Units Bladder Tanks (5,000 L each)
  - 1 Roll 100M Fence Netting, De-markation fluorescent orange
  - 6 Units Tap Stand
- 1 Telecommunication Equipment Module
  - 1 Unit IFRC Radio Equipped Car Set HF & VHF
  - 4 Units IFRC VHF Mobius MT2100 N5/1500A (complete)
  - 1 Unit Satellite Standard M - ABB nera Miniphone
  - 1 Unit Fax unit for Standard M
  - 1 Unit Cable (extension) for Standard C
  - 1 Box of 6 Fax paper Thermic 50 metres.
  - 1 Unit Transceiver HF ICOM M700 TY
  - 1 Unit Antenna short wave AC-3.5-30
  - 1 Unit IFRC AF Connectors set
  - 1 Roll 100M Cable Coaxial RG 213
  - 1 Unit SWR Meter (HF) CN-410
  - 1 Pair Battery Terminal (pair + / -)
  - 1 Unit IFRC Inverted "V" mast set
  - 1 Unit Power Supply ICOM PS 60
  - 10 Units Connector UHF for RG 213 U
  - 1 Unit IFRC Earthing set
  - 1 Roll 100M Cable Plastoflex 6mm2 Black
  - 1 Roll 100M Cable Plastoflex 6mm2 Red
  - 1 Unit Transceiver VHF MC 900 150 mhz / 25 W
  - 2 Units Antenna VHF Base WS 300 66 1
  - 2 Units Adaptor BNC Male / UHF Female
  - 1 Unit Box Aluminum Large Size

Tab 5 to Appendix I

REFERRAL HOSPITAL ERU

A. PURPOSE

To serve as first level referral medical unit when local medical facilities are insufficient or have been destroyed.

B. CAPACITY

This unit has a capacity to support a population of 150,000 to 250,000 with an in patient capability of 120 to 150 beds. The unit is self-contained and can operate for one month without additional resources.

C. PRINCIPAL TASKS

The unit is organized into four departments with the following capabilities:

1. Surgery and Limited Trauma Department – Emergency care.
2. Internal Medicine Department – Treating infectious diseases, including basic preparedness to care for large numbers of patients in case of epidemics, and therapeutic feeding of patients suffering from either disease or malnutrition.
3. Obstetrics and Gynecology Department – Deliveries and pediatrics and emergency care.
4. Out-patient Department – Triage and registration and dentistry (extractions only).

D. PERSONNEL

The 16 medically trained and qualified personnel staff this unit.

- 1 Surgeon Medical Officer
- 1 Anesthetist Medical Officer
- 1 Pediatrician Medical Officer
- 1 General Practitioner Medical Officer
- 1 Head Nurse
- 2 Ward Nurses
- 2 Operating Theater Nurses
- 1 Midwife Nurse
- 1 MCH Specialist Nurse

- 1 Pharmacist Nurse
- 2 General Technicians
- 1 Laboratory Technician
- 1 Hospital Administrator

E. EQUIPMENT MODULES

- 1 Administration Equipment Module
  - 1 Unit Administrative Kit (IFRC)
- 1 Logistical Equipment Module
  - 3 Units Generator, Diesel
  - 5 Units Lighting Kit
  - 3 Units Refrigerator
  - 6 Units Bladder Tanks (5,000 L each)
  - 500 Meters Water Hose
  - 12 Units Tap Stand
  - 3 Lot Tools
  - 2 Units Toyota Land Cruiser Hard Top
  - 15 Units Tent - Family
  - 26 Units Tent - Medical
  - 160 Units Beds
- 1 Personal Equipment Module
  - 16 Units Personnel Field Equipment Kit (IFRC)
- 1 Telecommunication Equipment Module
  - 1 Unit IFRC Radio Equipped Car Set HF & VHF
  - 1 Unit Satellite Standard M - ABB nera Miniphone
  - 1 Unit Fax unit for Standard M
  - 1 Unit Cable (extension) for Standard C
  - 1 Box of 6 Fax paper Thermic 50 metres.
  - 1 Unit Transceiver HF ICOM M700 TY
  - 1 Unit Antenna short wave AC-3.5-30
  - 1 Unit IFRC Inverted "V" mast set

- 1 Roll 100M Cable Coaxial RG 213
- 1 Unit SWR Meter (HF) CN-410
- 1 Pair Battery Terminal (pair + / -)
- 1 Unit Power Supply ICOM PS 60
- 1 Unit IFRC Earthing set
- 10 Units Connector UHF for RG 213 U
- 1 Unit IFRC AF Connectors set
- 1 Roll 100M Cable Plastoflex 6mm 2 Black
- 1 Roll 100M Cable Plastoflex 6mm 2 Red
- 1 Unit Transceiver UHF MC900 Motorola
- 2 Unit Antenna VHF Base WS 300 66 1
- 5 Units Adaptor BNC Male / UHF Female
- 2 Units Adaptor N Male / UHF Female
- 2 Units Box Aluminum Large Size
- 10 Units IFRC VHF Mobius MT2100 N5/1500A (complete)
- 1 Unit Battery Charger rapid 2H/200V for Mobius NT2100

- 1 Operating Theater Module
  - 1 Unit Autoclave 90 liter, mixed 220/380V, Gas 6 Kerosene
  - 2 Units Sterilizer, "All American" Mixed 25cm diameter.
  - 4 Units Stove, Kerosene, single burner
  - 10 Units Drum, for Sterilizer 29cm dia.
  - 8 Units Drum, for Sterilizer 34cm dia.
  - 1 Unit Anesthesia Cupboard lockable
  - 5 Units Airways set (00-5)
  - 12 Units Rubber Band, Esmark 6cmx 5
  - 5 Units Forceps, Magill's
  - 2 Units Tourniquet
  - 12 Units Masks for Anesthesia
  - 1 Unit Resuscitator, Ambu, bag with masks
  - 1 Unit Resuscitator, Ambu, for Neonates
  - 1 Unit Table, Delivery/Gynecological

  - 3 Units Table, Examination
  - 3 Units Table, Instrument, (Mayo type)
  - 5 Units Infusion Stand, collapsible
  - 3 Units Laryngoscope, complete handle +3 blades
  - 14 Units Trolley, nursing
  - 1 Unit Table, Operation
  - 2 Units Operating Lamp, shadowless, mobile
  - 1 Unit Halogen Lamp
  - 1 Unit Oxygen Concentrator (220 volt)
  - 2 Units Suction Pump, Aspiration pedal AMBU "Twin Pump"
- 1 Linen, Lab. & Disinfectants Module
- 1 Fluids and Delivery Systems Module
- 1 Medicines Injectables Module
- 1 Oral and Topical Medicines Module
- 1 Tubes, Catheters & Drains Module
- 1 Dressing Material Module
- 1 Material and Instruments, Miscellaneous Module
- 1 Sutures Module
- 1 Laparatomy Instrument Module
- 1 Amputation Instrument Module
- 1 Cranioclasi Instrument Module
- 1 Pediatric Surgery Instrument Module
- 1 Traction Material Module
- 1 Skin Graft Instrument Module
- 1 Dental Instrument Module
- 3 Uterine Curettage Instruments Modules
- 1 Urethral Bogey Instruments Module
- 1 Auto-transfusion Instrument Module
- 1 Laboratory Module
- 5 MCH/Delivery Modules
- 2 New Emergency Health Kit Module

- 1 Vacuum Extractor Kit Module

Tab 6 to Appendix I

TELECOMMUNICATIONS ERU

A. PURPOSE

To provide communications within a disaster area and between the area and the secretariat located in Geneva. It also supports other information technology systems deployed to the operational area.

B. CAPACITY

The unit provides the necessary telecommunication support for one main office, 2 vehicles, and 10 handsets for field use. Additional equipment can be provided from existing telecommunications stock located regionally or in Geneva.

C. PRINCIPAL TASKS

- Telecommunications coordination and needs assessment.
  - Overall coordination for telecommunications (projects, networks, etc.) for the Federation and the national societies involved in the contingency.
  - Coordination with host Ministry of Telecommunications (licenses, agreements, etc.) and other partners (ICRC, UN agencies, NGOs, etc.).
  - Assessment of telecommunication and computer systems necessary for the operation
  - Establish telecommunications operating procedures and manual.
- Establish satellite link communications with the Secretariat via public networks or satellite (voice, E-mail, etc.).
- Establish radio links
  - Installation of VHF base stations, mobiles, and distribution of handsets
  - Installation of HF network – base, mobile, and Pactor.
- Support for data communication and computer systems
  - Establish data communications links
  - Support computer systems (hardware and software).
- Training and Support
  - User support for telecommunications and computer systems
  - Users training

- Identification and training of local operators
- Network maintenance and enhancement
- Support of other ERU teams in the telecommunication domain.

D. PERSONNEL

- 1 Telecommunication Officer Team Leader
- 1 Telecommunication Technician
- 1 Operator

E. EQUIPMENT MODULES

- 1 IFRC Generator Power Supply Module
  - 1 Pair Battery Terminal (pair + / -)
  - 1 roll 50 m Cable 2 x 6 mm flexible black & red
  - 1 Unit Converter 12-220V
  - 2 Units Generator 2.6 kVA
  - 1 Unit Halogen Lamp
  - 1 Unit Suitcase Aluminum Large Model
- 1 IFRC HF/Pactor Module
  - 1 Unit 12 V adapter for Laptop computer
  - 2 Units Antenna self-tuning tube CODAN 9350
  - 3 Units Antenna short wave AC-3.5-30 Barker & Williamson
  - 1 Units Antenna Tuner 9103
  - 1 Units HF Antenna whip type ZSTH (complete)
  - 3 Pairs Battery Terminal (pair + / -)
  - 3 Units Box Aluminum Large Size
  - 2 Rolls 100M Cable coaxial 8D-FB
  - 2 Units Cable electrical extension 5M
  - 1 Unit Computer Laptop
  - 20 Units Connector UHF for 8 D-FB coaxial cable
  - 1 Unit Converter 12 v DC –9 v DC for printers
  - 1 Rolls 100M Electrical Cable TD 3 X 1.5 mm
  - 2 Units IFRC Earthing set

- 2 Units IFRC Inverted "V" mast set
- 1 Unit Log periodic antenna Cushcraft SL2010
- 1 Unit Modem PACTOR II Swiss PTC
- 2 Units GARMIN 30 GPS with connection to 9360 transceiver
- 1 Unit GARMIN 45 handheld GPS with connection cable to 9360 transceiver
- 1 Unit Plug Electrical Multiple Steba
- 2 Units Plug Female socket type 13 for electrical cable
- 2 Units Plug male Type 12 for electrical Cable
- 2 Units Power Supply ICOM PS 60
- 1 Unit Printer HP Deskjet 340
- 1 Unit Switch for Coaxial Cable 1-2
- 3 Units SWR Meter (HF) CN-410
- 2 Unit Transceiver HF CODAN 9360 mobile kit (without antenna)
- 1 Unit Transceiver HF CODAN 9360 base version with fan and Pactor filter

- 1 IFRC SATCOM Module
  - 1 Pair Battery Terminal (pair + / -)
  - 1 Unit Box Aluminum Large Size
  - 1 Unit Cable extension for antenna - Mini-M
  - 1 Box of 6 Fax paper Thermic 50 meters.
  - 1 Unit Fax unit for Standard M
  - 1 Unit Power Supply ICOM PS 60
  - 1 Unit Satellite Mini-M Worldphone NERA or Thrane-Thrane
- 1 IFRC Solar Power Supply Module
  - 1 Pair Battery Terminal (pair + / -)
  - 1 roll 50 m Cable 2 x 6 mm flexible black & red
  - 1 Unit Mounting Frames for solar panels M55
  - 1 Unit Regulator SLR 114
  - 4 Units Solar Panels ARCO M55
- 1 IFRC Tool Module

- 1 Unit Box Aluminum Large Size
- 1 Unit Safety kit
- 1 Unit IFRC Drill Set
- 1 Unit IFRC Programming set for Telecom Delegate
- 1 Unit IFRC Tool box (complementary)
- 1 Unit Tool box (complete)

- 1 IFRC VHF Module
  - 2 Units Adapter N Male / UHF Female
  - 4 Units Antenna adapter cable for GM 300
  - 2 Units Antenna VHF Base 2 db co-linear
  - 4 Units Antenna VHF Kathrein K 50 552
  - 1 Unit Battery Charger rapid 1H for GP 300
  - 1 Pair Battery Terminal (pair + / -)
  - 1 Unit Box Aluminum Large Size
  - 1 Roll 100M Cable coaxial 8D-FB
  - 10 Units Connector UHF for 8 D-FB coaxial cable
  - 4 Units Connector UHF for RG 213 U
  - 1 Unit IFRC Local mast mechanical set
  - 10 Units IFRC VHF Motorola handset GP 300 complete
  - 1 Unit Power Supply ICOM PS 60
  - 4 Units Reductor UHF Part RD 07/03
  - 4 Units Transceiver VHF GM 300 16cx - 12.5 KHz
- 1 Data Communication Module
  - 1 Unit 12 V adapter for Laptop computer
  - 1 Unit Cable Serial Null Modem DB9 / DB9
  - 1 Unit Cable Serial Point to Point DB25 / DB25 Male
  - 1 Unit Cable serial point to point DB9 / DB25 3 M
  - 1 Unit cc:Mail Mobile installation disk & documentation
  - 1 Unit Computer Laptop
  - 2 Units Modem Zyxel 1496 Eplus
  - 1 Unit Printer Cable 3 M

- 1 Unit Printer HP Deskjet 340
- 1 Unit Telephone Cable RJ11 - Fork
- 1 Unit CDROM reader on parallel port
- 1 Unit installation CDROM for WIN 95
- 1 Personal Equipment Module

Tab 7 to Appendix I

LOGISTICS ERU

A. PURPOSE

The logistics ERU is currently under development. It is primarily concerned with reception, storage, and forwarding of relief goods to operational areas during emergency situations. This ERU can also be deployed to carry out logistics analysis on the ground prior to the deployment of other ERUs such as those providing health and water services which require significant logistics support. This analysis should lead to local arrangements so that these units are immediately employable upon arrival. This ERU provides immediate feedback from the local area to Geneva and other deploying ERU suppliers regarding information to ensure optimum measures to sustain the deployed ERUs. Such information includes details on port of entry for customs, immigration, documentation required, special needs for handling, transport, and storage in the local area. This ERU also provides for the necessary implementation of Federation standards for all logistics processes relating to transport, procurement, air operations, warehousing, and planning during the emergency operation, and integrates the logistics of all the deployed ERUs with the Federation and national societies providing the ERUs.

B. CAPACITY

The emphasis for this ERU is more on the skills and experience of the delegate(s) rather than on the level of hardware required. It is clear, however, that if equipment is required to facilitate an emergency operation, then this must also be deployable within short notice.

C. PRINCIPAL TASKS

This ERU should be able to deal with logistical aspects at any point within a country or adjoining countries. Deployments would be through airports and seaports; any transit points; and continue through to the point of final distribution or action. In the event of a large or complex operation, there may be a need to deploy several logistics ERU within one country or adjoining countries to ensure an effective logistics supply chain. These tasks will be carried out with a view to receiving multiple ERUs at short notice.

- Investigate the customs and documentation requirements for deployment area

- Investigate the immigration requirements for deployment area
- Determine the airport and port cargo handling capacities
- Evaluate the storage capacity/capability within deployment area and within the Federation and hosting national society's existing operations
- Evaluate the existing transport capacity and support infrastructure within the deployment area including local market, other NGOs, government, and Federation and host national society operations.
- Establish links with national society deploying ERUs and Federation logistics functions
- Establish links with local authorities connected with logistics functions (i.e.; customs, airport authority in association with national society, and Federation delegation if applicable).
- Establish Geneva to delegation communications for immediate response
- In conjunction with assessment team, determine exact logistical requirements for all ERU deployments
- Set up Federation receiving office in main port of entry to ensure systems are in place and that commodity tracking process commences
- Receive and process deploying ERU equipment and personnel
- Conduct liaison within operational area to arrange for the forwarding of goods and personnel to operational area
- Carry out local procurement of relief supplies and services according to the agreed needs and in compliance with Federation specifications and procedures
- Ensure that all goods are secure and safe for operation and that all necessary insurance procedures are in place
- Establish contacts and liaise with local freight forwarders and transporters, warehousing providers, and supplier; and evaluate market availability
- Provide accurate and timely briefings for providing national societies, Federation headquarters, and ERU staff in the field
- Maintain daily contact with Geneva coordination unit
- Establish and coordinate air operations in accordance with needs and in compliance with Standard Operating Procedures.

D. PERSONNEL

The unit consists of two experienced personnel qualified as standard IFRC logistics coordinators with two additional qualifications: (1) must have attended the

Geneva logistics training workshop and (2) must have previous Federation field logistics experience in a logistics coordination role with contract negotiation experience.

E. EQUIPMENT MODULES

- 1 x Federation type 1 landcruiser. 13 seater left hand drive, winch and small spares kit.
- 1 x Federation SATCOM phone/fax unit with cc-mail.
- 1 x Federation standard computer and printer loaded with Federation Lotsuite and TMS
- 1 x Federation type 1 generator.
- 1 x Personnel survival equipment, including tent, food, medical kit.
- 1 x Administration kit.
- 1 x carton Federation standard logistics forms. 300 Delivery notes/waybills, 200 requisitions, 200 bin cards and stock cards. 50 Rolls cargo stickers. Assorted Federation stickers and flags.
- 1 x Codan HF radio with GPS option fitted in L/C.
- 1 x Motorola VHF radio fitted in L/C.
- 4 x VHF mobile units plus chargers and spare batteries.
- 2 x chairs foldable.
- 1 x table foldable.
- 1 x mobile fluorescent/halogen light unit.
- 1 x bicycle
- 4 x 5m x 4m reinforced sheets of UV protected tarpaulins or rolls of sheeting

All the above to be loaded in the Landcruiser.

APPENDIX J

SUPPLEMENTAL INFORMATION ON NON-GOVERNMENTAL ORGANIZATIONS

APPENDIX J
SUPPLEMENTAL INFORMATION ON NON-GOVERNMENTAL ORGANIZATIONS

This appendix has three purposes. First, it provides information on where to locate on the worldwide web additional information on NGOs. It then describes the capabilities of many of the more widely known NGOs. Finally, it provides the IRCM Code of Conduct for NGOs engaged in disaster response.

A. NGO DATA BASES ON THE WEB

There is a growing sophistication of NGOs and greater cohesion in their overseas programs. With the establishment of NGO associations, the once independent NGOs have been better able to use their collective voice to influence humanitarian topics and to coordinate programs in relief and development.

The sources identified in Table J-1 provide key addresses for web-based access to additional NGO information.

B. SELECTED SUMMARIES OF RELIEF AND DEVELOPMENT NGOS

To illustrate the capabilities available in the NGO community and types of work they perform, this section describes the activities and capacities of 14 global NGOs. These organizations were selected because they have worldwide involvement, relatively large budgets, and are the most likely organizations to be on the ground in troubled states when military forces arrive during a smaller scale contingency. Table J-2 contains the web addresses of the selected NGOs. Some of the U.S. organizations are part of an international group and both the U.S. and international web pages are identified for these NGOs.

Table J-1. Web-based Sources of NGO Information

Source	Web-based Address
The Carter Center	http://www.cartercenter.org/links.html
Center for Army Lessons Learned	http://call.army.mil/call/fmso/ngos/ngo.html
European Platform for Conflict Prevention and Transformation	www.euconflict.org
The International Council of Voluntary Agencies (ICVA)	http://www.icva.ch/cgi-bin/browse.pl
The American Council for Voluntary International Action (InterAction)	http://www.interaction.org
NetAid	www.netaid.org
Organization for Economic Co-operation and Development	http://www.oecd.org/subject/sustdev/sources.htm
USAID	http://www.info.usaid.gov/hum_response/pvc/
The United Nations Department of Public Information	http://www.un.org/moreinfo/ngolink/ngodir.htm
Voluntary Organizations in Cooperation in Emergencies (VOICE)	www.oneworld.org/voice/st_gb.html

1. Action Against Hunger (AAH) International

With headquarters in France, the U.S., the UK, and Spain, this non-profit provides nutrition, water, food security, health and sanitation in 36 countries around the world. Since 1985, AAH has worked in both advocacy and relief to ease human suffering and to end the use of hunger as a weapon in conflicts. AAH works in the five humanitarian relief functional areas during emergency situations and follows with long-term programs enabling victims to regain their autonomy. In recent relief operations in Angola, AAH focused on water purification and well drilling programs. In other rebuilding programs, AAH provided health care facilities and nutrition programs, and assisted with agricultural programs. During 1998, AAH-USA had total revenue of over $4 million derived from private contributions, membership dues, foundation grants, government grants, and in-kind contributions. Financing for AAH programs comes from the Dutch government, the European Community Humanitarian Office (ECHO), the UN Humanitarian Assistance Coordination Unit, and other sources.

Table J-2. Selected NGOs Involved with Relief and Development

NGO	Web-based Address
Action Against Hunger (AAH)-International	www.aah-usa.org
Action Against Hunger – U.S.	www.acf-fr.org
Action by Churches Together (ACT) - International	www.act-intl.org
The Adventist Development and Relief Agency (ADRA) - International	www.adra.org
Cooperative for Assistance and Relief Everywhere (CARE) – U.S.	www.care.org
CARE – International	www.care.international.org
Catholic Relief Services (CRS)	www.catholicrelief.org
Concern Worldwide – U.S. Inc.	www.concernusa.org
Médecins du Monde (MDM)	www.multimania.com.medecindumonde
Doctors of the World – U.S.	www.doctorsoftheworld.org
International Rescue Committee (IRC)	www.intrescom.org
MAP International	www.map.org
Médecins Sans Frontierèrs (MSF)	www.msf.org
Doctors Without Borders – U.S.	www.dwb.org
Mercy Corps International (MCI)	www.mercycorps.org
Oxfam International	www.oxfam.org
Save the Children – U.S.	www.savethechildren.org
World Vision – U.S.	www.worldvision.org

2. Action by Churches Together (ACT) International

ACT International works in more than 60 countries and assists thousands of men, women, and children recovering from emergencies worldwide. ACT International is a worldwide alliance of churches and aid agencies responding to emergencies. More than 75 churches and aid agencies of the World Council of Churches (WCC) and the Lutheran World Federation (LWF) carry out relief work as members of ACT International. Members in some 25 countries in Europe, North America, and Asia raise funds for ACT International from private donations, church collections, and from partners such as ECHO and individual governments. ACT offers assistance to victims of natural disasters as well as emergencies caused by war and civil conflict. ACT can respond within hours

through a Rapid Response Fund to meet small-scale needs with up to $50,000 per request. The ACT Coordinating Office is based in the Ecumenical Centre, Geneva, Switzerland. In 1999, ACT International provided humanitarian aid valued at approximately $80 million.

3. The Adventist Development and Relief Agency (ADRA) International

Since 1918, missionaries associated with the Seventh-day Adventist Church have provided relief and development assistance, but in 1956 the development organization was formally organized. ADRA International's ministry does not engage in any traditional evangelistic activities and has a policy of helping individuals from all religious backgrounds. ADRA focuses on disaster relief and development and has operations in more than 120 countries and a worldwide network of almost 4,000 employees. ADRA International focuses on five core areas: food security, economic development, primary health, disaster response and preparedness, and basic education. In 1998, ADRA funded more than 2,400 projects that impacted more than 18 million men, women, and children. Because of ADRA's global development programs, its field offices play a key role in overseas relief operations. In recent operations, ADRA provided hygiene kits, body bags, medical supplies, and search dogs for earthquake relief efforts in Turkey. ADRA received more than $70 million from private and corporate contributions, government grants, in-kind contributions, and other sources. UN operating agencies such as the WFP and UNHCR support ADRA programs. ADRA benefits from the yearly Disaster and Famine Relief Offering (DFRO) that is collected in Seventh-day Adventist churches on the second Sabbath (Saturday) of May. Additionally, ADRA relies on "gifts in kind" of medicines, water purification supplies, and equipment for its overseas operations.

4. Cooperative for Assistance and Relief Everywhere (CARE) International

With projects in more than 60 countries, CARE ranks among the largest NGOs in both relief and development. Since 1945, CARE has provided emergency assistance in food distribution, relief, and development worldwide. CARE remains independent of any political, religious, or other affiliation and its activities are conducted without regard to political or religious considerations. Because of CARE's long-term development programs, when a crisis emerges it is likely that CARE already has development staff on the ground who can be diverted to provide emergency assistance. In some cases, CARE keeps emergency food pre-stocked in local warehouses. This pre-established infrastructure and knowledge of the locality helps CARE mobilize quickly. In recent

relief operations in Mozambique, CARE established a "cash-for-work" program to help flood survivors earn income while helping their communities. During relief operations in Sierra Leone, CARE provided seed and tools for returning refugees to expedite food production. CARE has played a key role in relief during both rapid and protracted operations. CARE conducts development programs to build economic infrastructure, protect natural resources, improve agricultural practices, and provide health care and access to safe water.

CARE works closely with local NGOs and other global NGOs such as CRS and World Vision, and relies on UN agencies such as WFP to provide logistics support. Contributions from private donors, philanthropic organizations, USG, foreign government donors, and EU cover the costs of its relief operations. The total support and revenue budget of all CARE members combined totaled $470 million in 1998.

5. Catholic Relief Services (CRS)

Working as the official overseas relief and development arm of the U.S. Catholic Conference of Bishops, CRS works in agriculture, education, emergency relief, enterprise development, health, welfare, human rights, peace-building, and reconciliation. CRS has overseas staff in 50 countries worldwide and works closely with Catholic partners on the ground to assess damage and short term needs.

Although the motivation for CRS relief and development programs is drawn from a religious foundation, CRS assists individuals of all spiritual backgrounds. In relief phases, CRS has contributed water and has worked on sanitation, shelter, and health programs. A fundamental component of all CRS relief operations is to work with local communities to identify and address quickly the specific projects needed to rebuild. In some cases rebuilding means agricultural recovery programs, and, in other situations, CRS leads with emergency housing reconstruction, emergency health services, community education, and feeding stations. CRS works with local NGOs to complete assessments and avoid negative impacts of NGO programs. Additionally, CRS identifies local groups, rather than individuals, so as to strengthen the local leadership's capacity to respond to emergencies.[1] CRS often works with a local chapter of *Caritas* – a group of 153 national member organizations sponsored by the Catholic Church – and relies on

[1] InterAction, Monday Developments, page 4, September 27, 1999, Vol 17, Number 16.

funding from USG sources, Catholic Mission Medical Board, and UNICEF to finance relief operations. Total revenue for FY 1998 was $276 million.

6. Concern Worldwide

Working in both relief and development in countries like Angola, East Timor, Haiti, and 23 other countries, Concern Worldwide is a non-denominational organization that has had operations since 1968. In relief operations, Concern Worldwide has distributed WFP supplies to internally displaced persons, provided local populations with agricultural supplies to rebuild communities, and operated feeding centers for malnourished populations. Total revenue for FY 1998 was $1.3 million.

7. *Médecins du Monde* (MDM) International[2]

Since formation in 1990, MDM has drawn on an international network of medical professionals to respond to natural disasters and provides emergency care and mobile healthcare units supplied with vital commodities. In order to avoid replication of services, MDM first assesses a disaster area and determines whether sufficient emergency health care is being provided. In some cases, the assessment team will supply existing health care facilities with supplies and personnel to meet increased demand. MDM currently has programs and has done assessments in ten countries, and had total revenue of $4.4 million in 1998.

8. *Médecins Sans Frontierèrs* (MSF) International[3]

Present in countries around the world in both crisis situations and in development programs, MSF is a private medical relief organization that assists victims of armed conflict, epidemics, and natural and manmade disasters. Formed in 1971 by a group of French doctors, MSF guards its independence from political, economic, and religious influences, but works in cooperation with UN agencies and other NGOs. With an international staff of 60 and local staffs ranging in the hundreds, MSF is often on the ground working on health care projects long before a crisis erupts. For example, in the recent crisis in Sierra Leone, MSF had 20 expatriate aid workers involved in a wide range of health care initiatives, and until security problems forced cancellation of programs, MSF was able to vaccinate 62,000 children for measles. The long-term MSF presence in

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2 Doctors of the World is the U.S. affiliation.

3 Doctors Without Borders is the U.S. affiliate.

developing nations allow this NGO to understand the local health care needs that emerge in times of crisis and to provide emergency relief in the form of medical equipment and medical personnel. In addition to treating individuals, MSF focuses on disease prevention by identifying potential sanitation and water problems that can cause illness, conducting nutritional surveys, establishing feeding programs, and running vaccination programs to prevent measles, meningitis, and polio.

In relief operations, MSF brings in specialists to treat specific injuries; for example, MSF is able to draw on medical personnel with extensive experience treating "crush syndrome," a kidney complication often found in earthquake victims. In other situations, MSF trains local health care workers to treat injured individuals. Proceeds from the 1999 Nobel Peace Prize awarded to MSF are being used to support research into "neglected diseases" (sleeping sickness, tuberculosis, and malaria). During 1998, MSF operated in 80 countries and in 1997 had total revenues of $231 million (latest figure available).

9. International Rescue Committee (IRC)

Founded in 1933, the IRC provides emergency relief, public health, medical, and educational services to refugees and IDPs. The IRC assists in repatriation programs to help individuals return safely to home countries, provides education centers for refugee children, and reproductive health and treatment for survivors of sexual violence, and works to jumpstart local economic development programs through financing and technical support. The IRC has worked with host governments and often implements relief and development programs in consultation with a government ministry. For example, in Sierra Leone IRC worked with government ministries to implement a Child Protection Program. The IRC has field offices in 28 countries outside of the U.S. and total revenue in 1998 from all sources was $61.5 million.

10. MAP International

MAP is a Christian disaster relief organization that draws on partnerships with over 300 organizations, agencies, and missions around the world during relief missions. A key part of MAP's disaster relief success is based on their attention to emerging problems around the globe; MAP closely monitors world events and crises and keeps in close contact with other private organizations and government entities. This monitoring allows MAP to send relief supplies when and where they are needed. In addition to crisis relief, MAP has developed programs to teach communities about health care and disease

eradication. During operations, MAP directors meet with local missionaries in the crisis zone to determine the extent of damage and the viable routes, local contacts, and the means of communication that can be employed. MAP provided Emergency Health Kits (EHKs) capable of treating 30,000 individuals during earthquake relief in Turkey in 1999. In recent flooding in Venezuela, MAP supplied EHKs to the Red Cross, to Venezuelan churches, and to the NGO Servants in Faith and Technology. Specific strengths of MAP International include: camp management, shelter, food and non-food distribution, health care, water and sanitation, disaster preparedness, and transition from relief to development, conflict resolution, and peace and reconciliation. According to a recent Forbes Magazine profile of the top U.S. charities, MAP International was recognized for their efficiency in the overseas disaster relief and development programs. MAP International worked in 89 countries and had total revenue of $102.9 million in 1998.

11. Mercy Corps International (MCI)

As a relief provider, Mercy Corps International provides a broad range of supplies and services in relief operations. MCI has programs to promote citizen participation, government accountability, nonviolent conflict resolution, and the rule of law. MCI has an established supply and warehouse structure in several countries to provide antibiotics, bandages, blankets, and other relief commodities. MCI also has provided search and rescue teams for relief efforts and is able to have this team at a disaster site within 24 hours. MCI works in 24 countries and had total revenue of $93 million in FY1999.

12. Oxfam International

Founded in England in 1942, the Oxford Committee for Famine Relief (Oxfam), is composed of 11 independent Oxfam organizations around the world.[4] Oxfam seeks to help local communities gain self-reliance in their ability to supply the local community with food. In emergency relief operations, Oxfam has specific expertise in water purification and establishment of sanitation facilities. Oxfam focuses on initial relief needs, but also has a long-term vision of helping communities rebuild after a crisis by providing seeds, tools, and rebuilding material to local people.

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[4] The independent organizations include: Oxfam Great Britain, Australia, Belgium, Canada, Hong Kong, Ireland, the Netherlands, New Zealand, Quebec, Spain, and the USA.

Oxfam-America worked in 25 countries in 1999 and had total revenue of $16 million. Total Oxfam International program expenditures in 1998 equaled $233 million. Oxfam gains funding from a large number of sources, including the USG, the EU, and British Government.

13. Save the Children Fund (SCF) – U.S.

With the mission of making sustainable, positive changes in the lives of children, SCF works in both relief and development. SCF/US provides both necessary goods for relief operations and psychosocial assistance. For example, in response to the earthquake in Turkey, SCF/US supplied hygiene supplies, water purification materials, and goods needed for infants and children, and also provided tents for Israeli psychiatrists and trauma specialists to help families and children cope with loss of parents or family members. In development programs in the U.S. and around the globe, SCF/US has focused on helping individuals gain access to economic opportunities through micro-credit programs, providing education for adults and children, and establishing health care programs that focus on women and children. In relief operations in Angola, SCF worked with local government departments on health care and food security programs. During programs, SCF often partners with local governments, as was the case in Angola, and with UN agencies and other NGOs.

Funding for Save the Children comes from private donations, USAID, the Dutch Government (DGIS), and UN agencies such as WFP. In Angola alone, SCF programs were $2.5 million a year and they also transferred $5.0 million in food and gifts-in-kind. During 1999, SCF/US worked in 42 countries and total revenue was $112 million.

14. World Vision US (WVUS)

As a Christian relief and development organization, WVUS is a worldwide emergency relief, rehabilitation, and sustainable development organization. In recent relief efforts, WVUS sent $2 million in aid to earthquake survivors in Turkey and airlifted medical supplies, blankets and winter clothing. Rehabilitation programs have included an Agricultural Recovery Program designed to increase rice yields and a "food for work" program to help rebuild homes. The Agricultural Recovery Program reached 12,555 farm families and cost $2 million. Another agriculture program in Angola, "Seeds of Freedom," distributed seeds that benefited 250,000 individuals. WVUS is also involved in assisting local populations with transitions from conflict to peace. In Sierra Leone, WVUS helped local organizations purchase radio time and publishing equipment,

and gave general assistance to groups capable of promoting peace. In the "Transition to Peace" program in Sierra Leone, WVUS works with government ministries, UN agencies, local NGO leadership, and an Inter-Religious Council to ensure that funding goes to the appropriate organizations and is most effectively used to promote peace. Funding for WVUS programs comes from USAID sources, USDA, and private donations. Total revenue in 1998 was $358 million and operations were conducted in 51 countries.

C. ACADEMIC AND DIPLOMACY INSTITUTIONS

After the initial relief program and the immediate needs of a local population have been addressed in a troubled state, the rebuilding phase begins. In many cases, rebuilding involves not just the physical infrastructure that needs attention. Justice systems, law enforcement, and social structures must often be built from the ground up. This section provides a brief summary of the type of activities that academic and diplomacy NGOs are likely to undertake.

In order to address these issues, a growing number of universities and academic centers are supporting research and programming on these topics. The human rights organizations focus on issues related to local law enforcement. They scrutinize the local law enforcement system's respect for human rights and provide training on human rights issues. Additionally, human rights organizations focus on supporting local and international judicial proceedings to hold individuals accountable for war crimes and criminal violations. Both diplomacy groups and academic institutions focus on prevention of re-emergent violence and conflict containment, and play a critical role during the transition from international intervention to host country authority.[5]

Listed in Table J-3 are the web-based addresses of more widely known academic and diplomacy focused NGOs.

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5 "They may: monitor conflicts and provide early warning and insight into a particular conflict; convene the adversarial parties (providing a neutral forum); pave the way for mediation and undertake mediation; carry out education and training for conflict resolution, building an indigenous capacity for coping with ongoing conflicts; help to strengthen institutions for conflict resolution; foster development of rule of law; help to establish a free press with responsible reporting on conflict; assist in planning and implementation of elections;" p. 113, Carnegie Commission on Preventing Deadly Conflict Final Report, 1997.

Table J-3. Web Addresses of Selected Academic and Diplomacy Focused NGOs

NGO	Web-based Address
African Center for Conflict Resolution and Development (ACCORD)	http://www.accord.org.za
American Association for the Advancement of Science	http://209.213.112.249/about/representation/aaas.cfm
Center for Excellence in Disaster Management and Humanitarian Assistance(COE)	http://coe.tamc.amedd.army.mil
Center for Strategic and International Studies (CSIS)	http://www.csis.org/
George Mason University's Program on Peacekeeping	http://www.gmu.edu/departments/t-po/.org
International Foundation for Electoral Systems (IFES)	http://www.ifes.org/eguide/elecguide.htm
Lawyers Committee for Human Rights	comm@lchr.org
National Voluntary Organizations Active in Disaster	http://www.nvoad.org
Open Society Institute	http://www.soros.org/osi.html
The Lester B. Pearson-Canadian International Peacekeeping Training Centre	http://www.cdnpeacekeeping.ns.ca/
Physicians for Human Rights (PHR)	phrusa@phrusa.org
Refugee Policy Group (RPG)	http://www.refugee.com/
Swedish International Peace and Reconciliation Institute (SIPRI)	http://www.sipri.se.org
Tufts University-Feinstein International Famine Center	http://www.tufts.edu/nutrition/famine/contact.html
Center for Refugee and Disaster Studies at the Johns Hopkins University School of Hygiene and Public Health	http://www.jhsph.edu/research/emergencies/
The Payson Center for International Development and Technology Transfer of Tulane University	http://payson.tulane.edu/payson/about_the_payson_center.html
The Humanitarian and War Project at Brown University	h&wproject@brown.edu

D. THE IRCM CODE OF CONDUCT FOR THE IRCM AND NGOs IN DISASTER RELIEF

This section lists the ten-point Code of Conduct established for the International Red Cross and Red Crescent Movement (IRCM) and NGOs in Disaster Relief.[6]

Point 1 - The Humanitarian imperative comes first.

The right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed. Hence the need for unimpeded access to affected populations is of fundamental importance in exercising that responsibility. The prime motivation of our response to disaster is to alleviate human suffering amongst those least able to withstand the stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such.

Point 2 - Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind. Aid priorities are calculated on the basis of need alone.

Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. Within the entirety of our programmes, we will reflect considerations of proportionality. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. In implementing this approach, we recognise the crucial role played by women in disaster prone communities and will ensure that this role is supported, not diminished, by our aid programmes. The implementation of such a universal, impartial and independent policy can only be effective if we and our partners have access to the necessary resources to provide for such equitable relief, and have equal access to all disaster victims.

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6 http://www.ifrc.org/--under issues section. NGOs referred to in the Code are both local and global, and are those constituted separate from the government of the country in which they are founded.

Point 3 - Aid will not be used to further a particular political or religious standpoint.

Humanitarian aid will be given according to the need of individuals, families and communities. Not withstanding the right of NGHAs[7] to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of the recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

Point 4 - We shall endeavour not to act as instruments of government foreign policy.

NGHAs are agencies which act independently from governments. We therefore formulate our own policies and implementation strategies and do not seek to implement the policy of any government, except in so far as it coincides with our own independent policy. We will never knowingly – or through negligence – allow ourselves, or our employees, to be used to gather information of a political, military or economically sensitive nature for governments or other bodies that may serve purposes other than those which are strictly humanitarian, nor will we act as instruments of foreign policy of donor governments. We will use the assistance we receive to respond to needs and this assistance should not be driven by the need to dispose of donor commodity surpluses, nor by the political interest of any particular donor. We value and promote the voluntary giving of labour and finances by concerned individuals to support our work and recognise the independence of action promoted by such voluntary motivation. In order to protect our independence we will seek to avoid dependence upon a single funding source.

Point 5 - We shall respect culture and custom.

We will endeavour to respect the culture, structures and customs of the communities and countries we are working in.

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7 The term Non-Governmental Humanitarian Agencies (NGHAs) has been coined to encompass the components of the International Red Cross and Red Crescent Movement – the International Committee of the Red Cross, the International Federation of Red Cross and Red Crescent Societies, and its member National Societies – and the NGOs as defined above. This code refers specifically to those NGHAs involved in disaster response.

Point 6 - We shall attempt to build disaster response on local capacities.

All people and communities – even in disaster – possess capacities as well as vulnerabilities. Where possible, we will strengthen these capacities by employing local staff, purchasing local materials and trading with local companies. Where possible, we will work through local NGHAs as partners in planning and implementation, and co-operate with local government structures where appropriate. We will place a high priority on the proper co-ordination of our emergency responses. This is best done within the countries concerned by those most directly involved in the relief operations, and should include representatives of the relevant UN bodies.

Point 7 - Ways shall be found to involve programme beneficiaries in the management of relief aid.

Disaster response assistance should never be imposed upon the beneficiaries. Effective relief and lasting rehabilitation can best be achieved where the intended beneficiaries are involved in the design, management and implementation of the assistance programme. We will strive to achieve full community participation in our relief and rehabilitation programmes.

Point 8 - Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs.

All relief actions affect the prospects for long term development, either in a positive or a negative fashion. Recognising this, we will strive to implement relief programmes which actively reduce the beneficiaries' vulnerability to future disasters and help create sustainable lifestyles. We will pay particular attention to environmental concerns in the design and management of relief programmes. We will also endeavour to minimise the negative impact of humanitarian assistance, seeking to avoid long term beneficiary dependence upon external aid.

Point 9 - We hold ourselves accountable to both those we seek to assist and those from whom we accept resources.

We often act as an institutional link in the partnership between those who wish to assist and those who need assistance during disasters. We therefore hold ourselves accountable to both constituencies. All our dealings with donors and beneficiaries shall reflect an attitude of openness and transparency. We recognise the need to report on our activities, both from a financial perspective and the perspective of effectiveness. We

recognise the obligation to ensure appropriate monitoring of aid distributions and to carry out regular assessments of the impact of disaster assistance. We will also seek to report, in an open fashion, upon the impact of our work, and the factors limiting or enhancing that impact. Our programmes will be based upon high standards of professionalism and expertise in order to minimise the wasting of valuable resources.

Point 10 - In our information, publicity and advertising activities, we shall recognise disaster victims as dignified humans, not hopeless objects.

Respect for the disaster victim as an equal partner in action should never be lost. In our public information we shall portray an objective image of the disaster situation where the capacities and aspirations of disaster victims are highlighted, and not just their vulnerabilities and fears. While we will co-operate with the media in order to enhance public response, we will not allow external or internal demands for publicity to take precedence over the principle of maximising overall relief assistance. We will avoid competing with other disaster response agencies for media coverage in situations where such coverage may be to the detriment of the service provided to the beneficiaries or to the security of our staff or the beneficiaries.

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6. AUTHOR(s)
Mr. A. Martin Lidy, Ms. Sara Lechtenberg-Kasten, Mr. Shawn E. Messick, ADM Samuel H. Packer, USN (Ret.), Ms. M. Michele Cecil

7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES)
Institute for Defense Analyses
1801 N. Beauregard Street
Alexandria, Virginia 22311-1772

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Mr. Milt Tulkoff, Director, Regional Assessment and Modeling Division, Office of the Secretary of Defense (Program Analysis and Evaluation), The Pentagon, Room 2C270, Washington, DC 20301

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13. ABSTRACT (*Maximum 200 words*)
This paper describes the resources, other than those controlled by the Department of Defense (DoD), that are potentially available to respond to smaller-scale contingencies (SSCs). It describes the environment in which these organizations operate and the key factors that affect their involvement in an operation. The paper addresses the U.S. government civilian resources available outside the DoD, the United Nations capabilities, and those of other Inter-Governmental Organizations (IGOs). It also describes the capabilities of the International Organizations (IOs) and Non-Governmental Organizations (NGOs) that are likely to be engaged in these types of complex contingencies even before U.S. military forces arrive in the area. The paper then describes the major donor nations and businesses that may also play a role in SSCs. Finally, the document describes the military and civilian organizational arrangements and civilian systems and data bases that can provide the basis for achieving unity of effort between the military and civilian participants in complex contingencies.

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