



US Army Corps of Engineers

U.S. Army Corps of Engineers

Capacity Development

White Paper

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Executive Summary

Capacity Development (CD) has increasingly gained world-wide recognition as being fundamental to effective governance, capability enhancement, enhanced ownership, and successful program and project operation and sustainability. Recent events in Iraq and Afghanistan as well as Hurricane Katrina have resulted in similar lessons learned that has helped raise the issue of CD to the forefront of United States Government policy. Both United States civilian and military agencies are revising their methods to increase the level of focus on CD as an integral part of planning for and responding to international and domestic all-hazard events.

This CD White Paper addresses how the United States Army Corps of Engineers (USACE) can incorporate CD principles by laying out a series of recommendations that will provide the foundation for establishing a comprehensive CD business practice, in conjunction with the tasks identified under Goal 1, Objective 1a of the USACE Campaign Plan, where CD planning, integration and implementation can be applied consistently across all USACE international and domestic mission areas, as applicable. These recommendations are based on the following analysis discussed in Section 2.0 of the White Paper, which are: 1) identification of current CD practices within USACE; 2) definition of existing requirements and best management practices that lead to desired end-state conditions; 3) listing the challenges that now prevent USACE from achieving the end-state conditions; and 4) provision of recommendations for a way ahead to address the challenges and take advantage of current and future CD-related opportunities.

The definition of CD, as authored by LTG Henry J. Hatch (Ret.) and as used in this White Paper is as follows:

“Capacity Development is the building of human, institutional and infrastructure capacity to help societies develop secure, stable and sustainable economies, governments and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their lives.”

CD, as a management principle, has gained support within USACE over the past few years due to successful outcomes through CD and the less than successful outcomes where CD was not used. CD became an integral component of the USACE Readiness XXI Initiative in September 2007 and a multi-disciplined Project Delivery Team (PDT) was formed to support development of a formal CD business practice for application by USACE internationally and domestically, as applicable. The PDT has provided input to the proposed CD framework for USACE and has provided input, review, and comment on the CD White Paper.

CD is driven by a combination of specific requirements, authorizing documents, and best management practices. Specific CD requirements typically exist within the framework of program or project level documents and pertain only to the scope of the program or project. Authorizing documents, as listed in Section 1.7 and Appendix A, provide broader justification to implement CD as appropriate within mission areas. Best management practices are adopted based on prior experiences within USACE and elsewhere, with incorporation of lessons learned to optimize CD implementation.

The use of CD in this White Paper is tied to the spectrum of conflict, as described in the United States Army’s Full Spectrum Operations (FSO) Field Manual 3-0. Limited aspects of CD can be

accomplished during offensive and defensive operations; however, the areas of stability operations and civil support operations present an array of opportunities for the application of CD. Water Resources is used in Section 2.4 as an example of how CD can be planned and integrated into a program and implemented throughout the conflict spectrum.

The White Paper includes a series of recommended actions for consideration by USACE senior leadership. The following summarized recommended actions, organized by topic, are also contained in Section 3.0, along with additional explanation.

1. Recognition of CD: Recognize CD as an organic capability within USACE that enables successful execution of all-hazard, contingency missions world-wide consistent with Goal 1, Objective 1a of the USACE Campaign Plan. This will establish CD as a key function and competency to be leveraged by external organizations to meet current and future requirements.

2. CD Framework: Establish and institutionalize a CD framework for USACE international and domestic application (as appropriate) that is based on: 1) the USACE missions; and 2) successful framework models developed within USACE and by other organizations for international assistance. USACE will have a consistent, proven frame of reference from which staff can implement CD under FSO abroad and within the United States.

3a. CD Business Practice and Process Establish a formal CD business practice to manage and oversee a comprehensive and consistent CD planning and implementation process in conjunction with the USACE Campaign Plan. The CD business practice will leverage current USACE initiatives involving CD, such as Civil Military Emergency Preparedness, to develop the necessary structure for successful planning, integration, and implementation of CD.

3b. CD Organizational Unit: Establish the CD business practice within the scope of the Interagency/International Services (IIS) Community of Practice (CoP). The IIS CoP will provide a permanent organizational structure from which the CD business practice can operate within USACE and will allow the CD business practice to leverage the existing IIS domestic and international relationships.

4. Interfaces, Partners and Stakeholder Involvement: Formally coordinate CD plans and activities between all participants. Effective coordination between participants will lead to less redundancy, fewer gaps, lower costs, increased efficiency, and more sustainable endpoints.

5. Program and Project Requirements Development: Include CD as a standard element in the USACE program and project development to include cost estimate and requirement identification. CD, where applicable, will become an integral part of programs and projects and will not have to be added during the final stages or omitted due to budget or schedule constraints.

6a. Acquisition Strategy and Private Sector Involvement: Determine the extent to which the private sector will be used to supplement the in-house capabilities of USACE to carry out effective CD and how to access these external resources. This will optimize the balance of CD resources and expertise between USACE and the private sector and will ensure that methods for accessing external CD resources are readily available.

6b. Contract Provisions for CD: Consider CD objectives in the acquisition strategy development process and develop appropriate CD requirements into procurements of goods and services to ensure that CD performance standards are met during implementation. Enforceable

contractual requirements for CD will be built into procurements for goods and services as appropriate; thereby eliminating confusion on expectations related to CD performance.

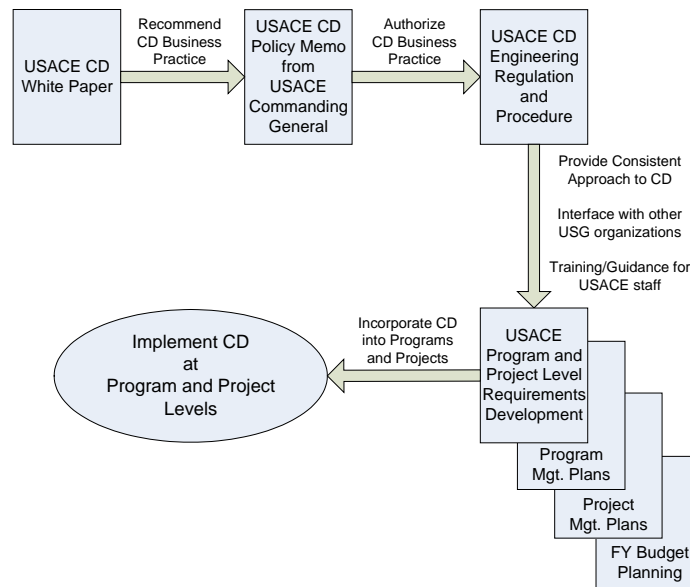
7. Tracking and Reporting: Establish a tracking and reporting system, based on defined metrics, to document progress in implementation of CD activities. USACE will have a readily available record of its completed activities that will aid in planning and refining future CD efforts and in responding to inquiries about CD planning and implementation.

8. Assessments and Continuous Improvement: Participate in external assessments and conduct periodic self-assessments of CD performance, based on metrics, and incorporate assessment recommendations and lessons learned into the CD business practice. Assessment findings, recommendations, and lessons learned will provide valuable feedback as USACE incorporates this information to continually increase the effectiveness of CD planning and implementation.

The next steps toward implementation are for USACE senior leadership to review this CD White Paper and determine the way ahead. The recommendations shown above provide guidance on 1) how to proceed with establishing a formal CD business practice; 2) where the CD business practice best fits within current organizational structure; and 3) the general roles and responsibilities of the CD business practice staff and the USACE staff that will be responsible for detailed planning and implementation of CD for programs and projects.

Figure 4-1 of the CD White Paper, as shown below, is a graphic proposal of how USACE senior leadership might proceed to establish the CD business practice and how the staff will prepare the necessary guidance and requirement documents to institutionalize the CD business practice.

Next Steps for Implementation.



The recommendations in this White Paper have been reviewed by the Readiness XXI Senior Executive Committee and summarized into a policy letter to be issued by the USACE Chief of Engineers. This will provide authorization to proceed with a comprehensive CD business practice with preparation of appropriate implementation documents. The key implementation



document would be a CD Engineering Regulation. Program and project level documents will be prepared with CD as a standard element to be considered in the requirements development process after USACE declares full operational capability for CD.



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List of Terms

AFRICOM	Africa Command
ASCE	American Society of Civil Engineers
CERAP	Corps of Engineers Remedial Action Program
CD	Capacity Development
CI/KR	Critical Infrastructure/Key Resources
CMEP	Civil Military Emergency Preparedness
COCOM	Combatant Command
CONUS	Continental United States
CoP	Community of Practice
DA	Department of the Army
DSCA	Defense Security Cooperation Agency
DHS	Department of Homeland Security
DoD	Department of Defense
DOS	Department of State
ESF	Emergency Support Function
EC	European Commission
EU	European Union
FEMA	Federal Emergency Management Agency
FEST	Forward Engineer Support Team
FOG	Field Operations Guide
FM	Field Manual
FSO	Full Spectrum Operations
GAO	Government Accountability Office
GRD	Gulf Region Division
HEC	Hydrologic Engineering Center
HQ	Headquarters
HQDA	Headquarters Department of the Army
I&E	Innovations and Experimentation
IIS	Interagency/International Services
IMCOM	Installation Management Command
IWR	Integrated Water Resources
IWRM	Integrated Water Resources Management
JICA	Japan International Cooperation Agency



MCC	Millennium Challenge Corporation
MNSTC-I	Multi-National Security Transition Command - Iraq
MOA	Memorandum(a) of Agreement
MOU	Memorandum(a) of Understanding
MDG	Millennium Development Goals
NATO	North Atlantic Treaty Organization
NGO	Non-governmental Organization
NIPP	National Infrastructure Protection Plan
NRF	National Response Framework
NSHS	National Strategy for Homeland Security
NSS	National Security Strategy
OCONUS	Outside Continental United States
OECD	Organization for Economic and Co-operation Development
OPORD	Operations Order
PCO	Project and Contracting Office
PDT	Project Delivery Team
SA	Secretary of the Army
SAME	Society of American Military Engineers
SME	Subject Matter Expert
SO	Stability Operations
SOP	Standard Operating Procedure
SWEAT	Sewer, Water, Electricity, Academics, and Trash
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNDP	United Nations Development Programme
US	United States
USACE	United States Army Corps of Engineers
USAID	United States Agency for International Development
USG	United States Government

1.0 Introduction and Background

The United States Army Corps of Engineers (USACE) has employed Capacity Development (CD) methods for decades; often as a common-sense method of preparing and equipping owners of new or refurbished infrastructure facilities, systems, and equipment to manage, operate, and maintain the infrastructure in a sustainable manner. USACE uses various training, teaching, and mentoring programs aimed at strengthening public and private sector management, engineering, and technical capabilities to support self-reliance among foreign and domestic entities. USACE also implements programs with missions that are inherently focused on CD. The combination of CD aimed at improving the sustainability and effectiveness of infrastructure facilities and the broader, programmatic application of CD to develop and enhance engineering and technical capabilities of service recipients is the focus of this White Paper.

This CD White Paper sets the stage to formalize this important function within the USACE mission areas. It describes the current issues associated with CD and the proposed processes that will be institutionalized under Goal 1, Objective 1a of the USACE Campaign Plan to support various USACE international and domestic missions, as applicable.

The USACE definition of CD is provided in Section 1.1. The methods by which USACE can improve its delivery of CD, both internationally and domestically, as applicable, are provided through the remainder of this CD White Paper.

USACE senior leadership fully endorses CD planning and implementation as a key component within various programs and as a method to improved sustainability and long-term effectiveness of USACE projects worldwide. The concept of CD has been promoted from the USACE senior leadership for many years, as shown by the following statement:

“Sustainable development has clearly matured to an enduring and invaluable vision. It is conceptually solid and powerful, critically important, and achievable. Without it, worldwide stability and security will fail to exist and hence, no enduring peace. Our children and their children deserve a future of security, stability, sustainability, and peace. I don’t believe we can risk the consequences of a future that does not have those features. It is up to us, the doers in this life, to ensure that future generations receive that heritage.”

LTG Henry J. Hatch (Ret.)
Chief of Engineers, USACE (1988 to 1992)

USACE conducts its missions in the form of projects and programs within the United States (US) and abroad. A “project” is a specific activity with a defined cost, scope, and schedule for completion. Many projects must be supported by an appropriate level of CD to achieve sustainable results. A “program”, for the purposes of this CD White Paper, is a broader, more encompassing mission element that continues from year to year and may or may not contain specific projects. CD is often the key mission component of a program and can be a program in

its own right. The terms projects and programs are used extensively in this document and differentiation between the two is important.

The need for CD extends beyond the USACE role in developing critical infrastructure projects. USACE often plays a part in larger United States Government (USG) efforts involving full spectrum operations (FSO). FSO is described more fully in Field Manual (FM) 3-0 which was issued in February 2008 and in Section 2.0 of this White Paper. FSO is comprised of offensive operations, defensive operations, stability operations (SO), and civil support operations.

USACE's support of various professional engineering organizations is also an important activity that promotes engineering, design, and construction capabilities within other nations and leads to sustainability in these areas. This represents a "pre-emptive" application of CD, meaning that CD is not just a tool to use under emergency, conflict, or post-conflict conditions.

The USACE Chief of Engineers issued Operations Order (OPORD) 2007-09, Readiness XXI Implementation to meet these requirements. Readiness XXI is based on the USACE capability and preparedness to do the following:

- "Shape and institutionalize USACE capabilities for Stability, Reconstruction, and Homeland Security;
- Provide the Nation with highly adaptable and effective engineer and technical support for joint, combined and interagency/intergovernmental operations; and,
- Be responsive to the National Strategies and interests during peace and war, wherever needed in both domestic and international venues." (USACE 2007b)

The Readiness XXI initiative, through the implementation of multiple Project Delivery Teams (PDT), is working to better leverage its civil and military capabilities to provide a more consistent, effective, and efficient level of support across all the focus areas listed above.

CD must be incorporated into these efforts at a program and project level to be successful. Serving as a force multiplier, CD can be used to improve the ability of government to manage its own programs and projects. This increases efficiency and resiliency, reduces cost, and decreases the likelihood of government failure due to the inability to manage its affairs and to provide essential services to its citizens.

The concept of CD is intuitive, yet it has often been overlooked by agencies, including USACE, in the haste of responding to emergencies, meeting construction schedules, or assuming that there is a commitment to sustainability and a mechanism to pay for it. Managers understand that once systems, processes, facilities, and equipment are put into place, there is an expectation that performance and service will continue as designed.

The valuable lessons learned on missions and specific projects over the years have taught us that the appropriate level of CD must be planned into the process; it does not just happen. This planning involves defining the right level and approach for CD (i.e., scope) and providing sufficient time and funding (i.e., schedule and budget) to conduct the CD activities at the program and project levels, to track performance, and to measure the outcomes over time. Planning must also take into consideration how CD can be used as a prevention or preparedness tool to reduce the likelihood of a larger, more costly effort during the response or recovery phase of an all-hazard event.

The appropriate use of CD is essential to achieving cost-effective mission results that meet the objectives of both USACE and the service recipient. The term “service recipient” is used throughout this CD White Paper and refers broadly to any party that may be the beneficiary of USACE mission services. This includes foreign governments and citizens, USG departments or agencies, state and local governments, and the private sector.

The purpose of CD is to prepare, train, and equip the service recipients or host nations to stand on their own without the need for continued intervention by the USG or other parties. The USG can not continue to provide basic functions for other organizations on a permanent or even long-term basis. It is best to assist the service recipients in achieving sustainability and to grow on a solid foundation of knowledge, preparation, and capabilities. USACE views CD as a tool through which it can help build this sustainability, while in many cases, helping to meet the immediate and critical needs of the general population.

The methods by which USACE implements CD must be compatible with on-the-ground circumstances, including governance, economics, and overall capabilities of the service recipients. The methods by which USACE will employ a formalized approach to CD are described more fully in Section 3.0. CD is a component of operations that provides positive, sustainable results to USACE and USG missions and objectives. USACE mission activities that involve external customers or service recipients will be evaluated in terms of the need for CD integration into the system.

There is a need for CD as a key activity for USACE international and domestic mission areas. This premise leads to the conclusion that CD, as a key activity, must be sanctioned as a USACE policy and governed by a set of implementing requirements. Such requirements must be structured to provide a consistent approach in application, yet flexible enough to support specific objectives. The type and level of CD and the need for interface with other organizations varies between applications and is highly dependent on the existing capabilities and resources of the service recipients.

The absence or misapplication of CD generally results in a negative outcome, described in more detail in Section 1.6. Negative outcomes can be viewed as a continuum that ranges from sub-optimization, missed opportunities, and inefficiencies to outright failure of critical systems. The inability of governments to effectively function and to provide Critical Infrastructure/Key Resources (CI/KR) to their citizens has, in the worse cases, resulted in government instability, conflict, and failure.

The organization responsible for the CD White Paper is Headquarters (HQ) USACE, Directorate of Military Programs. The point of contact is Ms. Sheryl Lewis, Capacity Development Program Manager, 441 G Street NW, Washington D.C. 20314, telephone (202) 761-5750, e-mail address sheryl.e.lewis@usace.army.mil. Requests for additional information on the USACE CD business practice or comments regarding necessary revisions to this White Paper and preparation of follow-on implementation documents should be submitted to Ms. Lewis.

1.1 Definition of Capacity Development

The definition of CD in the broadest sense is simply the process or set of processes that leads to the desired endpoints of increased capabilities, self-determination, and sustainability. The goal is that governments or other organizations will acquire and maintain the skills and abilities to



manage their own affairs on a sustainable basis with little or no external assistance. The results of effective CD are attitudes, capabilities, and resiliencies that enable entities from national governments down to individual public and private components to maintain and sustain themselves. This sustainability is dependent on a cultural commitment to achieve these results.

LTG Henry J. Hatch, USACE (Ret.), former USACE Chief of Engineers and a well-known CD advocate, developed the following definition:

“Capacity Development is the building of human, institutional and infrastructure capacity to help societies develop secure, stable and sustainable economies, governments and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their lives.”

This definition encompasses the application of CD to the broad spectrum of USACE mission activities, and therefore is adopted as the governing definition within this CD White Paper. This expansive definition may be refined as appropriate for specific applications in the field, but any specific definitions must be developed within this context.

The need for CD goes well beyond the overall USACE mission; therefore it is necessary to work with other organizations to establish the entire structure, from national governance, laws and regulations, and business systems down to the working level, which includes capabilities to operate and maintain critical infrastructure systems. CD, when applied to a major program, typically involves interface, cooperation, and integration between a number of government agencies (national and international), non-governmental organizations (NGOs), and private sector participants. Many of these organizations have long histories of using CD to optimize their efforts in providing assistance to others and to achieve sustainable outcomes. These organizations each have their own working definitions of CD that were developed to fit their areas of responsibility. The definitions listed in Table 1-1 were prepared by organizations with an international focus; however, the same basic principles can be applied within the US to meet the specific needs and circumstances of domestic service recipients.



Table 1-1. Definitions of Capacity Development by Selected Organizations.

Organization	Definition
United Nations Development Programme (UNDP) <i>Capacity for Development, New Solutions to Old Problems (2006)</i>	Definition of CD: process by which individuals, organizations, institutions and societies develop abilities (individually and collectively) to perform functions, solve problems and set and achieve objectives.
Organization for Economic Co-operation and Development (OECD) <i>The Challenge of Capacity Development: Working Towards Good Practice</i>	Definition of CD: process whereby people, organizations, and society as a whole unleash, strengthen, create, adapt, and maintain capacity over time.
European Commission <i>Institutional Assessment and CD, Why, What and How? (2005)</i>	Definition of CD: process by which people and organizations create and strengthen their capacity over time. (Capacity is ability to perform tasks and produce outputs, to define and solve problems, and to make informed choices).
Japan International Cooperation Agency (JICA) <i>CD Handbook for JICA Staff (2004)</i>	Definition of Capacity: the ability (problem solving ability) of individuals, organizations, institutions, and societies to individually or collectively perform functions, solve problems, and set and achieve objectives.
Asian Development Bank <i>Integrating CD into Country Programs and Operations, Medium-Term Framework and Action Plan (2007)</i>	Definition of Capacity: the ability of people, organizations, and society as a whole to manage their affairs successfully.
Swedish International Development Cooperation Agency <i>Policy for CD as a Strategic Question in Development Cooperation (2000)</i>	Definition of Capacity: overall concept for the conditions that must be in place, for example knowledge, competence, and effective and development-oriented organizations and institutional frameworks, in order to make development possible.
U.S. Army Project and Contracting Office (PCO) <i>Iraq Capacity Development PCO Management and Interface Plan (2004)</i>	Definition of CD: enabling individuals, organizations and groups of interrelated organizations to perform functions effectively, efficiently and sustainably. CD does not take place simply through training, the addition of staff, or the creation of new organizations, but is based upon establishing an enabling environment in which organizations can perform their work in a well structured, effective manner. CD, in the context of rebuilding Iraq's infrastructure, is the provision of the structures, systems, tools, capabilities, and training necessary to operate and maintain the infrastructure improvements that are currently underway. This includes activities that range from the highest level of Iraqi government structure and policy to training of operations and maintenance staff at a newly constructed facility.

1.2 Scope of White Paper

This CD White Paper is a high-level document that addresses the need for CD within a variety of USACE international and domestic mission areas, provides an overview of CD, and presents recommendations for CD planning, integration, and implementation.

The objective of this CD White Paper is to prepare the foundation for a USACE-wide approach to CD that can be used in international and domestic settings, as applicable, during peace time, pre-conflict, conflict, and post-conflict conditions, disaster preparedness and response conditions, and routine or normal conditions. These conditions are described in the context of FSO in Section 2.0. This approach will integrate CD into the planning and execution phases for each appropriate program or project carried out within FSO to meet the needs of the service recipients.

The CD White Paper is not intended to provide detailed execution strategies within USACE mission areas. Rather, USACE management will review the CD White Paper and determine the next steps to take in developing and institutionalizing a comprehensive USACE CD business practice that will be formalized through USACE doctrine and specific implementing documents. This process is discussed further in Section 4.0.

The USACE CD business practice scope does not apply to internal preparation and training of USACE staff, as other programs are in place to meet these needs. Therefore, the scope of this CD White Paper does not address USACE staff training needs.

The Readiness XXI objective is for USACE to be directly and effectively engaged in the complex tasks of FSO, including SO and civil support operations. This CD White Paper is an essential step in meeting the USACE Commander's Intent for Readiness XXI.

Development of Readiness XXI with a Full Operational Capability means that:

“USACE is a responsive command that can rapidly deploy trained/equipped teams from its workforce to contingencies, worldwide, leveraging technology and reachback capabilities to provide support for military and civil operations.” (USACE 2007a)

1.3 Problem Statement

The problem regarding current application of CD in the USACE mission is stated, as follows:

Success of many USACE missions is based on effective CD, yet most mission areas do not have required or specified approaches for planning and implementing CD into the work. There is a basic lack of understanding of how to apply CD by most home-station and deployed USACE personnel and all too often, a lead agency is not identified for CD implementation. This inconsistent approach to CD results in gaps in the outcomes between current conditions and the desired end state.

The USACE mission areas provide critical support and are essential to the success of the USG mission both internationally and domestically. CD has world-wide recognition as being fundamental to effective governance, capability enhancement, enhanced ownership, and successful program and project operation and sustainability. USACE has planned and implemented CD into certain programs and projects with success and it is time to apply these

successes in a consistent manner through an agreed-upon CD policy into other mission areas as well as all phases of program and project lifecycles, as appropriate. USACE has the opportunity to be a national and world leader in CD as it applies the principles to its various missions.

Perhaps the largest challenge that USACE faces in CD is the cultural change needed to recognize, appreciate, and accept the rigor, attention, and level of effort that is required for successful CD implementation. This step must precede the systematic implementation and incorporation of CD into USACE-wide planning and management processes. Some USACE organizations have adopted CD and are enjoying the results, but CD has yet to be universally accepted and applied within USACE as an established process.

The diversity of mission areas within FSO presents challenges to USACE in internal integration and program interfaces and in critical interfaces with external organizations and service recipients. USACE must also meet the following challenges to successful CD implementation in its programs and projects:

- Development of meaningful metrics to measure the value of CD activities, particularly in the short-term;
- Creation of budgets and schedules that accommodate CD activities in conditions during or immediately following a conflict;
- Potential instability of host nation government and governance structure; and,
- Acceptance of the importance of CD as a priority by USACE customers and other agencies.

1.4 Current Conditions and Opportunities

Current USACE requirements and guidelines do not include a specific approach for consideration and application of CD; hence inconsistencies and omissions occur in this important area. Resulting gaps, deficiencies and instances of sub-optimization related to CD are generally not well documented except in extreme cases, such as the Hurricane Katrina response or the Iraq Reconstruction Program. This does not mean that a rigid approach to CD should be used in every application, but a consistent approach for considering the extent to which CD should be incorporated into USACE programs and projects and then CD should be applied as appropriate.

USACE has not routinely conducted assessments across its programs specific to its capabilities or effectiveness in the areas of CD and sustainment. It is clear, however, that a wide variation exists in implementation of CD from program to program and project to project and that CD has a bearing on the final outcome and sustainability within certain mission areas. Outcome metrics, and in many cases output metrics, are not well-defined for CD, so determining the extent to which CD may have helped to meet stated objectives and lead to long-term sustainability is often a challenge. The lack of metrics also makes it difficult to determine how the absence of CD may have contributed to an undesirable, unsustainable outcome. It is immediately obvious, however, when projects constructed by USACE are not maintained and fall into disrepair once the USG is no longer involved in the project.

CD, as a key function within the USACE mission areas, leads to sustainability of services provided by USACE and strengthens the capabilities of international and domestic service

recipients. There are significant differences in CD needs in the US and CD needs in foreign nations. These differences include the type and level of required CD, the timeframe over which CD is necessary, the required CD budget, and the extent of necessary engagement with other organizations and governments.

The USACE mission areas are subject to change as world events alter the conditions in which we live. A large organization that must adapt to changing and expanding mission areas, roles, and customers is always faced with significant challenges. The current international and domestic conditions described above afford USACE opportunities to make changes that improve conditions, but at the same time present challenges to success.

USACE has an opportunity to shift further toward an “expeditionary mindset”, embracing a cultural attitude that recognizes staff will be called upon to deploy around the globe, often with little notice, to support wartime or disaster response and recovery requirements. USACE staff must be agile, ready and flexible enough to accomplish our continuing and contingency missions, both at home and abroad. There is a present need and opportunity to build on the existing culture and flexibility through personnel actions, policies, and procedures.

1.4.1 International Capacity Development

USACE is well-positioned to positively impact programs and projects under its own control and to support other organizations in niche roles on larger or more complex undertakings. USACE has a presence in over 100 countries, conducting missions that can benefit from incorporation of CD. USACE is a recognized leader in certain niche areas that are closely associated with CD needs worldwide (e.g., water resources, CI/KR protection, homeland security and emergency management, and environmental protection).

USACE is well-positioned to positively impact programs and projects under its own control and to participate with other government agencies and international organizations in niche roles on larger or more complex undertakings. The following are some of the present international conditions and opportunities for USACE to consider in CD planning and implementation:

International Recognition of Aid Effectiveness and Capacity Development

The Paris Declaration, endorsed on March 2, 2005 by over 100 donor nations and developing countries, international organizations, and civil society organizations, initiated a global movement to reform how aid to foreign nations is conducted and to address the impact of such aid on development. The Declaration moved the issue of aid effectiveness beyond just high-level consensus and presented an action-oriented roadmap to improve the quality of aid. This included the following key principles: ownership, donor alignment with partner strategies, donor harmonization, mutual accountability, and managing for results. (Paris Declaration 2005)

The Paris Declaration recognized CD as a fundamental component of development, aid effectiveness, and the ability to meet the Millennium Development Goals (MDG) laid out in the United Nations Millennium Declaration. More than \$15 billion a year, over a quarter of donor aid, has been applied towards technical cooperation and CD; however, developing sustainable capacity in partner countries has generally not been achieved to the expected levels. The Paris Declaration has catalyzed donor countries, international organizations, and other aid providers to look at their current approach to aid and to implement reforms by incorporating the key

principles identified above and by making CD an explicit objective of development and poverty reduction strategies.

The USG developed an Action Plan in response to the Paris Declaration that identifies how the USG will conduct its processes for providing external aid. This Action Plan serves as a guide to USACE in its international CD initiatives. The following are excerpts from the Action Plan:

“The United States recognizes the importance of development assistance of partner country ownership and leadership. Partner country ownership is reflected in sound economic policies, democratic institutions, and investments that are in the popular interest.”

“An important part of donor efforts to harmonize should be to define how to include non-state donors in the process of harmonization.”

“Capacity Building is an essential component of partner country ownership and leadership.”

“Capacity building efforts must include both state and non-state actors and should encourage international linkages among members of civil society, including universities, NGOs, and the for-profit private sector.”

Momentum created by the Paris Declaration and subsequent events presents an opportunity for USACE to formalize its CD approach and participate in CD planning and implementation being undertaken by the USG and the international community. This momentum also allows USACE to build upon its in-house capabilities and expand the current scope of CD initiatives by strengthening and forming new partnerships and alliances with public and private sector CD implementation entities globally, including foreign governments and NGOs.

USG Restructuring Efforts for Stability Operations

The USG has been reorganizing itself to more effectively undertake FSO, with a heavy emphasis on SO to address current approaches to external aid, incorporating lessons learned in Iraq and Afghanistan, and responding to recent geopolitical changes. The following excerpt from a 2008 report by the Institute for the Study of Diplomacy describes the challenges facing the USG in restructuring itself to conduct effective SO missions:

“The ineptness of initial U.S. efforts in Iraq and Afghanistan, after military victory... was achieved, indicates that the United States was unprepared to play the lead role in rebuilding two failed states. Yet, the 2002 National Security Strategy of the United States argues that America is now threatened less by conquering states than by failing ones. This means that to safeguard its interests, the United States must learn to do better all the things it did poorly in Iraq and Afghanistan—meshing civilian and military instruments of national power, pursuing effective counterinsurgency strategies, engaging in effective national reconstruction policies, and working effectively with nongovernmental, bilateral, and multilateral partners in a wide range of economic, social, security, and legal/governance fields.”

Examples of initiatives undertaken by the USG to restructure include:

- Establishment of the Department of State Office of the Coordinator for Reconstruction and Stabilization (S/CRS) in 2004 to lead, coordinate, and institutionalize USG civilian capacity to prevent or prepare for post-conflict situations, and to help stabilize and reconstruct societies in transition from conflict or civil strife. These are cases in which

conflict of civil strife has recently occurred, is presently occurring, or may likely occur in the near future.

- Issuance of National Presidential Security Directive 44 (NSPD 2005) in December 2005 established the Department of State (DOS) as the lead coordinating agency to improve coordination, planning, and implementation for reconstruction and stabilization assistance for foreign states and regions.
- Issuance of Department of Defense (DoD) Directive 3000.05 (DoD 2005) in November 2005, which established DoD policy that SO is a core US military mission that DoD will be prepared to conduct and support with a priority comparable to combat operations. The Directive identified developing indigenous capacity as a key long-term goal of DoD SO activities.

Establishment of a formal CD business practice will help position USACE to actively participate in the development of USG CD policy. CD will serve as an important program or project component in all cases where sustainability is a consideration. USACE will be able to coordinate with both civilian and defense agencies to perform an array of CD planning and implementation activities.

Conflict Prevention and Foreign Assistance

A 2004 Defense Science Board study noted that since the end of the Cold War, DoD has conducted a new post-conflict SO mission once every two years (DSB 2004). The study also noted that over 80 percent of DoD operational funds have been committed to post-conflict SO during the past fifteen years. DoD is pursuing a strategy of conflict prevention to reduce the costs associated with post-conflict SO missions.

The USACE Civil Military Emergency Preparedness (CMEP) program is one example of this strategy. CMEP has been specifically sought by the regional Combatant Commanders and supports DoD, Combatant Command (COCOM), and Army security cooperation objectives in Europe – North Atlantic Treaty Organization (NATO). CMEP helps shape the security environment, support political-military priorities, and reduce demand for DoD resources by building partner capacities to conduct consequence management, humanitarian relief, and disaster response operations. This program also supports priority and strategic objective three laid out in the Chairman of the Joint Chiefs of Staff Guidance for 2007-2008, which states that the US will,

“develop – with the Combatant Commanders and in cooperation with our partners – integrated theater engagement plans that strengthen relationships with enduring allies, improve ties to emerging partners, and engage and better understand potential competitors” and “build and reinvigorate relationships through Theater Security Cooperation with a focus on capacity building, humanitarian assistance, regional frameworks for improving governance, and cooperation in enforcing rule of law.”

The potential exists to expand the CMEP program to provide this service as a component of all COCOM security strategies. CMEP activities conducted throughout the globe could also be expanded to include working with countries to identify, assess, and protect critical infrastructure, to support conflict management, and to assist in consequence management.

Water Resources

The President of the World Water Council stated that, “Water is one of the key priorities for this century. Humanity will move towards peace and development only if it ensures access to water and sanitation to the largest majority of the people on this planet.” (WWF 2008)

Water stress affects much of the world, with over 35 percent of the world’s population suffering from the lack of safe water and adequate sanitation, living in high-risk flood and drought environments, and loss of irrigated land, according to a 1995 report (University of Kassel 1995). This report projected that over 50 percent of the world’s population could suffer from water stress by 2025 if nothing is done. The effects of water stress are exacerbated by the recent growth of the world’s population by two billion people over the past two decades and the increased consolidation of developing country populations in urban centers. This demographic change places more demands on urban water systems that may not be able to keep pace with the needs. A 2003 study undertaken by Population Action International identified three key factors that are closely correlated with the outbreak of civil or internal conflict: 1) a high proportion (40 percent or more) of young adults (aged fifteen to twenty-nine years), 2) a rapid rate of urban population growth, and 3) low availability of cropland and/or renewable freshwater (Crocker et. al. 2008).

Pressure continues to increase on showing progress in critical areas with the establishment of the United Nation’s led MDGs and the International Decade for Action “Water for Life” on World Water Day in 2005. These critical areas include poverty reduction, environmental sustainability, and increased security by addressing water-related issues such as irrigation, water supply, sanitation, hydropower, and human settlements.

The USG has developed its own water goals, in addition to the MDGs which include halving the percent of people without sustainable access to safe drinking water by 2015. The following specific USG goals and objectives were included in the recently issued USACE Integrated Water Resources (IWR) Fact Sheet. (USACE 2008)

- USG goals for international water resources are to: (1) increase access to and effective use of water and sanitation to improve human health; (2) improve the practice of water resources management and increasing water productivity; and, (3) improve water security by strengthening cooperation on shared waters.
- USACE objectives for international water resources encompass the full spectrum of the Corps’ Campaign Plan goals as applied for the benefit of (1) supporting stability, reconstruction and humanitarian support to developing and emerging countries, particularly for post-disaster nations and regions, and for (2) informing and improving the USACE provision of water resources solutions to domestic civil works programs.

The IWR goals and objectives include both direct USACE support to the Combatant Commanders and support through partnerships with other federal agencies and a wide range of international and nongovernmental organizations. This support reduces the destabilizing forces associated with poverty as linked to a lack of access to water and sanitation.

Other focus areas include improved watershed management, increasing the productivity of water, addressing the linkage between water and security and water and poverty, and utilizing water as second track diplomacy.

CD is one of the main themes that has run through previous international fora on water-related issues and will be discussed at the upcoming 5th World Water Forum in Istanbul, Turkey. This Forum will address issues identified in the second World Water Development Report, such as how to enhance knowledge and local capacities to fill the gap between current conditions and the desired end state. This report states that success in water development will only be achieved when enhancement of local capacities takes place to address water-related challenges.

Participation in global water events such as the World Water Forum and World Water Counsel allows USACE to develop high-level relationships with key partners and to position itself as a leader in water resource issues with the ability to effectively influence decisions. These relationships will strengthen USACE's role as a critical partner in conducting water-related CD activities within the international community. These partnerships are critical to USACE's ability to build its international position as world-class in Integrated Water Resources Management (IWRM) and water engineering.

The opportunity exists to increase USACE involvement in water-related CD activities through the United Nations Educational, Scientific and Cultural Organization (UNESCO). The US National Committee for UNESCO recently nominated the USACE Institute for Water Resources as the first US-based Center for IWRM. The center will enable USACE to advance the concepts and implementation of IWRM, work to disseminate information, build the capabilities of developing and emerging countries, contribute to the achievement of the MDGs, and provide pre-and post-disaster support to nations around the world.

Africa

The US 2006 National Security Strategy (NSS) identifies Africa as a high priority and a continent that “holds growing geo-strategic importance.” The NSS promotes a strategy of partnership with African nations to support “economic development and the expansion of effective, democratic governance so that African states can take the lead in addressing African challenges.” The NSS commits the US to work with African nations on a number of CD-related initiatives including strengthening the domestic capabilities and regional capacity of the Africa Union. USACE participation will help support African nations in the areas of post-conflict transformations, consolidation of democratic transitions, and improvement in methods of peacekeeping and disaster response.

Increasing populations, expanding economies, and regional strife in many African countries are placing more strains on food needs. This issue is compounded by the lack of water resources management capabilities throughout the continent in the areas of flood control, irrigation, hydropower, and environmental stewardship. A series of articles authored by the Environmental Change and Security Program's Navigating Peace Initiative points out that within the 53 African countries, 63 river basins cross international borders (Julien et al. 2006).

The articles also point out that the four most economically developed countries – South Africa, Namibia, Botswana, and Zimbabwe – receive less rainfall than the majority of other African countries and depend on rivers for much of their water supply. River water available to these countries has, in many cases, been depleted or contaminated by countries upstream. Dependency on sound water resources management policies of neighboring countries increases the economic security threat to African nations.



The Africa Command (AFRICOM) is currently being stood up to carry out the commitments outlined in the NSS. This mission presents a number of opportunities for USACE CD activities because the command focus will be on partner capacity building and humanitarian assistance, as opposed to theater combat operations. AFRICOM engagement objectives include assisting the Africa Union and African regional organizations; developing security structures and fostering stability; focusing assistance on sustainable programs; helping African Standby Forces become fully mission capable; developing and implementing security programs that foster military training and education and peacekeeping and peace operations capabilities; and conducting stability programs by partnering with others (e.g., USG, allies, NGOs).

USACE can leverage its vast capabilities in IWRM to expand its assistance to African nations while supporting AFRICOM engagement objectives through CD, activities such as those conducted by CMEP. These activities include support in conflict resolution; shared vision building; performing water-related assessments and studies in partnership with African nations; providing sustainable technology expertise; and transferring research and development tools.

Example: The Hydrologic Engineering Center (HEC) provided Water Resources Engineering training in Nairobi, Kenya and Addis Ababa, Ethiopia in May and June 2007, as a result of a request from the Combined Joint Task Force – Horn of Africa. The training used HEC software and included basic concepts of rainfall-runoff modeling, open channel hydraulic modeling, and groundwater training. A follow-up train-the-trainer course was conducted in January 2008 for an Ethiopian delegation focusing on more detailed understanding and applications of HEC software including the geospatial processing software. Training involved utilization of actual watershed data in Ethiopia, allowing the delegation to return home with a complete, useable watershed model.

Support to Women and Women-owned Businesses

Working women and women-owned businesses have become more prevalent throughout the world over the past several years. This fact is important for two reasons. First, it results in significantly more resources available to work on critical projects; and second, women in the public and private sectors frequently need the type of assistance and CD that can be provided by USACE.

The Iraq Reconstruction Program executed by the USACE Gulf Region Division (GRD), in support of the US Central Command and DOS, has served as a model for effective planning and implementation of activities to strengthen Iraqi women and women-owned businesses since 2004. Key components of the GRD Women's Program include:

- Development and administration of a national database of women-owned businesses;
- Sponsorship and participation in bidders' conferences and other contracting and networking sessions;
- Job fairs;
- Interface with women's professional and business associations;
- Training and mentorship to Iraqi women employed by GRD or contractor staff;
- Web-based training; and,
- Coordination with national ministries to develop business programs and targeted training.

These initiatives have led to the training of over 6,000 Iraqi women and the award of over 1,600 contracts under the reconstruction program. The GRD model used in Iraq can be exported to other countries and tailored to meet specific needs.

Professional Associations

The increased emphasis on CD is causing a shift in how US and international professional associations conduct operations. Professional associations, such as the American Society of Civil Engineers (ASCE), are increasingly looking at ways in which they can export their capabilities to other nations. This will support the building of indigenous capacity and reduce the causes of instability and conflict while satisfying professional society objectives to increase membership through the establishment of additional branches both abroad and domestically.

The opportunity exists for USACE to leverage its strong relationships with the professional association community to expand the full range of CD capabilities USACE can offer in support of FSO. Possible CD services that could be provided through the professional association community include advisory and site missions; executive exchanges; internships, seminars, workshops and conferences, training courses, continuing education, and professional development.

1.4.2 Domestic Capacity Development

USACE has an expanding role in CD within the US as it builds on traditional core mission areas and takes on new mission areas as needs arise. The USACE role in homeland security is a relatively new mission area, as the all-hazards approach to emergency management now includes planning for, response to, and recovery from terrorist events and incidents involving weapons of mass destruction. The areas of homeland security and emergency management provide substantial opportunity to employ the principles of CD. Other areas in which USACE is engaged in CD or could be engaged in CD include water sources, environmental protection, and partnerships with professional associations. Each of these areas is addressed in more detail below.

Homeland Security

USACE has key roles in disaster response and recovery operations under the National Response Framework (NRF), including the role as the Emergency Support Function (ESF) Coordinator for ESF #3, Public Works and Engineering. DoD/USACE is the Primary Agency for response under ESF #3. DoD/USACE also serves as a Support Agency for other ESFs, as follows:

ESF #1	Transportation	ESF #10	Oil and hazardous materials response
ESF #4	Firefighting	ESF #11	Agriculture and natural resources
ESF #6	Mass care, emergency assistance, housing, and human services	ESF #12	Energy
ESF #7	Logistics management and resource support	ESF #13	Public safety and security
ESF #8	Public health and medical services	ESF #14	Long-term community recovery
ESF #9	Search and rescue		

Section II Chapter 1 of the NRF states that, “Governments at all levels have a responsibility to develop detailed, robust, all-hazards response plans.” This NRF directive provides an opportunity for USACE to leverage its existing disaster response planning capabilities to increasingly engage with State, local, and tribal governments in the development of these all-hazard response plans.

Recent man-made disasters such as the September 11, 2001 terrorist attacks and natural disasters such as Hurricanes Katrina and Rita have caused the US to reevaluate the strength and effectiveness of its existing emergency management paradigms. USACE conducted a series of listening events involving over 1,300 public and private sector stakeholders during 2000 (USACE 2000). The results of this initiative included the need for the federal government to 1) more proactively prepare, coordinate, and plan for natural disasters, 2) provide more timely and efficient natural disaster response across Federal, State, and local agencies, 3) better balance water distribution between municipalities during droughts, and 4) improve coordination across federal agencies regarding disaster assistance programs to address some of the concerns listed below:

- Improvement in efficiency of natural disaster response operations needed – Dallas, TX
- Emergency response lacking on waterways – Louisville, KY
- Limited existing regional capabilities and best management practices for hazardous material and oil spill cleanup – Louisville, KY

Strategies such as the National Strategy for Homeland Security (NSHS), NRF, and the National Infrastructure Protection Plan (NIPP) are now focusing on the increased involvement from State, local, and private sector communities throughout the emergency management process, to include not only response and recovery, but also preparedness.

The 2007 “National Strategy for Homeland Security” (HSC 2007) identifies the following four goals on which the nation should focus: 1) prevent and disrupt terrorist attacks; 2) protect the American people, critical infrastructure, and natural resources; 3) respond to and recover from incidents that do occur; and 4) continue to strengthen the foundation to ensure long-term success. The first three goals address how to organize national efforts, and the fourth goal addresses the need to transform the nation’s homeland security principles, structures, and institutions through the application of a comprehensive approach to risk management and building a culture of preparedness.

The critical factor identified by the emergency management community in meeting the NSHS goals is developing and strengthening a culture of preparedness among all public and private sector stakeholders. This need for preparedness is discussed in further detail in both the NRF and the National Preparedness Guidelines (Guidelines). While the primary focus of the NRF is on the actual response, it also emphasizes the need for preparedness. The NRF states that, “Effective response activities begin with a host of preparedness activities conducted well in advance of an incident. Preparedness involves a combination of planning, resources, training, exercising, and organizing to build, sustain, and improve operational capabilities.”

The Guidelines recognize that preparedness requires a “coordinated national effort involving every level of government, as well as the private sector, nongovernmental organizations, and

individual citizens” and provides an overarching vision, tools, and priorities to shape national preparedness.

The Guidelines organize preparedness capabilities into five categories:

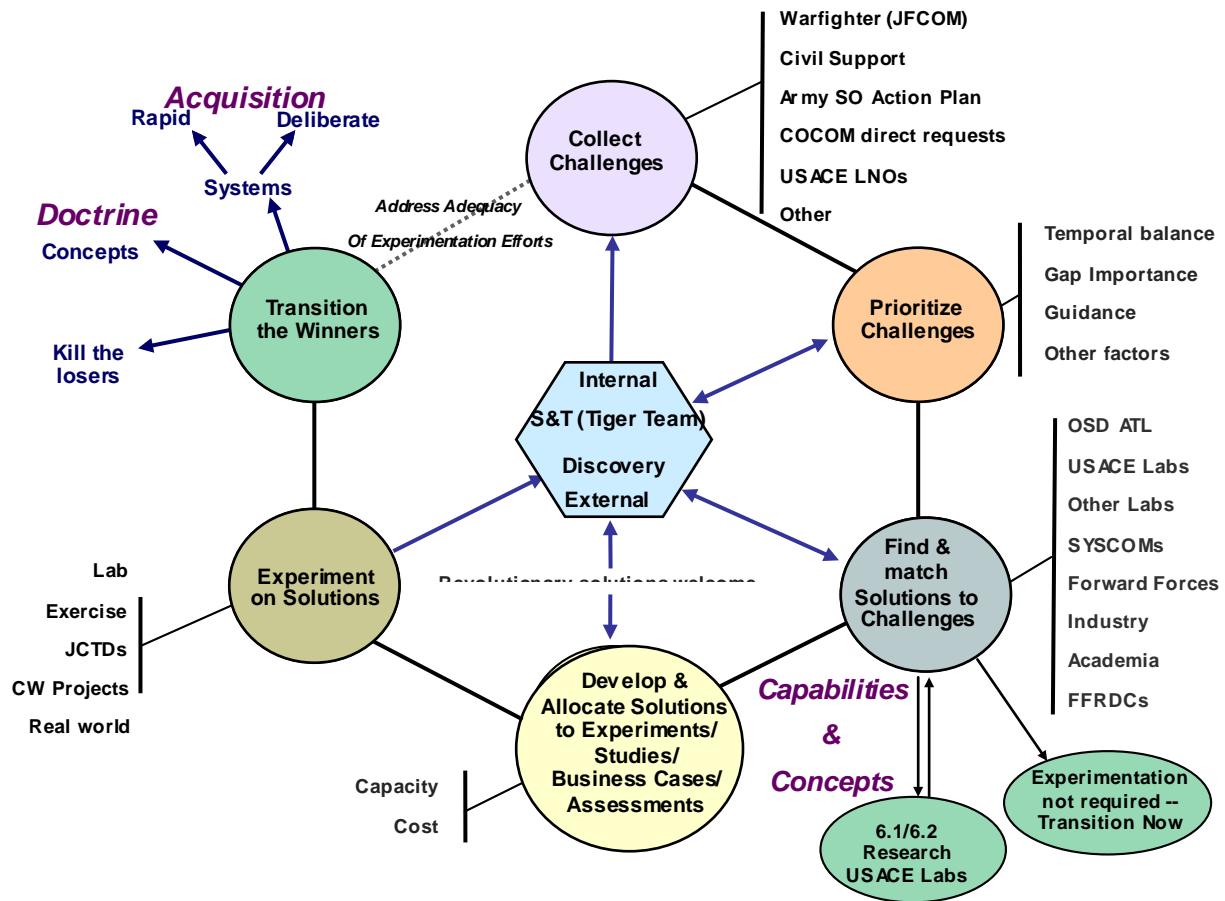
1. Common Mission Area (including communications, planning, risk management, and community preparedness and participation),
2. Prevent Mission Area (including intelligence analysis and production and chemical, biological, radiological, nuclear, and explosive [CBRNE] detection),
3. Protect Mission Area (including critical infrastructure protection and food, agriculture, and public health safety and defense),
4. Respond Mission Area (including citizen evacuation, logistics, mass care, incident management, and search and rescue), and
5. Recover Mission Area (including economic and community recovery and structural damage assessment).

The Guidelines also call for implementation of the NIPP, a key component of the Protect Mission Area. The NIPP was developed to enhance the nation’s ability to protect CI/KR by preventing, deterring, mitigating, and neutralizing terrorist efforts and strengthening national preparedness, response, and recovery in the event of a natural or man-made disaster (DHS 2006). The NIPP requires State, local, and tribal governments to develop and implement a CI/KR program as a component of their overarching homeland security programs. This requirement presents USACE with an opportunity to assist in the development and implementation of these programs by leveraging capabilities developed through its own defense and civil works critical infrastructure programs. Events such as the September 11, 2001 terrorist attacks highlighted the lack of attention being paid to protecting the nation’s CI/KR, which, if attacked, could significantly disrupt the functioning of government and private sector. The result of an event of this magnitude could severely impact the nation’s ability to provide essential services to the public.

The mission of the USACE Innovations and Experimentation (I&E) Enterprise Process under Readiness XXI is aimed specifically at enhancing all warfighting, contingency and civil works capabilities in support of the federal, state, and local governments and the private sector. The I&E Program implementation is being used to meet the Readiness XXI requirements related to identifying challenges, developing solutions, testing/validating solutions through experiments and/or studies, and producing innovative products that improve or solve issues facing USACE. I&E will use consistent business operating processes across offices, enhancing internal capabilities, strengthening relationships in the joint/interagency environment, and being proactive in anticipating and communicating challenges facing USACE that involve national issues and requirements for the near term and long term. The I&E process will provide products to impact policy, R&D, acquisition, education, training, manning, force design updates, hiring, Table of Organization and Equipment/Table of Distribution and Allowances, and doctrine. The USACE role in strengthening capabilities necessarily involves working with other federal, state, and local agencies and with private sector partners to share information and consolidate resources. CD, therefore, is integral to the I&E Enterprise Process mission. The overview of the I&E Enterprise Process is shown in Figure 1-1.

Figure 1-1. Corps of Engineers Innovations & Experimentation Enterprise Process.

How We Do It: The USACE I&E Enterprise Process



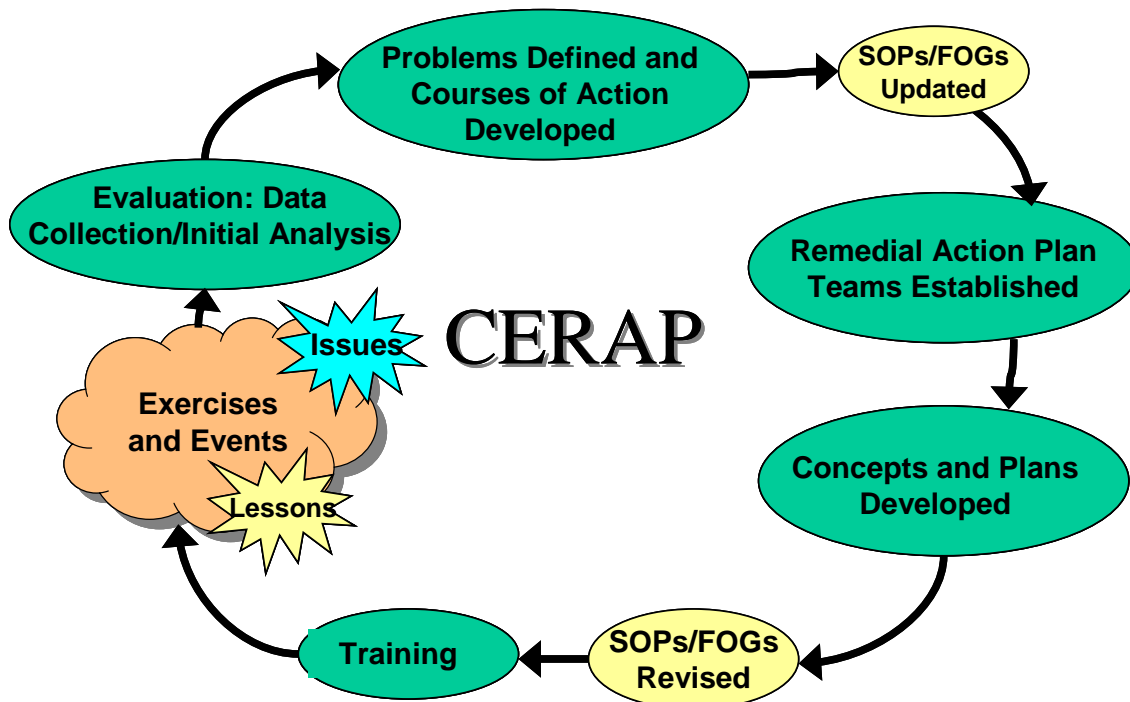
JFCOM = Joint Forces Command
 SO = Stability Operations
 COCOM = Combatant Command
 LNO = Liaison Officer
 JCTD = Joint Concept Technology Demonstration
 CW = Civil Works

I&E = Innovations and Experimentation
 S&T = Science and Technology
 OSD = Office of the Secretary of Defense
 ALT = Acquisition, Logistics & Technology
 SYSCOM = Systems Command
 FFRDC = Federally Funded Research and Development Center

The mission of the Corps of Engineers Remedial Action Program (CERAP) under Readiness XXI is aimed specifically at enhancing all hazards response and recovery planning and operation capabilities of the federal, state, and local governments and the private sector. CERAP implementation is being used to meet the Readiness XXI requirements related to operating with consistent business processes across offices, enhancing internal capabilities, strengthening relationships in the joint/interagency environment, and being proactive in anticipating and communicating changes in national issues and requirements. The USACE role in strengthening

response capabilities necessarily involves working with other federal, state, and local agencies and with private sector partners to share information and consolidate resources. CD, therefore, is integral to the CERAP mission. The Independent Assistance and Assessment Teams provide program assessments, measurements of program effectiveness, and documentation of lessons learned are also part of the CERAP. The overview of the CERAP is shown in Figure 1-2.

Figure 1-2. Corps of Engineers Remedial Action Program.



FOG = Field Operations Guide

SOP = Standard Operating Procedure.

Water Resources

The following six water resources challenges were identified by USACE as having serious potential impacts on the nation (USACE 2000):

1. Stress on the national marine transportation system;
2. Continued development in flood-prone areas;
3. Aging national water resources infrastructure;
4. Environmental damage from past development;
5. Lack of adequate community water and sewage systems necessary for sustained development; and,
6. Stress on the nation's capability to respond to disasters.

Environmental Protection

USACE manages one of the largest federal environmental missions in the US, totaling over \$1.8 billion in civil and military work during 2007. The diversity of environmental programs implemented by USACE has enabled it to grow an immense and comprehensive technical capability. This capability has the potential to be utilized to a much greater extent to address the nation's growing movement to incorporate environmental considerations into a host of planning processes. CD is an important element for projects in which other organizations and service recipients are involved.

Professional Associations

Professional associations possess a wealth of available resources and capabilities that will be leveraged during regional disaster response and restoration planning and activities. USACE has strong relationships with many of these organizations and is in a good position to work cooperatively with them to benefit from their expertise in a variety of engineering disciplines. The Infrastructure Security Partnership is one example where USACE already is actively involved.

1.5 Desired End State

The sequence of activities shown in Section 4.0 is a progression toward the desired end state for CD within USACE. The first step in achieving the desired end state is to establish a comprehensive CD business practice within USACE to cover both international and domestic missions, as applicable. CD planning and implementation will be implemented by all organizational components to support the following goals:

- Decrease in lost lives and damage to property within the Continental United States (CONUS) and Outside Continental United States (OCONUS);
- Fewer failed foreign governments and fewer wars, as a consequence;
- Improved resilience within organizations, governments, and partner nations coupled with regionalized response and cooperation;
- Increased levels of competence within foreign governments, federal, state, and local governments in the US, and the private sector;
- Independent, functioning governments able to manage their own affairs with little or no external intervention for all but the most major, catastrophic events;
- Less involvement of the US military in all the affairs of other jurisdictions and governments;
- Improved sustainability in USACE projects that are handed over to others upon completion for management, construction, operation, and maintenance;
- Lower cost of USG foreign disaster assistance; and
- Verifiable results obtained through tracking, reporting, and assessments based on outcome (versus output) metrics.



1.6 Lessons Learned

USACE mission success is dependent to a large extent on the application of CD to its international and domestic field activities. Lessons learned regarding CD have been obtained from a variety of these field activities that support the mission elements. These lessons learned are most often based on either shortcomings or a total absence of CD in specific programs and projects.

Four key themes stand out when reviewing lessons learned in programs and projects where CD has been applied. These themes apply to both the international and domestic settings in which USACE and other organizations have played a major role and are consistent with documented experiences and recommendations of various international organizations and other governments that provide CD. The four themes, accompanied by specific CD lessons learned, are shown below.

1.6.1 Critical for Success

The presence or absence of CD as an integral program or project component does not necessarily lead to absolute success or failure. Sub-optimization may simply result from missing or misapplied CD activities.

- *Best Case Scenario* – USACE moves forward with design and implementation of a CD business practice for international and domestic programs and projects. USACE issues guidelines to provide the appropriate level of continuity as CD is planned and applied. Tracking of progress and assessments with pre-established metrics provides feedback on the success of the effort and changes to the program are made as part of continuous improvement. USACE gains the reputation as a leader in CD, working closely with other CD organizations providing assistance around the world.
- *Worst Case Scenario* – USACE moves away from CD as a critical need, electing to allocate funds to other priority projects. Tracking of progress and assessments reflect only the status of sustainability of projects, without root cause determination of deficiencies, and corrective actions are not defined or implemented. CD as a mission unto itself (e.g., training and preparedness programs) is de-emphasized and de-funded, resulting in a diminished impact on long-term success. USACE does not participate with other USG or international organizations as a full teaming partner on CD projects.



Examples of Lessons Learned – Critical for Success

Locations: Iraq

Addressing long-term issues up front is critical to the overall success of the mission. CD was developed primarily by PCO-Washington, while the PCO-Baghdad team focused on the overall challenge of construction. Generally, this was a cost-effective approach and a reasonable split of responsibilities. However, implementation of CD had to be led by PCO-Baghdad management and staff. Early assignment of full-time staff (federal and contractor) in PCO-Baghdad would have resulted in a management focus on this important area and necessary changes in program direction could have been implemented much sooner.

PCO Interim Final Report – Iraq Infrastructure Reconstruction Program, October 2006.

Locations: Mozambique, Rwanda, Sierra Leone, and Uganda

A paradigm shift in post-conflict reconstruction and capacity-building policies and strategies: Capacity building is a means to an end in the long development process. In fact, it is part and parcel of a long development process. It should, by definition, be integrated as fully as possible in national development policies, plans and strategies. In this regard, immediate development goals in any post-conflict reconstruction process must be clearly defined, institutional and human resources development should be mapped out, and a capacity building strategy identified.

STUDIES IN RECONSTRUCTION AND CAPACITY BUILDING IN POST-CONFLICT COUNTRIES IN AFRICA, African Capacity Building Foundation (ACBF), December 2003.

Location: General/International

In reviews of aid effectiveness, the development of capacity is invariably recognized as one of the most critical issues for both donors and partner countries. The 2005 Paris Declaration on Aid Effectiveness highlights the need for significantly enhanced support for country efforts to strengthen governance and improve development performance. In this context, the Declaration calls for capacity development to be an explicit objective of national development and poverty-reduction strategies.

THE CHALLENGE OF CAPACITY DEVELOPMENT: WORKING TOWARDS GOOD PRACTICE. DEVELOPMENT CO-OPERATION DIRECTORATE DEVELOPMENT ASSISTANCE COMMITTEE. Organization for Economic Co-operation and Development. 01-Feb-2006.

Location: Afghanistan

Capacity development is crucial to project effectiveness and sustainability by ensuring local stakeholders have the requisite skills for ongoing project management and will address current shortcomings in managing and maintaining the irrigation system.

ASIAN DEVELOPMENT BANK JFPR:AFG 38096 PROPOSED GRANT ASSISTANCE TO THE ISLAMIC REPUBLIC OF AFGHANISTAN FOR THE BALKH RIVER BASIN INTEGRATED WATER RESOURCES MANAGEMENT. November 2004 (Financed by the Japan Fund for Poverty Reduction).

Location: General

There has been too little emphasis on capacity building, including human resource development and reinvention efforts. Emergency management capacity should be built from the ground up. Neighborhood and community-based programs have to stand on their own because assistance may not arrive for hours or days.

EMERGENCY MANAGEMENT: IMPLICATIONS FROM A STRATEGIC MANAGEMENT PERSPECTIVE; Journal of Homeland Security and Emergency Management; 2008.

1.6.2 Ownership and Absorptive Capacity

The service recipient must actively participate in the processes of service delivery and CD; thereby establishing ownership in the process that will lead to long-term sustainability. Use of a qualified indigenous local workforce must be maximized to increase efficiency and build



sustainable capacity. The service recipient's absorptive capacity must be considered since they will assume ownership and must have the resources to fund and manage the completed program or project on a sustainable basis.

- *Best Case Scenario* – The service recipient is prepared and ready to assume a full participatory role in the program or project, including a role in the planning and conduct of appropriate CD activities. Solutions take into account the culture of the service recipients, as necessary, and the suitability of proposed technologies. Commitment, transfer conditions, and ownership are established during the planning phase and continue through the execution and handover phase. The service recipient is also prepared and equipped to accept and manage the completed program or project and has taken the steps necessary to ensure sustainability.
- *Worst Case Scenario* – A foreign government does not exist as a service recipient or exists in a fragmented, temporary, corrupt, or ineffective condition; thereby diminishing the likelihood of a sustainable program, project, or service upon handover. USACE largely ignores the role of the service recipient during project planning and execution, with the expectation that sustainability will be achieved by those entities following handover. The program or project fails after handover due to a lack of capabilities and knowledge or a lack of “ownership”. Cost and schedule impacts of re-work are significant and more importantly, the planned critical services are not available to meet the needs of the service recipients.

Examples of Lessons Learned – Ownership and Absorptive Capacity

Location: General/International

The first principle of development and perhaps the most important is ownership. It holds that a country must drive its own development needs and priorities. The role of donor organizations is to support and assist this process as partners move toward a common objective. When ownership exists and a community invests itself in a project, the citizens will defend, maintain, and expand the project well after donors have departed. If what is left behind makes no sense to them, does not meet their needs, or does not belong to them, they will abandon it as soon as aid agencies leave.

*THE NINE PRINCIPLES OF RECONSTRUCTION AND DEVELOPMENT; Andrew S. Natsios;
Parameters, Autumn 2000.*

Location: Kosovo

The requirement of memorandums of understanding (MOUs) to specify maintenance requirements for a project is an excellent mechanism that should be continued, while recognizing that citizen demand for maintenance is the real key to the long-term success of the project. Accordingly, it is essential to build as much citizen participation into the project selection/local contribution process as possible.

*KOSOVO EVALUATION OF SO 3.1: RESTORED NORMALCY IN LIVING STANDARDS AND
OPPORTUNITY Line Submitted to: U.S. Agency for International Development/Kosovo In response to:
USAID Evaluation IQC No. AEP-1-00-00-00023-00 Task Order #845.*

**Location: Iraq**

Ensure adequate support for local ownership of reconstruction programs, community development approaches and mechanisms through which resources can be allocated for small projects. Despite the resource intensive management of these types of projects, experience suggests they can play a supporting role alongside contributions to institutional and physical reconstruction and have a high impact and visibility. In the case of support to civil society, dedicated support can help broaden political participation and contribute to medium-term stability.

European Union (EU) *LESSONS LEARNED, (Iraq Assistance Program, 2004).*

Location: General/International

The new consensus, articulated strongly in the 2005 Paris Declaration, sees capacity development as a necessarily endogenous process, strongly led from within a country, with donors playing a supporting role. According to this vision, political leadership and the prevailing political and governance system are critical factors in creating opportunities and setting limits for capacity development efforts.

THE CHALLENGE OF CAPACITY DEVELOPMENT: WORKING TOWARDS GOOD PRACTICE. DEVELOPMENT CO-OPERATION DIRECTORATE DEVELOPMENT ASSISTANCE COMMITTEE. Organization for Economic Co-operation and Development. 01-Feb-2006.

1.6.3 Interfaces

CD must often be applied through the efforts of an integrated, multi-disciplinary team, with clearly defined roles and responsibilities and a combined skill set to match the situation. The team may consist of all levels of the USG, state and local governments, and the private sector, as appropriate, for domestic application. International teams could consist of the USG, NGOs, governments of other nations, and the private sector. The team will include the service recipient as an active participant.

Each organization on the team must do its part to support a seamless outcome that meets the objectives of the team. This integrated team effort is particularly important in foreign nations where CD may be used to help establish governments, develop finance and monetary systems, and construct or refurbish critical infrastructure projects. (Note: Section 3.2 describes the various levels within the proposed USACE CD business practice and Section 3.4 addresses the multiple interfaces necessary for success in large complex scenarios).

- *Best Case Scenario* – USACE participates on an inter-organizational, inter-governmental team to define CD needs during the planning stage of a program or project and continues active participation through the execution phase. USACE serves in a lead role or support role, depending on the scenario. USACE clearly understands its role and responsibility in relation to the program or project and how its activities fit into the objectives of the larger team. The result is an integrated solution for the service recipient that meets the needs and is sustainable after handover.
- *Worst Case Scenario* – Various organizations work independently on elements they believe are important to mission success, without effective integration of other key participants. This “stove piping” leads to segmented and partial results that do not meet the needs of the service recipient on a sustainable basis. USG investments are lost or sub-optimized and expensive re-work is required.



Examples of Lessons Learned – Interfaces

Location: General/International

The first principle of development and perhaps the most important is ownership. It holds that a country must drive its own development needs and priorities. The role of donor organizations is to support and assist this process as partners toward a common objective. When ownership exists and a community invests itself in a project, the citizens will defend, maintain, and expand the project well after donors have departed. If what is left behind makes no sense to them, does not meet their needs, or does not belong to them, they will abandon it as soon as aid agencies leave.

THE NINE PRINCIPLES OF RECONSTRUCTION AND DEVELOPMENT; Andrew S. Natsios; Parameters, Autumn 2000.

Location: Bosnia and Herzegovina

In an emergency reconstruction program, it is essential to have a workable coordination system in place to avoid duplication of effort and inconsistent applications of policy that lead to different treatment regimes. The objectives of this project were not attained at the planned level, as most funding aid-agencies opted to work on their own (instead of contributing to the agreed upon sector recovery plan). The use of differing sets of policy and procedures caused confusion during project implementation, and unplanned overlaps in donor activities led to a reduction in the overall program scope. In the end, lack of coordination weakened sector reform activities, and prevented the phased implementation of the rest of the SRP operations within the anticipated timeframe.

WATER, SANITATION, AND SOLID WASTE URGENT WORKS PROJECT - World Bank; December 29, 2003.

Location: Iraq

Stress the central importance of coordination among the different implementing agencies, including the United Nations agencies, commercial contractors and Non Governmental Organizations assisting in the reconstruction process to overall success. Recognize that strong donor coordination equally assists in the rapid implementation of both humanitarian and reconstruction assistance. The European Commission (EC) should seek a closely coordinated European Union (EU) wide response in order to avoid overlap in certain sectors and regions.

EU LESSONS LEARNED (Iraq Assistance Program, 2004).

Location: General/International

Given the sheer complexity of post-conflict reconstruction efforts, developing a clear strategic plan of action at the outset is critical to success. Such a plan should articulate the US interests at stake, define US objectives for the intervention, and lay out the strategy for achieving these policy objectives and a clear division of labor delineating who is responsible for what aspects of the plan's implementation.

PLAY TO WIN: Final Report of the bi-partisan Commission on Post-Conflict Reconstruction. January 2003. Center for Strategic and International Studies and the Association of the U.S. Army.

Location: Afghanistan

Partnerships within the international community and with national actors are critical. The post-conflict rehabilitation process is too large for any single agency, mandate, or source of funding to effectively address independently of others. Sustainable post-conflict rehabilitation and development involves a strong element of co-ordination and coherence among and with the various actors, including the UN agencies, NGOs, the national government and civil society.

CONFERENCE ON PREPARING FOR AFGHANISTAN'S RECONSTRUCTION; 27-29 November, 2001; Marriott Hotel, Islamabad, Pakistan; UNDP and Recovery in Afghanistan: Strategies, International Experience and Lessons Learned in Recovery, Post Rehabilitation and Development.

**Location: East Timor**

Past experiences, visual images from media, public opinions, perceptions of humanitarian disasters and vulnerability can be valuable in developing a preliminary assessment of infrastructure goals, possible strategies and means to achieve them. However, it is important to start with a blank sheet as each conflict is unique and the economic, social, political and environmental contexts can be significantly different. Starting with a blank sheet means a willingness to listen to local partners and stakeholders and start the planning process from their vision and perspective. During this stage, emphasis may be on qualitative rather than quantitative assessments. Involving local partners right from the start is identified as being crucial in explaining why some sectors in East Timor made significant progress compared to others.

GETTING INFRASTRUCTURE PRIORITIES RIGHT IN POST-CONFLICT RECONSTRUCTION,
P. B. Anand, June 2005 -United Nations World Institute for Development Economics Research,
Research Paper No. 2005/42.

Location: General/Domestic

Long-term rebuilding and revitalization must be addressed through tailored approaches that creatively engage the full spectrum of government, private sector, and non-profit entities.

NATIONAL STRATEGY FOR HOMELAND SECURITY, 2007.

1.6.4 Planning and Management

Consistent, effective CD takes place only when planned and budgeted within a program or project and then managed accordingly during program or project execution.

- *Best Case Scenario* – CD is planned, budgeted, scheduled, and managed as part of the initial program or project, with defined interfaces and agreements with all participants; thereby maximizing the potential for success and sustainability. Acquisition strategy addresses CD needs and prime contractors are incentivized to provide CD through contract requirements and award fee provisions, as appropriate. Assessments of CD effectiveness are conducted as warranted for the situation.
- *Worst Case Scenario* – CD is disregarded or viewed as an extra process that adds little value and CD is not planned into the program or project. The results are:
 - Lack of involvement, ownership, and accountability by the service recipient;
 - Poor integration with other organizations and gaps in key CD roles;
 - Contracts that do not contain provisions for CD, so contractors do not work with service recipients as projects are completed;
 - Transfer of a program or project that will not be sustainable by the service recipient, resulting in increased costs and re-work;
 - Insufficient funds available for CD, if and when CD is recognized as a legitimate need during program or project execution; and,
 - Loss of investment by USACE and other participating organizations and governments as a result of non-sustainable program or project objectives.



Examples of Lessons Learned – Planning and Management

Location: General/Domestic

Ensuring a successful transition from short-term recovery to rebuilding and revitalization efforts is vital and must include active participation and leadership by the breadth of political, economic, private, and non-profit actors that form the fiber of any community.

NATIONAL STRATEGY FOR HOMELAND SECURITY, 2007.

Location: General/International

The core of the sustainability principle is that development agencies should design programs so that their impact endures beyond the end of the project. Sustainability also encompasses the notion that a country's resources are finite and development should ensure a balance between economic development, social development, and democracy and governance. The sustainability principle forces aid managers to consider whether the technology, institution, or service they are introducing to a society will have a lasting effect.

THE NINE PRINCIPLES OF RECONSTRUCTION AND DEVELOPMENT; Andrew S. Natsios; Parameters, Autumn 2000.

Location: Mozambique, Rwanda, Sierra Leone and Uganda

The capacity that is being created and utilized to realize a set of development goals will need to be retained, developed and sustained over time. Capacity-building programs and projects will need to be designed to be sustainable beyond the initial interventions. Promote the adoption of an explicit national capacity-building policy framework: Capacity building should be defined and interpreted in broader national development goals and objectives. These four studies have demonstrated that donor-supported capacity-building initiatives tend to be designed and implemented in isolation, without being guided by an explicit national policy framework or strategy.

STUDIES IN RECONSTRUCTION AND CAPACITY BUILDING IN POST-CONFLICT COUNTRIES IN AFRICA, African Capacity Building Foundation (ACBF), December 2003.

Location: East Timor

There is a trade-off between sustainable national capacity building and rapid reconstruction. Sector strategies should be based on realistic targets and take account of both objectives in their initial planning. Early engagement and planning is crucial for readiness, and should include social, economic and institutional analysis, scenario planning, and building networks of national contacts at a leadership and technical level. Of these, building trust and partnerships with national counterparts is perhaps the most crucial. There is a trade-off between sustainable national capacity building and rapid reconstruction. Sector strategies should be based on realistic targets and take account of both objectives in their initial planning.

THE EAST TIMOR RECONSTRUCTION PROGRAM: SUCCESSES, PROBLEMS AND TRADEOFFS. CPR Working Papers. Social Development Department Environmentally and Socially Sustainable Development Network. Paper No. 2. November 2002.

Location: Hurricane Katrina

Hurricane Katrina clearly demonstrated that existing federal, regional, state, and local disaster management plans need improvement in order to successfully deal with extreme disasters, natural or man-made. New thinking, approaches, training, and exercises as well as unprecedented intergovernmental collaboration and planning are required. This all must be accomplished in cooperation with private-sector and other key stakeholders.

REGIONAL DISASTER RESILIENCE: A GUIDE FOR DEVELOPING AN ACTION PLAN. The Infrastructure Security Partnership. American Society of Civil Engineers. June, 2006.

**Location: General/Domestic**

Leaders at all levels must communicate and actively support engaged partnerships by developing shared goals and aligning capabilities so that no one is overwhelmed in times of crisis. Layered, mutually supporting capabilities at Federal, State, tribal, and local levels allow for planning together in times of calm and responding together effectively in times of need.

NATIONAL RESPONSE FRAMEWORK, 2008.

Location: General/Domestic

Professionalism and experience are the foundation upon which successful response is built. Rigorous, ongoing training is thus imperative.

NATIONAL RESPONSE FRAMEWORK, 2008.

Location: General/Domestic

Sorting out and defining roles and responsibilities—including determining who is in charge of particular functions—is fundamental to ensuring effective disaster preparedness, response, recovery, and restoration.

REGIONAL DISASTER RESILIENCE: A GUIDE FOR DEVELOPING AN ACTION PLAN, 2006.

Lessons learned do not always have to have a negative context. USACE has also learned what works well in certain situations and the adoption of best practices is a valuable tool in continuous improvement. The GRD implementation of the Iraq Reconstruction Program is a good example of where CD was formally introduced and required shortly after infrastructure reconstruction began in 2004. The results of CD are often difficult to measure in the short term in this environment, but compared to projects completed throughout Iraq in the previous year, there is a general indication that CD made a difference in sustainability of completed projects following handover to the Iraqi Ministries. Part of the later success could be attributed to a combination of factors, including CD, but it is safe to say that CD had a positive impact on infrastructure sustainability. Future USACE missions that are similar in scope to the Iraq Reconstruction Program will benefit from the lessons learned in that setting.

1.7 Authorities

USACE operates under a number of authorities and additional guidance documents that relate directly to CD. These include, but are not limited to, those shown in Table 1-2. Additional details on several of these authorities are provided in Appendix A.

Table 1-2. USACE Capacity Development Authorities.

Capacity Development Authority and Guidance (* indicates additional details in Appendix A)	Primary Full Spectrum Operations Component			
	Offensive	Defensive	Stability	Civil Support
* Homeland Security Act of 2002				✓
* Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390; 30 October 2000				✓
* Water Resources Development Act of 2007; Section 234 (33 U.S.C. 2323a)			✓	✓
* Intergovernmental Cooperation Act; 31 U.S.C. § 6505; October 19698, as amended by the Thomas Amendment				✓
* Department of Defense Directive 3000.05			✓	
* Full Spectrum Operations, FM 3-0 (DA 2008)	✓	✓	✓	✓
* OPORD 2007-09; USACE; Readiness XXI Implementation (USACE 2007b)			✓	✓
* Army Action Plan for Stability Operations – Headquarters Department of the Army (HQDA) G-35 Strategy, Plans, and Policy, Army Campaign Plan Decision Point 105, Approved 02 August 2007			✓	
* Stability Operations in an Era of Persistent Conflict (DA 2008)			✓	
* Stability Operations, FM 3-07 (DRAG, 2008)			✓	
* USACE Campaign Plan “Refresh”	✓	✓	✓	✓
* Army Chief of Staff Initiative 18, January 2005	✓	✓	✓	
Chairman of the Joint Chiefs of Staff Guidance for 2007-2008; October 2007	✓	✓	✓	
*National Response Framework; January 2008				✓
National Security Strategy; March 2006			✓	✓
National Strategy for Homeland Security; October 2007				✓
National Infrastructure Protection Plan; Department of Homeland Security (DHS); 2006				✓
Regional Disaster Resilience: A Guide for Developing an Action Plan; The Infrastructure Security Partnership; June 2006				✓
Department of the Army Corps of Engineers Civil Works Strategic Plan Fiscal Year 2004 – Fiscal Year 2009. U.S. Army Corps of Engineers; March 2004.				✓
Quadrennial Defense Review Building Partnership Capacity Execution Roadmap; 22 May 2006			✓	✓

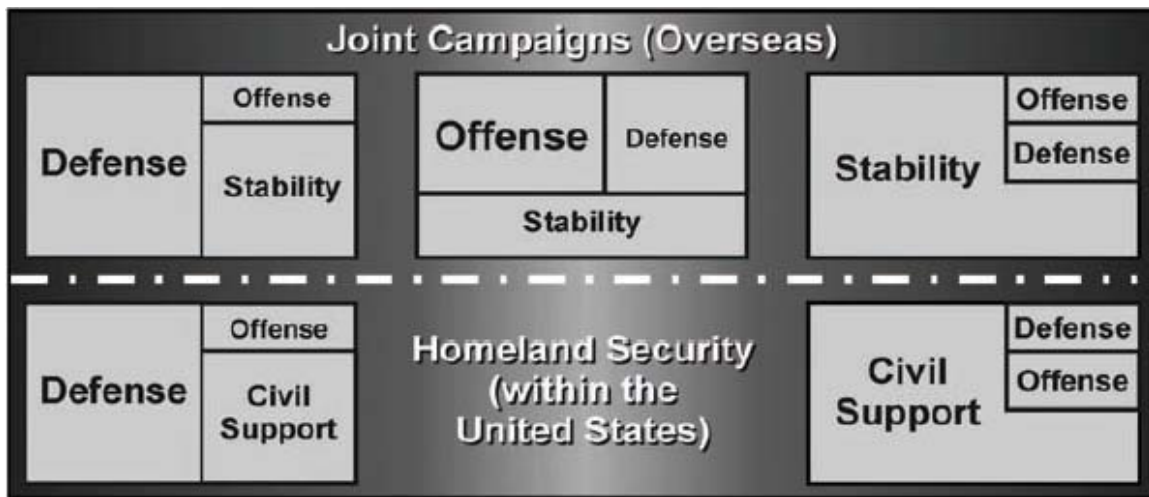


2.0 USACE Capacity Development Role in Full Spectrum Operations

Definition: “The Army’s operational concept: Army forces combine offensive, defensive, and stability or civil support operations simultaneously as part of an interdependent joint force to seize, retain, and exploit the initiative, accepting prudent risk to create opportunities to achieve decisive results. They employ synchronized action—lethal and nonlethal—proportional to the mission and informed by a thorough understanding of all variables of the operational environment. Mission command that conveys intent and an appreciation of all aspects of the situation guides the adaptive use of Army forces.” (DA 2008)

FSO is the term used to describe the US Army’s suite of defensive, offensive, stability, and support operations. The USACE mission is executed in the context of FSO; therefore, the role of CD within the USACE mission is also executed in the context of FSO. The four operational elements of FSO (defensive, offensive, stability, and support) require different types and levels of CD at different points on the spectrum of conflict. The identification and application of the right CD activities at the right time is essential to optimizing support in these areas. The USACE CD business practice will be developed to support the FSO operational elements shown in Figure 2-1. The role of CD within these operational elements is described more fully in Sections 2.1, 2.2, and 2.3.

Figure 2-1. Full Spectrum Operations Elements.



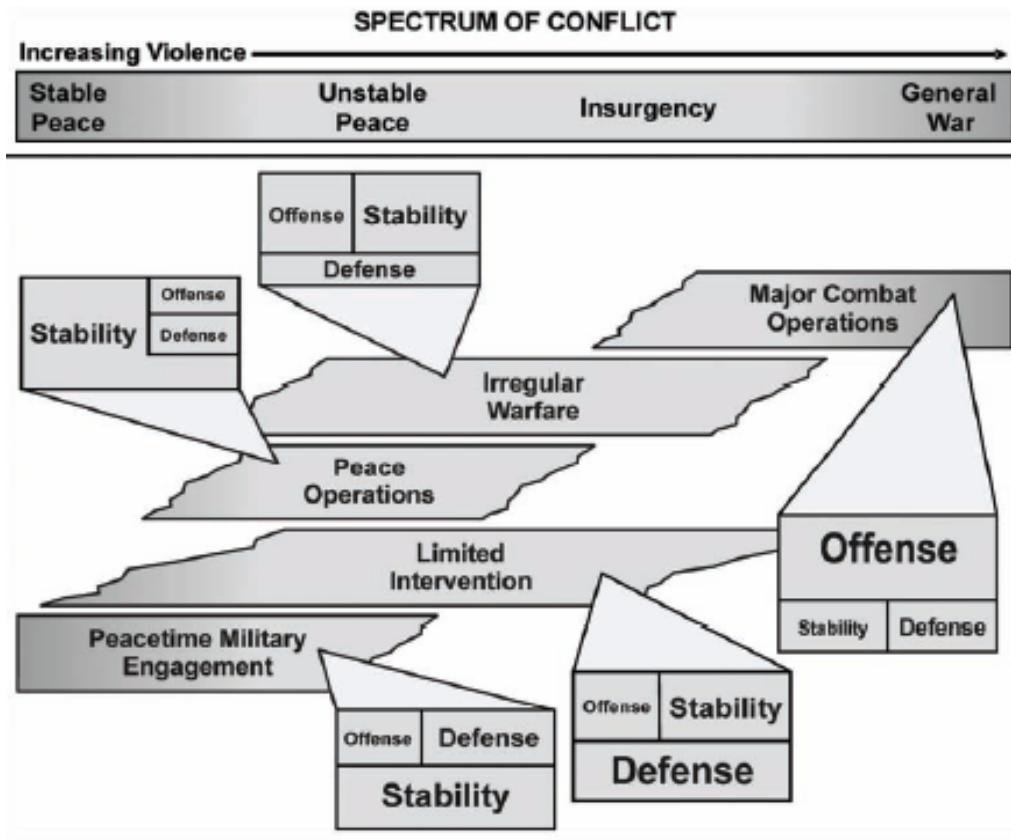
The mission determines the relative weight of effort among the elements.

Source: FSO (2008)

FSO takes place throughout the spectrum of conflict, which is further broken into a number of operational themes, each which provide a distinct opportunity for CD implementation. These themes range from peacetime military engagement to major combat operations, as shown in Figure 2-2. The themes, coupled with the elements of FSO provide various opportunities for

CD. These opportunities are tied to the level of support required by the mission, the status and capabilities of the indigenous government, and the security conditions.

Figure 2-2. Elements of Full Spectrum Operations Combined with Operational Themes.



Source: FSO (2008)

Several core competencies that USACE offers under FSO are included in Table 2-1. Each of these competencies provides opportunities for CD in international or domestic applications.

Table 2-1. USACE Core Competencies Related to Capacity Development.

• Planning, design, and construction	• Construction management
• Engineering and technical services	• Quality control
• Water resources management and development	• Remote sensing and geographic information systems
• Hydropower and dam safety	• Emergency management
• Master planning	• Emergency exercises and training
• Engineering and design	• Assessments
• Life cycle design and management	• Marine design, seaport, and navigation
• Project management	• Electricity generation and distribution

Table 2-1. USACE Core Competencies Related to Capacity Development.

<ul style="list-style-type: none"> • Contracting • Critical infrastructure protection • Computing and information technology and GIS • Military construction and base operations • Facility management, operation, and maintenance • Military/Civil Works construction quality assurance 	<ul style="list-style-type: none"> • Real estate • Research and development • Facilitating regional partnerships • Outreach and public affairs • Civil Works construction • Environmental resource management, protection, and restoration
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The USACE role in CD covers a wide range of activities, as shown in Table 2-2. Selection of a CD technique or specific intervention will be made on a program or project basis to meet specific circumstances.

Table 2-2. Examples of USACE Capacity Development Activities and Delivery Methods.

Capacity Development Activity	International	Domestic
Acquisition strategy and contract language requirements	✓	✓
On-the-job training	✓	✓
Long-term academic training	✓	✓
Train-the-trainer	✓	✓
Classroom training, including language and computer skills	✓	✓
Mentoring	✓	✓
E-learning and online tools	✓	✓
Seminars	✓	✓
Workshops	✓	✓
Grants	✓	✓
Joint needs assessments	✓	✓
Technology transfer	✓	✓
Technical assistance	✓	✓
Exercises and after action follow-up	✓	✓
Site visits and orientation visits	✓	✓
Forward Engineer Support Teams (FESTs)	✓	✓
Internships and apprenticeships	✓	✓

Table 2-2. Examples of USACE Capacity Development Activities and Delivery Methods.

Capacity Development Activity	International	Domestic
Partnerships with other organizations for CD	✓	✓
Exchanges	✓	
Facilitation of regional relationship development in foreign nations	✓	
Professional organization startup facilitation	✓	

2.1 Offensive and Defensive Operations

Definition of Offensive Operations: “Combat operations conducted to defeat and destroy enemy forces and seize terrain, resources, and population centers. They impose the commander’s will on the enemy.” (DA 2008)

Definition of Defensive Operations: “Combat operations conducted to defeat an enemy attack, gain time, economize forces, and develop conditions favorable for offensive or stability operations.” (DA 2008)

Advanced planning teams for USACE assess conditions in a foreign nation during offensive or defensive operations to determine the extent to which a viable infrastructure system exists and to identify the steps necessary to upgrade the infrastructure to minimum threshold conditions that will meet the basic needs of the citizens. USACE also begins CD activities as offensive forces secure the environment for SO. USACE supports CD during offensive and defensive operations by advising the maneuver commander in infrastructure targeting to minimize the reconstruction effort needed to restore essential services following kinetic operations.

Opportunities for direct CD interventions by USACE during offensive and defensive operations, with the exceptions noted above, are limited and are not the focus for USACE within these operational components; therefore, CD activities during offensive and defensive operations are not discussed further in this paper.

2.2 Stability Operations

Definition of Stability Operations (joint): “An overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.” (DA 2008)

CD during SO is typically carried out by a number of stakeholders including the host nation government, donor governments, international organizations, NGOs, and private sector organizations. The key participant, as emphasized in lessons learned (Section 1.6), is the host nation government. The makeup of stakeholders is different in each case and the group will be

formed to meet the particular needs of the host nation. Each participant has core competencies and roles that fit together to provide a strong framework for CD.

The USACE CD role within SO is substantial, compared to its role during offensive and defensive operations. SO is present and necessary to varying degrees as part of each operational theme shown in Figure 2-2 and promotes a stable environment through which the host nation can function. The USACE CD role within SO, therefore, will be considered during pre-conflict and peacetime as well as in conflict and post-conflict environments, as discussed below.

2.2.1 Pre-conflict, Prevention, and Mitigation

The opportunities to apply sustainable CD are clearly much greater within secure environments and when host nation public and private sector representatives are available to work with USACE in partnership arrangements.

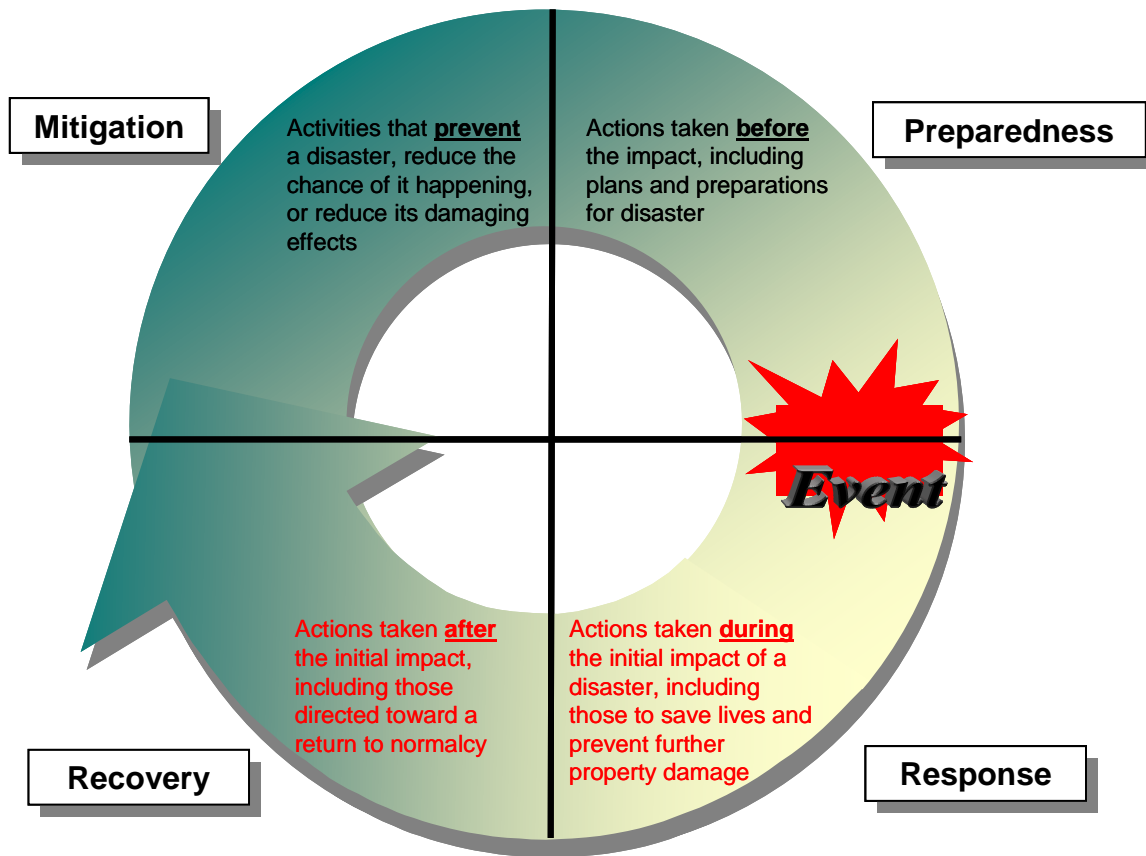
USACE can carry out CD activities under SO in a pre-emptive mode rather than a reactive mode during periods when there is no conflict and security conditions allow maximum flexibility. This is a period in which formal interaction with key host nation personnel can occur to strengthen their technical, scientific, engineering, management, and leadership capabilities.

It is also the period in which USACE mentors civil and military emergency responders through exercises so they will be better prepared to plan for and respond to disasters. Effective, timely disaster response by the host nation reduces the likelihood of undesirable outcomes such as future conflict resulting from an inadequate response or a lack of essential services. CD is an essential component of the USACE CMEP program. It enhances the ability of the combined civil and military components of the government to prepare for, respond to, recover from, and mitigate the impacts of future disasters. These four phases of the emergency management cycle are shown on Figure 2-3. This service provided through CMEP increases the resilience of the host nation by addressing the adequacy of existing plans, helping identify and eliminate flaws, and stressing the importance of inter-ministerial and multi-sectoral communication both within nations and between the countries in a region.

2.2.2 Conflict

The USACE CD role during periods of full military intervention (i.e., major offensive and defensive operations) is understandably limited. The key CD activities that can be performed during this period are reconnaissance teams, such as the FESTs, can work with available host nation staff to assess status of CI/KR that are necessary to support the basic and life-saving needs of the local populations. The FESTs can mentor the host nation staff on how to conduct emergency assessments and how to restore services on a priority basis in a hostile environment.

USACE may also use this time to extract key individuals from the conflict zone and provide focused or long-term training in a safe environment that will enable host nation staff to conduct their work more effectively upon return in a post-conflict environment.





Civil support operations occur within the US and its territories and address all types of emergency events, as stated in the definition above. USACE, in the event of a disaster either natural or man-made, will rapidly conduct response and recovery operations in coordination with the DHS/Federal Emergency Management Agency (FEMA) and DoD under various authorities including the NRF, the Stafford Act, and USACE's own authorities (see Section 1.7). USACE assists in damage mitigation, provision of life-saving operations, and provision of life-sustaining relief to disaster victims.

USACE has the lead responsibility under the NRF for ESF-3 (Public Works and Engineering) and the support role for ESF-14 (Long-term Community Recovery and Mitigation), as described in Appendix A. USACE has the responsibility to effectively respond to specific events in a direct response role. A second element to effective response is working with the state and local agencies to help them as they participate in the response and to increase their capabilities in critical areas.

CERAP supports readiness and response to the variety of domestic emergency conditions that may arise. CERAP responds to significant events in collaboration with DHS/FEMA and other federal, regional, and state customers and partners. CERAP has responsibility for development and management of the system-wide assessment and remedial action planning processes that are necessary for continuous performance improvement. The DHS has specified basic emergency management steps to be adopted and implemented by federal agencies and departments (Figure 2-3) and the CERAP adheres to this approach.

2.4 Water Resources – Example of USACE Capacity Development

Water resource management is one of the USACE core mission areas, as noted on Figure 2-4. USACE performs planning, management, and construction of water resources and related facilities worldwide in environments that range from peacetime to wartime. This comprehensive mission area is carried out within the US and abroad and is an excellent example of a USACE core competency to which CD can be applied within the five operational themes (Figure 2-3).

Figure 2-4. USACE Mission Areas.



Source: USACE (2007)

2.4.1 Water Resources Role in Stability Operations

USACE water resources personnel provide management and technical support during the full spectrum of conflict as part of SO. This support is provided in the international setting with security conditions dictating the actual type and level of CD activities that can be performed under each operational theme.

The CD activities performed by water resources personnel as part of SO will typically be as shown on Table 2-3.

Table 2-3. Water Resources Capacity Development Role during Stability Operations.

USACE Water Resources Capacity Development Activities	Operational Theme				
	Peacetime Military Engagement	Limited Intervention	Peace Operations	Irregular Warfare	Major Combat Operations
Promote host nation capabilities by increasing opportunities for higher education and training in water resources in times of peace.	✓	✓	✓		
Provide focused training opportunities for host nation water resources personnel at safe locations outside of conflict locations in times of conflict.		✓		✓	✓
Promote advancement of professional organization chapters (e.g., ASCE or American Water Works Association) in host nation to support training and mentoring of host nation water resources staff.	✓		✓		
Engage host nation government as an active participant in building, rebuilding, or restoring water resource systems and provide necessary training and mentoring to manage, operate, and maintain systems.	✓	✓	✓	✓	
Work with host nation to identify and protect critical infrastructure.	✓	✓	✓	✓	✓
Jointly assess status of water resource systems with host nation personnel, with focus on solutions to immediately improve or repair damaged systems (e.g., use of FESTs).		✓		✓	✓
Work with host nation government to build, rebuild, or restore water resource infrastructure, systems, and equipment on an emergency basis, with focus on priority systems. Mitigate short-term impacts of outages, provide temporary stop-gap systems, relevant training, spare parts, etc.	✓	✓	✓	✓	
Issue contracts to local firms, as appropriate and as permitted by security conditions, for rebuilding/restoring water resource systems.	✓	✓	✓	✓	
Require language in large business contracts to include 1) use of local firms and citizens, and 2) mentoring and training of local firms and citizens.	✓	✓	✓	✓	
Issue contracts to world-class firms or professional associations to train and mentor host nation personnel (public and private sector) in current, efficient methods of water resource management.	✓		✓		
Improve and possibly expand host nation water resource infrastructure, systems, and equipment and provide necessary training and mentoring to manage, operate, and maintain systems.	✓		✓		
Train host nation personnel in IWRM skills including water resources master planning, life-cycle management, program/project management, current technologies, etc.	✓	✓	✓	✓	
Facilitate relationships between governments and organizations that are involved in policy and technical issues related to water resources management.	✓		✓		

The above list is an example that illustrates that CD is not just a tool used to respond to crisis situations. The USACE CD water resources contribution to SO has the primary effect of providing, protecting, or restoring critical, dependable infrastructure and related water and basin management services and may also have the important secondary effect of preventing future conflict situations. Conflicts and civil disturbances over basic water resource needs are well documented throughout history. USACE can help other governments increase their capabilities to provide adequate water resources to their citizens and can work with their regional partners to address cross-border water related issues, thereby decreasing the potential for further conflicts. The additional effects of pre-emptive CD include better equipped governments and private sector partners that can meet the needs of their citizens. An increasingly educated, skilled, and organized engineering and construction segment of a foreign country's public and private sectors will be more likely to keep pace with needs and demand and will result in more reliable levels of service. The "vaccine effect" that will result from application of CD in a pre-emptive manner during peacetime will help to prevent or minimize undesirable consequences that could otherwise require major response and recovery efforts, as well as significant hardships on local populations.

2.4.2 Water Resources Role in Civil Support Operations

The USACE water resource mission is a critical aspect of emergency management, both CONUS and OCONUS, through planning and preparedness activities and through response and recovery activities (Figure 2-4). Water resources personnel participate as Subject Matter Experts (SMEs) during the planning and preparedness phases in the US through education, training, and exercise activities. Their technical and management input to these areas strengthens the capabilities of local, state, national, and international response teams during the pre-incident phase. USACE staff also support the actual response and recovery operations (post-incident phase) through activation of Planning and Response Teams and by serving as SMEs who bring national and international expertise and applied techniques to local emergency settings.

The CD role of water resources personnel consists of providing technical expertise and mentoring US or foreign nation local agency staff on current, proven techniques related to pre-incident or post-incident emergency management. Water resources personnel will interface closely with other USACE organizations such as CMEP and CERAP, both CONUS and OCONUS.

Table 2-4 is a short list of the types of activities USACE implements under civil support operations.

**Table 2-4. Water Resources Capacity Development Role during Civil Support Operations.**

USACE Water Resources Capacity Development Activities	Preparedness	Response	Recovery
Integrate, synchronize, and assist in the development of water resources risk management projects and programs with counterpart Federal, State, local, and regional agencies and organizations.	✓		
Assist State and local governments to identify and protect critical infrastructure.	✓		
Require language in large business contracts to include 1) use of local firms and citizens, and 2) mentoring and training of local firms and citizens		✓	
Issue contracts to local firms, as appropriate for rebuilding/ restoring water resources-related infrastructure, systems, and equipment			✓
Work with Federal, State, and local government to build, rebuild, or restore water resources systems on an emergency basis, and provide necessary training to manage, operate, and maintain systems.		✓	
Participate in disaster training simulations and regional exercises with other emergency response entities to refine emergency response capabilities.	✓		
Work closely with federal, state and local partners to increase coordination and communication to better prepare for terrorist and other man-made or natural threats.	✓		

3.0 Recommendations for Action

Section 1.0 of this White Paper lays out a background related to CD, the current conditions under which USACE implements CD, challenges, and lessons learned.

Section 2.0 describes the environment in which USACE is expected to implement CD. These sections make it clear that improvements and efficiencies are required in a number of areas to make CD more effective in terms of results and costs.

Section 3.0 contains proposed programmatic recommendations for action as solutions for closing the gaps that exist between the current conditions and the desired state for CD and sustainability.

Section 4.0 outlines a process by which the USACE CD business practice will be authorized by senior management, followed by a general description of the various documents and steps necessary to facilitate effective implementation of CD within the USACE mission areas.

The recommendations contained in this section, once adopted by USACE, will serve as the foundation on which the CD business practice, CD planning, and CD implementation are based. The next step is to adopt and implement these recommendations.

3.1 Recognition of Capacity Development

Recommendation 1: Recognition of CD

Recognize CD as an organic capability within USACE that enables successful execution of all-hazard, contingency missions world-wide consistent with Goal 1, Objective 1a of the USACE Campaign Plan.

Result: *This recognition will establish CD as a key function and competency to be leveraged by external organizations to meet current and future requirements.*

USACE senior leadership's recognition of CD and its subsequent recognition as a critical component of the USACE Campaign Plan is a critical first step in establishing the CD business practice and ensuring its effectiveness in application throughout the mission areas. Recognition is important as it conveys a strong message within USACE and to other USG organizations, NGOs, and private sector participants that USACE senior leadership is dedicated to CD.

3.2 Capacity Development Framework

Recommendation 2: CD Framework

Establish and institutionalize a CD framework for USACE international and domestic application (as appropriate) that is based on: 1) the USACE missions; and 2) successful framework models developed within USACE and by other organizations for international assistance.

Result: *USACE will have a consistent, proven frame of reference from which staff can implement the CD business practice under FSO abroad and within the U.S.*

CD interventions or activities range from very simple to highly complex so a consistent, yet flexible framework is necessary for USACE to support the range of activities and operating environments. This point is emphasized by the OECD, which stated: “The concepts of capacity and capacity development are so all-encompassing that practitioners have often found it difficult to make operational sense of them” (OECD 2006).

The framework is a key step in designing a CD business practice. It sets the basic parameters for planning and implementation and serves as a focal point for USACE staff. A CD framework will provide a tangible element for USACE staff and it will promote ownership of CD initiatives and pride in the beneficial results. USACE staff will depend on the established framework and its underlying principles as they plan and implement CD.

The proposed CD framework is based on successful models adopted by various international organizations and incorporates the best elements of each model for USACE purposes. Figure 3-1 is based specifically on a model documented by the OECD (OECD 2006), but features of several other models were combined with the OECD model to create an optimal approach for USACE. These models were all aimed at assisting foreign nations and did not contain components specific to domestic application, so expansion of the concepts contained in these models was necessary to support the breadth of USACE mission areas. USACE also considered an exhaustive series of lessons learned regarding CD, including those summarized in Section 1.6.

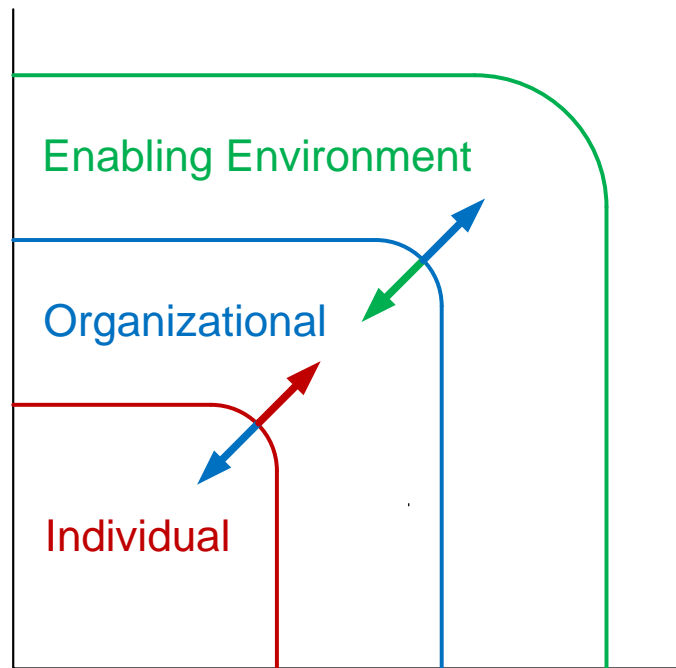
The framework, along with more detailed supporting documents described in Section 4.0, will serve as a guide for USACE to interface with service recipients, donors, other governments, and the private sector during CD planning and implementation.

The CD framework, as described below, is proposed for use within all USACE mission areas. This framework is adaptable to both international and domestic situations, as applicable, that may be encountered under FSO. The goal was to design a comprehensive and straightforward framework, as these attributes are essential for efficient and successful CD implementation. The first step in meeting this goal was to recognize and adopt the three broad “levels” of CD, as described below:

- **Enabling Environment** – The enabling environment (strategic level) sets the conditions under which CD activities are conducted for programs and projects at the organizational and individual levels. This includes policy frameworks, legal systems, regulations, political institutions, and market economy considerations.
- **Organizational** – The organizational level (operational level) is comprised of leadership, administrative structure (e.g., payroll system, human resources system, decision-making processes), and culture required to achieve external and internal goals. Organizations are strongly influenced by the enabling environment.
- **Individual** – The individual level (tactical level) pertains to the knowledge or skill of an individual who is charged to conduct a particular work scope. This includes the motivation and ability to appropriately set behavioral objectives and achieve those objectives using that knowledge and skill set. Individuals are strongly influenced by the organizations in which they work.

The proposed USACE CD framework is shown in Figure 3-1.

Figure 3-1. USACE Capacity Development Framework.



Sustainable CD takes place at three levels and involves a number of different organizations. Successful CD activities are based on an analysis of each level to plan, synchronize and coordinate mutually supportive activities. An overly narrow focus on any of the three levels without sufficient attention to the broader context can lead to unsustainable project outcomes and reduce project impacts.

Table 3-1 contains several underlying principles of CD that are supported by the proposed framework. These principles are illustrated by the experiences of various organizations that are directly involved with CD implementation and are related to the lessons learned that are contained in Section 1.6.

Table 3-1. Principles Supporting Proposed USACE CD Framework.

Underlying Principle	Experience Base
1. Local ownership and participation is vital	<ul style="list-style-type: none"> • CD is fundamentally an endogenous process that involves attaining, strengthening, adapting, and maintaining capacity over time, in response to emerging opportunities and challenges. (UNDP 2006) • Pay attention to communities who are supposed to benefit from CD activities as well as local authorities and NGOs. (UNDP 2002) • Ownership is not something to be offered by donors. (UNDP 2002) • When communities have direct input into design, implementation, management, and evaluation of projects, returns on investments and sustainability of the project is enhanced. (UNDP 2002) • Scan locally and globally; reinvent locally. (UNDP 2006)
2. Must understand societal and political context	<ul style="list-style-type: none"> • To effectively conduct CD activities, one must understand better how the society organizes itself, how development takes place, and what critical capacities are require to make transformation work. (UNDP 2002) • A good understanding of context is fundamental (including global, regional, and country-specific factors). (OECD 2006) • It is important that initial thinking on CD include an effort to think through the structure and potential of private sector contribution. (OECD 2006)
3. Defining clear objectives is a first step	<ul style="list-style-type: none"> • Considered thought must be given to sequencing of CD activities. • Important to begin by asking the question "capacity for what?" and focus on the specific capacities needed to accomplish clearly defined goals. (OECD 2006) • Think and act in terms of sustainable capacity outcomes. (UNDP 2006) • Important to begin by asking the question "capacity for what?" and focus on the specific capacities needed to accomplish clearly defined goals. (OECD 2006) • Achieving a "best fit" approach to CD implies a high level of flexibility in implementation methods. (OECD 2006)
4. Timing is key to success	<ul style="list-style-type: none"> • CD process cannot be rushed. (UNDP 2006) • Stay engaged under difficult circumstances. (UNDP 2006) • Timing of CD assistance is a key factor in the success or failure of a project. (JICA 2004)

3.3 Capacity Development Business Practice and Process

Recommendation 3a: CD Business Practice and Process

Establish a formal CD business practice to manage and oversee a comprehensive and consistent CD planning and implementation process in conjunction with the USACE Campaign Plan. The

business practice will leverage current USACE initiatives involving CD, such as CMEP, to develop the necessary structure for successful planning, integration, and implementation of CD.

Result: *The business practice will provide a consistent method for successful planning, integration, and implementation of CD.*

Recommendation 3b: CD Organizational Unit

Establish the CD business practice as a sub-Community of Practice (CoP) within the scope of the Interagency/International Services (IIS) CoP.

Result: *The IIS CoP will provide a permanent organizational structure from which the CD business practice can operate within USACE and will allow the CD business practice to leverage the existing IIS domestic and international relationships.*

USACE does not presently have an established CD business practice, as noted in Section 1.4. CD activities have been planned and implemented on an ad hoc basis, which has resulted in an inconsistent and ineffective approach. The lessons learned (Section 1.6) from various USG and international organizations describe the outcomes when CD is not planned into the work from the beginning. A formal structure will be created to oversee and administer the integration of CD across the USACE mission areas.

3.3.1 CD Business Practice Elements

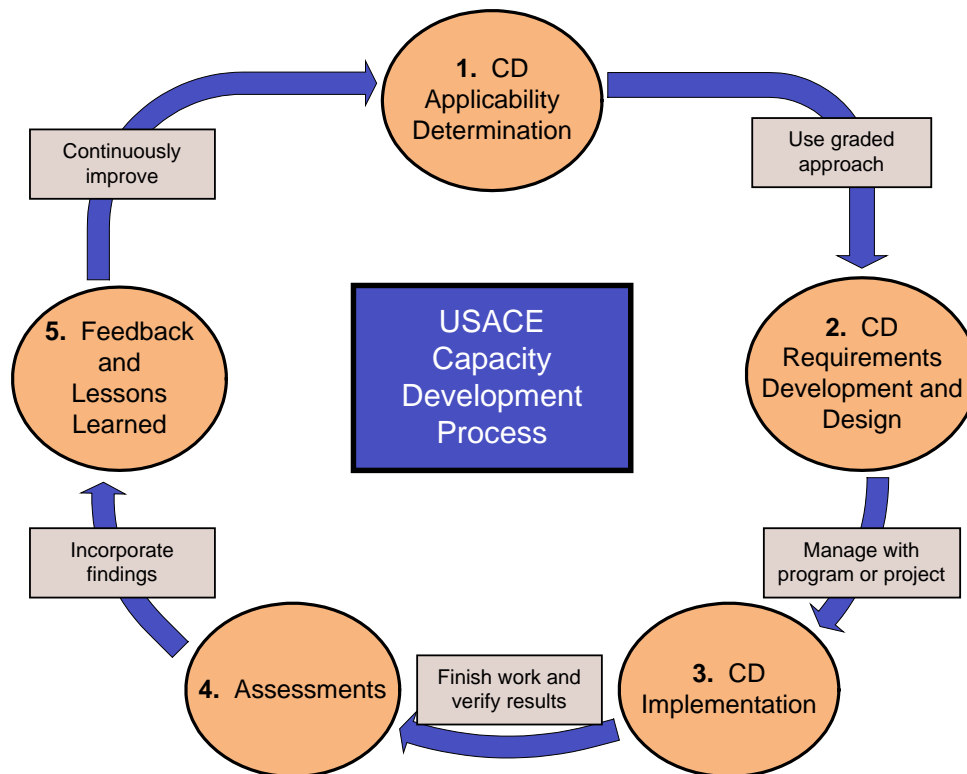
The detailed structure and operation of the CD business practice will be developed in follow-on documents after the business practice is authorized; however, the CD business practice will generally include the following elements and activities:

- Development, maintenance, and revisions of the USACE CD business practice, plans, and procedures;
- Consistent and current guidance for USACE staff, including group or one-on-one training and mentoring, as necessary to support desired outcomes;
- Sub-CoP to include representation from various functional areas;
- Interface with USACE organizations that have specific roles in CD planning and implementation;
- Interface with other USG organizations and NGOs on CD business practice and policy issues;
- Oversee team of USACE SMEs to facilitate implementation;
- Universal data collection method, collection of data from the field, and briefings and reports on USACE-wide CD progress;
- Internal and external assessments of CD implementation;
- Development of tracking mechanism for assessment findings and corrective actions; and
- Assembly and distribution of CD lessons learned to USACE staff for continuous improvement.

3.3.2 CD Planning and Implementation

The success of the CD business practice is based on sound planning and implementation and the need to incorporate CD into the requirements development phase of USACE programs and projects can not be overstated. The CD planning and implementation process, shown in Figure 3-2, is generally the same whether CD is being applied to an entire program or to a specific project. This figure illustrates a traditional approach of determining applicability, planning the work, doing the work, assessing the results, and incorporating feedback to continuously improve results.

Figure 3-2. USACE CD Planning and Implementation – A Five Step Process.



The CMEP, in operation since 1999, provides an example of the planning and implementation process steps shown in Figure 3-2 for its bi-lateral and multi-national projects. The CMEP is inherently a CD mission, so the standard program and project requirements development process is directly related to CD. The USACE CD business practice will leverage lessons learned during implementation of programs such as CMEP.

1. *CD Applicability Determination* – CMEP determines the applicability of its various CD tools and mechanisms to the circumstances and needs in the host nation. Tailoring the approach to local objectives is a key to success. Exercises, mentoring, and technology transfer are examples of elements considered during the applicability determination. Current capabilities within the host nation are also considered.



2. *CD Requirements Development and Design* – The standard USACE requirements development process is used to plan CD projects and program activities. The planning and design stage also includes significant interface with the host nations and with other participating organizations (e.g., private sector, NGOs, universities, COCOMs, and USG agencies). The objective of strengthening the host nation’s resiliency and capability is always a consideration in planning, as this leads to a reduced likelihood of government failure in the event of a disaster.
3. *CD Implementation* – CMEP leads the planned emergency management activities with the objective of increasing the host nation’s capabilities to plan for, respond to, and recover from large disasters and emergency conditions. Delivery forums typically involve seminars, workshops, and table top exercises.
4. *Assessments* – The Rand Corporation and the Defense Security Cooperation Agency (DSCA) have been involved in formal assessments (Rand) and ongoing assessments (DSCA) of CMEP outreach and effectiveness.
5. *Feedback and Lessons Learned* – CMEP has successfully completed over 55 major CD activities in foreign countries. Feedback from the foreign nations and partners to date has been highly positive. A process is being developed to formally document these lessons so other USACE organizations, such as the CD business practice, can continue to build in a positive way. The USACE CD business practice, when instituted, will have many elements in common with CMEP, so a close working relationship between the CMEP program and the CD business practice will be essential.

Implementation of CD policy and guidance by USACE organizations will be critical to success. A good case in point is the Field Force Engineering and other deployable units that must respond quickly during contingency events, where they will have the first opportunity to apply CD principles to rapidly improve on-the-ground conditions. Their CD efforts will lay the groundwork for further activities. Likewise, the absence of CD at this point as a priority, may negatively impact mission success. Working knowledge of CD principles, obtained through training and experience, is essential for success in cases where rapid decisions must be made that will shape future outcomes.

3.3.3 Organizational Structure

The IIS CoP is the best option for assimilation of the CD business practice. Incorporation of the CD business practice into the existing IIS organizational structure has the following advantages:

- Management of the CD business practice within the structure of the IIS CoP will increase CD effectiveness and will provide immediate recognition of the business practice within USACE and to external organizations;
- IIS and the CD business practice support both international and domestic initiatives;
- The mission of IIS is highly compatible with the CD business practice;
- IIS has well-established liaison and interface with numerous USG departments and agencies, foreign governments, and other organizations. These existing relationships will facilitate acceptance of the USACE CD business practice by external parties; and

- IIS can readily accommodate the small number of staff anticipated for the CD business practice and the IIS management is willing to receive the CD business practice as an integral part of IIS.

3.4 Interfaces, Partners, and Stakeholder Involvement

Recommendation 4: Interfaces, Partners, and Stakeholder Involvement

Formally coordinate CD plans and activities between all participants.

Result: *Effective coordination between participants will lead to less redundancy, fewer gaps, lower costs, increased efficiency, and more sustainable endpoints.*

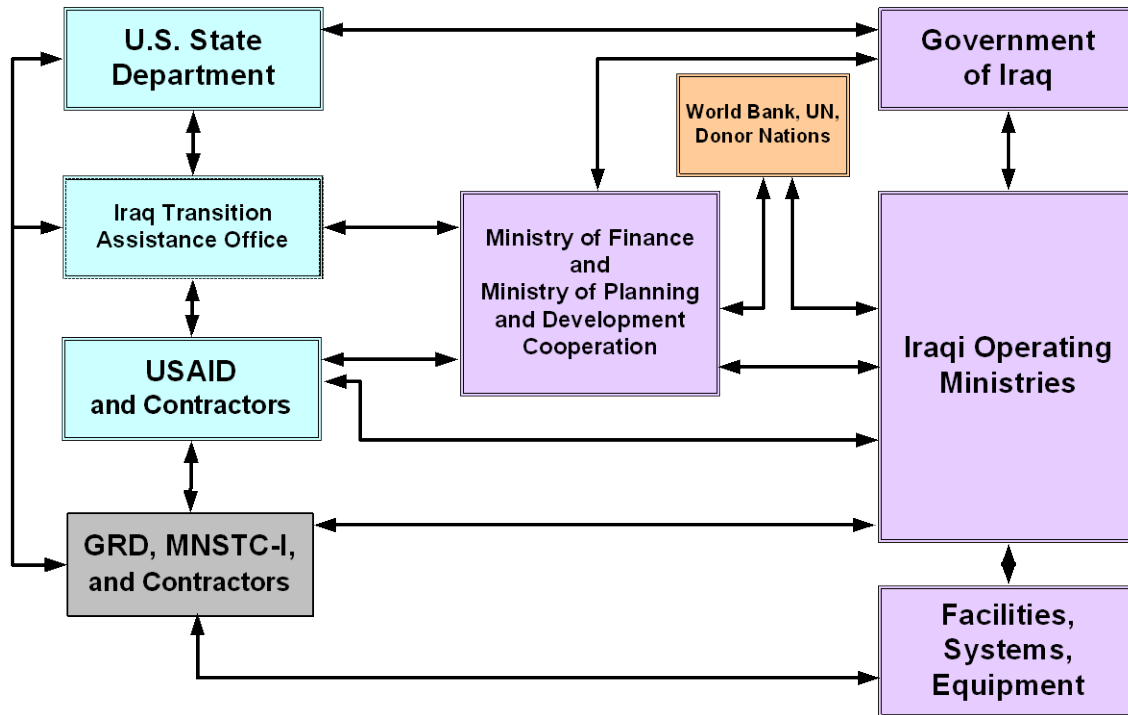
Mission activities are rarely conducted without significance interface with other agencies, organizations, or governments, so a fully integrated approach to CD between the various participants provides the greatest likelihood of successful implementation and sustainable results. The partnership created with all parties working toward a common objective is essential for success, but establishing and maintaining effective interfaces for the duration of the program or project requires a commitment and diligent effort by each party.

The USACE mission roles and responsibilities are ever increasing, which means that effective interface with other organizations is critical. Different mission phases, as well as program or project scope and objectives, will dictate both the USACE role and the types of interfaces necessary to achieve optimum results. Typical USACE interfaces include organizations such as other USG departments and agencies, state and local governments, Native American governments, foreign governments, NGOs, and the private sector.

Figure 3-3 is an example of the multi-party interfaces that were necessary in planning and implementing CD for the Iraq Reconstruction Program. This example shows a higher degree of complexity that will be required for many USACE projects, but it is not atypical for a major construction activity in a post-conflict environment.

Each interface scenario will be planned and designed to address unique attributes of the program or project and to meet specified objectives. The roles and responsibilities of various parties will vary substantially, for example, when working with a host nation versus a state or local government agency within the US. Likewise, the type and level of interface for an ongoing USACE program with CD as its primary objective will be distinctly different from interfaces required on a major construction or reconstruction program.

Figure 3-3. Iraq Reconstruction Program Capacity Development Interfaces.



USAID = U.S. Agency for International Development
 MNSTC-I = Multi-National Security Transition Command - Iraq
 GRD = Gulf Region Division

Source: PCO 2004, with minor edits

Active and substantive participation and ownership by the host nation has been documented by USACE and numerous other organizations involved in international CD as perhaps the most critical factor in achieving sustainability (see Section 1.6 and Table 3-1). USACE must ensure that the host nation or other service recipient is appropriately engaged and willing to participate before beginning a program or project that involves CD.

USACE may be called upon to have the lead role within a partnership of organizations, depending on the scope of the program or project and the specific circumstances. USACE will facilitate communication between all the parties involved in CD in these cases and will develop the memoranda of agreement (MOA) or other interface documents necessary to maintain continuity between CD activities conducted by each party.

Coordination among key USACE customers and partners will be critical during the process of establishing the USACE CD business practice, plans, and procedures to ensure: proper synchronization of basic CD concepts, methods, and framework; agreed-upon CD roles and responsibilities of USACE vis-à-vis external customers and partners; lessons learned and other customer needs are identified and taken into consideration; customer satisfaction with the USACE CD business practice; and successful implementation of CD throughout USACE. Table 3-2 lists the primary external interfaces where coordination must take place. This interface may be carried out by existing IIS or Field Force Engineering liaisons or new CD-specific liaisons may need to be established.

Table 3-2. Primary Interfaces with US Organizations.

Organizational Interface	Primary Full Spectrum Operations Component			
	Offensive	Defensive	Stability	Civil Support
Army G-35: Strategy, Plans, Policy and Joint/International Affairs Directorate	✓	✓	✓	
Combatant Commands (COCOM)	✓	✓	✓	✓
Army Installation Management Command (IMCOM)			✓	
Army Environment Center			✓	✓
Army Civil Affairs and Psychological Operations Command			✓	
Assistant Secretary of the Army for Civil Works			✓	✓
Department of Homeland Security (DHS)			✓	✓
Federal Emergency Management Agency (FEMA)				✓
U.S. Agency for International Development (USAID)			✓	
U.S. Environmental Protection Agency (EPA)				✓
U.S. Department of State – Office of the Coordinator for Reconstruction and Stabilization (S/CRS)			✓	
Millennium Challenge Corporation (MCC)			✓	
American Society of Civil Engineers (ASCE) / American Association of Engineering Societies (AAES) / Society of American Military Engineers (SAME)			✓	✓

USACE will ensure that programs or projects that contain extensive CD be formally coordinated with these organizations, as appropriate for the circumstance. This will be done through either an interface document describing the CD roles and responsibilities of each party or through specific MOAs. This structure will provide each party with a clear understanding of expectations, performance standards, and schedules and will allow each to budget and plan their CD activities. Lines of communication and authority must be clearly understood by all involved parties to ensure that each party understands the activities being conducted by others. These communication lines also serve as a forum to raise issues that may arise during implementation and to achieve solutions.

3.5 Program and Project Requirements Development

Recommendation 5: Program and Project Requirements Development

Include CD as a standard element in the USACE program and project development to include cost estimate and requirements identification, as appropriate.

Result: *CD, where applicable, will become an integral part of programs and projects and will not have to be added during the final stages or omitted due to budget or schedule constraints.*

Inclusion of CD activities in the normal process of requirements development is the best way to systematically and effectively integrate CD into USACE's programs and projects. This means that each program and project will be evaluated to determine the extent to which CD activities are applicable to the work scope. A cost estimate will then be developed and included in the final program or project cost estimate provided to the service recipient. This will prevent the situation now commonly experienced in which CD is either 1) dismissed as an activity since no funds are available, or 2) added during implementation at the expense of another planned activity. Lack of specific funding to cover CD will frequently result in deletion of CD from contract statements of work, even if it is recognized as an important activity that will lead to sustainability. Development of appropriate CD metrics and methods for performance assessment will also begin during the planning process, as these will become the benchmarks for measuring the success of the program or project.

Some current USACE programs include CD as part of the normal requirements development process. The CMEP is a good example, where the core function of the program consists of CD, with training and exercises provided to foreign governments so CD is covered during the normal requirements development process. Other programs have evolved to the point where the need for CD is routinely accepted and it is planned and budgeted as part of each construction project.

USACE must be able to rapidly adapt to unanticipated circumstances and unplanned events that do not lend themselves to detailed, long-range planning (e.g., wars and disaster response). The extent to which CD is included in these types of unplanned events will be determined on a case-by-case basis as the rest of the project is planned and implemented on an emergency basis. CD will still be an integral part of the requirements development process, even when the process is done on a highly expedited schedule.

CD can be important for smaller programs and projects, so there is no minimum dollar threshold at which CD is not applicable. CD requirements development will begin early, even on short-term activities, with consideration of the need for CD as part of planned feasibility studies; infrastructure reconnaissance; master planning exercises; and sewer, water, electricity, academics, and trash (SWEAT) assessments.

It is possible that the need for CD during a particular program or project may become evident during implementation, in which case the service recipient will need to evaluate CD needs against other needs. CD, in these cases, may require additional funds, reallocation of existing funds, or no action. The addition of CD midway through a program or project may require a schedule extension in order to complete the CD activities.

Major CD initiatives may require significant interface with other organizations involved in CD, as mentioned in Section 3.4, particularly at the enabling environment level of the CD framework (Section 3.2). USACE will plan and budget for its own activities, but interaction with other organizations will also occur during the requirements development process to optimize USACE resources and investments by avoiding duplication of effort, gaps in needed services, or conflict in schedules and approaches. These other organizations may include some combination of service recipient or host nation, State Department, USAID, NGOs, and private sector enterprises.

3.6 Acquisition Strategy and Private Sector Involvement

Recommendation 6a: Acquisition Strategy and Private Sector Involvement

Determine the extent to which the private sector will be used to supplement the in-house capabilities of USACE to carry out effective CD and how to access these external resources.

Result: *This will optimize the balance of CD resources and expertise between USACE and private sector and will ensure methods for accessing external CD resources are readily available.*

Recommendation 6b: Contract Provisions for CD

Consider CD objectives in the acquisition strategy development process and develop appropriate CD requirements into procurements for goods and services to ensure that CD performance standards are met during implementation.

Result: *Enforceable contractual requirements for CD are built into procurements of goods and services as appropriate; thereby eliminating confusion on expectations related to CD performance.*

Meaningful engagement of the private sector, whether OCONUS or CONUS, presents a unique challenge to USACE. The private sector is defined in this White Paper as for-profit and not-for-profit entities outside of the public sector. This includes for-profit contractors as well as professional associations, local Diasporas, international organizations, universities and other educational resources, and other NGOs. There must be a clear benefit (short-term or long-term) to the private sector to make CD a priority for expenditure of time and money and USACE must plan its work with this understanding in order to create a “win-win” setting.

USACE will develop strategies for how and when it will access these private sector organizations to obtain their capabilities and support. This may include the need to develop or update a MOU or MOA directly or through other partner agencies to allow USACE to rapidly activate and fund CD initiatives conducted by these entities.

USACE performs much of its international and domestic work primarily through the use of contractors. This work can generally be divided between programs and projects for which CD is the primary objective (e.g., mentorship or exercises) and programs and projects for which CD is a support activity for sustainable results (e.g., infrastructure construction or reconstruction). The cases where CD is the primary objective are not addressed in this section, as associated contracts will directly include CD activities and deliverables. The cases in which CD supports other major objectives is a different matter, however, and inclusion of CD in these types of contracts is often

overlooked. Funding for CD must be maintained as a distinct element and the contract statement of work and deliverables must address CD. This identity and prominence will ensure that CD does not get overlooked as budgets, including contingency budgets, become stressed during the term of the contract.

Lessons learned, as discussed in Section 1.6, clearly illustrate that inclusion of contract language and incentives for CD into prime contracts is effective in ensuring delivery of CD to the end users. The USACE GRD's implementation of the Iraq Reconstruction Program is an excellent example of the positive effect of including CD language into prime contracts. CD was included in the award fee section of the contracts, which resulted in close attention and compliance to the requirements by the contractors and CD was planned, budgeted, and scheduled into the various construction projects.

The USACE program to promote Iraqi women and women-owned businesses, as described in Section 1.4.1, was one of the award fee criteria in the Design/Build and Program Management support contracts. The prime contractors' progress in meeting their various subcontracting goals and CD training requirements was reported and tracked through the Subcontracting Excellence and Capacity Development Database. The inclusion of specific subcontracting goals and CD activities in the prime contract award fee criteria resulted in serious efforts by the prime contractors to meet these goals. This helped to create an improvement in sustainable operation of completed infrastructure facilities, systems, and equipment in all sectors. This improvement was in comparison to earlier contracts by other USG organizations and contractors where CD was not contractually required and CD was not delivered to Iraqi infrastructure recipients.

The Iraq Reconstruction Program acquisition strategy eventually moved away from the very large contracts awarded to US and international firms in favor of smaller direct contracts with local Iraqi firms. The direct infusion of capital to the local firms who hired local employees was beneficial and the small businesses also learned how to serve as prime contractors on significant infrastructure projects, while USACE provided the necessary oversight and construction quality assurance. This strategy has also been used successfully in Afghanistan infrastructure reconstruction through the Afghan First Initiative.

Follow-on documents to this White Paper will include examples of specific language based on past contracts that will require the appropriate delivery of CD by the contractor. The objective is to improve the level of CD performance and sustainability of projects. These examples will serve as a menu to be considered as future contracts and will include:

- Discussion of the types of contract vehicles that will typically include provisions for CD in carrying out FSO elements, both internationally and domestically;
- Model language, with clear incentives and disincentives related to CD delivery, appropriate for the type of contract (e.g., award fee, cost plus fixed fee, fixed price, etc.);
- Model language related to employment/hiring goals and subcontracting goals aimed at increasing the competence and viability of the local workforce, local or regional businesses, small businesses, and women-owned businesses; and,
- Conducting small-scale real-time exercises, live test cases, and pilots to determine what requirements are most effective.

3.7 Tracking and Reporting

Recommendation 7: Tracking and Reporting

Establish a tracking and reporting system, based on defined metrics, to document progress in implementation of CD activities.

Result: *USACE will have a readily available record of its completed activities that will aid in planning and refining future CD efforts and in responding to inquiries about the CD planning and implementation.*

The USACE CD business practice will be highly visible as a component of FSO. USACE will be expected to track and report on the CD activities undertaken. A tracking and reporting system will be required to allow the USACE management chain to view the status of CD planning and implementation at any time. Previous experience has shown that it is necessary to have readily available information to enable managers to reinforce or change direction and to establish priorities for future actions. Experience has also shown that USACE can expect to receive information requests from outside agencies, such as the Government Accountability Office (GAO), Congress, DoD, and DOS on the number and type of CD activities being conducted and on the efficacy of the USACE CD activities as a whole.

The capability to track and report on CD activities completed will be essential to provide input to senior management, to answer data calls from external parties, and to support internal and external assessments (Section 3.8) in an efficient manner. HQ USACE CD business practice staff will have the responsibility to maintain the tracking and reporting system and will interface with USACE program and project managers to assist them in entering new information into the system.

Existing methods and systems within USACE will be used for tracking and reporting to the extent practicable. The GRD's Subcontracting Excellence and CD Database is one example of an efficient method of gathering and consolidating this type of information. Other existing websites and portals designed for this purpose could also be used. Information could consist of tabulated data and narrative reports such as training session summaries and After Action Reports for emergency response exercises.

3.8 Assessments and Continuous Improvement

Recommendation 8: Assessments and Continuous Improvement

Participate in external assessments and conduct periodic self-assessments of CD performance, based on metrics, and incorporate assessment recommendations and lessons learned into the CD business practice.

Result: *Assessment findings, recommendations, and lessons learned will provide valuable feedback as USACE incorporates this information to continually increase the effectiveness of the CD implementation.*

CD planning and implementation within USACE will be measured by outcomes, rather than outputs. The number of training sessions, number of people trained, number of exercises, etc. are important metrics, but the true measurements of the efficacy of USACE's CD activities will be continued sustainability and increased self-determination, knowledge, skills, and abilities of host nations and other service recipients.

Demonstration of success through outcome measurements will require time, perhaps several years or a generation, before trends change in a consistent manner and become the new baseline. This pattern is typical for any similar program (e.g., a safety training program) in which the extent of an outcome is realized through acquisition of knowledge, stability of the work force, and modification of behavior.

Assessments of the CD effectiveness will be valuable tools toward the goal of continuous improvement. Assessments or audits can be done in a variety of ways and can focus on specific elements of a project or can serve as a review of an entire program. Appropriate metrics will be developed during the program or project planning stages and will serve as benchmarks for future assessments.

Internal assessments will be performed internally by USACE staff, with contractor support as appropriate, and can be at either the program or project level. Internal assessments can be performed by any combination of USACE staff, including HQ leadership, CD business practice staff, or field office staff, depending on the specific needs. The purpose of internal or self-assessments is to identify and document ways in which CD could be planned and carried out more effectively.

External assessments are conducted by other organizations or third parties that specialize in assessments and audits (e.g., GAO, Army Audit Agency, FEMA, or Inspector General). USACE will assign a cognizant staff member from either the USACE CD business practice or from a field location to serve as liaison to any external agency staff conducting an audit or assessment of USACE CD activities. These assessments will focus on the extent to which 1) CD was built into the program or project during the requirements development stages and whether adequate funding for CD was provided, 2) USACE conducted the CD activities as planned, and 3) the completed CD activities achieved the desired outcomes.

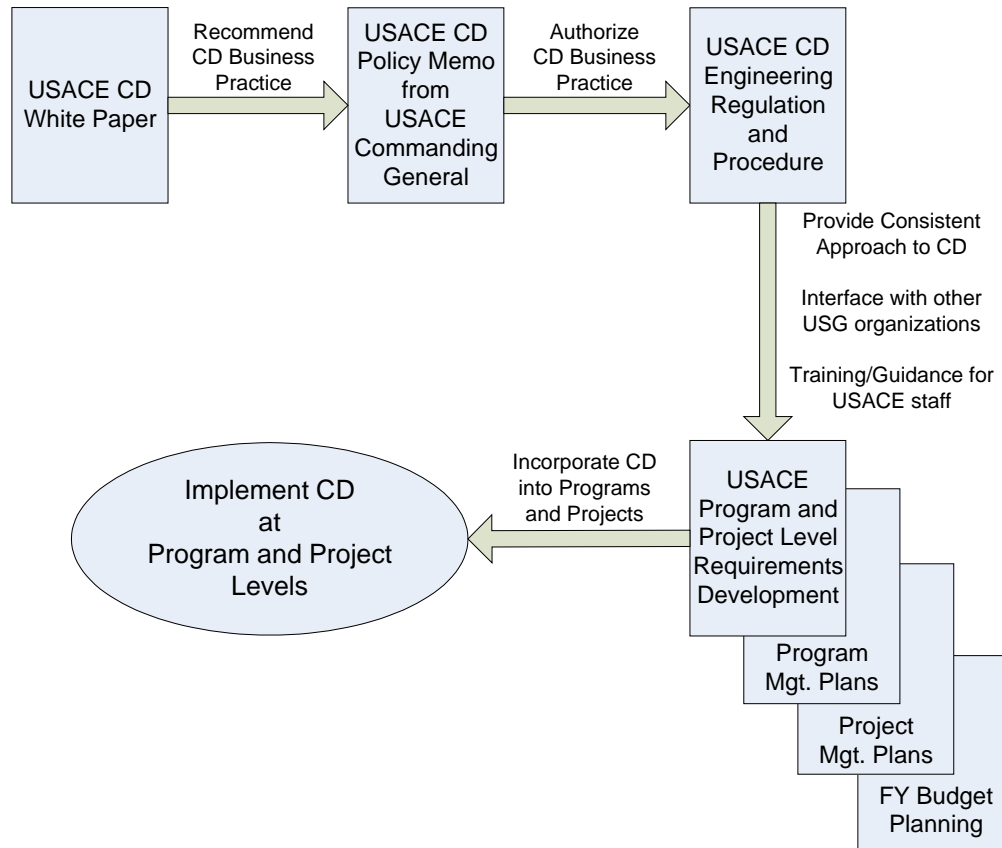
Gaps or deficiencies noted during assessments and the associated recommendations for improvement will be incorporated into the USACE lessons learned system, as appropriate, to further improve the effectiveness of CD planning and implementation. Positive findings or noted good practices will also be used to document and reinforce specific CD activities that add value. The HQ USACE CD business practice staff will be responsible for oversight of the CD component of the lessons learned database. The USACE program and project staff will be responsible for entering CD lessons learned into the database. These lessons will then be incorporated into current and future practices to ensure the USG investment is not lost or sub-optimized and that local citizens are supplied with the essential services necessary to support a sustainable economy, government and infrastructure.

4.0 Summary and Next Steps

This CD White Paper serves as an initial step in developing specific implementation requirements, guidelines, and procedures for USACE managers at the HQ, Division, District, and research laboratory levels. The objective is that the USACE CD business practice will serve as a working guide to keep all participants on the same path with a common vision for outcomes as CD activities are planned and implemented at the program and project levels. This includes planning and implementation of CD activities into specific projects and into the mission as a whole.

The more specific objectives for CD implementation will be contained in Program Management Plans, Project Management Plans, budget plans, and other related planning and management documents. The general process for approval and implementation of the USACE CD business practice is shown in Figure 4-1.

Figure 4-1. Next Steps for Implementation.



The recommendations in this White Paper will be reviewed by the Readiness XXI Senior Review Committee and summarized into a policy letter and action plan to be issued by the USACE Chief of Engineers. This will provide authorization to proceed with a comprehensive CD business practice and the appropriate documents will be prepared as directives for implementation. The



key document may be in the form of an Engineering Regulation or other format, as determined in the policy letter and action plan. Program and project level documents will be prepared with CD as a standard element to be considered in the requirements development process leading to the implementation of USACE programs and projects with the appropriate level of CD.

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Appendix A

Authorities for Capacity Development

Appendix A – Authorities for Capacity Development

USACE operates under a number of authorities that relate directly to CD. These authorities are addressed in Section 1.4 and details for each are included below. This is not intended to be an exhaustive list, but rather a summary list to demonstrate that CD has been considered in authorizing documents under which the USACE conducts its mission.

1. Department of Defense Directive 3000.05

DoD Directive 3000.05 was enacted on 28 November 2005, and Section 4 sets the following policy:

“Stability operations are a core U.S. military mission that the Department of Defense shall be prepared to conduct and support.” Section 4.2 goes on to state, *“the immediate goal is often to provide the local populace with security, restore essential services, and meet humanitarian needs. The long-term goal is to help develop indigenous capacity for securing essential services, a viable market economy, rule of law, democratic institutions, and a robust civil society.”*

2. Operations Order (OPORD) 2007-09, USACE, Readiness XXI Implementation

Goal 1 of the USACE Campaign Plan (USACE 2007c) as cited in OPORD 2007-09 is to:

“Shape and institutionalize USACE capabilities for Stability, Reconstruction, and Homeland Security, to provide the Nation with highly adaptable and effective engineer and technical support for joint, combined and interagency/ intergovernmental operations, responsive to the National Strategies and interests during peace and war, wherever needed in both domestic and international venues.”

Objective 1c of OPORD 2007-09 is to:

Institutionalize engineer mission and technical support roles and responsibilities at the Department and National level for contingency operations domestically and abroad.

This is done:

“Through the newly integrated approach embodied in Readiness XXI, USACE will increase its preparedness to fully support the Army, DoD and the Nation for civil and military contingencies, while successfully executing our civil and military programs. We will reshape our culture and enhance our capabilities to meet new challenges for all contingencies, at home and abroad by ensuring that USACE has qualified, high performance expeditionary teams, prepared and positioned to support all civil and military contingencies with readiness as a specified capability.” (USACE 2007b)

3. USACE Campaign Plan “Refresh”

Goal 1 of the USACE Campaign Plan refresh is to:

“Deliver USACE support to combat, stability, and disaster operations through forward deployed and reachback capabilities.”

Objective 1a states that:

“USACE is ready, responsive, and reliable in delivering high performance, all-hazard, contingency mission execution in a world-wide theater of operations.”

Objective 1a tasks include the following:

“Create a formalized Capacity Development process through the establishment of a CD business practice.”

Objective 1b is to:

“Prepare Theater Engineer Commands to support Combatant Commanders throughout the spectrum of conflict.”

4. Stability Operations in an Era of Persistent Conflict, 12 June 2008

The document is intended to provide guidance to the Department of the Army, serves as an integrating mechanism for stability operations initiatives, and forms the basis of Army policy for institutional decisions related to stability operations. This document states:

“Capacity building is fundamental to success in stability operations.....all credible future strategies incorporate the notion of building partner capacity as fundamental to success in stability operations.”

5. U.S. Army Field Manual (FM) 3-07, Stability Operations (DRAG 24 Jun 2008)

FM 3-07 is the Army’s keystone doctrinal publication for stability operations which presents overarching guidance for conducting stability operations, sets the foundation for developing other fundamental policies and procedures, and provides guidance for commanders and trainers at all echelons of the Department of the Army. FM 3-07 defines stability operations as the following activities.

“They aim to build partner capacity, strengthen legitimate governance, maintain rule of law, foster economic growth, and help to forge a strong sense of national unity.”

Capacity Building

FM 3-07 states that, *“building capacity in the host nation is fundamental to success in stability operations. Capacity building activities develop and strengthen the skills, systems, abilities, processes, and resources that host nation institutions and individuals need to learn.”*

6. Army Chief of Staff Initiative 18

The Army Chief of Staff established a number of stability and reconstruction operations focus areas in January 2005. USACE has been assigned as the lead agency for implementation of Initiatives 18, 23, and 24. Initiative 18 states that the lead agency will:



“Establish and provide base operations capabilities to support the operational Army in a contingency environment and provide infrastructure and city management expertise to support the host nation.”

7. **Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390, 30 October 2000**

Section 101, entitled, “Congressional Findings and Declarations” encourages the development of comprehensive disaster preparedness and assistance plans, programs, capabilities, and organizations by State and local governments and promotes greater coordination and responsiveness with respect to disaster preparedness and relief programs.

8. **National Response Framework, January 2008**

The Department of Homeland Security (DHS) has developed a series of national plans, policies, and guidelines to support a well-orchestrated approach to emergency response. The National Response Framework (NRF), which superseded the National Response Plan (December 2004), is an all-discipline all-hazards plan that establishes a single, comprehensive framework for the management of domestic incidents. It provides the structure and mechanisms for the coordination of Federal support to State, local, and tribal incident managers and for exercising direct Federal authorities and responsibilities. The NRF assists in the important homeland security mission of preventing terrorism attacks within the US; reducing the vulnerability to all natural and manmade hazards; and minimizing the damage and assisting in the recovery from any type of incident that occurs.

The NRF contains 15 Emergency Support Function (ESF) Annexes, which provide additional detail on roles and responsibilities of US Government agencies. USACE has direct responsibilities for two ESFs, as follows:

ESF #3: Public Works and Engineering

USACE serves as the operating agent on behalf of DoD in the execution of ESF #3 and, as the ESF Coordinator, has the responsibility to coordinate meetings, plans, exercises, training, and other activities with DHS/Federal Emergency Management Agency (FEMA), the private sector, and the ESF #3 support agencies. Specifically, ESF #3 includes:

“Conducting pre-incident and post-incident assessments of public works and infrastructure; executing emergency contract support for life-saving and life-sustaining services; providing technical assistance to include engineering expertise, construction management, and contracting and real estate services; providing emergency repair of damaged infrastructure and critical facilities; and implementing and managing the DHS/Federal Emergency Management Agency (DHS/FEMA) Public Assistance Program and other recovery programs.”

ESF #14: Long-Term Community Recovery and Mitigation

USACE is a support agency for ESF #14 and coordinates with other ESF departments and agencies, participates in planning efforts and provides program assistance as appropriate. USACE is also responsible for providing technical assistance in community planning, civil engineering, and natural hazard risk assessment expertise as well as supporting the development of national strategies and plans related to housing and permanent housing, debris management, and the restoration of public facilities and infrastructure. Specifically, ESF #14:

“Provides a framework for Federal Government support to State, regional, local, and tribal governments, nongovernmental organizations (NGOs), and the private sector designed to enable community recovery from the long-term consequences of an Incident of National Significance.”

9. Army Action Plan for Stability Operations (SO) – HQDA G35 Strategy, Plans, and Policy, Army Campaign Plan Decision Point 105, Approved 2 August 2007

Army SO consists of five basic tasks:

- a. Establish Civil Security;
- b. Establish Civil Control;
- c. Restore Essential Services;
- d. Support Governance; and,
- e. Support Economic and Infrastructure Development.

Specific responsibilities in carryout out these tasks are assigned to USACE, and include the following;

- a. Provide training and readiness oversight of Theater Engineer Command elements in order to ensure their capabilities to support SO are synchronized in combatant command and service component command plans.
- b. Institutionalize and improve the responsiveness and readiness of civilian Corps of Engineers’ capabilities to mobilize in support of Army forces conducting SO.
- c. Update USACE publications and regulations to address Field Force Engineering teams and the means to request and mobilize them. Incorporate Field Force engineering doctrine within Army and Joint publications.
- d. Lead the Army’s analysis to establish and provide base operations capabilities to support the operational Army in a contingency environment and provide infrastructure and city management expertise to support the host nation.
- e. Establish mechanisms through which USACE contracting capabilities can be used to support bottom-up, small-scale solutions to economic and infrastructure issues.
- f. Execute CMEP activities within framework and guidance from HQDA G-3/5/7.



- g. Given current and future full spectrum engineering requirements, ensure the proper skill sets are developed and available to meet the Army's and the Nation's needs.
- h. Support TRADOC Commander's Handbook for SO with relevant sections on reconstruction operations.
- i. In support of FORSCOM, assist in the development and execution of a program with major regional municipal organizations to educate Officers and Senior NCOs on industry best practices in engineering areas that support Army forces conducting SO.
- j. Develop and operationalize integrated, knowledge based planning methodologies, assessments, and decision support tools for generating informed, integrated, manageable, and effective plans for SO with IA and multi-national partners.
- k. Develop and maintain the capability to deploy Real Estate and Environmental Support Teams as required to support SO.

10. **Homeland Security Act of 2002**

Provides the basis for Department of Homeland Security (DHS) responsibilities in the protection of the Nation's Critical Infrastructure/Key Resources (CI/KR).

Homeland Security Presidential Directive 7 (HSPD-7) – establishes the US policy for “enhancing protection of the Nation's CI/KR” and mandates a national plan to actuate that policy.

National Infrastructure Protection Plan (NIPP) – The NIPP was developed in accordance with HSPD-7 to delineate the roles and responsibilities of security partners in carrying out CI/KR protection activities.

“The overarching goal of the NIPP is to build a safer, more secure, and more resilient America by enhancing protection of the Nation's CI/KR to prevent, deter, neutralize, or mitigate the effects of deliberate efforts by terrorists to destroy, incapacitate, or exploit them; and to strengthen national preparedness, timely response, and rapid recovery in the event of an attack, natural disaster, or other emergency.”

11. **Intergovernmental Cooperation Act**

The Intergovernmental Cooperation Act, 31 U.S.C. § 6505, is one authority that allows USACE to provide specialized or technical services to State or Local governments (excluding Native American Tribes). The Thomas Amendment requires the requesting agency to provide a written scope of services to be provided, agree to reimburse USACE for all costs, and certify that the services are not reasonably and quickly available through ordinary business channels.

12. **Water Resources Development Act of 1990**

Section 234 (33 U.S.C. 2323a) authorizes the Secretary of the Army (SA) to “engage in activities in support of other Federal agencies . . . to address problems of national

significance to the United States.” The SA may use “technical and managerial expertise of USACE to address international and domestic problems related to:

- Water resources
- Infrastructure development
- Environmental protection

The SA may accept and expend funds from other Federal agencies to carry out this section.

13. **U.S. Army Field Manual (FM) 3-0, Operations, approved 27 FEB 2008**

FM 3-0 is a capstone doctrine that explains how the Army operates in the combinations and phases of full spectrum operations (FSO). The four types of operations are: offensive, defensive, stability, and civil support. Various sections of FM 3-0 address CD and, particularly as applicable to SO and civil support operations. Some of those sections are noted below.

Support to Economic and Infrastructure Development

Paragraph 3-81. Support to economic and infrastructure development helps a host nation develop capability and capacity in these areas. It may involve direct and indirect military assistance to local, regional, and national entities.

Civil Support

Paragraph 3-114. Civil support includes the key tasks of providing support in response to disaster and supporting law enforcement (as discussed above). Unless the Nation is attacked, Army forces conduct civil support operations exclusive of the offense and defense.

Emergency Preparedness Planning

Paragraph 3-115. In emergency preparedness planning, Department of Homeland Security examines a wide range of threats and plans for man-made and natural disasters and incidents. Department of Defense supports emergency preparedness planning. When necessary, these plans are executed as civil support operations.

Civil Considerations

Paragraph 5-38. Civil considerations are essential to developing effective plans for all operations—not just those dominated by stability or civil support. Full spectrum operations often involve stabilizing the situation, securing the peace, building host-nation capacity, and transitioning authority to civilian control. Combat operations directly affect the populace, infrastructure, and the force’s ability to transition to host-nation authority. The degree to which the populace is expected to support or resist Army forces also affects the design of offensive and defensive operations.

Support to Economic and Infrastructure Development



Paragraph 3-81. Support to economic and infrastructure development helps a host nation develop capability and capacity in these areas. It may involve direct and indirect military assistance to local, regional, and national entities.