Recent changes in U.S. Department of Defense (DOD) policy have transformed the military medical tradition of health-care assistance around the world into a core U.S. military mission. This chapter summarizes current U.S. government (USG) and DOD guidance, international guidelines, and key definitions to facilitate the understanding required for “a carefully coordinated deployment of military and civilian, public and private, U.S. and international assets... in support of a broader U.S. Government effort to advance U.S. interests by assisting an existing government with internal challenges or helping establish a new social, economic, and political domestic order in the short-term, and in the longer term, by establishing conditions for a sustainable peace.”

That is, these policies guide and direct the DOD in foreign aid and disasters.

### DOD Guidance

**DOD Directive 3000.05, Military Support for Stability, Security, Transition, and Reconstruction Operations** (20051128), was a watershed document when signed into effect in 2005. For the first time reconstruction and stabilization were defined as a core U.S. military mission, with a priority comparable to combat operations.3

**DOD Instruction 3000.05, Stability Operations** (20090916), replaced DOD Directive 3000.05 in 2009. It updated policy and assigned responsibilities for developing DOD capabilities to support stability operations. It provided the following definition:

- **Stability operations** is defined as an overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.4

DODI 3000.05 clarified that the DOD would support stability operations activities led by other U.S. Government departments or agencies, foreign governments and security forces, or international governmental organizations, and would lead stability operations activities only when it was required to establish civil security and civil control, restore essential services, repair and protect critical


infrastructure, and deliver humanitarian assistance. An important element was that DOD would also collaborate with nongovernmental organizations, and private sector firms as appropriate.

**DOD Instruction 6000.16, Military Health Support for Stability Operations (20100517),** provides guidance that medical stability operations (MSOs), "are a core U.S. military mission that the DoD Military Health System (MHS) shall be prepared to conduct throughout all phases of conflict and across the range of military operations, including in combat and non-combat environments. MSOs shall be given priority comparable to combat operations and be explicitly addressed and integrated across all MHS activities including doctrine, organization, training, education, exercises, materiel, leadership, personnel, facilities, and planning."

**Publication JP 3-08, Interagency, Intergovernmental Organization, and Nongovernmental Organization Coordination during Joint Operations, volumes I and II (20060317),** describes the operating environments, core competencies and organizational structures of various civilian organizations to facilitate interagency partnerships. This document provides comprehensive insight into the NGO community, including the following working definitions:

- **Interagency partnerships** are those involving multiple U.S. federal government agencies and public and private organizations. The National Security Act of 1947 (NSA 47) defines DOD participation in the interagency process.

- **Nongovernmental organizations** (NGOs) are independent, nonprofit, private organizations with humanitarian goals, which may be local, national, or transnational and have formal or unstructured management. A broader USAID definition also includes private or nonprofit entities that are not affiliated with local or national government and receive USAID funding, such as foundations, firms, academic institutions, and cooperative development organizations.

- **Private voluntary organizations** (PVO) are included in the NGO category, but DOD working with these organizations should recognize that this combination is not necessarily widely accepted across the U.S. government or even by the organizations. The USAID definition describes a nonprofit, tax-exempt organization that relies on voluntary contributions of funds or staffing from the general public, and is involved in international development activities.

The Department of the Treasury’s Office of Foreign Assets Control (OFAC) maintains a list of entities subject to economic sanctions programs. Legal counsel must verify that a particular organization is not on the list OFAC maintains, because personnel are prohibited from dealing with such entities.

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The U.S. Agency for International Development (USAID) is an autonomous federal agency under policy direction of the secretary of state, shapes foreign policy by administering U.S. foreign economic assistance, and serves as the lead for interagency foreign disaster assistance. Presidential authority for emergency relief and long-term humanitarian assistance is coordinated through the USAID Office of U.S. Foreign Disaster Assistance (OFDA) in response to disasters declared by the chief of mission (COM), that is, the U.S. ambassador. Overseas assets include missions, offices, and regional organizations, in addition to the deployable disaster assistance response team (DART)—specialists with disaster relief skills rapidly deployed to assist U.S. embassy management of USG response to foreign disasters. DODD 5100.46, *Foreign Disaster Relief*, describes the relationship between DOD and USAID.

**Publication JP 3-29, *Foreign Humanitarian Assistance* (20090317),** outlines joint doctrine for foreign humanitarian assistance (FHA) operations by DOD and “provides the doctrinal basis for interagency coordination and for U.S. military involvement in multinational operations.” The chapter on NGOs mentions organizations that can facilitate coordination, including the American Council for Voluntary International Action (InterAction), a coalition of 165 U.S.-based NGOs, and the UN Office for the Coordination of Humanitarian Affairs (OCHA). The following guidance is also provided for DOD interactions with NGOs: clearly articulate the role of the military to the NGOs. Be aware that not all NGOs appreciate military assistance or intervention, and some have charters that prohibit collaboration with armed forces. Consider the use of a third-party liaison, such as USAID—the lead federal agent for government FHA—and review recorded lessons learned. The section titled Key Non-U.S. Government Participants and Organizations describes the terms:

- **Host nations** are those receiving assistance coordinated by the U.S. embassy and granting permission for FHA by U.S. forces through formal or informal agreements.

- The **United Nations** is an intergovernmental organization focused on maintaining international peace and security, developing friendly international relations and harmonious actions, and promoting cooperation to solve international problems and preserve human rights and freedoms.

- **Private contractors** are for-profit, independent actors that the local population often considers representatives of the U.S. government despite being employed by a wide range of customers to provide security, technical, and logistical expertise.

Moreover, the previous edition of JP 3-29 was published 20010815—before the start of the global war on terror—and the following terms represent what it terms a substantial transition.

- **Developmental assistance** missions establish or maintain secure conditions for the delivery of FHA by relief organizations, including storage and transportation of relief materials, providing armed escorts for convoys or personnel, and protecting shelters for dislocated civilians.

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8 Joint Chiefs of Staff, *Foreign Humanitarian Assistance*, p. xvii
• *Security assistance* is a group of programs in support of U.S. policies and objectives that provides materiel, training, or services to foreign nations in exchange for grant, credit, or currency.\(^{10}\)

• *Peace operations* encompass multilateral crisis response and contingency operations designed to contain conflict, shape an environment supportive of reconciliation and rebuilding, and facilitate the transition to a legitimate state; include peacekeeping, peace enforcement, peacemaking, peace building, and conflict prevention, and are further described in JP 3-07.3, *Peace Operations*.\(^{11}\)

• *Civil-military operations centers* (CMOCs) are physical or virtual meeting places of stakeholders that serve “as the primary collaboration interface for the joint force among indigenous populations and institutions (IPI), IGOs, NGOs, multinational military forces, the private sector, and [other government agencies] OGAs” and are further described in JP 3-57, *Civil-Military Operations*.\(^{12}\)

### USG Guidance

**Publication NSPD-44**, *Management of Interagency Efforts Concerning Reconstruction and Stabilization* (20051207), concerns foreign states and regions at risk of, involved in, or recovering from armed conflict or civil strife, and instructs the secretary of state to integrate U.S. government efforts to engage in transition and reconstruction activities, and to harmonize such efforts with U.S. military security and stability operations.\(^{13}\) The directive emphasizes interagency, civil-military coordination by mandating not only integration of contingency plans by the secretaries of the Department of State and the Department of Defense, but also development of a framework for coordination of stability operations and reconstruction activities.

**Publication HSPD-21**, *Public Health and Medical Preparedness* (20071018), introduces a national strategy to “transform our national approach to protecting the health of the American people against all disasters” and directs the establishment of a National Center for Disaster Medicine and Public Health at the Uniformed Services University of the Health Sciences (USUHS) as an academic center of excellence on subjects including international health, international disaster and humanitarian medical assistance, and military medicine, with joint missions carried out by DOD and the Department of Health and Human Services (HHS).\(^{14}\)

**International Declarations and Guidelines**

The following summaries of international guidelines pertain to the roles and responsibilities of NGOs and international civil-military cooperation.

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\(^{10}\) Ibid., p. I-9.

\(^{11}\) Ibid., p. I-10.

\(^{12}\) Ibid., p. II-21.


The Paris Declaration on Aid Effectiveness (2005) is a UN declaration that supports “partner country efforts to strengthen governance and improve development performance” by aligning donor commitments with priorities established by the nation receiving assistance (partner country) and setting targets for 2010 aligned with twelve indicators based on the partnership commitments.15

- Signatories reaffirm pledges to strengthen national development strategies, build capacity, enhance accountability to citizenry to maximize combined effectiveness, and define measures and standards of performance and accountability.
- The declaration acknowledges and addresses the following challenges: failure to provide predictable or multiyear commitments, inadequate delegation of authority to field staff, inadequate integration of national agendas and global programs, and corruption and lack of transparency.
- In the spirit of mutual accountability, partnership commitments include several indicators of progress to be tailored to specific situations, including fragile states, measured nationally and monitored internationally:
  - ownership or effective partner country leadership in operational development strategies;
  - alignment of more predictable, untied aid flow with partners’ strategies, using partner country procurement and financial systems, and strengthening capacity;
  - harmonization through common procedures and shared analysis;
  - managing for results or outcomes, rather than outputs; and
  - mutual accountability of donors and partners for development results.

The OCHA Oslo Guidelines (2007), titled The Use of Foreign Military and Civil Defence Assets in Disaster Relief, “establish the basic framework for formalizing and improving the effectiveness and efficiency of the use of foreign military and civil defense assets in international disaster relief operations” and define the following key terms.16

- The UN seeks to provide assistance guided by the basic humanitarian principles of humanity, neutrality, and impartiality, and “with full respect for the sovereignty of States.”17
  - Humanity. Human suffering must be addressed wherever it is found, with particular attention to the most vulnerable in the population, such as children, women, and the elderly. The dignity and rights of all victims must be respected and protected.18
  - Neutrality.19 Humanitarian assistance must be provided without engaging in hostilities or taking sides in political, religious, or ideological controversies.

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17 Ibid., p. 8.


19 Neutrality is difficult for many NGOs and some have taken this out of their guiding principles. In any disaster, putting programs on one side of the line or the other makes the other side perceive they are not neutral when in fact the reason for doing so may have been safety or access.
**Impartiality.** Humanitarian assistance must be provided without discriminating as to ethnic origin, gender, nationality, political opinions, race or religion. Relief of the suffering must be guided solely by needs and priority must be given to the most urgent cases.\(^{20}\)

**Humanitarian assistance.** Humanitarian aid must be delivered to a crisis-affected population for the primary purpose of saving lives and alleviating suffering, and provided in accordance with the basic humanitarian principles. Categories of aid include *direct assistance* (on-site distribution of goods and services), *indirect assistance* (transportation of relief goods or personnel), and *infrastructure support* (less directly of benefit to or visible by those affected).\(^ {21}\)

- *International disaster relief assistance* (IDRA) includes materiel, personnel, and services provided to a partner country by the international community and facilitation of such actions by neighboring states. IDRA is considered humanitarian assistance if it conforms to humanitarian principles.
- *Military and civil defense assets* (MCDA) are personnel, equipment, supplies, and services provided by foreign military or civil defense organizations in support of IDRA, and viewed as a tool of last resort complementing existing relief mechanisms to provide specific support to specific requirements, in response to the acknowledged humanitarian gap. MCDA can be mobilized and deployed as part of a bilateral or regional alliance, or as part of a UN operation. Affected states must request or consent to such assistance as part of an appeal for international assistance, and MCDA should be provided at no cost. The MCDA states that any personnel on disaster relief missions will be unarmed and in uniform and that security will be provided by the affected state. Unarmed UN MCDA, accepted as neutral and impartial, and clearly distinguished from other military units, can be used to support the full range of humanitarian activities, if requested by the humanitarian coordinator or resident coordinator and maintained under civilian control.\(^ {22}\)
- The Civil-Military Coordination section (UN-CMCoord) of OCHA is responsible for mobilizing UN MCDA and fostering civil-military coordination in an emergency. Parameters for the use of resources by MCDA and modus operandi are to be established before deployment, in accordance with international law, and in consultation with the affected state and UN-CMCoord.

The *InterAction Standards* (2007) for PVOs govern the activities of a coalition of international NGOs with American chapters or exclusively U.S.-based humanitarian organizations, formally known as the American Council for International Action.\(^ {23}\) The standards emphasize human dignity, social justice, public awareness, ethics, respect for diversity, and a sense of professionalism, and InterAction member organizations review them annually to recertify compliance. Specific sections cover governance,
Defining Emergencies

NGOs work in and respond to humanitarian emergencies. This is a generic term covering situations from natural disasters to man-made conditions that negatively affect human populations. To prevent confusion, the UN Inter-Agency Standing Committee delineates the differences between emergencies and disasters:

- An emergency is “an extraordinary situation in which people are unable to meet their basic survival needs, or there are serious and immediate threats to human life and well-being.” Events and processes that can cause disasters do not always do so, and disasters do not always result in emergencies. Thus droughts or outbreaks of migratory pests may or may not result in a humanitarian emergency.

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result in widespread crop failure, a disaster that may or may not have consequences grave and immediate enough to warrant the declaration of an emergency.\footnote{UN Food and Agricultural Organization, \textit{FAO’s Emergency Activities: Technical Handbook Series} (Rome: UNFAO, 2002), www.fao.org/DOCREP/003/X6868E/x6868e00.htm#e (accessed November 12, 2009).}

- A disaster is “the occurrence of a sudden or major misfortune [that] disrupts the basic fabric and normal functioning of a society (or a community). An event or a series of events [that] give rise to casualties and/or damage or loss of property, infrastructure, essential services or means of livelihood on a scale [that] is beyond the normal capacity of the affected communities to cope with unaided.”\footnote{Ibid.}

- Natural disasters come in many forms and have many effects on populations. Floods, droughts, earthquakes, landslides, tornadoes, and hurricanes are all types of natural disasters that affect populations. NGOs respond to the needs of communities affected by natural disasters and often tie longer-term development programs into relief activities. Natural disasters can be devastating to a country or region in a variety of ways, including the destruction of infrastructure, health systems, water and sanitation systems, local economics, crops, and the onset of high disease and mortality rates. Depending on the type and size of natural disaster, the effects on a population are highly variable.

Although both categories will be described as humanitarian emergencies in this guide, the differences between them are important to remember.

**Humanitarian Crises**

Any form of humanitarian emergency can further deteriorate into a type of humanitarian crisis increasingly encountered in the current operational environment.

*Complex humanitarian emergencies* (CHE) stem from multiple causes and have variable effects on populations. The UN describes "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.”\footnote{Ibid.} The term CHE Natsios, former director of OFDA and now administrator for USAID, highlights five characteristics of a humanitarian emergency:

- Civil conflict is rooted in traditional ethnic, tribal and religious animosities and accompanied by widespread atrocities.
- National governmental authority deteriorates to a point where public services disappear. Political control is passed to warlords, provincial governors over whom the central government has lost control, and occasionally traditional local leaders.
- Mass population movements occur as a result of the desire or need to escape civil and political conflict and the necessity for food and water.
- A disturbed or destroyed economy suffers from hyperinflation and destruction (or complete devaluation) of currency, the gross national product sees large declines, unemployment reaches depression levels, and markets collapse completely.

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\footnote{Ibid.}

\footnote{Ibid.}
• Food security declines, possibly as a result or exacerbation of drought, which quickly leads to severe malnutrition that may in turn quickly lead to mass starvation.\textsuperscript{31}

A CHE is an extreme disruption of governance, with more lethal, destructive, and insidious effects than any other form of conflict because an entire society or region is traumatized. The greatest losses of life (70 to 90 percent) in humanitarian emergencies occur following an emergency or disaster—rather than directly due to the disaster (be it man-made or natural). These so-called \textit{indirect deaths} are attributable to the breakdown of health and social services, health information (surveillance systems), mass displacement, overcrowding or poor temporary living conditions, and the loss of livelihoods, all characteristic of CHEs.\textsuperscript{32}

Maynard points to \textit{identity conflicts} as a new and unpredictable root of humanitarian emergency that may grow out of the denial of rights, economic disparity, elite manipulation, historical vendettas, or growth in social chaos. This form, she argues, includes not only political identities and struggles with emerging or retreating regimes, conditions or changes, but also the “full spectrum of societal interaction.”\textsuperscript{33} A quest to form identities often spurs entire societies to become involved in disparate acts or violent activities. Within the current operational environment, NGOs respond to complex humanitarian emergencies on a regular basis, often dealing with large-scale effects of the emergency that include massive population movements, food production and distribution problems, disease, lack of water, injuries and large death tolls caused by any or each of these symptoms. As a result, 50 to 90 percent of those suffering the consequences of these disasters are civilians. Particularly vulnerable populations include children, women, the elderly, and the disabled.\textsuperscript{34}

In 2008, OCHA listed complex humanitarian emergencies of various forms in more than 25 countries and regions.\textsuperscript{35} From Afghanistan’s political collapse and major conflict to Central Africa’s recent genocides and continuing civil wars, most are experiencing massive levels of displacement and increased rates of mortality, violence, malnutrition, and disease. Table 1.1 provides an alphabetical listing of countries the UN defines as complex emergencies in 2009.

\begin{footnotesize}
\begin{itemize}
\item \textsuperscript{31} Andrew Natsios, \textit{U.S. Foreign Policy and the Four Horsemen of the Apocalypse: Humanitarian Relief in Complex Emergencies} (Westport, CT: Praeger, 1997).
\item \textsuperscript{35} UN/OCHA data on complex humanitarian emergencies, \url{www.reliefweb.int/w/rwb.nsf/WCE?OpenForm}.
\end{itemize}
\end{footnotesize}
Table 1.1 Complex Emergencies, 2009

<table>
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<tr>
<td>Afghanistan</td>
<td>Lebanon</td>
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<tr>
<td>The Balkans (Bosnia, Kosovo)</td>
<td>Nepal</td>
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<tr>
<td>The Caucasuses (Armenia, Azerbaijan, Georgia)</td>
<td>Uganda</td>
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<tr>
<td>Chechnya (Russian territory)</td>
<td>Indonesia</td>
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<tr>
<td>Colombia</td>
<td>Iraq</td>
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<tr>
<td>Haiti</td>
<td>Palestinian Territories/Israel</td>
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<tr>
<td>Central African Republic</td>
<td>Sierra Leone</td>
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<tr>
<td>Chad</td>
<td>Somalia</td>
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<tr>
<td>The Democratic Republic of the Congo</td>
<td>Sri Lanka</td>
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<tr>
<td>DPR Korea</td>
<td>Sudan</td>
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<tr>
<td>East Timor (now independent)</td>
<td>Tajikistan</td>
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<tr>
<td>Eritrea</td>
<td>Uganda</td>
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<tr>
<td>Ethiopia</td>
<td>Zimbabwe</td>
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<td>Kenya</td>
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NGOs respond not only to natural disasters and complex humanitarian emergencies, but also to man-made disasters, epidemics, technological or industrial accidents, and either regional or neighboring crises that affect large populations worldwide. In most such emergencies, populations are displaced or under physical, social, psychological, political, or economic duress.\(^{36}\)

Uniformed, government, and DOD personnel may be more familiar with definitions of humanitarian emergencies through a tradition of involvement in humanitarian assistance and disaster response (HA/DR), foreign disasters, or foreign disaster relief, as defined by joint doctrine and DOD directive.\(^{37}\)

- **Foreign assistance** can range from the sale of military equipment to donations of food and medical supplies to aid survivors of natural and man-made disasters. Assistance from the United States takes three forms—development, humanitarian, and security.

- **Foreign disaster** is defined as “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 U.S. foreign disaster relief to a foreign country, foreign persons, or to an intergovernmental organization.”\(^{38}\)

- **Foreign disaster relief** is prompt aid that can be used to alleviate the suffering of foreign disaster victims. Normally it includes humanitarian services and transportation; the provision of food, clothing, medicine, beds, and bedding; temporary shelter and housing; the furnishing

\(^{36}\) Defining humanitarian emergencies and reviewing the reasoning for various terminology or categorization requires at least an entire chapter for itself. For the purposes of this manual, emergencies, be they complex or natural, are events or conditions that affect human populations negatively as indicated in the definitions covered above. There may be room for debate, but the value here is in understanding the types of emergencies that NGOs respond to, and how different emergencies may require different types of responses.


\(^{38}\) Joint Chiefs, *Intergovernmental Coordination*, p. GL-8.
U.S. forces conducting foreign humanitarian assistance as part of a North Atlantic Treaty Organization (NATO) operation should be cognizant of the following NATO-specific definitions:

- **Humanitarian assistance.** “As part of an operation, the use of available military resources to assist or complement the efforts of responsible civil actors in the operational area or specialized civil humanitarian organizations in fulfilling their primary responsibility to alleviate human suffering.”

- **Humanitarian operation.** “An operation specifically mounted to alleviate human suffering where responsible civil actors in an area are unable or unwilling to adequately support a population. It may precede, parallel, or complement the activity of specialized civil humanitarian organizations.”

**Displaced Persons**

Victims of humanitarian emergencies—including earthquakes, famine, severe drought, floods, civil and intrastate wars, human rights abuses, and dire economic conditions—are often, even typically, displaced from their homes, sometimes within their native country and sometimes across national borders.

The military has many names for displaced persons. In publication JP 3-29, for example, the term is frequently *dislocated civilians*. When talking with the international community, however, only two populations are distinct:

- **Refugees** cross international borders and have a valid fear of persecution. They are protected under international law by UN High Commissioner for Refugees (UNHCR).
- **Internally displaced persons** (IDPs) are displaced within their country of origin. Unless UNHCR is mandated by the UN to protect IDPs, IDPs are not protected under international law.

This distinction between IDPs and refugees is important. According to international law, it is the responsibility of each national government to provide assistance and protection for its IDPs in-country. However, many IDP situations arise from civil conflict and violence or when the legitimacy and authority of a central government is in doubt. Consequently, there is frequently no local authority...
willing and able to provide assistance and protection for IDPs. Refugees, however, are under the protection of UNHCR. Understanding this distinction can aid the military in knowing who to call to discuss provision and protection for these displaced populations.