



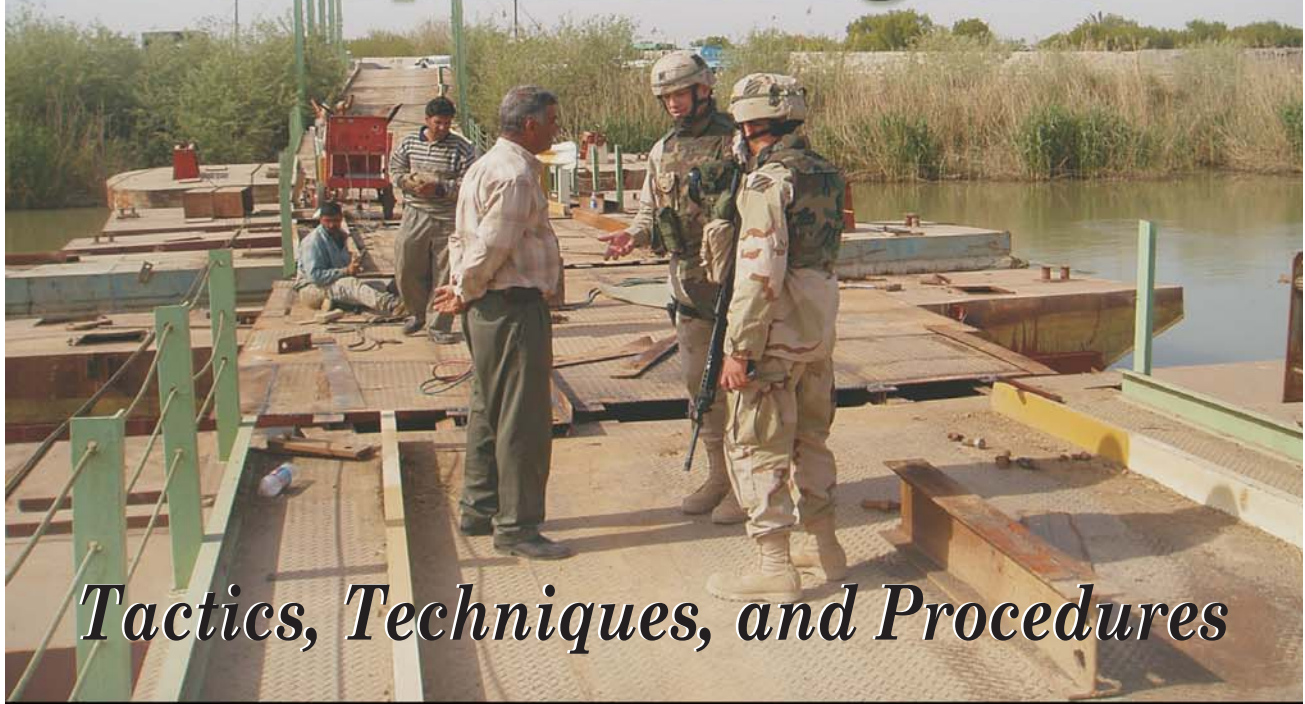
# HANDBOOK



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Mar 08

## Commander's Emergency Response Program



*Tactics, Techniques, and Procedures*

**PKSOI**

U.S. Army Peacekeeping and Stability Operations Institute

Center for Army Lessons Learned (CALL)

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## Foreword

The Commander's Emergency Response Program (CERP) has become a critical capability in the commander's toolbox for conducting stability operations. CERP funds provide tactical commanders a means to conduct multiple stability tasks that have traditionally been performed by U.S., foreign, or indigenous professional civilian personnel or agencies. These tasks include but are not limited to the reconstruction of infrastructure, support to governance, restoration of public services, and support to economic development.

This handbook focuses on basic tactics, techniques, and procedures (TTP) for the application of the CERP. Its intended audience is the brigade, battalion, and provincial reconstruction team commander and staff. This handbook is based on lessons learned and best practices in use today in both Iraq and Afghanistan and identifies the training, planning, and operational procedures required to fund projects and services the commander requires during the conduct of stability operations. This handbook also provides the TTP to guide the commander through the regulatory and administrative requirements of the CERP.

### Key Lessons

- The brigade/brigade combat team commander is responsible for the overall implementation of the CERP within the brigade's area of responsibility (AOR), and the battalion/task force (TF) commander is responsible for the overall implementation of the CERP within the battalion/TF AOR.
- The civil affairs officer and the S-9 staff are key planners for the execution of the unit's CERP.
- Commanders should design and select only those projects and services that will have a lasting effect on the local population.
- Commanders should request or conduct for themselves an assessment of local conditions before investing financial resources into any potential relief or reconstruction program.
- Commanders and staffs should assess potential unintended results of their unit's CERP.

The intent of this handbook is to share knowledge, support discussion, and impart lessons and information in an expeditious manner. This Center for Army Lessons Learned handbook is not a doctrinal product. The information in this publication is written by service members for service members.

Steven Mains  
Colonel, Armor  
Director  
Center for Army Lessons Learned



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The Secretary of the Army has determined that the publication of this periodical is necessary in the transaction of the public business as required by law of the Department.

Unless otherwise stated, whenever the masculine or feminine gender is used, both are intended.

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## Chapter 1

### Introduction

**Commander's Emergency Response Program or (CERP) funds are a relatively small piece of the war-related budgets...But because they can be dispensed quickly and applied directly to local needs, they have had a tremendous impact – far beyond the dollar value – on the ability of our troops to succeed in Iraq and Afghanistan. By building trust and confidence in coalition forces, these CERP projects increase the flow of intelligence to commanders in the field and help turn local Iraqis and Afghans against insurgents and terrorists.**

**Defense Secretary Robert M. Gates  
Testimony to U.S. Senate Committee on Appropriations  
February 2007**

In early 2003, while conducting raids and patrols in Baghdad, Soldiers of the 3rd Infantry Division found a reported 1.2 billion dollars in American currency that former Ba'ath and Republican Guard officials had hidden away in various false walls and hidden containers. These types of discoveries increased over the ensuing months. As the U.S. Central Command determined the seized funds belonged to the State of Iraq and were not the personal property of a select group of its citizens, U.S. Army V Corps issued orders making the seized money available to coalition forces for humanitarian assistance under the name Brigade Commander's Discretionary Recovery Program to Directly Benefit the Iraqi People. Government finance officers and controllers immediately developed meticulous procedures, outlined in this handbook, to control and safeguard the dispensing of these funds. The ensuing Coalition Provisional Authority subsequently renamed this program the Commander's Emergency Response Program (CERP).<sup>1</sup>

As the seized funds were expended in late 2003 on humanitarian projects across Iraq, the U.S. government (USG) sought to build upon the early successes of the CERP. Congress presented a bill authorizing taxpayer money for the program that President Bush signed into law on 6 November 2003. Since this law was enacted, Congress has continued its CERP authorization for both Iraq and Afghanistan in each subsequent National Defense Authorization Act. From 2004 through 2007, the USG has invested a total of \$2.9 billion in the CERP.

Today, the purpose of the CERP remains unchanged—to provide commanders a capability to effectively respond to urgent humanitarian relief and reconstruction requirements within their areas of responsibility by carrying out programs that will immediately assist the indigenous population.<sup>2</sup> These programs include making condolence payments after combat operations, providing funds for necessary repairs resulting from combat activity, purchasing or repairing critical infrastructure equipment, or conducting large-scale civic cleanups that employ as many local inhabitants as possible.

The CERP has also become a critical capability in the commander's toolbox for stability operations. CERP has evolved as a broader means for tactical commanders to conduct the multiple development-related tasks in stability operations that have

been traditionally performed by U.S., foreign, or indigenous professional civilian personnel or agencies. These tasks include establishing civil security and control; economic development; and restoring and developing essential services, governance, and infrastructure. While the U.S. Army is uniquely trained, manned, and equipped to operate in unstable regions, it lacks the development capacity and expertise of its civilian partners in conducting these tasks. However, civilian diplomatic and development agencies are often challenged to address such tasks in unstable areas with their traditional delivery systems. Given these challenges, Department of Defense (DOD) policy, outlined in DOD Directive 3000.05, *Military Support for Stability, Security, Transition, and Reconstruction (SSTR) Operations*, directs that U.S. military forces be prepared to perform all tasks necessary to establish or maintain order when civilians cannot do so. The CERP is one tool the USG has provided military commanders to meet these requirements.

The purpose of the CERP Handbook is to:

- Assist deploying commanders and their staffs in navigating the legal and regulatory requirements of CERP.
- Improve home-station training for the unit CERP.
- Serve as a reference for brigade, battalion, and provincial reconstruction team commanders to assist their effective application of this unique capability within their units' assigned areas of responsibility.

This handbook outlines current DOD policy on the authorized uses and restrictions of CERP, discusses the roles of the commander and special staff officers in the unit CERP, outlines a proposed method for the unit project nomination process, presents several accepted principles from successful development agencies that the commander should consider when selecting and prioritizing potential CERP projects, and briefly outlines other USG funding sources and programs in use in both Iraq and Afghanistan today.

### **Endnotes**

1 Mark Martins, "No Small Change in Soldiering: The Commander's Emergency Response Program (CERP) in Iraq and Afghanistan," *Army Lawyer*, (February 2004).

2 Under Secretary of Defense (Comptroller) Memorandum, Subject: Commander's Emergency Response Program (CERP) Guidance, 9 May 2007.



## Chapter 2

### Commander's Emergency Response Program Overview and Guidelines

**By default, U.S. and multi-national military forces often possess the only readily available capability to meet many of the local populace's fundamental needs. Human decency and the law of war require land forces to assist the populace in their AOs.**

*Field Manual 3-24, Counterinsurgency*

#### Source and Intent for Commander's Emergency Response Program (CERP) Funds

The Department of State (DOS) has the primary responsibility, authority, and funding to conduct foreign assistance on behalf of the U.S. government (USG). The legal authority for the DOS security assistance and development assistance missions is found in the Foreign Assistance Act of 1961, 22 U.S.C. §2151.<sup>1</sup> An exception to this authority occurs when Congress enacts a Department of Defense (DOD) appropriation and/or authorization to conduct foreign assistance.<sup>2</sup> The CERP, as currently funded, falls within this exception for Humanitarian Assistance Authorizations and Appropriations.

The CERP is resourced with federally appropriated funds of the USG. These funds are provided to military commanders to meet the urgent humanitarian relief and reconstruction requirements of the Iraqi and Afghan civilian population. The U.S. Army Budget Office provides CERP funds to the U.S Central Command Combined Forces Land Component Commander who, in turn, distributes these funds to the Multi-National Force-Iraq (MNF-I) and Combined Joint Task Force-82/76 (CJTF-82/76). The Multi-National Corps-Iraq (MNC-I) and CJTF-82/76 C7 (Engineer) and C8 (Comptroller) staffs develop recommended CERP distribution plans for each of their respective major subordinate commands (MSCs) in their respective theaters based upon desired effects, operational priorities, and the MSC's ability to execute the funding plan. All CERP distribution plans are approved by the MNC-I and CJTF-82/76 commanders.

The commanders for MNC-I and CJTF-82/76 provide guidance, establish priorities, and identify focus areas for the use of CERP among subordinate headquarters in support of theater-specific strategic objectives and desired effects. These objectives may vary over time. Examples of theater-level objectives for the CERP include the following:

- Ensuring urgent humanitarian relief and reconstruction requirements are met for the indigenous population
- Improving local governance capacity by partnering with provincial government agencies in identifying, prioritizing, selecting, and developing projects

- Ensuring the larger, strategic projects and services are connected to the end user in local communities
- Creating momentum and conditions for economic recovery and development

MSCs and tactical commanders, in coordination with local officials and other USG agencies, develop and approve CERP projects consistent with theater-specific guidance, their respective funding approval authority, and budget availability.

### **Authorized Uses of CERP**

Department of Defense Financial Management Regulation (FMR) DOD 7000.14-R, Volume, Chapter 27, and DOD policy outlined in the Tina W. Jonas, Under Secretary of Defense (Comptroller) Memorandum, Subject: Commander's Emergency Response Program (CERP) Guidance, 9 May 2007, provides commanders with specific authorizations and restrictions on the use of their CERP funds. The Undersecretary of Defense (Comptroller) guidance states CERP funds may be used to assist the Iraqi and Afghan people in the following 19 representative areas:<sup>3</sup>

- Water and sanitation projects that repair or develop water and sewer-related infrastructure (wells, filtration and distribution systems, storage tanks, pumping stations, treatment plants).
- Food production and distribution projects that increase food production or food distribution processes (food storage centers/warehouses, food distribution facilities).
- Agriculture projects that increase agricultural production or provide for cooperative agricultural programs (irrigation systems, pipelines, pump units, irrigation canals).
- Electricity projects that repair or develop electrical power or distribution infrastructure (generators, distribution lines, substations, towers, residential/commercial connections).
- Healthcare projects that repair or develop healthcare facilities and services (hospitals, clinics, urgent healthcare services, immunizations, medicine, medical supplies, or equipment).
- Education projects that repair or develop education facilities (schools, universities, education supplies, furniture, and equipment).
- Telecommunications projects that repair or develop telecommunications systems or infrastructure (cell phone towers, switch networks, hubs, telephone lines).
- Economic, financial, and management improvement projects that improve economic or financial security (banks, banking systems, facility security)
- Transportation projects that repair or develop transportation systems (roads, bridges, culverts, public transportation stations and facilities).

- Rule of law and governance projects that repair or develop government buildings and legal facilities (administration offices, courthouses, and prisons).
- Irrigation projects that repair or develop irrigation systems (canals, pump stations)
- Civic cleanup projects that remove trash and clean up communities (trash collection and disposal programs, landfills, waste incinerators).
- Civic support projects that purchase or lease vehicles to support civic and community activities.
- Civic and cultural facilities projects that repair or restore civic or cultural buildings and facilities (museums, historic and cultural sites).
- Repair of damage that results from U.S., coalition, or supporting military operations and is not compensable under the Foreign Claims Act.<sup>4</sup>
- Condolence payments to individual civilians for the death or physical injury from U.S., coalition, or supporting military operations not compensable under the Foreign Claims Act. Condolence payments may include payments made to the surviving spouse or next of kin of defense or police personnel who are killed because of U.S., coalition, or supporting military operations (sometimes referred to as “martyr” payments).
- Payments to individuals upon release from detention.
- Protective measures projects to enhance the durability and survivability of critical infrastructure sites (fencing, lighting, barrier materials, berming, and guard towers).
- Other urgent humanitarian relief or reconstruction requirements not covered in 1-18 above but equally critical to local humanitarian and reconstruction needs and deemed necessary by local commanders (examples may include facilities related to firefighting, rescue services, removal of hazardous materials).

### **Federal Acquisition Regulation (FAR) Waiver**

Of additional importance to the commander using CERP funds is the “waiver authority” granted the Secretary of Defense in Section 1202, Ronald W. Reagan National Defense Authorization Act (Pub. L. 208-287). The language in the Authorization Act states that, “[f]or purposes of the exercise of the authority provided by this section or any other provision of law making funding available for the Commander’s Emergency Response Program...the Secretary may waive any provision of law not contained in this section that would (but for the waiver) prohibit, restrict, limit, or otherwise constrain the exercise of that authority.”<sup>5</sup> To streamline CERP expenditures, the Secretary of Defense waived provisions of the FAR and other federal contracting and procurement rules that might otherwise prohibit CERP implementation.<sup>6</sup> Specifically, commanders can give preference to Iraqi and Afghan contractors and are not required to undertake the traditional “bid

process” to identify the lowest cost to the government. This waiver is balanced by general fiscal prudence and local guidance that states commanders will not deliberately over pay for projects and will pay reasonable prices for supplies and services that yield a modest functional standard. Again, the intent of the CERP is to shape the battlefield by funding projects that provide immediate, tangible, relief to the indigenous populations, as well as inject money into the local economies by providing jobs to the unemployed.

### **CERP Restrictions**

Under Secretary of Defense (Comptroller) (USD[C]) guidance outlines that the CERP may not be used for any project, program, or service that provides:<sup>7</sup>

- Direct or indirect benefit to U.S., coalition, or other supporting military personnel.
- Goods, services, and funds to national armies, national guard forces, border security forces, civil defense forces, infrastructure protection forces, highway patrol units, police, special police, intelligence, or other security forces. (Other funds, such as the Iraq Security Forces Fund and the Afghanistan Security Forces Fund provide other avenues of financing for such projects.)
- Weapons buy-back programs or other purchases of firearms or ammunition, except as authorized by law and separate implementing guidance. (10 U.S.C. §127b allows the military to pay monetary rewards to people for providing USG personnel with information or nonlethal assistance that is beneficial to an operation or activity of the armed forces conducted outside the U.S. against international terrorism or for force protection of the armed forces. **This reward program is not a weapons buy-back program**; however, the USG will pay rewards for information leading to the recovery of enemy weapons).<sup>8</sup>
- Entertainment.
- Reward programs. (However, many reward programs are authorized under 10 USC Section 127b and implemented in Iraq and Afghanistan through major command orders.)
- Removal of unexploded ordnance.
- Services available through municipal governments.
- Salaries, bonuses, or pensions of Afghan or Iraqi military or civilian government personnel.
- Training, equipping, or operating costs of Afghan or Iraqi security forces.
- For conducting psychological operations, information operations, or other U.S., coalition, or Iraqi/Afghanistan Security Force operations.
- Support to individuals or private businesses, with the exception of condolence payments, battle damage payments, and micro-grants.<sup>9</sup>

## **Micro-Grants**

Micro-grants represent a modification to earlier CERP policy that prohibited direct payment to assist private businesses. The micro-grant program expands the flexibility of CERP and authorizes commanders to provide cash, equipment, tools, or other material support to small businesses that lack available credit or financial resources. Micro-grants are not a “free money” program. Micro-grants must be used with strict disciplinary measures in place to ensure the economic development objectives of the command are being advanced. The intent of the program is to increase economic activity, particularly in areas where small businesses have suffered because of insurgent or sectarian violence. The business activity must support coalition reconstruction and humanitarian assistance operations and meet specific criteria established by theater-specific policy.

Commanders should consider two points when implementing micro-grant programs within their areas of responsibility. First, they should require the enterprise to submit a proposal for the loan that outlines the enterprise’s spending plan. This proposal confirms the business leader’s legitimate intent for the coalition CERP funds. Additionally, commanders should require the business owner to accomplish the first elements of the business plan using his internal financial or material assets. This procedure confirms the owner’s dedication to his stated plan and minimizes the potential unauthorized use of coalition funds.

## **Other CERP Restrictions**

Commanders may not circumvent established monetary limits and approval requirements for their echelon of command by “splitting” a single project into multiple, smaller-scale projects. The commander should apply the “complete and usable” concept to determine if a project is in potential violation of splitting. Specifically, this means any given project cannot be dependent upon the completion of another project to be “complete and usable” to the end user. Project splitting may occur in two forms: sequential or concurrent.

- **Sequential split.** A large project is broken down into several smaller projects that are funded separately and constructed over different periods.
- **Concurrent split.** A large project is broken down into several smaller projects that are funded separately and constructed simultaneously.

**Example:** A brigade commander has been given approval authority from his division commander for CERP projects less than \$200,000 in value. However, the brigade has a water treatment facility in its area of responsibility that is critical to the local population and requires rapid repair work estimated to be approximately \$250,000. To expedite the repair of the facility, the commander cannot divide the required work on the water treatment plant into two \$125,000 projects (or any other combination). He and the staff must combine all estimates of work necessary to make the plant complete and usable to the community and submit a project request to the division commander or next higher command echelon.

Commanders may not commingle CERP appropriated funds with non-appropriated funds, and CERP funds will be separately executed, managed, recorded, and reported.

**Note:** If in doubt on any potential use or restriction of CERP funds, commanders should get a ruling from unit legal, finance, and/or contracting officers.

### **General Funding Approval Authorities**

The approval authorities outlined below reflect the implementing guidance from the USD(C), as well as current theater specific standing operating procedures (SOPs). These authorities may vary by theater and command.<sup>16</sup>

- **CERP projects.** As the Executive Agent for CERP, the U.S. Army is required to notify the USD(C) separately for each project in excess of \$500,000. As such, the approval authority for projects in excess of \$500,000 in Iraq is the Commander, MNC-I. In Afghanistan, the approval authority for projects in excess of \$500,000 is the Commander, CFTF-76/82. These projects also require a contract by a warranted contract officer. These commanders have delegation authority for projects below the \$500,000 threshold. As a general rule, in each theater, battalion and provincial reconstruction team commanders have approval authority for CERP projects up to \$25,000. Brigade combat team/brigade commanders generally have retained approval authority for CERP projects up to \$200,000. Division commanders have generally held approval authority for CERP projects up to \$500,000. However, each of these thresholds may be adjusted over time by theater-specific policies and/or command SOPs.
- **Condolence or “Solatia-like” payments and battle damage payments.** Condolence payments are expressions of sympathy and are not admissions of fault by the USG. Battle damage payments focus on collateral damage to homes and businesses that are not otherwise compensable under the Foreign Claims Act. A general officer is required to approve condolence payments and/or battle damage payments that are \$2,500 or above. Brigade commanders are generally the approval authority for payments below \$2,500. Brigade commanders are not authorized to delegate this authorization further. In cases where damages do exceed \$2,500, brigade commanders should consult the brigade judge advocate, who will normally have the authority to approve claims up to \$15,000 as a Foreign Claims Commission. Even though the controlling



regulations bar claims that are incident to combat, the spirit of the law may allow some claims to be paid when negligence of U.S. Soldiers caused the damage.

- **Martyr payments.** Martyr payments are approved by the first general officer commander in the unit's chain of command.
- **Micro-grants.** Brigade-level commanders are generally the approval authority for micro-grants valued at or below \$2,500. The approval authority for micro-grants in excess of \$2,500 are retained at the general officer level.

## Endnotes

1 Contract and Fiscal Law Department, The Judge Advocate General's Legal Center and School, U.S. Army, 174th Officer Basic Course Deskbook, p 6-21, (November 2007).

2 Contract and Fiscal Law Department.

3 Under Secretary of Defense (Comptroller) Memorandum, Subject: Commander's Emergency Response Program (CERP) Guidance, 9 May 2007.

4 The Foreign Claims Act, Title 10, United States Code, is a federal law that provides compensation to inhabitants of foreign countries for personal injury, death, or property damage or loss caused by, or incident to, noncombat activities of United States military personnel overseas.

5 Contract and Fiscal Law Department.

6 Deputy Secretary of Defense Memorandum, Subject: Waiver of Limiting Legislation for Commander's Emergency Response Program (CERP) for Fiscal Years 2006 and 2007, 27 March 2006. \*Note this waiver is expected to be re-issued for FY08.

7 Under Secretary of Defense (Comptroller) Memorandum, 9 May 2007.

8 Contract and Fiscal Law Department.

9 MNC-I, "Money as a Weapon System (MAAWS)," MNCI CJ8 SOP, 1 June 2007.

10 Specific CERP funding approval authorities are outlined in theater-specific SOPs. In Iraq, see MNC-I, "Money as a Weapons System." In Afghanistan, see Combined Joint Task Force 76 "Commander's Emergency Response Program," CJTF-76 CJ8 SOP, 17 April 2006.



## **Chapter 3**

### **Command and Staff Responsibilities**

Commanders and leaders at all levels have responsibilities in ensuring the success of the unit Commander's Emergency Response Program (CERP). In addition to identifying and approving CERP projects, commanders and their staffs are responsible to ensure the proper management, reporting, and monetary control procedures are in place to account for allocated funds consistent with theater-specific policies and guidance.

The purpose of this chapter is to outline the general responsibilities for brigade and battalion commanders and select staff members for implementing their units' CERP. Chapter 4 discusses specific responsibilities and implementation procedures required to execute and manage projects.

#### **Brigade Commander**

The brigade/brigade combat team (BCT) commander is responsible for the overall implementation of the CERP within the brigade's area of responsibility (AOR). The BCT commander appoints, in writing, the brigade's and subordinate battalions' project purchasing officers (PPOs) and paying agents (PAs) and ensures that each receives the required training from the BCT's supporting contracting and finance offices. The BCT commander also ensures that no one individual within the brigade serves as both the PPO and the PA. The BCT commander identifies and approves projects within his spending authority and ensures the proper management, reporting, and fiscal controls are established to account for CERP funds. During project construction, the BCT commander ensures procedures are in place to ensure the quality and completeness of contracted work before progress payments are made. Upon project completion, the commander ensures the facility is turned over to local authorities in accordance with established policies.

#### **Battalion/Task Force (TF) Commander**

The battalion/TF commander is responsible for the overall implementation of the CERP within the battalion/TF AOR. Battalion commanders nominate their designated PPO to manage battalion-level projects and PAs to make disbursements for project payments. Battalion/TF commanders request training for their designated PPO through the supporting contracting office and for their PAs through the supporting finance office. The battalion/TF commander identifies and approves projects within his spending authority and ensures the proper management, reporting, and fiscal controls are established to account for CERP funds. During project construction, the battalion/TF commander ensures procedures are in place to ensure the quality and completeness of contracted work before progress payments are made. Upon project completion, the commander ensures the facility is turned over to local authorities in accordance with established policies.

### **Civil Affairs Officer/S-9 Staff**

The civil affairs officer and the S-9 staff are key planners for the execution of the unit CERP. The S-9 and his staff conduct a number of functions that provide the critical links to civil authorities within the unit AOR. In the unit CERP, the S-9 and his staff can be expected to:

- Develop plans and programs and recommend policies to build the relationship between the unit and local civil authorities.
- Provide advice on the prioritization of allocated CERP funds.
- Conduct the daily management of the unit CERP and oversight of the unit PPO.
- Coordinate and integrate area assessments of infrastructure and public service systems.
- Provide generalist expertise and project nominations in the areas of public health, public works, and public safety.
- Facilitate project coordination with other U.S. government agencies, non-governmental organizations, international organizations, and regional organizations operating within the unit AOR.

### **Staff Engineer**

The engineer staff officers on the brigade, battalion/TF, and provincial reconstruction team staffs offer engineering and technical capabilities to review projects funded through the unit CERP. Additionally, these staff members have access to reachback capabilities through the U.S. Army Corps of Engineers that can assist in researching technical solutions that are beyond the capacities of embedded engineer units and staff members. Within the context of the unit CERP, the staff engineer can be expected to:

- Assist with engineering assessments of indigenous infrastructure systems and public services.
- Identify options and potential engineering solutions to infrastructure-related issues.
- Prepare and/or review project scope of work (SOW).
- Assist in conducting quality control and quality assurance inspections of completed work.

### **Brigade Staff Judge Advocate (SJA)**

As a member of the BCT commander's special staff, the specific duties of the brigade SJA will be dictated by the command and unit standing operating procedures. However, within the unit CERP, the brigade SJA can be expected to:

- Review project nominations to ensure they are in compliance with established theater guidelines and orders.
- Receive, investigate, and recommend adjudication of civilian claims for battle damage of personal property.
- Receive, investigate, and recommend adjudication of claims for condolence payments due to civilian deaths or injuries that result from coalition operations.
- Propose CERP projects for government facilities and services necessary to enhance the indigenous rule of law capacity.

### **Project Payment Officer**

The PPO serves as a direct representative of the contracting officer and is granted authority by the commander to procure services and materials for the unit in accordance with theater policies outlined by the servicing contracting office. The PPO receives his training from the command's servicing command contracting office and performs a number of important functions in the unit CERP. Specifically, the PPO:

- Manages the unit CERP budget.
- Manages individual project nominations.
- Provides advice and oversight for all unit projects.
- Maintains project files and required forms and obtains appropriate signatures/approvals during the project approval process.
- Ensures quality assurance measures are in place for all CERP projects and programs.

### **Paying Agent**

The PA serves as the direct representative of the servicing finance office's dispersing officer and is overall responsible to receive and disburse cash payments for CERP projects in accordance with guidance from the unit PPO. The PA is trained by the unit's servicing finance office and is pecuniary liable for any cash or paid vouchers. The PA ensures CERP funds are delivered, transported, and safeguarded in accordance with theater-specific policy. The PA is not authorized to delegate further his responsibilities for CERP funds.





## Chapter 4

### Project Approval and Management Process

At the brigade and battalion level, the Commander’s Emergency Response Program (CERP) project approval and management process generally follows a six-step procedure. Figure 4-1 illustrates a general process that can be modified to accommodate local policies and requirements. The detailed procedures in each of the steps may vary by command. The purpose of this chapter is to outline the general requirements necessary to move a CERP project through the six-step process: project identification, approval, funding, execution, payments, and closure.

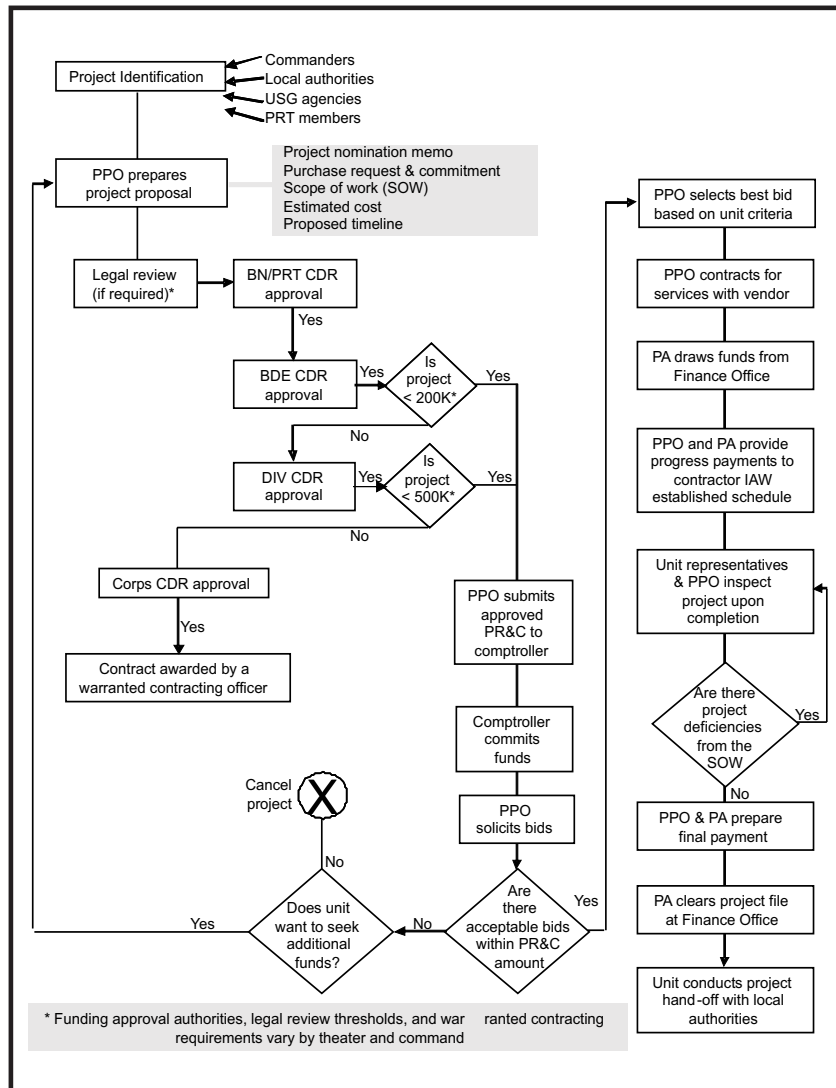


Figure 4-1. General Project Approval and Management Process


## **Project Identification**

The identification of potential CERP projects may come from multiple sources. Subordinate commanders, staffs, provincial reconstruction team (PRT) members, and other U.S. government representatives in the area of responsibility (AOR) may submit recommendations to the commander for projects required to meet the urgent humanitarian and reconstruction needs of the Iraqi and Afghan people. Ideally, commanders also receive project nominations from local government officials in the AOR who are officially responsible for maintaining infrastructure and providing essential services to the local population. These officials may serve as city planners, mayors, provincial governors, technical staffs, sector-specific director generals, and others who have requirements that are beyond their current capabilities to provide.

Regardless of the source for the project recommendation, the commander's staff researches the proposal to review the project's intent, cost, and potential to deliver the desired effects and de-conflicts the project with other potential or ongoing work in the AOR by other agencies. Specifically, the project payment officer (PPO), civil affairs Soldiers, or members of the unit staff coordinate with other governmental organizations to synchronize efforts and verify they are not already pursuing similar initiatives. The PPO and unit staffs also coordinate with local officials to validate that the service/project requirement is outside the local officials' current capabilities. Local authorities can also review the unit's cost estimates to ensure the project is not over priced for the region, which will aid in preventing inflation among local markets.

Once the PPO validates the requirement and ensures the proposal does not conflict with other projects, the PPO works with the recommending organization to prepare the project nomination packet. The specific requirements and forms for the packet may vary by organization, and some commands will require the packet to be entered into an electronic database for processing. The general requirements for the project nomination file include the following:

- **Letter of justification or project nomination form.** The letter of justification/project nomination is a formal written statement signed by the requesting commander and generally outlines the project's location, description, cost, timeline, employment opportunities, and impact on the local community. An example project nomination memorandum is shown in Figure 4-2.



DEPARTMENT OF THE ARMY

REPLY TO ATTENTION OF: \_\_\_\_\_

\_\_\_\_\_

OFFICE SYMBOL \_\_\_\_\_ Date \_\_\_\_\_

MEMORANDUM FOR Commander, Next Higher Command

SUBJECT: Letter of Justification/Project Nomination for CERP Project Title

1 PURPOSE Provide a short description of the project and its location.

2 JUSTIFICATION This section should provide a brief description of what service the project will provide, how the project will benefit the local population, and how it will support the desired effects of the command. This section should also identify the CERP project category (see Chapter 1 - Authorized Uses or CERP).

3 COORDINATION WITH LOCAL OFFICIALS This section should outline a summary of the coordination the unit has conducted with local government officials, any actions they have committed to accomplish with respect to the project, and a summary of the project transition plan upon its completion.

4 GOODS AND SERVICES A list of all the requirements placed on the contractor in order to complete the project.

5 PERFORMANCE PERIOD This section outlines the timetable for project construction.

6 LOCATION Should include province, city and an 8-digit grid (MGRS).

7 EMPLOYMENT This section should list the number of local personnel employed during the performance period(s) outlined in paragraph 5, and the number of estimated jobs created after project completion.

8 PROJECT COST Estimated cost of the project.

9 IMPACT IF NOT FUNDED This section should articulate the possible negative outcomes if the project is not funded.

10 POINT OF CONTACT All contact information for the individual who can answer questions that arise during the staffing process.

JOHN Q. PUBLIC  
LTC, IN  
Commanding

**Figure 4-2. Example Letter of Justification**

- **DA Form 3953 (Purchase Request and Commitment).** The DA Form 3953 is a document used to request the commitment of funds prior to incurring an obligation. A commitment is an administrative reservation of funds in the accounting system and authorizes the unit to enter into a contracting process. An example DA Form 3953 is shown in Figure 4-3.

Figure 4-3. Example Purchase Request and Commitment

- **Scope of work (SOW).** The SOW provides additional project detail not covered in the letter of justification or project nomination form. The SOW must be sufficiently detailed to allow contractors to accurately bid on the proposal and to inform them of the actual work that must be accomplished. If there are disagreements on the work during the project execution phase, the SOW will be used to adjudicate which party is correct. If the work or tasks are not clearly stated in the SOW, the contractor is not obligated to perform them.
- **Letter(s) of endorsement from local officials.** Some commands require a letter of endorsement from local officials in the project nomination packet. The purpose of this letter is to ensure local officials who are charged with infrastructure or service delivery responsibilities have been notified of the project under consideration, concur that the recommended project or service outlined in the SOW is necessary, and consider the project beyond their current ability to resource.

### Project Approval

Once the project nomination packet is assembled, the PPO or recommending unit representative submits the project file to the chain of command for approval. Regularly scheduled project review boards at the brigade and battalion level

provide an excellent opportunity to review project proposals from subordinate organizations and link the projects' desired effects to other targeting processes within the unit.

If the project exceeds the funding limit of the unit commander, a commander's letter of endorsement is added to the project file and forwarded to the next higher command for consideration (general CERP funding approval authorities are addressed in Chapter 2).

If the battalion commander approves the project, he forwards the file to the BCT commander for review and approval. If approved, the BCT or 06-level commander signs in block 35 of the DA Form 3953 (Purchase Request and Commitment [PR&C]).

### **Project Funding**

Once approved by the commander, the unit PPO submits the signed DA Form 3953 (PR&C) to the servicing comptroller's office. The comptroller annotates the form with a PR&C number (Block 1), accounting classification and amount (Block 19), and then signs as certifying officer (Blocks 20 and 21). The completed PR&C serves as the commitment of funds in the accounting system and authorizes the PPO to solicit bids and begin the contracting process.

The comptroller will normally require several unit documents to be on file prior to releasing the completed PR&C. These documents include DA Form 577 (Signature Cards) and the commander's appointment memoranda for both the PPO and paying agent (PA).

Some commands are authorized to draw bulk funds to pay for select projects and services. Bulk funds are lump sum withdrawals from Finance made by the PA. The purpose of bulk funds is to provide units a capability to quickly initiate and close out projects or services that have standing approval from the command. Examples of these projects and services may include condolence payments, battle damage payments, and release from detention payments. The same project approval process is followed for bulk fund withdrawals. Once the bulk-fund PR&C is processed and approved, the PA draws, locally stores, and safeguards these funds in accordance with theater-specific standing operating procedures (SOPs) providing ready access to the PPO and PA for command-authorized expenditures.

### **Project Execution**

Given command approval and commitment of funds, the PPO advertises the project and identifies local firms that can potentially satisfy the SOW. To encourage competition, units are encouraged to seek at least three bids and then identify and select the best contractor based on estimated cost, quality of previous work/performance, construction timelines, or any other command designated criteria. Obtaining feedback from local authorities is also highly recommended in this phase. City planners, technical staffs, and director generals will be able to assist in advertising the project and will likely have background material on previous contractor performance. In cases where only one contractor bids and is awarded a contract, some commands require the PPO to add a "sole-source" justification memorandum to the project file.

The PPO has several options to consider if all bids come in over the estimated cost of the project:

- If the contractor's additional costs are within the command's funding approval authority, the PPO may request additional funds for the project from the unit commander. Commanders are authorized to reprogram funds within their spending limits. In these cases, the PPO prepares a request for additional funds, resubmits to the command for consideration/approval, and maintains a copy of the request in the project file.
- If the contractors' bids are above the command spending limit, the PPO and commander may request project funding through the next higher command. The PPO prepares a request for additional funds for the commander's signature and forwards the project nomination file to the next command echelon for consideration/approval.
- The PPO may recommend to the commander that the project be cancelled or held for re-submission at a later date.

Once the PPO identifies the winning bid, he contracts for services within his established funding limits in accordance with the training received at the servicing contracting office. The PPO is responsible for negotiating price, currency, payment schedules, and construction timelines with the selected contractor. Many commands have several contract templates for construction, services, and supply-related contracts. These products guide the PPO to ensure critical elements are covered in necessary detail as he develops the contract.

Although PPOs are not required to seek contracting officer advice, guidance, or assistance during the contracting process for projects within their funding authority, they are always encouraged to do so, especially in those cases where the projects are larger and more technical in nature. Theater commands will establish project-funding ceilings that require the use of a warranted contracting officer in lieu of the unit PPO.

### **Project Payments**

As work on the project is completed, the PPO directs the PA to pay for the contractor's services in accordance with the schedule established and agreed upon during the project execution phase. A recommended payment schedule is installments by 25 percent, 50 percent, 75 percent, and 100 percent project completion. This schedule allows the contractor to pay for necessary materials and labor as work progresses and ensures the unit is only paying for work that is completed to standard. Regular project inspections by unit personnel are critical. PPOs and PAs should not provide cash advances to contractors before work begins.

Prior to the first scheduled payment, the PA takes the approved PR&C/DD 3953 to the Finance Office to draw the cash for the project. Finance will issue the PA a DD Form 1081 (Statement of Agent Accountability), which serves as a hand receipt for the funds. The PA transports and secures the cash in accordance with local policy and training received from the Finance Office.



Both the PPO and PA are required to be present when each payment is made to the contractor/vendor. The PPO prepares a Standard Form 44 (SF44) (Purchase Order-Invoice-Voucher), and the PA inserts the dollar value for the amount to be disbursed (see Figure 4-4). The combined value of all SF44s for an individual project cannot exceed the total project cost authorized on the DD3953/PR&C. The PA pays the vendor in accordance with training received from the Finance Office, and has the contractor sign the SF 44. The contractor/vendor should provide an invoice or receipt for work completed or supplies provided at the time of payment, and the PA provides the contractor/vendor a copy of the signed SF44. The completed SF44 is an accountable document the PA retains to clear the DD Form 1081 from the Finance Office.

| U.S. GOVERNMENT<br>PURCHASE ORDER—INVOICE—VOUCHER  |  |   |                       |
|--|--|---|-----------------------|
| DATE OF ORDER<br>Date Prepared   |  | ORDER NO.   |                       |
| PRINT NAME AND ADDRESS OF SELLER (Number, Street, City, and State)<br>Sellers's Name and Address |  |   |                       |
| FURNISH SUPPLIES OR SERVICES TO (Name and address)<br>Unit Name and Address                      |  |   |                       |
| SUPPLIER OR SERVICES   |  | QUANTITY  | UNIT PRICE            |
| AMOUNT   |  |   |                       |
| List all Items Ordered, Quantities, Unit Price, and Total Amounts                                |  |   |                       |
| AGENCY NAME AND BILLING ADDRESS*   |  | TOTAL   |                       |
| P<br>A<br>Y<br>O<br>R  |  | DISCOUNT TERMS  |                       |
|  |  | DATE INVOICE RECEIVED   |                       |
| ORDERED BY (Signature and title)   |  | Signature and Title of Ordering Officer                                     |                       |
| PURPOSE AND ACCOUNTING DATA<br>From Block 19 of PR&C   |  |   |                       |
| PURCHASER—To sign below for over-the-counter delivery of items                                   |  |   |                       |
| RECEIVED BY  |  | Signature of Receiving Officer (may be the Paying Agent)                    |                       |
| TITLE  |  | Title of Receiving Officer  | DATE<br>Date Received |
| SELLER—Please read instructions on Copy 2  |  |   |                       |
| <input type="checkbox"/> PAYMENT RECEIVED  |  | <input type="checkbox"/> PAYMENT REQUESTED                                  |                       |
| NO FURTHER INVOICE NEED BE SUBMITTED   |  |   |                       |
| SELLER BY (Signature)  |  | Vendor's Signature  |                       |
| DATE   |  |   |                       |
| I certify that this account is correct and proper for payment in the amount of                   |  | DIFFERENCES   |                       |
| (A authorized certifying officer)  |  | ACCOUNT CERTIFIED: CORRECT FOR  |                       |
| PAID BY  |  | DATE PAID   | VOUCHER NO.           |
| OR (Check No.)   |  |   |                       |
| * PLEASE INCLUDE ZIP CODE  |  | 1. SELLER'S INVOICE (See instructions on Copy 2)                            |                       |
|  |  | STANDARD FORM 44a (REV. 10-83) PRESCRIBED BY GSA, F.A.R. (48 CFR) 50.213(c) |                       |

Figure 4-4: Standard Form 44 (Purchase Order-Invoice-Voucher)

There are a number of factors that can potentially cause the total project cost to exceed its authorized budget. Security, weather, increased cost of materials, and availability of labor are just a few variables that may cause the contractor/vendor to experience higher costs than originally planned for in his initial bid. In these cases,

the PPO must investigate the legitimacy of contractor's claim. If the PPO believes there are sound reasons for the contractor's increased costs, he immediately informs the approving commander and prepares a funds increase memorandum that outlines the reason for the cost increase and requests approval for the difference in price. The memorandum must be approved by the commander who has approval authority for the increased total cost of the project.

### **Project Closure**

Before final payment, the PPO, unit representatives, and the contractor should conduct a joint inspection of the project to ensure the facility operates as intended and that all tasks outlined in the SOW have been completed to standard. The PPO and PA do not provide the final progress payment until all deficiencies are corrected.

After the final payment to the contractor/vendor, the PPO and PA clear the Comptroller and Finance offices with their completed Standard Form (SF) 44, contractor receipts, and remaining currency, if any. The Finance Office will prepare a SF1034 voucher for the combined total of all SF 44s submitted and provide the PA a copy. The PA provides the PPO a copy of all forms (SF 44, SF 1034, and DD Form 1081) used to manage the project. The PPO reconciles all documents used during the project approval and management process and maintains a copy in the unit project file. Some commands require the commander to review the completed project file with the PPO and prepare a project completion memorandum stating the project adheres to all local SOPs and orders.

Upon project completion, the unit should also conduct a handoff of the project or facility with its intended user. At a minimum, the handoff should include any safety, maintenance, or operating procedures that are unique to the facility and critical for its long-term use and function. Project completion or "ribbon-cutting" ceremonies can also serve as a means to formally announce the opening of the facility and can assist in building the legitimacy of coalition forces and local governments.

### **Project Coordination Meetings/Review Boards**

Regardless of the specific processes and procedures a unit chooses to approve and manage its CERP projects, the unit (brigade, battalion, and PRT) should add a regularly scheduled project coordination meeting or project review board to its battle rhythm. This session ensures the projects under consideration are advancing the desired effects of the command. This meeting is also used to:

- Disseminate command guidance.
- Review the status of the unit CERP fund account.
- Coordinate and synchronize the use of other available funds and resources.
- Prioritize available CERP funds across the command.
- Review and deconflict project proposals from subordinate units, local authorities, and other agencies.

- Recommend projects to be funded or deleted, based on their potential contribution to the unit's overall campaign plan and their support to decisive points and end states for each line of operation.
- Update the commander on the progress of previously approved projects.
- Share CERP- or project-related lessons learned throughout the command.

The recommended attendees include but are not limited to the unit commander, the SJA, the staff engineer, S9, PPO, PA, subordinate commanders, PRT representatives, and other U.S. government representatives operating within the AOR that have a stake in project selection.



## Appendix A

### Principles for Project Selection

**Many stability tasks are best performed by indigenous, foreign, or U.S. civilian professionals. Nonetheless, U.S. military forces shall be prepared to perform all tasks necessary to establish or maintain order when civilians cannot do so.**

**Department of Defense Directive 3000.05**  
***Military Support to Stability, Security, Transition (SSTR) Operations***

Unless military officers have an academic background or prior civilian service in humanitarian assistance, disaster relief, or a development field, few have the same expertise as their professional civilian counterparts from the development community in the various nonlethal tasks required in the conduct of stability operations. However, the Commander's Emergency Response Program (CERP) provides military commanders with significant capabilities to conduct relief, reconstruction, and development tasks within their areas of responsibility (AORs) in Iraq and Afghanistan. Therefore, it is imperative that commanders ensure the lessons learned and best practices of the development community are implemented to the maximum extent possible when selecting and prioritizing CERP projects. Even with the best intentions, it is always possible to do more harm than good with ill-conceived or poorly implemented CERP projects.

A set of generally accepted principles of reconstruction and development guide the development community.<sup>1</sup> In practice, the application of these principles is similar to the military's application of the principles of war. Just as military officers improve their likelihood of mission accomplishment by adhering to the principles of mass, objective, offensive, etc., development officials improve their probability of success by applying the principles of reconstruction and development and assume risk in their missions and programs when they violate or ignore these principles.

This chapter describes the development community's principles of practice. Understanding these principles greatly improves the likelihood of success for the unit's CERP. The principles also provide a foundation for the important collaboration commanders require with host nation, U.S. government, and international development agencies likely to be operating within the AOR.

#### **Principle #1: Ownership**

The principle of ownership states that the indigenous population and local government officials must view any development program as their own, not as an imposed product from outside agencies. Specifically, the local vision, objectives, problems, and priorities must be paramount in any reconstruction and development program. The CERP can contribute to this process.

Encouraging local ownership may often require tactical patience on the part of the military commander. The expediency or urgency of local institutions to achieve development goals may not always coincide with the commander's desire for more immediate results. However, local ownership ultimately benefits the commander's

stability operations as it legitimizes and empowers local authorities in the eyes of the people and fosters the development of effective governance by a legitimate government body.

To address the principle of ownership in the CERP, commanders can:

- Ensure all projects are vetted through local government mechanisms such as sector-specific director generals, technical staffs, or city planners, before project funding is considered for approval.
- Encourage local leaders and community groups to submit project nominations to coalition forces for projects or programs that are beyond their capabilities to fund.
- Require subordinate commanders to include local leader or municipal council letters of endorsement in nomination packets during the project identification phase.
- Require local leaders and institutions to contribute to the project in some form that is within their capabilities. These contributions may include support to the project design, provision of (some) construction materials, or providing a local work force to conduct tasks that can be accomplished by unskilled labor

### **Principle #2: Capacity Building**

Capacity building involves the transfer of knowledge, techniques, and skills to the indigenous people, institutions, and government so that they obtain the requisite abilities to deliver essential services to the population. Ultimately, the local officials and institutions that gain human and technical capacity are better prepared to lead their regions through political, economic, and security-related issues.

To address the principle of capacity in the CERP, commanders can:

- Engage local professionals and skilled laborers in the design and implementation of the project.
- Utilize the capabilities of unit Soldiers with technical backgrounds or special trade skills when training local personnel to operate and maintain CERP projects before transferring these facilities to host-nation authorities.
- Leverage the available political, economic, and engineering capabilities found in the provincial reconstruction teams (PRTs) with local institutions.
- Share the military's emphasis on preventive maintenance with local leaders and stress its equal importance for all infrastructure and public service systems.

**Principle #3: Sustainability**

The principle of sustainability states that commanders should design and select only those projects and services that will have a lasting effect on the local population. In other words, the impact of the projects under consideration must endure after the facility or service is handed off to local authorities and the unit (or contractor's) departure from the site. Sustainability also implies that the local government has the necessary resources to staff and maintain the facility or service.

Achieving sustainability requires the commander and staff to research and analyze all potential projects. There are examples where commanders have failed to conduct adequate analysis and built new schools or medical clinics only to discover that too few teachers or doctors were available to staff these facilities. Similarly, some commanders have purchased large generator systems to address electricity shortfalls for neighborhoods within their AORs. However, without addressing the fuel, maintenance, and service requirements of these systems, the machines eventually failed and were unable to serve as a sustainable solution to the local electrical deficit.

To address the principle of sustainability in the CERP, commanders can:

- Seek the advice, opinion, and feedback of local authorities to ensure that they can adequately staff and maintain the projects under consideration.
- Analyze the supporting infrastructure, systems, and human capital required to ensure the CERP project can successfully function as intended.
- Purchase equipment that is readily available locally and can be repaired in the country, province, or region

**Principle #4: Selectivity**

The development community defines the principle of selectivity as the allocation of resources based on need, local commitment, and foreign policy interests. These characteristics, while strategic in nature, are equally important at the tactical level. Commanders will seldom receive all of the CERP financial resources they would like to have when implementing their infrastructure, governance, and essential services lines of operation. Therefore, it is critical to “mass” the available resources into select areas where there is a strong local commitment to the reconstruction program, where the project can positively impact the most people who are in need, and where the project under consideration can simultaneously best achieve the commander's desired effects.

To address the principle of selectivity in their CERP, commanders can:

- Conduct regular project approval boards to review CERP proposals and compare potential effects, impacted populations, and local commitments.
- Establish metrics for CERP project nominations that measure the selectivity criteria above.

**Principle #5: Assessment**

In the context of the CERP, the principle of assessment advises the commander and his staff to carefully research nominations, adopt best practices, and design for local conditions in their proposed projects. Specifically, commanders should request or conduct for themselves an assessment of local conditions before investing financial resources into any potential relief or reconstruction program. CERP should not be invested in an intelligence vacuum—all available information about local conditions should be considered (the population’s requirements, animosities, traditions, capabilities, economics, etc.). A detailed assessment of local conditions will best advise the commander on the project’s potential to deliver its desired effects.

To ensure adequate assessment of proposed CERP projects, commanders can:

- Ensure subordinate commanders and their staffs completely analyze and assess local conditions before requesting investment of CERP funds.
- Request copies of external assessments completed by other U.S. government agencies such as the U.S. Agency for International Development, the U.S. Army Corps of Engineers , civil affairs organizations, or PRTs.
- Request local, indigenous authorities (director generals, technical staffs, city planners) provide or complete an internal assessment of proposed projects before reviewing funding proposals.
- Consider both short- and possible long-term effects of the projects and how they may support or potentially undermine other stabilization or development objectives in the area.

**Principle #6: Results**

The principle of results is directly related to the principle of assessment and advises commanders to direct resources to achieve clearly defined, measurable, and strategically-focused objectives. This development principle is analogous to the military principle of objective—direct every military operation toward a clearly defined, decisive, and attainable objective.

It is equally critical that the commander and his staff also assess potential unintended results from their CERP. Many second or third order effects from a CERP project may potentially outweigh the benefits from the project’s original intent.

To address the principle of results, commanders and staffs can:

- Ensure proposed CERP projects are directly tied to the commander’s desired effects.
- Analyze and mitigate when necessary any potential unintended consequences from projects under consideration.
- Consider possible trade-offs between short-term benefits and longer-term effects of projects.



**Principle #7: Partnership**

The principle of partnership is defined as the close collaboration with local governments, communities, donors, nonprofit organizations, the private sector, international organizations, and universities. Partnership plays a central role in any relief, reconstruction, or development program as it supports each of the other principles of reconstruction and development. In the context of CERP, effective partnership will ensure the unit's financial resources are well invested and deconflicted with other programs from outside agencies.

To achieve effective partnership, commanders can:

- Seek opportunities to collaborate with other agencies operating in the area.
- Work closely with local government officials in developing and prioritizing CERP projects. Encourage the development of local government priorities for developing short-, near-, and long-term visions.
- Liaise regularly with PRTs in the AOR.
- Host sector-specific meetings or conferences or workshops (water, electricity, sewage, sanitation) with all contributing partner agencies to synchronize and prioritize the investment of resources.

**Principle #8: Flexibility**

Adjusting to changing conditions, taking advantage of opportunities, and maximizing effectiveness are important components of any reconstruction and development program. Just as the conditions for offensive and defensive operations are often changing and uncertain, so are the relief and reconstruction tasks associated with stability operations. These conditions will often require commanders to change tactics to achieve desired objectives.

To build flexibility into their relief and reconstruction programs, commanders can:

- Maintain a monthly or quarterly reserve of CERP funds to take action on unforeseen opportunities and projects requiring quick response.
- Understand the authorities of partner agencies and their potential options in financing unforeseen project opportunities.

**Principle #9: Accountability**

Enforcing accountability, building transparency into systems, and emplacing effective checks and balances to guard against corruption are important components to any relief, reconstruction, or development program. Accountability in all actions, including the unit CERP, reinforces the legitimacy of the commander and his operations, as well as the legitimacy of the local government in the eyes of the population.

To ensure accountability in the unit CERP, commanders should:

- Conduct regular unit visits to contractors' work sites to ensure the quality of their work/products.
- Avoid large up-front payments in cash to contractors. Utilize partial payments to finance work that contractors complete to standard.
- Enforce, personally inspect, and welcome outside inspections to the unit CERP, procedures, and financial accounting mechanisms.
- Engage the local community in monitoring the project and seek its feedback

These principles represent a broad set of common operating practices of successful development agencies. They apply to large-scale development programs as well as smaller programs commanders may develop within their AORs. Military organizations should apply these principles of practice during the planning, preparation, and execution of stability operations, especially within the context of the unit CERP.

### **Endnote**

1 Andrew S. Natsios, "The Nine Principles of Reconstruction and Development," *Parameters*, Autumn 2005.

## Appendix B

### Other Funding Sources

There are a number of other U.S. government (USG) funding sources in use in both Iraq and Afghanistan. While the authorities for the prioritization and expenditure of these funds reside with other USG agencies, commanders should be aware of these programs and seek opportunities to leverage these capabilities with the command's lines of operations, where possible. The purpose of this appendix is to outline briefly the authorities and mandates for other USG funding sources in use in both Operation Iraqi Freedom and Operation Enduring Freedom.

#### **Economic Support Fund (ESF)<sup>1</sup>**

The U.S. Agency for International Development (USAID) administers the ESF, which provides economic assistance to U.S. allies and countries in transition to democracy. The ESF fund also provides support to Middle East negotiations and finances economic stabilization programs worldwide. USAID implements most of the USG's ESF-funded programs with foreign policy guidance from the Department of State (DOS).

In Iraq, the USG has used ESF funds to reconstruct and sustain key infrastructure systems, promote agricultural development, and support rule of law programs. The USG also invests ESF funds in Afghanistan to promote economic reconstruction activities and continue USG support toward stability, prosperity, and democracy.

#### **Transition Initiatives (TI)<sup>2</sup>**

The TI is a USAID account that provides support to countries that are facing crises or are in transition from crisis to stability. TI funds short-term programs intended to support longer-term interventions with the goal of building capable states, while addressing the root causes of instability. Broad examples of TI programs include assisting local efforts to fight corruption and promote transparency; developing accountable governance; helping governments develop action plans for key reforms; translating ideas into practice; supporting community development programs that encourage political participation; and supporting local efforts to mitigate and manage ethnic and religious conflict through training, improved communication, and confidence-building measures.

In Afghanistan, the TI account has funded over 700 small grants to increase the Afghan government's responsiveness to citizens' needs, increase citizen awareness and participation in the democratic process, and increase the capacity of the Afghan media. In Iraq, TI funds have financed work with local and national governments to provide essential services and supported citizen groups with the goal of improving social, political, and economic standards.

#### **Public Law (P.L.) 480 Title II Food Assistance<sup>3</sup>**

P.L. 480 Title II Food Assistance is a USAID account administered by its Office of Food for Peace (FFP). P.L. 480 Title II establishes the U.S. policy for using U.S. agricultural resources and food processing capabilities to improve food security in the developing world. In the 50 years since its inception, almost 3.4 billion people at risk of hunger and malnutrition have directly benefited from this assistance.

To date, P.L. 480 Title II Food Assistance has provided over 120,000 metric tons of commodities in Iraq and Afghanistan to the benefit of over 7 million people.

### **International Disaster and Famine Assistance (IDFA)<sup>4</sup>**

The USAID IDFA account is the lead funding mechanism for USG responses to non-food related disasters in foreign countries. IDFA provides humanitarian relief and supports activities addressing the drivers of instability by targeting vulnerable populations, including the elderly, malnourished, children, and those with mental and physical disabilities, with emergency assistance. In addition to providing financial and material assistance in response to humanitarian crises, these funds assist vulnerable communities in preventing, preparing for, and mitigating the effects of disasters.

In Iraq, IDFA has provided over 69 million dollars in support of programs in health and nutrition, livelihood, education, and water and sanitation with an emphasis on support to internally displaced persons and other vulnerable populations. The USG has also used the IDFA account to support vulnerable populations in Afghanistan.

### **Child Survival and Health Programs Fund (CSH)<sup>5</sup>**

USAID administers the CSH account, which finances health-related interventions to strengthen national-level healthcare systems. CSH-funded programs address HIV/AIDS, nutrition, infectious diseases, food security, and health-related programs for women, children, and other vulnerable populations.

In Afghanistan, the USG uses CSH funds for programs related to polio surveillance, malaria prevention, family planning, and social services for orphans and vulnerable children. In Iraq, the USG uses CSH funds to finance projects related to waste water management and safe drinking water.

### **Nonproliferation, Antiterrorism, Demining, and Related Projects (NADR)<sup>6</sup>**

The DOS administers the NADR, an account that supports a wide range of security-related programs. NADR consists of 12 subordinate accounts that support the USG's efforts in four broad areas: nonproliferation, antiterrorism, regional stability, and humanitarian assistance. With NADR funds, the State Department finances commercial and nongovernmental organization (NGO) initiatives in each of these four focus areas; however, the DOS may also channel these funds directly to an operational element of the Department of Defense (DOD) to support the acquisition of related equipment and/or services.

In Afghanistan, the NADR account has funded a number of security programs related to export control, border security, and humanitarian demining. In Iraq, NADR funds have resourced counter-terrorism and integration programs for former weapons of mass destruction scientists.

### **Human Rights Democracy Fund (HRDF)<sup>7</sup>**

The DOS Bureau of Democracy, Human Rights, and Labor (DRL) administers the HRDF account. HRDF funds are used to promote democracy and human rights programs worldwide. In Iraq, HRDF has financed programs to improve the

governance capacity of the legislative and executive branches of the national government, as well as programs related to improving the public dialogue on women's-related issues. In Afghanistan, the USG has used the HRDF to support media programs that strengthen and present democracy and human rights issues within the Islamic context.

### **Migration and Refugee Assistance (MRA)<sup>8</sup>**

The DOS Bureau of Population, Refugees, and Migration (PRM) administers the MRA. PRM has the primary responsibility to administer and monitor USG contributions to international and NGOs to assist and protect refugees abroad. The MRA account provides funds for overseas refugee assistance programs including the provision of food, shelter, sanitation, medical/health services, and legal services as well as other vital, life sustaining resources. The PRM Bureau maintains humanitarian assistance programs in both Iraq and Afghanistan.

### **International Narcotics Control and Law Enforcement (INCLE)<sup>9</sup>**

The DOS Bureau of International Narcotics and Law Enforcement Affairs administers the INCLE account, which is responsible for developing policies and programs to combat international narcotics and crime. The DOS Bureau of International Narcotics and Law Enforcement Affairs maintains programs in both Iraq and Afghanistan where the INCLE account supports a broad range of initiatives including but not limited to assistance to foreign governments in building law enforcement institutions, counternarcotics training, and technical assistance.

### **International Military Education and Training (IMET)<sup>10</sup>**

The IMET program is appropriated from the International Affairs budget of the DOS and provides training, on a grant basis, to students from allied and friendly nations. The program exposes students to the U.S. military establishment and the American way of life with the objective of improving their understanding of democratic values, respect for human rights, and the belief in the rule of law.

In Iraq, IMET funds have been used to provide English language training to select Iraqi soldiers receiving other forms of assistance from DOD programs and to support Iraqi officers attending professional military schools in the U.S. In Afghanistan, IMET funds have been used to support several education and training programs for the Afghan National Army.

### **Iraqi Security Forces Fund (ISFF) and Afghan Security Forces Fund (ASFF)<sup>11</sup>**

The DOD administers the ISFF and ASFF, which are used to provide equipment, supplies, services, training, facility and infrastructure repair, renovation, and construction to the security forces (armed forces and civilian police) of Iraq and Afghanistan. The Multi-National Security Transition Command-Iraq manages these funds in Iraq, and the Combined Security Transition Command-Afghanistan manages these funds in Afghanistan. Since 2004, Congress has provided more than \$24 billion to these accounts.

### **Overseas Humanitarian, Disaster, and Civic Aid (OHDACA)<sup>12</sup>**

The Department of Defense Security Cooperation Agency (DSCA) administers the OHDACA account, which is intended to support the Combatant Commander's Theater Security Cooperation Plan by providing a means to respond quickly to humanitarian crises within combatant commanders' areas of responsibility (AORs). The OHDACA program consists of three segments:

- The Humanitarian Assistance (HA) segment is intended to assure U.S. allies and friendly nations of USG support and provide humanitarian aid and services to people in need.
- The Humanitarian Mine Action Program (HMA) segment provides training, access, and readiness programs to U.S. forces while preparing for and conducting operations relating to the alleviation of explosive remnants of war.
- The Foreign Disaster Relief and Emergency Response (FDR/ER) segment provides combatant commanders a means to respond to disasters within their AORs, as well as a means to manage humanitarian issues relating to security-related crises.

### **International Affairs Technical Assistance (IFTA)<sup>13</sup>**

The Department of the Treasury Office of Technical Assistance (OTA) administers the IFTA account. Through the provision of advice and training to Ministers of Finance, Central Bank Governors, and other government officials, the IFTA account finances programs to assist foreign governments in improving their financial systems and assists in the financial reconstruction and stabilization efforts in transitioning or failed states. OTA has conducted financial technical assistance programs in both Iraq and Afghanistan.

### **Endnotes**

1 USAID Economic Support Fund Home Page, available from <http://www.usaid.gov/policy/budget/cbj2007/an/esf.html>; accessed 2 January 2008.

2 USAID Transition Initiatives Home Page, available from [http://www.usaid.gov/our\\_work/cross-cutting\\_programs/transition\\_initiatives/index.html](http://www.usaid.gov/our_work/cross-cutting_programs/transition_initiatives/index.html); accessed 2 January 2008.

3 USAID P.L. Title II Food Assistance Home Page, available from <http://www.usaid.gov/policy/budget/cbj2007/an/pl480.html>; accessed 12 December 2007.

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5 USAID Child Survival and Health Programs Fund, available from <http://www.usaid.gov/policy/budget/cbj2007/an/csh.html>; accessed 13 December 2007.



6 Department of State, “Nonproliferation, Antiterrorism, Demining, and Related Programs,” available from <[www.state.gov/documents/organization/60647.pdf](http://www.state.gov/documents/organization/60647.pdf)>; accessed 3 January 2008>.

7 Department of State Bureau of Democracy, Human Rights and Labor: Human Rights Democracy Fund Home Page, available from <<http://www.state.gov/g/drl/p/>>; accessed 3 January 2008.

8 Department of State Bureau of Population, Refugees, and Migration Home Page, available from <<http://www.state.gov/g/prm/>>; accessed 2 January 2008.

8 Department of State Bureau of International Narcotics and Law Enforcement Affairs Home Page, available from <<http://www.state.gov/p/inl/>>; accessed 3 Jan 2008.

10 Department of Defense Security Cooperation Agency International Military Education and Training Homepage, available from <<http://dscamilitaryeducationtraining.com>>; accessed 13 December 2007.

11 Department of Defense Office of the Inspector General, “Accountability of Munitions Provided to the Security Forces of Afghanistan and Iraq,” 13 September 2007; available from <<http://www.dodig.mil/Inspections/IE/MunitionsAccountabilityAssessment13Sep07.pdf>> accessed 2 January 2008.

12 Department of Defense Security Cooperation Agency, “Fiscal Year (FY) 2007 Budget Estimates Overseas Humanitarian, Disaster, and Civic Aid, Defense (OHDACA),” February 2006, available from <[http://www.defenselink.mil/comptroller/defbudget/fy2007/budget\\_justification/pdfs/operation/O\\_M\\_VOL\\_1\\_PARTS/OHDACA.pdf](http://www.defenselink.mil/comptroller/defbudget/fy2007/budget_justification/pdfs/operation/O_M_VOL_1_PARTS/OHDACA.pdf)>.

13 Department of the Treasury Office of Technical Assistance Home Page, available from <<http://www.treas.gov/offices/international-affairs/assistance/>>; accessed 3 January 2008.





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