Civil Affairs
Project Management

Table of Contents

Introduction ...................................................................................... 1
Overview ......................................................................................... 3
Roles and Responsibilities .............................................................. 3
Civil Affairs Operations Project Management .......................... 5
Project Management Process ...................................................... 10
Authorizations, Army Regulations, and Funds Usage .......... 20
Financial Management Terminology ........................................... 26
Authority to Execute Department of Defense Funds .......... 27
Security Assistance and Foreign Assistance
  Funding Programs ........................................................................ 40
Contracting Procedures ............................................................ 41
Contractor Meetings ................................................................. 47
Supporting the Commander’s Civil-Military Operations Plan .... 48
Glossary ......................................................................................... 50
Recommended Resources .......................................................... 55
INTRODUCTION

Financial instruments such as the Commander’s Emergency Response Program (CERP), Overseas Humanitarian Disaster and Civic Aid (OHDACA), and other available monetary resource programs—have been used by commanders in multiple theaters during decisive operations to accomplish civil-military operations (CMO) at the joint level and stability operations at the Army level. The monetary resource programs available to commanders, combined with proper execution of contracting and Civil Affairs operations (CAO) project management will result in successful CMO and stability operations. CMO is a joint concept that is defined as the activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military operations with consolidating and achieving operational United States (U.S.) objectives. Army stability operations are nested within this joint concept and are supported by CAO, which are military operations conducted by Civil Affairs (CA) forces that enhance the relationship between military forces and civil authorities in localities where military forces are present, require coordination with other interagency organizations, intergovernmental organizations (IGOs), nongovernmental organizations (NGOs), indigenous populations and institutions (IPI), and the private sector and involve the application of functional specialty skills that normally are the responsibility of civil government to enhance the conduct of CMO.

The overarching goal of this graphic training aid (GTA) is to provide insight into the processes that encompass CAO project management and the contracting procedures for success. CAO project management is a six-step process by which CA forces identify, validate, plan, coordinate, facilitate, and monitor both material and nonmaterial CAO projects to achieve a supported commander’s objectives relating to the civil component of the operational environment. Successful conclusion of CAO project management is demonstrated by achieving the effects and end states set forth in the commander’s guidance and CMO plan.
The ultimate goal is to transition current CAO to host nation (HN) entities in a systematic and effective manner. Transition planning with regards to CAO projects is critical to ensure the overarching goals of the HN and United States are not undermined.

It is critical for CA forces to understand the legal obligations inherent to CAO projects and management. The resources for CAO projects are finite and therefore require detailed management to ensure effectiveness and prevent fraud, waste, and abuse. It is not the intent of this GTA to eliminate the requirement to seek legal advice in the conduct of management and execution of projects and contracting. The references and examples placed within this GTA serve as a general guide and point of reference to the critical coordination required between appropriate parties for successful project management. There are many entities involved in the successful planning and execution of project management. This GTA describes many of these and should lay the groundwork for success.

CA forces provide the expertise to assist the commander and staff with the recommendation and development of projects that will enhance the effectiveness of the commander’s CMO plan. CA Soldiers and staff accomplish this thru the analysis of the civil component. CA Soldiers and staff then provide recommendations for courses of action (COAs) based on available resources. The synchronization of CAO with the overarching CMO plan will enhance the effective application of limited resources to achieve the commander’s objectives.

The proponent of this GTA is the United States Army John F. Kennedy Special Warfare Center and School (USAJKFSDKSCS). Submit comments and recommended changes to Commander, United States Army John F. Kennedy Special Warfare Center and School, ATTN: AOJK-CDO-CAD, 3004 Ardennes, Stop A, Fort Bragg, NC 28310-9610.

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

CA forces must have an understanding of CERP, OHDACA, and other monetary resource programs available to the commander in order to provide timely, clear, and effective recommendations to impact the commander’s CMO plan. Failure to understand and plan for effective use of these programs will likely result in wasted time, energy, and money. There are numerous examples of projects that have made little or even negative impact within the civil component of the operation. An example of an ill-conceived CAO project would be establishing an electricity solution to a village with generators without accounting for the villagers’ ability to maintain the generators with fuel and maintenance once transition is completed. Working through second- and third-order effects for all CAO projects enhances the likelihood of mission success.

This GTA discusses the roles and responsibilities of those conducting CAO project management. These roles and responsibilities cover the general legal, operational, and funding requirements to conduct contracting and project management. CA Soldiers are also provided with ideas and concepts from the field to help them be successful in this critical area of CAO.

ROLES AND RESPONSIBILITIES

Commanders have the authority to execute appropriated funds. Commanders are directly involved in the oversight of the process. This level of involvement ensures compliance with established financial management policies and procedures to prevent fraud, waste, and mismanagement of authorized funds. A commander’s authority includes the ability to appoint subordinates to positions of responsibility, specifically to manage and execute funds. The following paragraphs provide information on commander appointed positions that assist with financial management of unit funds.

Contracting Officer

Contracting officers are uniformed or civilian personnel, professionally trained to negotiate and legally obligate the United States Government (USG) by means of contracts and purchase agreements. Contracting
officers may bind the government only to the extent of the authority delegated to them by the appointing authority. United States Special Operations Command (USSOCOM) is the appointing authority for special operations forces (SOF). Contracting officers receive from the appointing authority clear written instructions regarding the limits of their authority, either monetary or regulatory limits. Information on the limits of the contracting officers’ authority shall be readily available to the public and agency. This information is commonly referred to as the contracting officer warrant. Federal Acquisition Regulation (FAR), Subpart 1.6, Career Development, Contracting Authority, and Responsibilities, covers the selection, roles, responsibilities, and appointment of contracting officers.

Field Ordering Officer

The unit must first nominate a field ordering officer (FOO) to the contracting activity. Once fully trained, a contracting officer may appoint the FOO. The role of the unit FOO is to assist in the local purchase of supplies and equipment. The FOO serves as an extension of the contracting officer/activity. He is trained to legally obligate the USG in accordance with acquisition policies and regulations up to the micro-purchase thresholds set forth in the FAR. The limitations of a FOO’s obligation authority are detailed in the appointment orders that the contracting officer assigns to the duty. The regulatory authority governing FOO purchases are in the FAR under 13.306, Standard Form (SF) 44 (Purchase Order–Invoice–Voucher). An appointed FOO cannot perform the duties of a Class A agent or pay agent.

Class A Agent or Pay Agent

Agents are appointed to perform specific disbursement duties. Pay agents are appointed to support the local procurement process. Class A agents are appointed to provide support to individuals. Agents cannot perform both duties. The limitations of an agents’ authority are detailed in the appointment orders that assign the duty. An appointed agent cannot perform the duties of a FOO.

Units down to the battalion or squadron level nominate and train dedicated primary and alternate pay agents and project purchase officers (PPOs) to help the commander execute the CERP. An O-6 commander normally executes memorandum format appointment orders of pay
agents and PPOs. The term “project purchase officer” differentiates officers responsible for CERP projects from those involved with projects funded by other operation and maintenance (O&M) accounts.

Dependent on the level of command, a commander’s staff may include a financial management officer responsible for accounting for the commitment, obligation, and reconciliation of unit funds. This officer normally would provide staff oversight of the unit’s FOOs and pay agents. The total amount of funds available for execution by a commander and the maximum value of a single transaction are normally dependent on the level of command. For example, a brigade commander may be authorized a total of $200,000 in (CERP) funds per quarter and given authority to approve projects valued at a maximum of $10,000 whereas a battalion commander may only be authorized half those amounts.

Staff judge advocates (SJAs) and financial management officers provide detailed guidance to commanders on the implementation and management of fund programs within their commands. Reporting requirements of these programs vary but, normally, commanders report expenditures every 48 hours to the next-higher headquarters (HQ). Legal review of all intended expenditures is critical to ensure the proper use of funds. Reviewing expenditures ensures that initiated projects and obligated funds meet the legal requirements of the provided funding source.

CIVIL AFFAIRS OPERATIONS
PROJECT MANAGEMENT

CA Soldiers routinely manage CAO projects, such as humanitarian assistance (HA) programs, military civic action (MCA) programs, and various reconstruction projects. Experience gained during Operation ENDURING FREEDOM and Operation IRAQI FREEDOM has shown projects that assist in legitimizing local governments, stimulating the local economy, and improving the basic quality of life of the populace have a dramatic impact on the success of stability operations. Whether the project is valued at a few hundred dollars or involves significant contracting valued in the hundreds of thousands of dollars, the basic management practices of identification, validation, planning, coordinating,
facilitating and monitoring remain the same. The ultimate goal is to transfer responsibility of a sustainable project to HN entities in an efficient and timely manner.

When CA forces develop construction projects, they should—

- Assess the effect of inputs. What impact will engagement with local civil, tribal, religious leaders, businessmen, and security forces have? How will an influx of money to local contractors, suppliers, and workers influence the local economy? What are the secondary and tertiary effects of the project?
- Assess the effect of outputs. What impact will the project have? Will it serve the intended purpose. Is there any negative impact to consider?
- Identify intended and unintended outcomes. Understanding the stakeholders and the physical and informational environments is necessary to anticipate intended and unintended outcomes. This is a difficult area to assess, but assessment is important in order to mitigate negative outcomes.

Initiation and Planning

The initiation and planning phase begins by identifying a need or requirement that when clearly defined meets the criteria for funding and execution. A site visit or deliberate assessment may trigger the requirement. During the conduct of Operation IRAQI FREEDOM, a number of reconstruction projects were identified as “standardized scope projects”; for example, refurbishing public education facilities, local medical clinics, and public utility generation and distribution systems. These types of projects meet the requirements for funding under CERP and are easily adaptable to a predefined project scope. Projects not meeting this initial screening requirement must be clearly defined in terms of scope, cost, and impact and meet the approval criteria of the command.

Development of the Statement of Work

The statement of work (SOW) for a project should be as detailed as possible. The more detail within the SOW, the less likelihood of the contractor not meeting or understanding the requirements of the project.
It is not a requirement for CA Soldiers to have construction expertise or qualifications to ensure that an SOW meets the standards for submittal.

If the CA Soldier is not qualified or does not have the expertise to discuss building materials or other specific project related technical terminology, then he can get assistance from the staff engineer, Army Corps of Engineers, or some other interagency or HN entity that has expertise in the technical data sought to complete the SOW.

The SOW or statement of objectives, which is a detailed narrative statement, defines the scope of a project. The statement provides prospective contractors the information required to prepare a competitive bid for the proposed project. Statements must be as detailed as possible to protect the government and the contractor. At a minimum, a SOW includes the following:

- A description of the project to be completed. The project manager ensures the funding document is included. The contracting officer will not solicit a requirement until a resource manager provides a signed funding document.
- The material specifications (amount of concrete, wood, glass, rebar, and so on).
- Any key contractor manpower requirements to ensure successful completion.
- Government-furnished items and materials.
- Contract-furnished items and materials.
- The government’s project manager.
- The government’s contracting officer and contracting officer representative (COR), if required.
- Overall project timelines.
- Penalties for failure to meet project requirements and specifications, if any.
- Memorandum of agreement (MOA).
- Any land agreement.
Project Assessments

Measures of effectiveness (MOEs) focus on the effects attainment. They do this by demonstrating the impact that completed actions have had in attaining desired adversary behaviors. Measures of performance (MOPs) focus on task accomplishment. In other words, MOPs have confirmed or denied that we have “done things right.” MOEs answer the question, “Are we doing the right thing, or are additional or alternate actions required?”

There are important differences between task accomplishment and effects attainment. MOEs determine the attainment of desired effects via quantifiable indicators. Effects fill the gap between an objective (either strategic or operational) and tasks to subordinate units. CAO and CMO planners identify specific tasks that must be performed to obtain the desired effects. Achieving the desired effect will result in the desired end state or realization of the objective. CAO and CMO planners use MOPs and MOEs collectively to provide an evaluation and identify trends that can affect future operations.

Excessive numbers of MOEs and MOPs become unmanageable. At that point, the cost of collection efforts outweighs the value of assessing. Consequently, higher echelon staffs ensure that their numerous MOEs and MOPs do not overly burden lower echelons—especially battalion and below. CAO and CMO planners identify MOEs for desired and undesired effects. MOEs indicate how the area, structures, capabilities, organizations, people, and events (ASCOPE) characteristics of the system in the operational environment are behaving (for example, how the adversary is acting). Indicators for each MOE are developed and fed into intelligence collection planning. The resulting data from assessments provides input into running estimates for the common operational picture to develop branches and sequels within the CMO plan.

Remember Small is Beautiful

There is a tendency to attempt large-scale, mass programs. In particular, CA Soldiers tend to apply ideas that succeed in one area to another area. They also try to take successful small programs and replicate them on a larger scale. This usually does not work. Often
small-scale programs succeed because of local conditions or because their size keeps them below the enemy's notice and helps them flourish unharmed.

Company-level programs that succeed in one area of operation often succeed in another; however, small-scale projects rarely proceed smoothly into large programs. CA Soldiers should keep programs small. Keeping the programs small makes them cheap, sustainable, low-key, and (importantly) recoverable if they fail. Leaders can add new programs—also small, cheap, and tailored to local conditions—as the situation allows.

The acceptance of contractor bid documents and the selection of a contractor moves the project into the execution phase. Depending on the value of the proposed project, management may remain within the unit or be moved to another managing agency. The following chart (Figure 1, page 10) displays the flow of project management from indemnification to closeout.
PROJECT MANAGEMENT PROCESS

The execution of a CAO project involves six steps. The steps are generally implemented in order; however, there may be overlap between some steps. This overlap usually occurs when a project is managed in phases and partial payments are approved. The following steps summarize the project.
Step 1: Identification

The first step in the development of a viable project is the identification of a project that will impact the civil component of the operational area that supports the commander’s CMO plan and required end states. The identification process should include the following considerations:

- Identify those projects which are most likely to achieve or enhance the commander’s stated objectives.
- Synchronize with the HN and coalition officials.
- Develop complete project submission packets, including SOWs with enough detail and clarity to explain the work to be completed.
- Establish a contractor bid process and contractor selection.
- Establish MOPs and MOEs to ensure the desired effects determined by the commander’s intent and end state are reached. This will also establish, before dollars are spent, if the project is viable, sustainable, and warranted.
- Conduct assessments and provide feedback to ensure the project is progressing according to the SOW and meeting the commander’s intent.

Note: The unit should approve the project concept prior to any significant work being done on developing a project submission and conducting contractor bidding. This may include a targeting cell or working group review.

The selectivity principle directs U.S. bilateral assistance organizations to invest scarce aid resources based on three criteria: humanitarian need, foreign policy interests of the United States, and the commitment of a country and its leadership to reform. To maximize effectiveness, donor organizations allocate resources where resources make a significant impact and where the recipient community demonstrates a commitment to development goals. The underlying idea is that resources are finite and are most effective when concentrated together in select situations. Any allocation of resources, whether in combat operations or infrastructure projects, must consider foreign policy interests, political circumstances, and ground-level needs and requirements.
Step 2: Validation

Each unit will establish a validation process in accordance with its standing operating procedures (SOPs). The validation process may include a routing process through various staff sections, engineer assets attached to the unit, the Army Corps of Engineers, and a final review by a targeting cell. The validation process includes the following:

- A complete legal review.
- The signature of the approving authority (commanding officer).
- The validation of the project by the project officer. He ensures that a system or element within the command has also been assigned to follow the project’s progress and report civil information back on its status, completion, or effects. This information feeds into the running estimate and helps with developing the common operational picture for the commander during the monitoring phase.

Step 3: Planning

A complete project packet is submitted to the resource manager or comptroller at the end of step 3. The project packet includes the following:

- Upon assigning a fund citation to the DA Form 3953 (Purchase Request and Commitment), the project is funded, and the funds are obligated and committed.
- Appropriate and quantifiable MOPs and MOEs. Quantifiable MOPs and MOEs enhance the ability of the project manager to authorize payment to the contractor as the project progresses and the work is accomplished according to the established standards.
- During planning, it is critical that all staff entities are working together within the nonlethal working group or targeting group to ensure that the prioritization and synchronization of available resources for planned projects are available, usable, and coordinated for.
Step 4: Coordination

Project coordination is necessary to ensure all assets, entities, and requirements concerning the project are synchronized to ensure the project meets the commander’s intent and best supports CMO planning with the resources available. The following coordination should take place to ensure successful project execution:

- CA elements assist the supported unit during coordination efforts through input from previous engagements, assessments, and relationships that have been established with NGOs, IGOs, and IPI.
- Project managers oversee project implementation in accordance with the SOW.
- Quality assurance/quality control is conducted to ensure compliance with standards agreed with the SOW. A selected authority may be an engineer or someone with the requisite expertise.
- The project manager/officer ensures the project is accomplishing the desired effects as it progresses. If, during the project, the project manager/officer determines it is not accomplishing the desired effects, he must have a plan to alter or cancel the project so that it does meet the intent of the commander and the established desired effects.
- The project manager will evaluate and certify project completion rates in accordance with the SOW.
- Work is documented and photographed prior to approval of payments.

Step 5: Facilitation

The PO authorizes the contractor to initiate work. The PO will authorize payment of funds based on the certified level of completed work. The following entities facilitate the execution of the project in support of the project officer:

- CA elements facilitate project management through assessments, updates within the CIM system, and providing running estimates of the civil component of the operational area.
data helps develop recommendations for branches and sequels to current civil operations based on trends within the civil populace and data received from established MOAs and MOPs for existing projects.

- During this step, building synergy with all entities is critical for the CA element to successfully complete the project. If there are changes in capabilities or available assets, the plan should be changed to best use the available assets.
- CA Soldiers are not required to be subject-matter experts in the art of construction or other specific professional requirements a project may require. CA Soldiers should seek out entities that are expert in the required fields. Functional specialty teams are available to support CA forces engaged in government, sustainment, infrastructure, and capacity building projects. When dealing with construction projects, CA forces coordinate with unit engineers, the Army Corps of Engineers, and other HN experts to facilitate these types of projects.

Step 6: Monitoring

Project monitoring is a continuous process and does not end until completion of the project. In some cases, completed projects that have been turned over to the IPI or HN government continue to be monitored to ensure the requirements and strategies of the USG are being met. The following items take place during the monitoring step:

- CA forces will be involved in the monitoring of projects to ensure applicable MOEs and MOPs are being achieved. CA forces use atmospherics, engagements, and other meetings to help gauge the level of achievement desired within the SOW for each project. This information is provided within the running estimates and CIM products produced. The data helps determine if a branch or sequel to the base CMO plan is necessary. It is also used to confirm or deny that the commander’s CMO goals are being achieved.
- Pay agents receive funds from the Finance Office using a fund citation-approved DA Form 3953.
Upon authorization by the PO, the pay agent pays the contractor up to the approved amount based on the level of project completion. The pay agent accounts for all disbursed funds with the proper documentation.

Payment transfer is made at a U.S. or coalition-secured site.

If authorized to pay by electronic fund transfer, the resource manager or comptroller authorizes the transfer of funds based upon the PO’s documentation certifying the level of work completed.

To ensure proper documentation and maintenance of historical records the PO closes the project by conducting the following steps, he—

Maintains a complete project closure packet at the approving authority’s HQ. The packet includes written and photographic documentation of the project’s work and certification of its completion in accordance with the SOW. Such documentation is legally auditable for up to two years.

Ensures the approving authority signs a clearance memorandum, which goes forward to the resource manager or comptroller along with the closure packet.

Ensures the pay agent clears the Finance Office with all required accountability documentation and closes all accounts related to the project.

Ensures that copies of all documentation are stored in a reliable and secure location. This documentation will be essential when transition to HN occurs, audits of operations are conducted, or the commander conducts a review of the project. This documentation is historical and allows a clear understanding of civil operations to be reviewed and discussed later.

Civil Affairs Operations Project Tracker and Management Tool

In the dynamic environment of CAO, proper tracking and management of projects is critical to maintain a clear vision and an understanding of the status of all projects within the assigned area of operations (AO).

Use of a simple tracker to follow the project management system is invaluable. This tracker is designed with four components: the project
tracker, project recording and filing systems, project supervision, and transition to HN entities.

**Project Tracker**

The project tracker could be a spreadsheet that updates projects and their status and is periodically distributed (Figure 2). The tracker includes all projects in the unit AO, including those funded by the CERP or other programs funded by NGOs and IGOs, such as the United States Agency for International Development (USAID). This document also includes current working projects with an external funding source and projects awaiting approval or funding.

The document tracks all projects from conception through completion, giving commanders the situational awareness they need to keep their counterparts informed of the projects' progress and make project decisions based on mission priorities, funding availability, and community impact.

![Figure 2. Example of CAO project tracker](image-url)
Project Recording and Filing

At the conception of the project, the project manager assigns a tracking number. He files all documents pertaining to the project in its corresponding numbered file.

This system organizes the unit’s CAO and makes it possible for one unit to conduct scores of simultaneous projects without confusion. The system could consist of a filing box or cabinet of whatever size is available. The project manager enters files by project-tracking numbers in numerical sequence with one hanging file for each project. Some projects have multiple contractors or phases, so there may be several file folders in the same hanging file with alphanumeric tracking numbers (for example, 21a, 21b, 21c, and so on). The S-9 should check the files daily to ensure that the documents generated or received for each project are filed quickly and accurately.

Normally, each project file contains the SOW with a request for proposal (RFP), price estimate, or bills of quantities from contractors, digital photographs, a contractor selection memorandum, the funding request document, the project contract, in-progress inspection reports, and pay receipts.

Each project begins with an SOW that clearly describes what the contractor must perform during the project. The RFP includes the SOW and provides detailed instructions and requirements to contractors who wish to compete in an open bid for the job, such as timelines, pricing limitations, and an estimate submission deadline.

After receiving estimates from local contractors, the project manager and commander compare them based on the unit’s contractor selection criteria in an open free bid. Some factors of contractor selection include price competitiveness, source of labor pool, and ability to meet timeline requirements.

Similar to a COA decision matrix used by staffs during the military decisionmaking process, the contractor selection memorandum explains why the unit selects a particular contractor. After the project funding is approved (CERP projects usually are approved by brigade commanders
or higher), the project manager writes the contract by combining the RFP, the contractor’s estimate, SOW, and timeline requirements.

**Project Supervision**

After the contract is signed and while the project is in progress, project managers supervise the work. Digital photographs are critical requirements for every stage of the process. Units must ensure that they have access to digital cameras so that proper records exist for each project. Project photographs should be clearly labeled and kept on file with the project manager.

The project manager issues notices of deficiency to contractors when inspecting units or members of the local neighborhood councils discover substandard work or conduct. These documents also should be in the appropriate project files.

Receipts are critical in keeping track of money paid incrementally for work already completed (that is, 20 percent, 40 percent, and 60 percent). Units should never pay in advance for work not yet performed and never make final payment until the contractor corrects all deficiencies. Final payment is made contingent to an approved inspection by qualified personnel.

**Transitioning to Host Nation Entities**

Transitional planning to transfer CAO planning and project management is a critical operation. Without proper planning and execution, months of work and effort can be erased by ineffective transfer of projects to the HN or to a new commander that is replacing the current unit. The loss of critical information will cause projects to fail or prevent a timely and efficient transfer of authority to HN entities.

Generally, planning for critical events will be executed through relief-in-place operations. It is incumbent upon the exiting force to ensure that all historical and regulatory documentation is in order and understandable for the incoming unit. Transfer of projects and management of these projects to HN entities will be smoother if proper historical data and management files are provided in an articulate manner. The documentation provides HN entities with sustainment information necessary for
continued effects to be realized based on the SOW and MOE/MOPs designated in the management files.

The following considerations are critical in the planning, execution, and transfer of current operations and projects to another force or entity within the AO. This is not a comprehensive list, because each situation must be reviewed and planned for according to the operational, cultural, and physical environment of the transfer operation. Considerations include—

- Who will determine when the transition begins or is complete?
- Has the end state been accomplished?
- Who will fund the transition?
- What is the new mission?
- What U.S. forces, equipment, or supplies will remain behind?
- What will be the command relationship for U.S. forces that remain behind?
- What will be the communications requirements for U.S. forces that remain behind?
- Who will support U.S. forces that remain behind?
- Can intelligence be shared with the incoming force or organization?
- Will new rules of engagement be established?
- Will ongoing operations (for example, engineer projects) be discontinued or interrupted?
- Will the United States be expected to provide communications capability to the incoming force or organization?
- Will the incoming force or organization use the same HQ facility as the departing force?
- What is the policy for redeployment of the departing force?
- Will sufficient security be available to provide force protection? Who provides it?
- How will the turnover be accomplished?
- Who will handle pay agent for the transition?
AUTHORIZATIONS, ARMY REGULATIONS, AND FUNDS USAGE

CA Soldiers have access to a number of programs and organizations with funds available to finance many of the projects or needs identified by various CA assessments. Funding may originate from within the Department of Defense (DOD), Department of State (DOS), or OGAs as appropriated by Congress through the enactment of public law. Even though the following discussion relates to funding provided by USG sources, CA Soldiers should consider funding opportunities available through IGO and NGO resources that can enhance the execution of the CAO plan. Detailed guidance on the execution of funds at different levels can change between theaters. Specific theater guidance must be identified and applied to planning and execution of funds before the obligation of those funds.

Title 10, United States Code Authorizations

Sections of Title 10, United States Code (10 USC), Armed Forces, provide the authority for commanders to conduct humanitarian operations. However, foreign aid and security assistance are the responsibility of DOS, not DOD. The funds used for such programs normally come from appropriations to the DOS, with their expenditure being authorized under Title 22, United States Code (22 USC), Foreign Relations and Intercourse, rather than Title 10. Authorizations under Title 10 are discussed below.

Section 401, Title 10, United States Code (10 USC 401), Humanitarian and Civic Assistance Provided in Conjunction with Military Operations, established the humanitarian and civil assistance (HCA) program under which small-scale rudimentary humanitarian projects may be performed. Such activities, by law, must promote the security interests of the United States, the country in which the activities are conducted, and the operational readiness skills of participating U.S. forces. If a given project is executed through the HCA program, U.S. military forces must provide the labor. Army O&M accounts fund the building materials and other incremental costs incurred for projects performed under 10 USC 401 authority. When using O&M funds, geographic combatant commanders (GCCs) are responsible for preplanned HCA projects and the use of
fenced O&M funds for these projects. (Department of Defense Directive [DODD] 2205.02, *Humanitarian and Civic Assistance [HCA] Activities*, subparagraph b, provides distinctions and clarifications on this point.) HCA activities are defined in 10 USC 401 as—

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

10 USC 401(c)(2) authorizes the military commander to fund minimal HCA opportunities that often arise during the course of an exercise or operation in a foreign country. The unit’s O&M funds, commonly referred to as the operational fund, fund minimal HCA opportunities. Minimal HCA opportunities are referred to as de minimis HCA. Only HCA amounting to “minimal expenditures” may be provided. DODD 2205.02 provides guidance in determining what “minimal” means. Minimal-cost HCA activities must be one of four activities statutorily allowed as an HCA activity. All other restrictions for the conduct of HCA mentioned above apply to minimal-cost HCA.

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

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

Section 404, Title 10, United States Code (10 USC 404), *Foreign Disaster Assistance*, in consultation with the Secretary of State, USAID
GTA 41-01-007

is the lead agency for foreign disaster relief, with the primary source of funding being International Disaster Assistance Funds, Section 2292 through 2292k, Title 22, United States Code (22 USC 2292 through 2292k), Foreign Assistance: Subchapter I-International Development: Part IX-International Disaster Assistance. DOD has limited authority to engage in disaster assistance. The President may direct DOD through the Secretary of Defense (SecDef) to respond to man-made or natural disasters. The President delegates disaster relief authority to the SecDef with the concurrence of DOS (except in emergency situations). Executive Order 12966, Federal Regulation 36949, Foreign Disaster Assistance, provides additional information. DOD’s participation must be necessary to “save lives.” Assistance takes the form of support to the overall civilian effort and may include transportation, supplies, services, and equipment. 10 USC 404 is rarely used because there is no implementing guidance. As a result, DOD relies on the broad authority of Section 2561, Title 10, United States Code (10 USC 2561), Humanitarian Assistance, to conduct the foreign disaster assistance contemplated under 10 USC 404.

Section 2557, Title 10, United States Code (10 USC 2557), Excess Nonlethal Supplies: Availability for Homeless Veteran Initiatives and Humanitarian Relief, provides the authority to make available for humanitarian relief purposes, through the DOS, any nonlethal excess supplies of DOD. The identified excess property inventory normally transfers to USAID as the DOS agent for distribution to the target nation.

10 USC 2561 provides the authority for DOD to carry out broader, more-extensive HA projects. Projects that use contractors, to include the purchase of end items other than those used in connection with 10 USC 401 HCA activities, or involve the provision of training or technical assistance for humanitarian purposes are carried out under this authority. This authority can also be used to provide the transportation of humanitarian and relief supplies using DOD assets or resources.

Section 166a, Title 10, United States Code (10 USC 166A), Combatant Commands: Funding through the Chairman of the Joint Chiefs of Staff, provides the GCCs with a great deal of legal flexibility to conduct humanitarian operations and activities. The statute specifically lists HCA as an authorized activity.
Section 168, Title 10, United States Code (10 USC 168), Military-to-Military Contacts and Comparable Activities, provides for the funding of military-to-military contacts and comparable activities. The SecDef is the program authority for the conduct of military-to-military contacts and comparable activities. Generally, the GCC conducts military-to-military contacts to promote a democratic orientation of the defense establishment and military forces of partner nations, developing a military-to-military relationship with these organizations and the HN. Military-to-military contacts will usually be Service-to-Service, whereas comparable activities will always be of a combined nature conducted by GCCs. 10 USC 168 provides GCCs with flexibility to conduct humanitarian operations and activities and nation assistance. The statute specifically lists HCA as an authorized activity. Under certain conditions, this authority is also used to fund MCA projects. Military-to-military contacts, although not defined in Army or joint doctrine, are contacts between members of the U.S. Armed Forces and members of foreign armed forces through activities such as—

- Military liaison teams.
- An exchange of civilian or military personnel between the DOD and defense ministries of foreign governments.
- Seminars and conferences held primarily in a theater of operations.
- An exchange of military personnel between units of the U.S. Armed Forces and units of foreign armed forces.
- The distribution of publications primarily in a theater of operations.

OHDACA is a DOD account to which Congress appropriates funds. OHDACA funds are generally used to pay for operations and activities that are authorized by 10 USC 2561, HA, and demining under 10 USC 401. Even though the law specifically lists HCA and disaster relief as appropriate uses for the fund, the actual practice is that OHDACA funds are used to pay for activities authorized by 10 USC 2561. Humanitarian demining assistance is now covered under Section 407, Title 10, United States Code, (10 USC 407), Humanitarian Demining Assistance: Authority Limitations.
Historically, DOD conducted limited HCA operations in foreign nations without separate statutory authority. In 1984, the Comptroller General opined that DOD’s extensive use of O&M funds to provide HCA violated the purpose statute (Section 1301[a], Title 31, United States Code [31 USC 1301a], Application) and other well-established fiscal principles. The Comptroller General concluded that DOD had used its O&M accounts improperly to fund foreign aid and security assistance. Foreign aid and security assistance are the responsibility of the DOS, not DOD, and the funds used for such programs normally come from appropriations to the DOS, with their expenditure being authorized under Title 22 rather than Title 10. Activities, programs, and operations that are essentially foreign aid and should therefore be funded with DOS Title 22 money may not be funded with DOD Title 10 money. Some other types of funding that are available for specific missions and provide examples to Soldiers conducting CMO are discussed in the following paragraphs.

The National Defense Authorization Act, Section 1209, Iraq and Afghanistan Security Forces Fund, provides authority for the transfer of defense articles to Iraq and Afghan security forces. Authorization comes from Section 1516, which covers the Iraqi Security Forces Fund, and Section 1517, which covers the Afghanistan Security Forces Fund. As the security situation in Iraq and Afghanistan deteriorates, funding for the two “train and equip” programs have increased dramatically. Current authorizations and appropriations from Congress within the National Defense Authorization Act are updated as these requirements change from fiscal year to fiscal year.

For additional references on legislation and descriptions of the types of funds available for specific missions, refer to Joint Publication (JP) 1-06, Financial Management Support in Joint Operations; JP 4-10, Operational Contract Support; and DOD Financial Management Regulations. Additional references that contain extensive and more authoritative guidance on the execution of CERP relative to the Operational Law Handbook are Money as a Weapon System-Iraq SOP, Money as a Weapon System-Afghanistan SOP, and DOD Financial Management Regulations.
Special Appropriations

In some cases, Congress authorizes and appropriates funds for humanitarian relief and related activities for a specific operation under Sections 1206, 1207, 1208, and 1209 of the National Defense Authorization Act. An example of this is the CERP. The coalition provisional authority in Iraq developed the CERP to enable commanders to respond to urgent humanitarian relief and reconstruction requirements within their AO. The program is now used in Afghanistan. The rules governing the use of such funds are based on Congressional restrictions in the legislation and are tailored to the needs of the particular operation. Further guidance is available from the servicing SJA and from the current year's Operational Law Handbook, published by the Center for Law and Military Operations for the Judge Advocate General's Legal Center and School. The CERP is discussed in detail later in this GTA. Some examples of special appropriations by Congress are as follows:

- **Pakistan Counterinsurgency Capability Fund.** DOD, with the concurrence of DOS, is authorized to assist the government of Pakistan in building the capacity of Pakistan's security forces to conduct counterinsurgency operations in support of U.S. efforts in Operation ENDURING FREEDOM.

- **Coalition Support Funds.** Coalition support funds reimburse cooperating countries for logistical, military, and other expenses incurred while supporting U.S. military operations in Iraq, Afghanistan, and other overseas contingency operations. Coalition support funds were originally created to reimburse the governments of Pakistan and Jordan for their support in counterterrorism operations.

- **Defense Coalition Support Fund.** Defense coalition support funds allow DOD to stockpile defense articles such as helmets, body armor, and night vision devices for potential use by coalition partners, circumventing lengthy procurement time frames. The defense coalition support fund is funded through the O&M defense-wide budget and becomes self-financed through sales of the equipment.
• **Combatant Commander Initiative Fund.** The combatant commander initiative fund (CCIF) account supports unforeseen contingency requirements critical to the GCC’s joint warfighting readiness and national security interests. The CCIF enables the GCC to fund short-term, low-cost projects that meet the requirements of unforeseen situations. GCCs have been authorized to expand CCIF to include programs that provided “urgent and unanticipated humanitarian relief and reconstruction assistance.”

**FINANCIAL MANAGEMENT TERMINOLOGY**

The procedures required to execute appropriated funds use terminology that is common to all users. The following terms must be understood and used during the financial management process:

• **Commitment.** Commitment is the act of certifying and recording, by an authorized official, a programmed expenditure of funds for the costs associated with the purchase or reimbursement of products and services. An authorized commitment certifies that funds are available and provides the purchasing authority with the accounting data necessary to obligate the government for payment.

• **Obligation.** Obligation is an act that legally binds the USG to make payments. Funds may be obligated only for the purposes for which they were appropriated and only to satisfy the bona fide needs of the fiscal year for which the appropriations are valid for obligation.

• **Disbursement.** Disbursement is the payment of funds to satisfy a legal obligation of the USG.

• **Reconcilability.** Reconcilability is the process of accounting for the expenditure of funds by means of documenting the commitment, obligation, receipt, and payment for supplied goods and services.
AUTHORITY TO EXECUTE
DEPARTMENT OF DEFENSE FUNDS

Commanders have the authority to execute appropriated funds. Commanders are directly involved in the oversight of the process. Contracting officers from military units or civilians from DOS are professionally trained to negotiate and legally obligate the USG by means of contracts and purchase agreements. The amount of money a particular contracting officer is authorized to obligate is usually based on the contracting officer’s formal training, experience, and duty position. A contracting officer’s obligation authority is prescribed in a personal warrant that describes the types of contracts and funding limitations of the contracting officer’s authority. Commander-appointed positions, as mentioned earlier, to assist in the financial management of the unit’s funds are the FOO, pay agent/Class A agent, or PPO.

Obligating the Government

As a rule, only the contracting officer is authorized to legally bind the government and enter into, administer, or terminate contracts. A limited exception allows nonprocurement personnel to execute purchases within specified amounts. These individuals and the limits of their authority must be specified in writing. Any government employee who makes an agreement to purchase goods and services without the authority to do so creates an unauthorized commitment. Unauthorized commitments can result in disciplinary action against the responsible individual if the act was intentional and done to circumvent regulatory and statutory requirements. An unauthorized commitment may also expose the responsible individual to financial liability to the contractor if a contracting office is unable to ratify—that is, approve retroactively—that purchase.

Ratification is the retroactive adoption of an unauthorized act. By ratifying the act, the government becomes financially liable for the act. Ratification, however, is not automatic. The following circumstances
must have existed at the time of the unauthorized commitment in order for the contracting officer to ratify it:

- The government was provided with and has accepted supplies or services, or the government has otherwise obtained a benefit resulting from performance.
- The ratifying official has the authority to enter into a contractual commitment.
- The resulting contract would otherwise have been proper if made by an appropriate contracting officer.
- The contracting officer reviewing the unauthorized commitment determines the price to be fair and reasonable.
- The contracting officer recommends payment, and legal counsel concurs in the recommendation.
- Funds are available and were available at the time of the unauthorized commitment.
- The ratification is in accordance with any other limitations prescribed under agency procedures.

Types of Funds

Program management of theater-level spending implementation plans and policies to resource CAO projects by using various resources (OHDACA, CERP, and commander’s quick impact) is critical to successful CAO. Having a dedicated contracting officer and financial management officer is critical to this function.

Beginning in November 2003, Congress authorized use of a specific amount of O&M funds for a CERP in Iraq and Afghanistan. The legislation was renewed in successive appropriations and authorization acts. It specified that commanders could spend the funds for urgent humanitarian relief and reconstruction projects. These projects had to immediately assist the Iraqi and Afghan peoples within a commander’s AO. Congress did not intend the funds to be used as—

- Security assistance, such as weapons, ammunition, and supplies for security forces.
- Salaries for Iraqi or Afghan forces or employees.
Rewards for information.
Payments in satisfaction of claims made by Iraqis or Afghans against the United States (specific legislation must authorize such payments).

The CERP provided tactical commanders a ready source of cash for small-scale projects. They could repair public buildings, clear debris from roadways, provide supplies to hospitals and schools, and meet other local needs. Because Congress had provided special authority for the program, normal federal acquisition laws and regulations did not apply. The reporting requirements were minimal.

The CERP is not a standing program. Any similar future program should be governed by whatever specific legislative provision Congress chooses to enact. In any program similar to CERP, commanders and staffs must make sound, well-coordinated decisions on how to spend the funds. They must ensure that maximum goodwill is created. Commanders must verify that the extra cash does not create harmful effects in the local economy. One such side effect would be creating unsustainable wages that divert skilled labor from a HN program essential to its legitimacy. Commanders must also ensure that projects can be responsibly administered to achieve the desired objective and that they avoid financing insurgents inadvertently.

The CERP provides local commanders in Iraq and Afghanistan the means to respond to urgent humanitarian relief and reconstruction requirements that can be implemented quickly and immediately impact the local populace. Commanders establish procedures that ensure compliance with established policies and procedures to prevent fraud, waste, and mismanagement of CERP funds. Commanders establish proper management and fiscal controls to account for these funds by direct involvement in the expenditure approval process and oversight of the unit’s overall program.
CERP expenditures and programs normally focus on labor-intensive and urgent humanitarian relief and reconstruction projects. Rapid implementation of projects enforces a positive perception within the local economy by providing employment opportunities to the local populace. CERP projects normally focus on—

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

CERP is an example of a targeted humanitarian assistance fund program. CERP’s primary purpose is “[to enable] military commanders in Iraq [and Afghanistan] to respond to urgent humanitarian relief and reconstruction requirements within their area of responsibility by carrying out programs that will immediately assist the Iraqi [and Afghan] people.” CERP was originally funded with seized Iraqi assets but Congress later appropriated U.S. funds for the purpose. CERP is a program established to assist in missions in Iraq and Afghanistan. It is not applicable to missions outside of those countries. Future missions, though, may have similar funding sources established to facilitate a humanitarian assistance mission. CA Soldiers should consult with the servicing judge advocate to determine the availability of funding.

The following examples (Figures 3 through 7, pages 32 through 36) are required to manage CERP funds. They provide the CA Soldier an example of the proper forms for establishing, managing, and closing out various projects supporting the commander’s CMO plans. General procedures to follow that will provide a detailed audit trail, proper documentation of projects, and a detailed analysis on the flow of money is
essential for continuity, accountability, and establishment of sound legal responsibility. The commander should ensure the following is done:

- Proper files are maintained for each project and expenditure of money.
- Audits are regularly conducted to ensure the flow of money and proper payment as well as proper disbursement of funds.
- Records are safeguarded (locked if possible). The documents are sensitive in many ways, not only in personal information of contractors but information on the projects or other critical information.
- Copies of paperwork for closed out projects are maintained, in case of audit by a higher HQ or questions of a historical context are asked about previous projects. This provides continuity for the commander to refer back to when necessary. It also helps with relief-in-place operations.
- Briefing slides are maintained and are up-to-date on current, past, and future projects so that expenditures and status of the projects can be briefed to the commander upon request.
- Historical copies are kept for 6 years and 3 months on all transactions. Copies are kept for legal purposes, historical references, and future planning of projects.
Figure 3. Sample Department of Defense (DD) Form 448 (Military Interdepartmental Purchase Request [MIPR])
Figure 4. Sample SF 44 (Purchase Order–Invoice–Voucher)
### Figure 5. DD Form 1081 (Statement of Agent Officer’s Account)

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 January</td>
<td>Transaction 1</td>
<td>1234</td>
</tr>
<tr>
<td>2 January</td>
<td>Transaction 2</td>
<td>5678</td>
</tr>
<tr>
<td>3 January</td>
<td>Transaction 3</td>
<td>9102</td>
</tr>
</tbody>
</table>

**Signature:**

Gordon A. Dollar

On Return: The above statement of account is correct.

31 May 05

Agent Officer’s Account

Gordon A. Dollar
Figure 6. DD Form 250 (Material Inspection Receiving Report)
Examples of permissible expenditures from Title 10 appropriations include but are not limited to—

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

Congressional restrictions placed on appropriated CERP funding state that funds will not be used to—
- Benefit coalition forces, either directly or indirectly.
- Entertain the local population.
- Fund any type of weapons buy-back or rewards programs.
- Remove unexploded ordnance.
- Purchase firearms or ammunition to equip police.
- Pay salaries or pensions to the civil work force.
- Augment available unit non-CERP and O&M funds, to include de minimis HCA.
- Provide support to individuals or businesses, unless coalition forces caused damage to them.

**Common Management Procedures for the CERP**

While CERP management is not the role of CA Soldiers, it is important to understand the procedures to facilitate synchronization of efforts. A commander’s responsibility for the execution of CERP necessitates the establishment of proper management and fiscal controls to ensure accountability of appropriated funds. While not totally inclusive, the following discussion identifies a number of policies and procedures typically instituted to provide program oversight.

PPOs must also be trained and appointed on orders as an FOO by a warranted contract officer. PPOs execute CERP payment according to established FOO and pay agent procedures. PPOs must maintain a file copy of their appointment orders for both appointments. PPOs conduct operations by following the same established policies and procedures as a FOO. They are prohibited from commingling CERP with appropriated funds on other projects. Reconciliation of CERP and other appropriated fund projects must clearly define each as separate expenditures.
The following is an example of spending thresholds and policy guidance regarding the execution of CERP funds. Limitation of commitment authority may frequently change and normally depends upon receipt of funds by the supported commander. Brigade commanders normally have authorization to periodically obtain a maximum of $200,000 of CERP funding. Local funding restrictions usually set a single project limit of $200,000. Individual projects that may exceed $200,000 must be coordinated through the next-higher HQ (division) G-8 or comptroller. A brigade commander’s approval authority for any particular project is limited to a maximum value of $10,000. The next-higher HQ must approve in advance projects valued at over $10,000. For this program only, PPOs are authorized to make purchases and to pay for projects up to $10,000 with the SF 44. A separate DA Form 3953 is required for each project exceeding a value of $10,000. Projects exceeding $100,000 require a warranted contacting officer’s signature.

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

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

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

Unit CERP may be used to make condolence payments not to exceed $2,500 for death, serious injury, or property damage caused by coalition or anti-HN forces. Payments are meant to express sympathy and provide humanitarian relief and are not an acknowledgement of fault or responsibility. These are not salacious payments (money paid for death or damage when USG admits fault). When commanders use CERP funds for condolence payments, no acknowledgement of any moral or legal responsibility for someone’s death, injury, or damaged property is offered.
SJAs and financial management officers provide detailed guidance to their commanders on the implementation and management of this program within their commands. Reporting requirements of the program vary, but normally commanders report expenditures every 48 hours to the next-higher HQ.

**Project Purchase Officer and Paying Agent Procedures**

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

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

- PA appointment letter.
- PPO appointment letter.
- DD Form 1081.
- Three bids for any contract over $10,000. If three bids are not obtained, the commander must provide a written justification detailing the reasons why obtaining the necessary bids was not possible.
- Commander’s clearance letter.
- Copies of an SF 44s. An SF 1034 (Public Voucher for Purchases and Services Other Than Personal), DD Form 250 (Material Inspection and Receiving Report), or a properly executed contract may be submitted in lieu of an SF 44.
SECURITY ASSISTANCE AND FOREIGN ASSISTANCE FUNDING PROGRAMS

Numerous programs assist commanders with achieving operational end states and goals. These programs are facilitators for joint operations and stability operations at the Army level.

The following programs have funds appropriated by Congress to allow the DOS to conduct its foreign assistance mission. The following programs are detailed and updated in Title 22:

- Foreign military financing program.
- International military education and training program.
- Economic support fund.
- Peacekeeping operations.
- Antiterrorism.
- Global humanitarian demining.
- Refugee assistance.
- Personnel details.

The following programs are administered by DOS but do not have funds appropriated to sustain them. They include the following:

- Foreign military sales program.
- Foreign military lease program.
- Economy act security assistance.
- USG commodities and services program.
- Direct commercial sales program.

There are additional special programs created by law to assist in the foreign assistance mission. Title 10 and Title 22 provide detailed information on these programs. New programs or updates will be located in these USCs, as well; for example: excess defense articles and Presidential drawdowns.
DOS directly, or indirectly through USAID, finances numerous development assistance programs to address the following needs. These programs are updated regularly within the USAID Web site and are based on current operations:

- Agriculture and nutrition.
- Population control.
- Health.
- Education.
- Energy.
- Environment improvement.

**CONTRACTING PROCEDURES**

Contracting procedures should be planned and monitored closely to ensure unity of efforts between all entities involved in project management. All efforts should be synchronized to ensure the efficient use of finite resources and avoid duplicated efforts within the CMO plan.

**Civil-Military Impact of Contracting**

Theater support contracting and some external support contracting actions can have a positive (and sometimes negative) effect on the civil-military aspects of the overall operation or campaign. Since the majority of theater support contracts are awarded to local vendors, these actions can have a tangential positive benefit by providing employment opportunities to indigenous personnel, promoting goodwill with the local populace and improving the local economic base. In some operations, there may be a high degree of local unemployment. Unemployment can lead to local unrest and cause local nationals to support an insurgency simply for monetary compensation. Maximizing local hires through theater support contracting or civil augmentation programs can help alleviate this situation.

Depending on the nature of the operation, some contracting support plans may need to include specific CMO-related guidance such as directives to maximize theater support contracts or local hires in support of crisis action planning task orders.
Contractors and vendors provide critical support services to enhance military operations within an HN. In a counterinsurgency (COIN) environment, commanders carefully consider when to use theater support contractors and local hires. Commanders also supervise contracted personnel to ensure they do not undermine achieving COIN objectives. Due to the subversive nature of many insurgent activities, all contractors and their employees require vetting through the intelligence section. All contractors and their employees require tamper proof, photograph, and biometric-tagged identification. This identification needs to be coded to indicate access areas, security level, and supervision required. In the case of HN employees, “badging” can also be an accountability tool if U.S. forces issue and receive badges at entry control points daily. Contractor security breaches are one concern; another is the security and safety of the contractor’s employees. Though insurgents may target logistic contractors and their employees, the employees are not combatants. They are classified as “civilians accompanying the force.” This status must not be jeopardized and the military units with which they work must keep them secure in the workplace. One consideration is to use HN police, military, or security forces to accomplish this task. Units employing HN contractors and employees must watch for signs of exploitive or corrupt business practices that may alienate segments of the local populace and inadvertently undermine COIN objectives. Treated fairly and respectfully, HN employees can provide good insights into the local language, culture, and perceptions of COIN activities as well as other issues affecting communities in the AO.

Civil-Military Aspects of Contract Integration to the Campaign Plan

Integrating the contracting support plan into the civil-military aspects of the GCCs campaign or operations plan requires very close coordination between the lead contracting activity, normally a Service, and the GCC plans and operations staff. This effort can be especially important in major stability operations where there may be significant reconstruction and transition to civil authority requirements. Normally, reconstruction and transition to civil authorities and the related contracting efforts will be done in support of the chief of mission or NGOs. In any case, these efforts can be a major challenge to the joint force command contracting organizations.
Managing Challenges

Planning and executing civil-military-related contracting actions can be very manpower-intensive. If not properly staffed, staff sections and supporting organizations can be quickly overwhelmed in their dual mission to coordinate forces support and support to civil authorities.

Assessing and Balancing Risk to Forces Support

Another major challenge in planning for and executing contracting support in support of CMO is identifying both the potential risk CMO may cause to overall force support and any potential positive results toward achieving the civil-military objectives. What may be good for forces support may not meet the needs of the civil-military aspects of the overall campaign plan. In all cases, both the increased security risks and contract management requirements must be closely analyzed prior to making any formal decisions.

The joint force command planners must work closely with the lead Service or joint contracting personnel to balance acceptable contracting business practices and operational needs. In some cases, general contracting business practices may be reinterpreted to achieve best value in terms of overall civil-military strategic objectives, schedule, performance, and cost factors. Care must be taken to ensure that contracting officers do not violate Federal Acquisition Regulations in this effort. For further detail concerning logistics and contracting, refer to JP 1-06; JP 3-33, Joint Task Force Headquarters; JP 3-34, Joint Engineer Operations; JP 4-0, Joint Logistics Support; and JP 4-10.

Request and Evaluation of Contractor Proposals

Selection of the contractor is an evaluation process. The CMO team and the contracting officer work in concert to ensure the best value or lowest-priced technically acceptable contractor. The contractor is selected in accordance with the evaluation criteria set forth in the solicitation or request for proposals. Depending on the value of the proposed project, management may remain within the unit or be moved to another managing agency. The acceptance of contractor bid documents and the selection of a contractor moves the contract into the execution phase.
Execution Phase

Once the formal funding of the project and the funding source has been established and set aside by an approval authority, the project proceeds through contact negotiation and the signing of a work agreement or contract by the government’s and contractor’s representative with authority. The completed agreement includes, as a minimum, the following:

- SOW.
- Contractor’s proposal.
- Details of contractor payment. For larger projects (over $10,000), progress payments are normal when the contractor completes a significant project milestone. Agreements should refrain from up-front lump-sum payments.
- Definition of satisfactory contractor performance.
- Process for corrective action.
- Name of the government’s authority to modify the original agreement. Only a warranted contracting officer can change a government contract to include all of the terms or conditions. Technical representatives or CORs are critical during construction projects because they are the eyes of the project. If it costs the government, dollars, delays, or performance, the contracting officer will render decisions on monetary actions.

During this time, it is critical to constantly monitor the project and the status of the contractor executing the project. The assessments that are completed should be balanced against the MOPs and MOEs that were established during the planning of the project and that are located within the SOW. If the project is not meeting specified criteria, then the project should be modified or ended based on the commander’s guidance after briefing the status of the project in question. The assessments will feed back into the running estimates for the COP to determine current situational awareness in the civil component and the overall estimate of meeting CMO plans for the AO.

The project manager ensures that proper capacity is being built to support the project upon conclusion and can be handed over readily to the HN officials that will be responsible for the continued monitoring, executing, or servicing of this new project. If the HN cannot continue...
with the necessary support for a project to be viable, then the project should not be undertaken.

The authority to add to, delete from, or modify an original project agreement rests solely with the government’s signatory to the agreement, whether it is a FOO, PPO, or warranted contracting officer. A project manager, COR, or other government employee involved with the project does not have the authority to direct a change to the agreement that results in additional cost to the government without a formal modification. A directed change by an individual without authority, and acted on by the contractor results in an unauthorized commitment. The FOO can make minor changes to the construction project if granted the authority by the contracting officer. Figure 8, page 46, depicts the flow of contract paperwork from the funding document through closeout.

The execution phase concludes with acceptance of the completed project by a competent authority. It is critical to continue active assessment of the project throughout the process to ensure timely completion and to ensure the work is being accomplished within the requirements set in the SOW.

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

Project managers provide periodic status reports to their HQ for overall tracking of fund expenditures and project completion. An example of a project tracking system was discussed previously. It is incumbent upon the project manager to establish, maintain, and report the status of all projects to the commander. Maintaining this tracking document will provide clear data that can be analyzed and provide insight into established MOPs/MOEs and if the project is attaining required goals.
Figure 8. Project execution phase
CONTRACTOR MEETINGS

Contractor meetings are to evaluate the projects' progress, issue deficiency notices, pay contractors, notify contractors of new RFPs, and collect estimates from the previous weeks' RFPs. Having meetings with multiple contractors, all seeking work on specific projects at the same meeting, can become confusing. Contractor meetings should be held separate with those already under contract. Do not mix meeting with contractors on contracts and those seeking contracts. Some examples of meetings are post-award (awardees), pre-award (to the awardees), pre-solicitation/request for proposal (interest contractors), and information.

The project manager contacts the local contractors and provides them a secure, accessible location, and predictable time for a weekly meeting. He coordinates with the brigade paying agent for the meeting time and location.

Using the project tracker, the project manager prepares the pay receipts and deficiency notices for all current projects the evening before the meeting. Numbered cards or tickets keep contractors in a queue in the order in which they arrive while they wait to speak with the staff and the brigade paying agent. The project manager allows contractors into a private room one at a time to speak with the project manager. The project manager works with each contractor, depending on his contract activities or actions related to RFPs. These meetings often are a good source of atmospheric assessments and intelligence.

Once the meeting is complete, the project manager immediately sorts the new estimates by project and checks and returns all files to the filing cabinet. The project manager updates the project tracker to distribute to and update commanders on the week's progress. Some recommended supplies for project managers include a laptop computer, filing cabinet, digital camera, copier, printer, scanner, and portable disk drives.
SUPPORTING THE COMMANDER’S CIVIL-MILITARY OPERATIONS PLAN

When conducting mission analysis, the commander and his staff plan for the accomplishment of operational end states and associated objectives to accomplish the CMO plan. The staff will then plan the tactical courses of action to achieve each end state and support objectives to meet these goals. The commander and his staff develop a set of desired effects that support the objectives. The commander and his staff also identify a set of associated undesired effects that support the objectives. In addition, they identify MOEs and MOPs for the various related objectives and tasks, respectively.

Once execution of the CAO plan begins, every task performed or mission executed requires a critical evaluation to determine the results of the action. The evaluation validates the CAO concept of operations and determines whether the established MOEs and MOPs have been met. It also helps commanders decide when and how to adjust the plan, when to develop new plans to address unforeseen consequences of operations, and when to terminate or transition an operation.

Decisive operations follow a cycle of planning, preparation, execution, and continuous assessment. These cyclic activities are sequential but not discrete. They overlap and recur as circumstances demand. The integration of CAO and CMO at the operational level requires—

- The commander’s CMO objectives supporting the attainment of strategic goals.
- Prioritized CA tasks required to meet CMO objectives.
- MOPs that are focused on task accomplishment.
- Constant monitoring of the civic component of operations to ensure desired effects are being reached and maintained.
- Development of branch and sequels within the civil component of operations to develop contingency COAs based on likely outcomes of current military operations.

In conclusion, the intent of this GTA is to provide an overview of the critical tasks required to conduct CAO in support of CMO in the realms of finance, contracting, and CAO project management. CA Soldiers
involved in these types of operations must be adequately trained to develop, integrate, and manage the processes of CAO projects into the commander’s overall CMO plan. It matters not the number of projects or the dollar amount expended, it is paramount that the required effects are reached and they are in compliance with the commander’s intent and end states for his operational plan. These processes are ongoing during all missions and are constantly reviewed, evaluated, and prioritized according to current operational conditions, restraints, and constraints. The success of this critical aspect of the commander’s CMO plan will develop a lasting stability between the HN and military operations until the complete transfer of these operations to the HN can be achieved.
# GLOSSARY

### Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AO</td>
<td>area of operations</td>
</tr>
<tr>
<td>ASCOPE</td>
<td>area, structures, capabilities, organizations, people, and events</td>
</tr>
<tr>
<td>BCT</td>
<td>brigade combat team</td>
</tr>
<tr>
<td>CA</td>
<td>Civil Affairs</td>
</tr>
<tr>
<td>CAO</td>
<td>Civil Affairs operations</td>
</tr>
<tr>
<td>CCIF</td>
<td>combatant commander initiative fund</td>
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<tr>
<td>CERP</td>
<td>Commander’s Emergency Response Program</td>
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<tr>
<td>CMO</td>
<td>civil-military operations</td>
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<tr>
<td>COA</td>
<td>course of action</td>
</tr>
<tr>
<td>COIN</td>
<td>counterinsurgency</td>
</tr>
<tr>
<td>COR</td>
<td>contracting officer representative</td>
</tr>
<tr>
<td>DD Form</td>
<td>Department of Defense Form</td>
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<tr>
<td>DOD</td>
<td>Department of Defense</td>
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<tr>
<td>DODD</td>
<td>Department of Defense Directive</td>
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<tr>
<td>DOS</td>
<td>Department of State</td>
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<tr>
<td>DSCA</td>
<td>defense support of civil authorities</td>
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<tr>
<td>FAR</td>
<td>Federal Acquisition Regulation</td>
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<tr>
<td>FOO</td>
<td>field ordering officer</td>
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<tr>
<td>G-8</td>
<td>finance officer, comptroller</td>
</tr>
<tr>
<td>GCC</td>
<td>geographic combatant commander</td>
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<tr>
<td>GTA</td>
<td>graphic training aid</td>
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<tr>
<td>HA</td>
<td>humanitarian assistance</td>
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<tr>
<td>HCA</td>
<td>humanitarian and civic assistance</td>
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<tr>
<td>HN</td>
<td>host nation</td>
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<tr>
<td>HQ</td>
<td>headquarters</td>
</tr>
<tr>
<td>Acronym</td>
<td>Full Form</td>
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<tr>
<td>IGO</td>
<td>intergovernmental organization</td>
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<tr>
<td>IPI</td>
<td>indigenous populations and institutions</td>
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<tr>
<td>JP</td>
<td>joint publication</td>
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<tr>
<td>MCA</td>
<td>military civic action</td>
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<tr>
<td>MIPR</td>
<td>military interdepartmental purchase request</td>
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<tr>
<td>MOA</td>
<td>memorandum of agreement</td>
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<tr>
<td>MOE</td>
<td>measure of effectiveness</td>
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<tr>
<td>MOP</td>
<td>measure of performance</td>
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<tr>
<td>NGO</td>
<td>nongovernmental organization</td>
</tr>
<tr>
<td>O-6</td>
<td>colonel</td>
</tr>
<tr>
<td>O&amp;M</td>
<td>operation and maintenance</td>
</tr>
<tr>
<td>OHDACA</td>
<td>Overseas Humanitarian Disaster and Civic Aid</td>
</tr>
<tr>
<td>PPO</td>
<td>project purchase officer</td>
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<tr>
<td>RPF</td>
<td>request for proposal</td>
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<tr>
<td>S-9</td>
<td>Civil Affairs operations staff officer</td>
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<tr>
<td>SecDef</td>
<td>Secretary of Defense</td>
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<tr>
<td>SF</td>
<td>Standard Form</td>
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<tr>
<td>SJA</td>
<td>staff judge advocate</td>
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<tr>
<td>SOF</td>
<td>special operations forces</td>
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<tr>
<td>SOP</td>
<td>standing operating procedure</td>
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<tr>
<td>SOW</td>
<td>statement of work</td>
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<tr>
<td>U.S.</td>
<td>United States</td>
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<tr>
<td>USAID</td>
<td>United States Agency for International Development</td>
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<tr>
<td>USAJFKSWCS</td>
<td>United States Army John F. Kennedy Special Warfare Center and School</td>
</tr>
<tr>
<td>USC</td>
<td>United States Code</td>
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<tr>
<td>USG</td>
<td>United States Government</td>
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<tr>
<td>USSOCOM</td>
<td>United States Special Operations Command</td>
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</table>
Terms and Definitions

Civil Affairs operations
Those military operations conducted by Civil Affairs forces that (1) enhance the relationship between military forces and civil authorities in localities where military forces are present; (2) require coordination with other interagency organizations, intergovernmental organizations, nongovernmental organizations, indigenous populations and institutions and the private sector; and (3) involve application of functional specialty skills that normally are the responsibility of civil government to enhance the conduct of civil-military operations. Also called CAO. (JP 3-57)

civil information grid
A tool that provides the capability to coordinate, collaborate, and communicate to develop the civil components of the common operational picture. The civil information grid increases the situational understanding for the supported commander by vertically and horizontally integrating the technical lines of communication. Also called CIG.

civil-military operations
The activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military operations, to consolidate and achieve operational U.S. objectives. Civil-military operations may include performance by military forces of activities and functions normally the responsibility of the local, regional, or national government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence of other military operations. Civil-military operations may be performed by designated civil affairs, by other military forces, or by a combination of civil affairs and other forces. Also called CMO. (JP 3-57)
effect
The physical or behavioral state of a system that results from an action, a set of actions, or another effect. 2. The result, outcome, or consequence of an action. 3. A change to a condition, behavior, or degree of freedom. (JP 3-0)

foreign humanitarian assistance
Programs conducted to relieve or reduce the results of natural or manmade disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. Foreign humanitarian assistance (FHA) provided by US forces is limited in scope and duration. The foreign assistance provided is designed to supplement or complement the efforts of the host nation civil authorities or agencies that may have the primary responsibility for providing FHA. FHA operations are those conducted outside the United States, its territories, and possessions. Also called FHA. (JP 3-0)

humanitarian and civic assistance
Assistance to the local populace provided by predominantly U.S. forces in conjunction with military operations and exercises. This assistance is specifically authorized by Title 10, United States Code, Section 401, and funded under separate authorities. Assistance provided under these provisions is limited to (1) medical, dental, and veterinary care provided in rural areas of a country; (2) construction of rudimentary surface transportation systems; (3) well drilling and construction of basic sanitation facilities; and (4) rudimentary construction and repair of public facilities. Assistance must fulfill unit training requirements that incidentally create humanitarian benefit to the local populace. Also called HCA. (JP 1-02)

intergovernmental organization
An organization created by a formal agreement (for example, a treaty) between two or more governments. It may be established on a global, regional, or functional basis for wide-ranging or narrowly defined purposes. Formed to protect and promote national interests shared by

26 November 2012
member states. Examples include the United Nations, North Atlantic Treaty Organization, and the African Union. Also called IGO. (JP 3-08)

**knowledge management**

Techniques and procedures that encompass the processes and databases to integrate and synchronize the command and staff activity to generate supporting information and directives such as the effects tasking order, and operational reports. Also called KM.

**measure of effectiveness**

A criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect. Also called MOE. (JP 3-0)

**nongovernmental organization**

A private, self-governing, not-for-profit organization dedicated to alleviating human suffering; and/or promoting education, health care, economic development, environmental protection, human rights, and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society. Also called NGO. (JP 3-08)
RECOMMENDED RESOURCES

Department Of Defense
DODD 2205.02, Humanitarian and Civic Assistance (HCA) Activities, 2 December 2008.

Forms
DD Form 250 (Material Inspection and Receiving Report)
DD Form 448 (Military Interdepartmental Purchase Request)
DD Form 1081 (Statement of Agent Officer’s Account)
SF 44 (Purchase Order–Invoice–Voucher)

Joint Publications
JP 1-02, Department of Defense Dictionary of Military and Associated Terms, 8 November 2010.
JP 3-0, Joint Operations, 11 August 2011.
JP 3-08, Interorganizational Coordination During Joint Operations, 24 June 2011.
JP 3-34, Joint Engineer Operations, 30 June 2011.
JP 4-0, Joint Logistics, 18 July 2008.

United States Code
Title 10, Armed Forces.
GTA 41-01-007

10 USC 166a, Combatant Commands: Funding Through the Chairman of the Joint Chiefs of Staff.

10 USC 168, Military-to-Military Contacts and Comparable Activities.

10 USC 401, Humanitarian and Civic Assistance Provided in Conjunction with Military Operations.

10 USC 402, Transportation of Humanitarian Relief Supplies to Foreign Countries.

10 USC 404, Humanitarian and Other Assistance.

10 USC 407, Humanitarian Demining Assistance: Authority Limitations.

10 USC 2292-2292k, Foreign Assistance.

10 USC 2557, Excess Nonlethal Supplies: Availability for Homeless Veteran Initiative and Humanitarian Relief.

10 USC 2561, Humanitarian Assistance.

Title 22, Foreign Relations and Intercourse.

31 USC 1301a, Application.

Web Sites

Contingency Contracting Handbook available online at http://www.acq.osd.mil/dpap/pacc/cc/jcchb/


FAR 13.306 available online at http://farsite.hill.af.mil/.

Department of Defense FAR Supplement (DFAR) http://farsite.hill.af.mil/VFDFARA.htm

Army FAR Supplement (AFAR) http://farsite.hill.af.mil/VFAFAR1.htm

DOD Financial Management Regulation http://comptroller.defense.gov/fmr
Other


FAR, Subpart 1.6, *Career Development, Contracting Authority, and Responsibilities*.

*Operational Law Handbook*.