

# Good Governance Makes Sense

## A Way to Improve Your Mission



# **Good Governance Makes Sense**

**A Way to Improve Your Mission**

First Edition

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## Abstract

To demonstrate via a step-by-step approach how CIMIC personnel can assess and evaluate the aspects of good governance in a particular situation or operation, the core of this publication consists of a 'basic good governance assessment' framework. The framework focuses on three phases of a military mission: the pre-deployment, deployment and the transition phase. If pressed for time, turn directly to chapter five and six for more information. You can also find an easy to use tear-out version of the Basic Good Governance Assessment (Framework) in the back of this booklet.

The three main objectives of this publication are to provide an analytical overview of good governance **(1)**, and to demonstrate why this concept is a key component in achieving sustained success of military operations **(2)**. Furthermore, the publication demonstrates how Civil-Military Cooperation (CIMIC) can be used as a primary tool in supporting the civilian effort to promote good governance, and support a military commander's assignment or mission **(3)**.

The first leading question tries to explain what exactly 'good' governance is. With regard to the act of governing, the publication draws a distinction between three different types of legitimate authority: rational-legal, traditional and charismatic. Secondly, the study also distinguishes three different actors that influence (good) governance; public, private and civil. As the publication acknowledges that there is no single and exhaustive definition of good governance, it is demonstrated that good governance might (or should): be participatory, be accountable and transparent, follow the Rule of Law, provide basic service delivery, be based on democracy, control military and police activities, respect human rights and be free of corruption. In the end, it is up to CIMIC personnel (in the field) to assess and evaluate the criteria of good governance in a particular case or situation. Cultural awareness amongst military personnel and local civil actors is therefore crucial for a mutual understanding of each other's aims with regard to promoting good governance and the place it has on their respective agendas. The publication therefore stresses that what you perceive as 'good' governance is *not* always shared by other people.

As an answer to the second and third leading question of the publication, it is crucial to understand that one of the most important prerequisites to achieve sustained success of a military operation is the people's acceptance of state authority as legitimate and trust its institutions. This will only succeed if the national government strives to deliver the people's basic needs, such as security and justice - through good governance. It is the task of CIMIC personnel to sense which essential requirements in a particular situation or area are needed to create or develop this kind of trust among the different actors involved in the act of governing. Local ownership and leadership of this process is crucial. Since, the

sooner that functions are exercised by the host-nation's government, the more quickly the country will become stable and viable.

More importantly, it is the task of CIMIC personnel to assess the aspects of good governance, so that these issues can be incorporated in military planning in all phases of an operation. CIMIC is therefore mostly a facilitator in the whole process of strengthening competence and understanding with regard to good governance. The core business of the military is to deliver peace and security. But, it is additionally part of a broader political dimension and must take a comprehensive approach, supporting good governance.

## Preface

The support of societies in their movement from conflict to peace is a very demanding and complex challenge. As civil entities might have a head-start when compared to military entities, it is nevertheless absolutely necessary that military forces are able, willing and keen to participate.

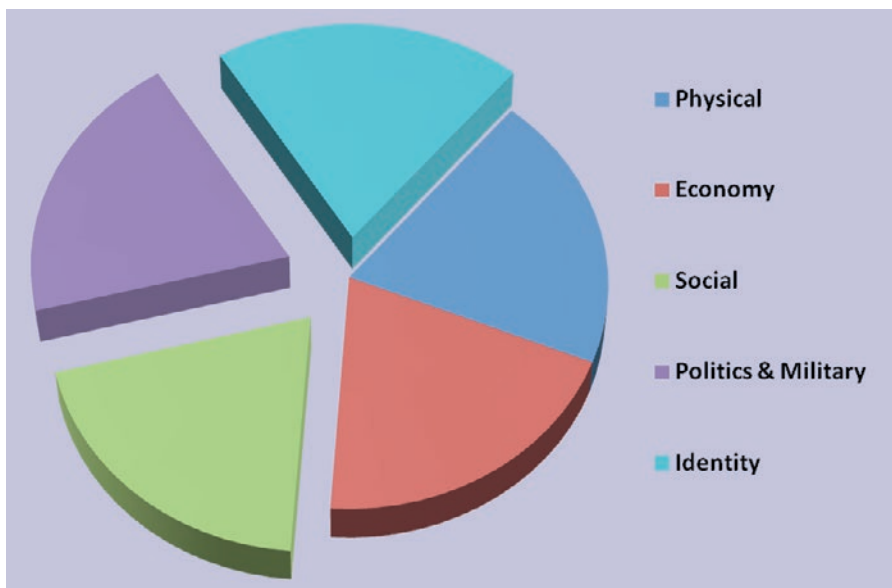
These transitioning societies demand a different type of focus than the average situation analysis of military personnel. This normal military situation analysis is not considering all the factors which need to be part of the equation. To facilitate a holistic view for the military the CCOE designed the Advanced Cultural Competence Model (ACC).<sup>1</sup> It incorporates all relevant sectors of any society, as well as all influence factors to this society, which the military forces need to understand and include in their planning to lend the support needed. ACC structures the society itself into five segments. These are the:

1. **Physical dimension:** here one has to think of land, mountains, potable water, rivers, the environment but also the mineral resources.
2. **Economic dimension:** produce, trade, ways of dealing with scarcity, but also aspects as entrepreneurial confidence and black market
3. **Social dimension:** the way any society defines and organizes its relationships: young vs. old; have vs. have-nots; male vs. female
4. **Political dimension** how a society has divided its power and organized its leadership.
5. **Identity dimension** with joint beliefs and history that helped to shape the identity of a culture/society

Each single one of these dimensions plays a vital part in the interaction of any society, sets its' fundamental axioms and depicts borders or development opportunities. Any frictions in these areas will create unrest ranging from irritation to aggression.

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<sup>1</sup> CCOE/J. Sennef, *Advanced Cultural Competence – the gate to CCOE's "... makes sense"* publication series (Enschede 2011).



*Graphic 1. The different dimensions of society*

The CCOE aims to produce a model that is transparent as well as understood. In support of this the CCOE publishes a tactical guidance series for the aforementioned elements, if not covered in other publications or doctrines. The start has been made with a “Gender makes sense”, “Ecosystems assessment makes sense” and a “Rule of Law makes sense” publication, covering parts of all five dimensions mentioned above. The publication you hold in your hands now explains the influence of one more aspect on all parts of societies rounding up the picture. In future, the ACC-model will be further enhanced with publications on other issues.

Fostering and promoting understanding and comprehension of the ACC-model will, among other things, be assured by making understood the importance of most prominent influence-issues in each segment.

1. Ecosystems influence in the physical dimension
2. Entrepreneurial influence in the economical dimension
3. Gender influence in the social dimension
4. Good governance and Rule of Law influence in the political dimension
5. Cultural heritage Protection influence in the identity dimension.

Taking a close look at these crucial topics will enable military personnel to decipher the problems at hand. This is the prerequisite for holistic analysis of the situation in the area of operations. Starting from here, Alliance Forces will be able to decide on the most efficient measures for solving problems. It is also the key to identifying areas of common interest with civil partners in order to achieve cohesive solutions of an enduring character.

The ACC-model is the gateway to these conditions, thus, enabling military forces to reach the desired end-state, in close partnership with civil entities also committed to the efforts in the area of operation.

This publication will centre on the influence that good governance has on the sustained success of military missions. The tools outlined in this booklet will support concerted action by the military, civil actors, and the host nation's society, focusing on the improvement of good governance. The publication is therefore based on a comprehensive perspective on good governance. Indeed, the military involvement in strengthening and promoting good governance can only succeed if there is a harmonized and coordinated approach in all five dimension of the ACC-model. In the end, the operational relevance of good governance therefore lies in the understanding that good governance influences all relevant sectors of any society, as outlined in the ACC-model.



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## Foreword

It is a great pleasure to introduce and recommend you this *Good Governance Makes Sense* publication. Few things are more challenging -and more sensitive- than improving governance and helping countries manage development and security. However, as this publication sets out to explain, it is important to understand that stable and viable governance is the key to long lasting mission success, long after the military forces have withdrawn from the mission area.



As the commander of ISAF Regional Command South in Afghanistan (2008-2009), I experienced firsthand the importance of not just bringing in the military capability, but also bringing in the capacity to support governance and reconstruction & development. In Afghanistan it was clear that an important element is to have a solid not-seen-as-corrupt, competent type of government, capable of upholding all the aspects of good governance.

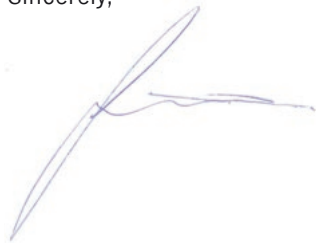
What we also have learned in Afghanistan is that not security alone is going to deliver the desired effects and provide a stable and proper functioning government. Rather, it is the integrated or comprehensive approach that can achieve this. Moreover, in any mission it will be hard to create security and stability without the civilian capabilities to support government, reconstruction and development.

This is where CIMIC comes into play. I strongly believe that CIMIC plays a crucial part in this integrated approach, and can be a strong facilitator in promoting the aspects of good governance. In short, CIMIC is a valuable tool to every military commander who is working in the field of good governance.

Last but not least, as this publication acknowledges, when working on good governance, we should look at governance not from a Western point of view but from the 'host nations' perspective. And that is a key to success. In Afghanistan for instance, it has proven to be very difficult to implement top-down approaches on governance and Rule of Law because of the country's cultural and historical background and its tribal structure.

In the end, this publication contributes to a better understanding of the importance of good governance, and enables military and civilian personnel to apply this knowledge in current or future military missions in a systematic operational fashion.

Sincerely,

A handwritten signature in blue ink, consisting of a large, sweeping initial 'M' followed by a series of horizontal strokes.

Lieutenant General Mart de Kruif  
Commander of the Royal Netherlands Army

## List of Abbreviations

<b>ACC</b>	Advanced Cultural Competence (model)
<b>AFL</b>	Armed Forces of Liberia
<b>AOR</b>	Area of Responsibility
<b>AO</b>	Area of Operations
<b>AOI</b>	Area of Interest
<b>BI</b>	Building Integrity (initiative)
<b>CCOE</b>	Civil-military Cooperation Centre of Excellence
<b>CONOP</b>	Concept of Operations
<b>COPD</b>	Comprehensive Operation Planning Directive
<b>CIMIC</b>	Civil-military cooperation
<b>CMI</b>	Civil-military Interaction
<b>EU</b>	European Union
<b>FPG</b>	CIMIC Functional Planning Guide
<b>GO</b>	Governmental organization
<b>IFOR</b>	Implementation Force (Bosnia and Herzegovina)
<b>InfoOps</b>	Information Operations
<b>IO</b>	International organization
<b>KFOR</b>	Kosovo Force (NATO mission in Kosovo)
<b>LEGAD</b>	Legal Advisor
<b>LNP</b>	Liberian National Police
<b>NATO</b>	North Atlantic Treaty Organization
<b>NGO</b>	Non-governmental organization
<b>OPLAN</b>	Operation Plan
<b>OSCE</b>	Organization for Security and Co-operation in Europe
<b>PMESII</b>	Political Military Economic, Social, Infrastructure and Information systems
<b>PRT</b>	Provincial Reconstruction Team
<b>PRS</b>	Poverty Reduction Strategy
<b>PsyOps</b>	Psychological Operations
<b>SHAPE</b>	Supreme Headquarters Allied Powers Europe
<b>TCA</b>	Theatre Civil Assessment
<b>UNDAF</b>	United Nations Development Assistance Framework
<b>UNDP</b>	United Nations Development Programme
<b>UNPROFOR</b>	United Nations Protection Force
<b>UNMIBH</b>	United Nations Mission in Bosnia and Herzegovina
<b>UNMIL</b>	United Nations Mission in Liberia
<b>QIP</b>	Quick Impact Projects

# 1. Introduction

## 1.1 Relevance

Good governance is increasingly becoming of high interest and value for military operations, since it is considered to be a key component in achieving sustained success of military missions. Recent examples of international military missions have shown that as a prerequisite for political ownership, and therefore as a part of the desired outcome, the high mission relevance of good governance becomes visible. Although civil actors are generally better placed and equipped for the task of strengthening good governance than the military, there are sometimes particular conditions and situations in which the military and its capabilities rest close at hand in supporting and facilitating this task. Civil-Military Cooperation (CIMIC) can then be used as a primary tool in supporting the civilian effort to promote good governance, and support a military commander's assignment or mission.

This publication will inform how CIMIC can be used to promote, support and strengthen good governance before and during a military mission, including the transition phase. Furthermore, it is the aim of this publication to create a better understanding of the aspects of good governance, and enable CIMIC personnel to apply this knowledge in current or future missions.<sup>2</sup> The main objective of this publication is to provide an analytical overview of good governance, and to demonstrate why this concept is of interest for military operations. Accordingly, the following questions will be answered:

- **What is good governance?**
- **Why is good governance a key component in achieving sustained success of a military mission?**
- **How can CIMIC as a military capability improve and solidify this component?**

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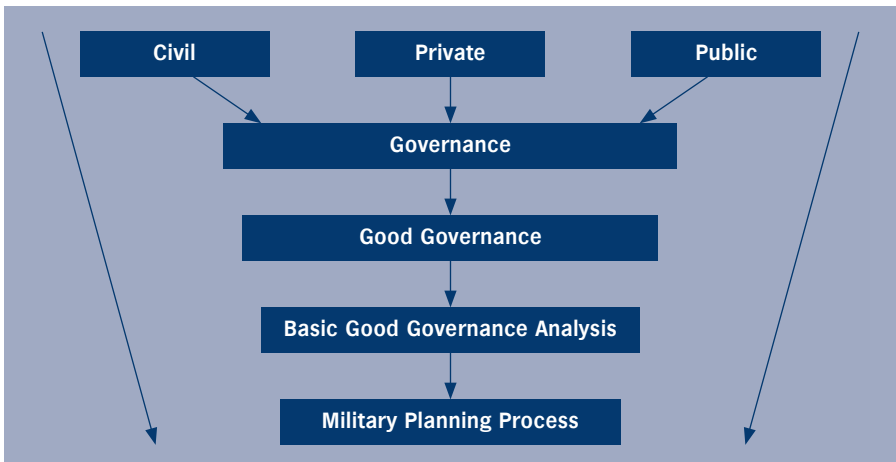
*2 In this publication the term 'CIMIC personnel' is being used to define the staffs, field teams and individual actors (both military and civil) who facilitate cooperation between a NATO commander and all parts of the civilian environment within in his Joint Area of Operations (JAO). NATO's definition of CIMIC is: the coordination and cooperation, in support of the mission, between the NATO Commander and civil (non-military) actors, including national population and local authorities, as well as international, national and non-governmental organisations and agencies. Within the current discourse on NATO's policy on Civil-Military Interaction (CMI), CMI is the appropriate engagement, governed by political decisions, between military and non-military actors. CMI is therefore a permanent strand in order to optimize NATO's contribution to a coherent response by the International Community. CMI takes place throughout the entire crisis management process, prior to and during its operations and missions, and it requires adequate capabilities, functions and procedures. CIMIC personnel are therefore an integral part of CMI.*

## 1.2 Methodology

Before we can go further into detail, it is necessary to take a look at the discourse on what exactly 'good' governance is. The next chapter will therefore explain the different aspects of governance, identify the key players involved in the act of governing and clarify the influence of this concept on military missions. The third chapter will further elaborate on the aspects of 'good' in governance and thereby provide an overview of its different dimensions. The importance of good governance and the question of why it is a key component to achieve sustained success of military missions will be described in chapter four.

Because this publication is aimed for CIMIC personnel working at the operational and tactical level, chapter five and six (the core of this publication) will look at the different phases of planning and execution with regard to military operations (the pre-deployment, deployment and transition phase). First a 'basic good governance assessment' will result in a step-by-step approach to explain how CIMIC personnel can assess and evaluate the aspects of good governance in a particular situation or operation. Chapter six will then put the assessment framework into practice, and will demonstrate how a basic good governance assessment can contribute the overall military mission.

As a result, the leading questions will be answered in the conclusion, followed by a concluding paragraph describing a way ahead with regard to initiatives to strengthen good governance. Finally, the last chapter of this publication will provide a list of recommendations regarding the influence of good governance on the success of military missions.



*Graphic 2. Operationalizing Good Governance*

## 2. Governance

Before we can look into the question what good governance is, it is essential to understand how governance itself can be defined. Although even if we come up with a clearly articulated concept of governance, in all likelihood it will not be universally accepted. Nonetheless, the definition of governance in the following paragraph tries to encapsulate the dimensions of governance as good as possible, and will serve as the foundation for this publication.

Governance is the process of decision-making focussed on societies at different levels (national, regional and local) and the method through which decisions are implemented (or not). Governance consists of either a separate process, a multiple manager process or several leadership processes, and these are all generally administered by a government. However, the government is merely one of the actors in governance. There are numerous other players involved in the act of governing which may vary in type and nature of governance per se, and may come from all dimensions of the ACC-model (as described in the preface of this publication). In some areas for instance, other actors may include power brokers, warlords, (non-)governmental organisations (NGOs/GOs), international organisations (IOs), research institutions, religious leaders and religious institutions, political parties, militias or the military. Organizations or individuals other than the government, security forces and the military can be grouped together as part of the 'civil society'.<sup>3</sup>

In sum, it is possible to divide the actors involved in the act of governance, or influence this process, in three categories:

**Public:** the three branches of government (the legislative, executive and judicial branch).

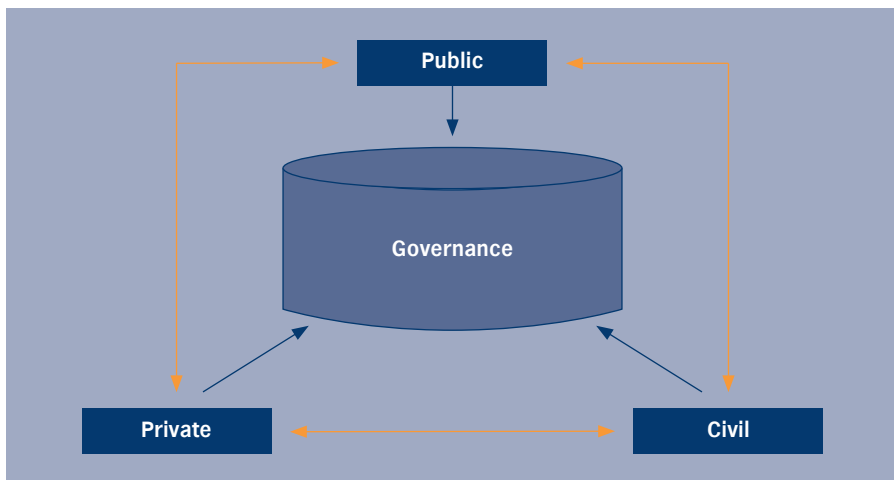
**Private:** private foundations, private schools, and businesses.

**Civil:** civil society organizations (including NGOs), public interest groups, advocacy organizations, professional associations, customary or religious institutions, and community organizations.

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<sup>3</sup> UNESCAP, *What is Good Governance*, n.d. <http://www.unescap.org/pdd/prs/ProjectActivities/Ongoing/gg/governance.asp>.





*Graphic 3. Governance is influenced by three different actors; public, private and civil*

In some countries in addition to the civil society, criminal organizations also influence decision-making, particularly in urban areas and at the national level. It should not come as a surprise that such organizations are a threat to any properly functioning government, and thus are unfavourable to 'good' governance.

### 3. Good governance

#### 3.1 The good governance concept

Similar to governance, as of today there is no single and exhaustive definition of 'good' governance. Although governance and good governance are increasingly being used in NATO documents and doctrines, there is still no consensus among NATO countries about what this concept should encompass. A definition of what 'good' governance is has therefore not yet been set in stone in NATO doctrines. This could be seen as an advantage, inasmuch as it leaves room for interpretation, yet on an operational level, it also stresses a lot of difficulties. Nonetheless, NATO is increasingly starting to incorporate elements of good governance in their doctrines and publications.<sup>4</sup>

**A.** "Stable governance is characterized by a government that provides essential services and serves as a responsible steward of public resources; government officials who are held accountable through political and legal processes; and a population that can participate in governance through civil society organizations, an independent media, and political parties. Stable governance is the mechanism through which basic human needs of the population are largely met, respect for minority rights is assured, conflicts are managed peacefully through inclusive political processes, and competition for power occurs non-violently."

**B.** "Stable governance provides a foundation on which rule of law and economic activity can thrive and become drivers of security and stability. Support to effective governance involves establishing rules and procedures for political decision making, strengthening public sector management and administrative institutions and practices, providing public services in an effective and transparent manner, and providing civil administration that supports lawful economic activity and enterprise."

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<sup>4</sup> The following example is a summary of some aspects as formulated in the NATO Allied Joint Publication for Military Support to Stabilization and Reconstruction 3.4.5 (Study Draft 1), 16 February 2012.

Although the aforementioned definitions of good governance derive from a study draft and are not yet final, it is widely agreed among Western nations that three institutions can be reformed to strengthen good governance. These institutions are the state (public sector), civil society and the private sector.<sup>5</sup> The need and demand for reform within these institutions can vary among cultures, yet what may cover such necessity is largely depending on the priorities of the specific country's society. These forces of reform are driven by various state level initiatives and international movements, with their own emphasis on different types of governance reform. So each movement of reform brings about criteria for what they perceive as good governance according to their own needs and agendas.

Taking this in mind, it should be noted that the principle of good governance is also being used in the context of the internal operations of private sector organizations. In such manner, corporate decision-making strategies integrate the principle of good governance and ensure that shareholder interests and employees are taken into account.

A red line running through this publication is the notion that what we perceive as 'good' governance, is not always shared by other cultures and authorities. This publication acknowledges that good governance is a complex phenomenon that varies greatly along a number of dimensions. When we look at the ACC-

model for instance, it might seem that the political dimension forms the most important part of good governance. However, due to the nature of all the segments of society, as described in the ACC-model, it becomes clear that the political dimension is merely one of the dimensions which are important to good governance. Identity and the social dimension play an important role as well, because good governance is largely based on cultural values and perceptions.



*1. It is not always that simple*

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<sup>5</sup> Agere, S., *Promoting Good Governance* (London 2000) p. 10-11.

With regard to power structures for instance we can distinguish three types of legitimate authority, all with their own views (cultural values and perceptions) on good governance:

- **Rational-legal authority** is the power distribution which is based on formal rules and the established laws of the state which are often written down and very complex. The power associated with this legal authority is described in the constitution of a nation state. Government officials are the best example of this form of authority, such as an elected president for example.
- **Traditional authority** is derived from long-established customs, habits and social structures. Hereditary rulers such as kings or sheikhs are examples of traditional authority, as well as tribal leaders.
- **Charismatic authority** is a power distribution based on religious beliefs or dogmas. It is authority derived from a higher power which is argued to be superior to both the validity of traditional and rational-legal authority. It often holds parallels with a cult of personality, exemplified for instance by North Korea's late leader Kim Jong-Il.<sup>6</sup>

All of these three legitimate authorities have different views on what good governance encompasses. A dictatorial regime for instance considers the fact that all power lies with the dictator as a form of legitimate and therefore 'good' governance. However, for most Western countries this form of authority does not align with aspects of a 'healthy' formal government structure.



**Rational-legal**



**Traditional**



**Charismatic**

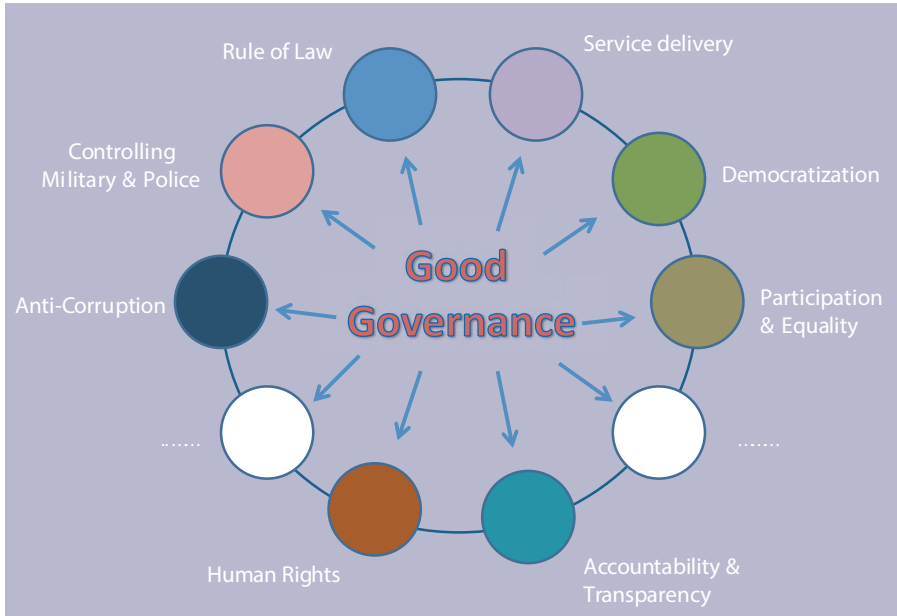
## 2. Three different forms of authority

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<sup>6</sup> This commonly used distinction of authority is based on Max Weber's essay *The Three Types of Legitimate Rule*. Max Weber is an influential sociologist and economist who proposed a theory of authority that includes three types, i.e. Traditional, Legal-Rational, and Charismatic Authority. See: Weber, Max, 'The Three Types of Legitimate Rule' in: Amital Etzioni (ed.), *A Sociological Reader on Complex Organizations* (New York 1961) pp. 4-14.

### 3.2 The different dimensions of 'good' governance

Although there is a multitude of views regarding good governance, we might look at dimensions such as (but not limited to):



*Graphic 4. The different (cross-cutting) dimensions of good governance*

- **Democratization and the electoral process**

Regular elections constitute a key element of the democratization process and are therefore essential ingredients for good governance. An important part of this process are free and fair elections and independent and politically active civil society. Democracy remains a Western view on good governance. As stated earlier, dictatorships are sometimes perceived as a good functioning form of governance. This contributes to the difficulty of defining the aspect of 'good' in governance.



*3. Juba polling station*

- **Rule of Law**

The Rule of Law is a cornerstone for good governance. A free and fair political system, protection of human rights, a vibrant civil society, public confidence in the police and the courts, and economic development all depend upon accountable governments, fair and accessible application of the law, and respect for international human rights standards. The judicial system should be independent of the government so that it can serve the interests of its citizens rather than a particular political party. In this way it protects the civil rights of its citizens against a predatory state.<sup>7</sup>



4. Rule of Law instruction at the Iraqi Police Academy

- **Service delivery**

The state should provide basic services. A government should have the capacity to fulfil its responsibility to provide public goods. Although it is not the primary task of a government to provide such tasks, they should at least facilitate the possibility for these services to be accessible and acceptable to the public.

- **Participation and equality**

Participation and equality are key components of good governance. Both man and women should have the equal right to participate in society.<sup>8</sup> A representative democracy, where the most vulnerable in society are also taken into account in decision making, is a fairly Western approach to good governance. Whereas the aspects of freedom and expression and organized civil society on the other hand can be seen as key cornerstones of good governance.

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7 For an in-depth analysis of the aspects of Rule of Law and CIMIC, see the CCOE's publication entitled: *Rule of Law Makes Sense- A Way to Improve Your Mission* (2012).

8 For an in-depth analysis of the aspects of gender and CIMIC, see the CCOE's publication entitled: *Gender Makes Sense-A Way to Improve Your Mission* (2008/upcoming second edition 2012).



5. A good governance and democracy-training workshop in Aba, Nigeria

- **Human Rights**

Human rights are commonly understood as inalienable fundamental rights to which a person is inherently entitled simply because she or he is a human being. Human rights are thus conceived as universal (applicable everywhere) and egalitarian (the same for everyone). Good governance results in the protection of human rights, and is therefore a crucial for a secure and stable society.

- **Anti-corruption**

In fighting corruption, good governance efforts rely on principles such as accountability, transparency and participation to shape anti-corruption measures. Initiatives to fight anti-corruption may include establishing anti-corruption commissions, creating mechanisms of information sharing, and monitoring governments' use of public funds and implementation of policies.



6. Corruption severely undermines good governance

- **Controlling military and police activities**

Failed or fragile states are often characterized by a lack of control over the police, military or other security forces. Controlling military and police activities is a prerequisite for a firm democratic structure. It is therefore important that a solid functioning government provides checks and balances on their military and police activities. Naturally, the government should also prevent the organization of militias and/or paramilitary organizations.

- **Accountability and transparency**

Accountability and transparency ensure that all members of the governing body are seen to be responsible and accountable for their decisions and actions. The private sector and civil society organizations must also be accountable to their public and their stakeholders. In general the government



or an institution is accountable to those who will be affected by its decisions or actions. It is important to note that accountability cannot be enforced without transparency and the rule of law.



*7. Civil servants receive education on accountability and transparency*

- **Other<sup>9</sup>**

The dots in graphic four represent other possible aspects of good governance. This leaves room for other/broader interpretations of good governance.

Of course none of these dimensions should be addressed in isolation, but can be seen as interrelated complexities. Promoting one of the aforementioned aspects will most likely affect one or more of the other aspects of good governance. Therefore, in the end it is up to CIMIC personnel (in the field) to assess and evaluate the criteria of good governance in that particular case or situation, based on a broad range of dimensions as formulated earlier in this publication. Cultural awareness and Advanced Cultural Competence among military personnel and local civil actors is therefore crucial for a mutual understanding of each other's aims in promoting good governance and the place it has on their respective agendas. Indeed, cultural awareness is based on situational awareness and this is therefore a two way process. Bear in mind that it is sometimes very difficult for the military to adapt to the situation on the ground, so vice versa, the impact a military presence has on local actors should not be underestimated. Lastly, the arguments and examples presented in the next chapter will pin-point why exactly good governance is such a key component of sustained success in military missions.

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*9 A more corporate approach to good governance might be based on the following pillars: independence, openness and transparent, accountability, integrity, clarity of purpose, effectiveness.*



## 4. The mission relevance of good governance

### 4.1 Good governance within a comprehensive approach

Recent history regarding military missions has demonstrated that a major challenge arising from an increased focus on partnership between international and local stakeholders, as well as public and civil actors, cooperating in countries emerging from, and hounded by, violent conflict has been to construct or reconstruct aspects of good governance. As stated in the beginning of this publication, good governance is a prerequisite to foster the development of security and recovery, and along with that a successful transition to sustainable peace. To reach this outcome and strengthen the dimensions of good governance, military presence will be essential in areas of insecurity and weak government capacity.<sup>10</sup>

It is however *not* the task of the military to take over the job of local civil actors in creating or sustaining the aspects of good governance. Nonetheless, taking into consideration a comprehensive context of today's missions, the strengthening of good governance forms a crucial element of a military mission's success. Consequently, the ambition to promote good governance requires a coordinated 'CIMIC approach' where there is a need for a common language and information exchange between military forces and civil actors, in addition to shared objectives and desired effects. The preconditions for the military to get involved in any activities in the field of good governance, in short, derive from the idea that coordination with a wide spectrum of actors from the international community, both military and civilian, is essential to achieving key objectives of lasting stability and security. With regard to good governance, this coordination and combined planning will obviously take place within an inter-agency or 'whole-of-government' context, thus between the military, civil actors and host nation governments. Consequently, the military involvement in relation to good governance should be put clearly into its proper perspective.

### 4.2 Good governance at the strategic level

Military missions are no longer only about fighting wars. Current and future missions are also concerned with core goals such as creating democratic legitimacy and the efficiency and effectiveness of states, but also have to make sure that the building or rebuilding of state structures is part of the agenda.<sup>11</sup>

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10 MULTIPART, *Thematic Paper on Multi-Stakeholder Partnerships, Active in the Field of Good Governance, Democracy and the Rule of Law* (2010) p. 21.

11 The following mandates are clear examples of mandates with a strong 'good governance' aspect: UNMISS: United Nations Security Council, Resolution 1996 (2011) paragraph 3. ISAF/UNAMA: United Nations Security Council, Resolution 2011 (2011). KFOR: United Nations Security Council, Resolution 1244 (1999).

This can all be seen as part of a larger good governance agenda. Especially failed or fragile states will most likely be unable to develop practices of good governance on their own behalf since very specific efforts are needed to establish and uphold good governance in such settings. The goals and ambitions of military missions are therefore even more changing towards the guaranteed provision of safety and security by the state, thus directly and indirectly related to the promotion of good governance.



*8. Bad governance can result in protests and possibly even revolutions, as was the case during the Arab Spring of 2011*

Taking the previous into account, the non-linear process of transition from combat operations to the defeat of an opponent, to multi-agency stabilization operations in order to re-establish security, stability, and prosperity underpinned by the rule of law and good governance is a critical period. It may be characterized by the achievement of specific outcomes (such as absolute victory) but, more likely, by incremental conditions-based outcomes (albeit ones that reflect significant political imperatives, for example to achieve particular goals according to a set timetable). The mix of actors, and their respective motivations, is also likely to be complex and constantly changing. This makes it a difficult task for CIMIC personnel to properly plan, assess and evaluate all aspects of good governance with regard to military missions. Nonetheless, a coordinated approach provides opportunities for CIMIC to enable other instruments of power to restore host-nation governance, capacity, and authority. The achievements of these inter-related activities regarding governance and authority will eventually counter and remove the underlying causes of internal conflict. Therefore, when

good governance is incorporated into a political mandate, it needs to be an integral part of strategic military planning within a collaborative inter-agency setting.<sup>12</sup>

The most important prerequisite to achieve the aforementioned sustained success is the people's acceptance of state authority as legitimate and their trust in its institutions. This will only succeed if the national government strives to deliver the people's basic needs, such as security, justice and economic development - through good governance. The daunting task of CIMIC personnel is to sense which essential requirements in a particular situation or area are needed to support or develop this kind of trust among the different actors involved in governing. Indeed, it is not the primary task of the international community of foreign military forces to develop or sustain good governance. Civil actors, but primarily the government itself, should address these questions and come to an understanding that the failure of delivering good governance can result in (a return to) a state of anarchy and tumult. The following quote from the American political scientist Samuel Huntington summarizes this thought quite well:

"You must first enable the government to control the governed; and in the next place oblige it to control itself."<sup>13</sup>



9. Paktika PRT hosts governance training for provincial officials (sub governors)

12 NATO, *Advanced Joint Publication 3.4.5 Study Draft 1, Chapter 4, Stabilization and Reconstruction Execution*, Par. 0401 (2012).

13 Samuel Huntington, *Political Order in Changing Society* (New Haven 1996) p. 7.

One of the attributes to develop understanding and awareness among the local population is the provision and support of education, training and knowledge-transfer in the field of good governance. It is therefore one of the options of NATO CIMIC to send (a limited number of) specialists<sup>14</sup> in the field of good governance to accompany military personnel to raise awareness among state and civil actors on how governance can be used in a 'good' way. Besides the use of specialists, CIMIC personnel can contribute to the evaluation and assessment of the governance situation within their area of responsibility (AOR), and report the results to military commanders overseeing the process of military planning. This helps to understand what consequences specific military actions can have for the local governance situation. If needed and within their means and capabilities, military commanders can then decide if certain steps should be taken (or not) with regard to the host nation's governance situation. Naturally, these actions should be in support of the mission, and rarely consist of isolated 'good governance projects'.

As a result, the aforementioned CIMIC efforts will eventually lead to sustained success of a mission. In other words, CIMIC as a military capability will in the end help to build the capacity to hasten the transition to self-sufficiency of a country's government before and during a mission, and will contribute to a long lasting and sustained peace. Local ownership and leadership of this process of promoting good governance is however crucial. Since, the sooner that functions are exercised by the host-nation's government, the more quickly the country will become stable and viable.<sup>15</sup>



10. Knowledge-transfer, education and training all contribute to good governance

<sup>14</sup> Functional Specialists are deployed because a specific requirement for their expertise has been identified. They may come from a wide range of sources and are not necessarily military personnel. They may be required to assist in the planning process or to conduct CIMIC projects. As a part of NATO Civil Emergency Planning, one source offering Functional Specialists is the NATO Comprehensive Approach Specialist Support (COMPASS) database. A group of civil experts located across the Euro-Atlantic area are selected based on specific areas of support frequently required by the military. They cover civil aspects relevant to NATO planning and operations including crisis management, consequence management and critical infrastructure. Provided by nations, experts are drawn from government and industry. They serve for three years, participate in training and respond to requests for assistance when needed.

<sup>15</sup> El Centro Internacional de Toledo para la Paz, CITpax Initiative on Peacebuilding and Governance in Afghanistan (Toledo 2007) p. 7.

Subsequently, the relevance of good governance is hard to underestimate. Only if all of the dimensions of good governance function properly will the result of a military mission last for a long period of time. Of course, a perfectly functioning government as an outcome of a military mission will likely be a utopia, and can take years to develop. Indeed, this will never be an objective of any military mission. Therefore it also difficult to answer the question of how we should measure the achievements that are being made, and especially the desired outcome. The military is merely contributing or supporting the creation of stable governance, whilst civil entities (NGOs/IOs etc.) or host nation actors are doing the actual (re-)building of governance structures. It should however be clear that, if necessary, the military tools and mechanisms to support this process can be provided through CIMIC capabilities, for instance through CIMIC assessments..

### **Example 1 - Operational context strategic level: NATO mission in Kosovo (KFOR)**

NATO is currently contributing to the bringing of stability and good governance to the Balkans. It is conducting a peacekeeping mission in Kosovo and is helping the governments of Bosnia and Herzegovina and the former Yugoslav Republic of Macedonia to restructure their armed forces. In Kosovo for example, the transitioning to civil authority is one of the NATO-led KFOR mission's main objectives. Current KFOR assistance initiatives are focused at the local level working through municipal structures and leadership. Decentralization marks a positive step toward good governance for Kosovo, as it strengthens democratic values and governance, bringing government closer to the population and allowing for more citizen participation in decision-making, oversight and accountability.

KFOR CIMIC activities in Kosovo consist partially of activities aimed at governance at the local level, to strengthen self-sufficiency after the KFOR mission will end. These efforts for example contribute to the reconciliation process, through assessments and monitoring activities, and are to prevent tensions and conflicts. As a result these CIMIC activities not only facilitate the strengthening of mutual trust and cooperation between KFOR soldiers and the local population, but also result in the promotion of good governance.

*11. The Lipjan municipality Director of Education speaks about the importance of investments in education to strengthen good governance*





### 4.3 Good governance in the operational and tactical environment

As stated earlier, the term good governance is often used with great flexibility. At the military strategic level this is a relative advantage, because the different aspects of good governance, and especially the desired outcome which ought to be achieved (through CIMIC activities for instance), can be left relatively vague and set as a long-term goal. For example, promoting the aspect of participation and equality is a very broad objective and can encompass a lot of CIMIC (and other) activities. This gives room to military commanders in the initial planning process, where he or she will allocate the possible resources for this task, as will be further elaborated in the next chapter, but stresses difficulties for military personnel lower in the command structure.

It is crucial to understand that the creation of good governance cannot be achieved over night. The different dimensions of governance are very complex and interrelate with each other, and are dependable on the willingness of the people to support. Therefore it should not come to a surprise that in the end the people are the key actors in upholding the aspects of good governance. This makes it a long-term process and the efforts to promote good governance can take years to bear fruit. Hence, in the operational and tactical level these results are very hard to achieve. As a result a more realistic approach to strengthen good governance through CIMIC will be looking at the shorter timeframe.<sup>16</sup>



12. Local ownership and leadership is the key to success

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<sup>16</sup> Annex I provides a more detailed overview of the different levels of responsibility.

Lastly, it has to be understood that governance enhancement programmes will not be set up, let alone be led, by NATO or militaries in general. These programmes will most likely be implemented by the UNDP, OSCE or the EU for instance, in cooperation with the host nation. It is the task of CIMIC personnel to analyze how this programme or plan is being regarded at the national and international level and how exactly it should be implemented in their area of operations. Especially in the operational and tactical environment, CIMIC personnel have to prioritize which activities to support. The military should first and foremost deliver security (its core business). After that, being part of a broader political dimension, the military would be well advised to concentrate on aspects of good governance. The next chapter will demonstrate the process of assessing the different aspects of (good) governance, and shall provide an assessment tool for CIMIC personnel on how to approach the features of governance from a military perspective.

### **Example 2 – Securing elections**

The UNDP and the Afghan government are working together on a programme to create accountable and fair elections in Afghanistan. This programme is aimed at the national level, but also has consequences for the lower (e.g. regional or provincial) levels. It is the CIMIC personnel's task to assess these national and international plans and programmes and translate them into their own area of responsibility (AOR). CIMIC personnel can then for example advise the commander to train and coach local police officers in setting up and securing local polling and counting stations. The military forces will only be used as observers and provide an outer line of defense, out of sight of the population.



13. A UNDP Elections Briefing

### **Example 3 – Good governance in the operational and tactical level: The Hungarian-led PRT in Baghlan province Afghanistan<sup>17</sup>**

In the winter of 2008 a CIMIC specialist from the Hungarian-led Provincial Reconstruction Team (PRT) Baghlan received word from a local Afghan farmer that harsh conditions were affecting the cattle of the farmers in his region. Bad weather conditions and low temperatures had resulted in poor crop conditions, and ultimately contributed to a shortage of food for the farmers' animals.

The CIMIC specialist took advantage of the situation and reported the commander of PRT Baghlan regarding the situation. An assessment was made and resulted in a plan that involved the provision of food for the animals to the local governor of Baghlan province. The governor then had to distribute the food under very specific preconditions. The conditions were that the distribution of the food by the governor would be transparent and accountable and had to include all farmers in the region. This prevented the possibility that the governor would distribute the food only to his 'friends'. It was therefore decided that after the distribution the governor would have to account for his method of disseminating the food, and all the farmers in the region should have the opportunity to meet with the governor afterwards during a so called 'shura' meeting to make it a public and transparent form of distribution.



*14. Hungarian PRT distributing animal food in Baghlan province*

<sup>17</sup> The following example is a testimony by Major G. Hangya (OF 3 HUN A). Major Hangya served as a CIMIC and PsyOps (S9) Chief in the Hungarian-led PRT Baghlan in 2008.



The PRT decided that if this method of providing assistance to the local government and population through CIMIC was successful, a logical step would be a further development of the relationship with the governor and the farmers regarding the provision of food. CIMIC personnel then started to make assessments regarding the presence of local NGOs and evaluated if they were capable of taking over the military task of distributing food to the governor. Ideally this would eventually result in a complete transition of the CIMIC activities to local actors, i.e. NGOs.

The idea behind this CIMIC activity was that a provision of food to the local governor could contribute to a better relationship between the PRT and the local governor, and more importantly support the local farmers in feeding their cattle. Ultimately these activities had to raise awareness among the local government and the civilian population and demonstrate that an accountable and transparent way of food distribution would contribute to a lasting and sustainable way of cooperation between farmers and the local government, and as an underlying consequence prevented reasons for conflict. Therefore in the end the efforts made by the PRT contributed to the strengthening of local good governance, a better understanding between the local actors and the military, and ultimately supported the success of the military mission.



15. The governor of Baghlan receives animal food from the Hungarian-led PRT

## 5. A basic good governance assessment

### 5.1 Introduction to the basic good governance assessment framework

The complexity of military missions, especially when taking into account a comprehensive approach, forces military commanders to gain a complete overview of the governance situation in a certain state or region. As stated earlier, military missions are no longer only about victory or defeating enemies. The military and political goals are increasingly concerned with achieving a holistic transformation of a nation's governance structure, thereby contributing to the promotion of good governance. This makes it all the more important for CIMIC personnel to assess the aspects of governance, so that these issues can be incorporated into military planning in all phases of an operation. However, not only the initial assessment of the governance situation is a CIMIC task, it is also capable of advising on the tools available to tackle the aspects deriving from these assessments. CIMIC personnel are therefore, on the one hand, able to assess and evaluate the aspects of governance in a particular situation, and on the other hand able to determine the tools, or measures to be taken, to influence these aspects, in a positive or negative way. Consequently, the basic good governance assessment framework can be a useful tool in the planning process of military operations, especially when there is a need for a comprehensive overview of the (good) governance situation.

In relation to CIMIC, the operations planning process of NATO missions begins at SHAPE (Supreme Headquarters Allied Powers Europe), well in advance of a response to a crisis, in accordance with the CIMIC Functional Planning Guide (FPG). It primarily includes the development of information and knowledge requirements about the area of operations. During this initial planning phase, CIMIC will conduct and provide a Theatre Civil Assessment (TCA). This assessment examines all the civil conditions in the respective Area of Interest (AOI) as they might affect a military engagement. Annex B of this publication provides a (partial) format for a TCA, aimed at all the relevant aspects of governance.<sup>18</sup> Information forming the basis of this assessment should come from the widest range of sources. The analysis is structured into the following domains: Political, Military, Economical, Social, Information and Infrastructure (PMESII).<sup>19</sup> CIMIC personnel involved in this process have to apply analytical logic to determine what the factors they have found mean for a possible engagement. The TCA is

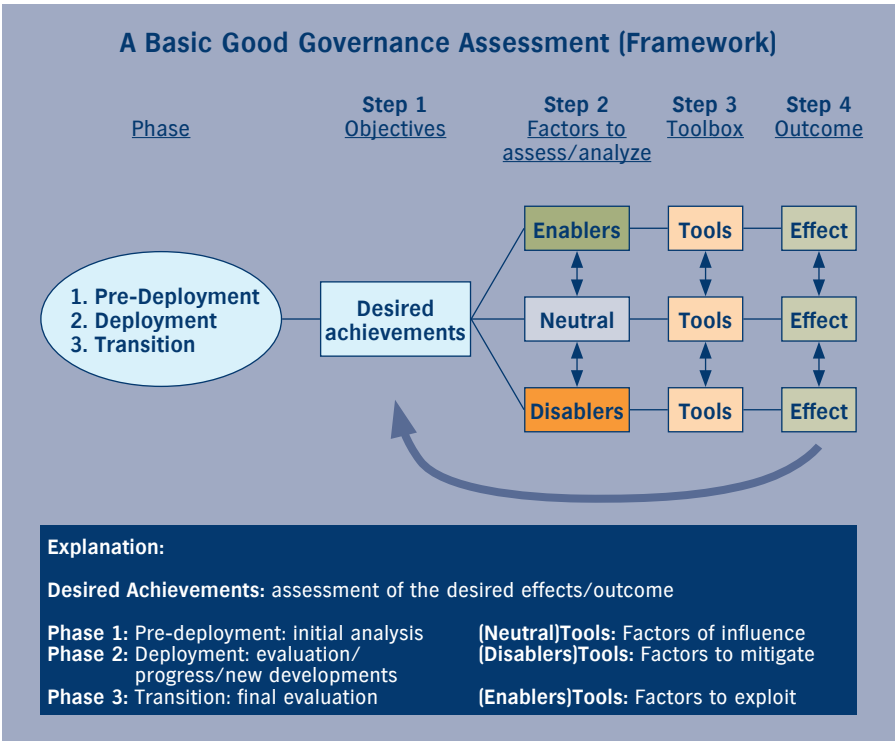
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<sup>18</sup> A complete format can be found in NATO, *BI-SC Civil-Military Co-operation Functional Planning Guide* [8 June 2012] annex A.

<sup>19</sup> PMESII (Political, Military, Economic, Social, Infrastructure and Information systems) is a key concept in *Irregular Warfare and Effects-Based Operations simulations*. PMESII describes the foundation and features of an enemy (or ally) state and can help determine the state's strengths and weaknesses, as well as help estimate the effects various actions will have on states across these areas.

the base document for all subsequent phases of the CIMIC planning process. It will also determine the critical CIMIC issues for inclusion in the next phase of the planning process.<sup>20</sup>

To further illustrate how personnel operating within the field of civil-military dimensions can make a comprehensive assessment on the aspects of (good) governance in a certain situation, and which tools can be used to influence these facets, this chapter will provide a basic good governance assessment 'framework'. This framework serves as a simplified 'guide' for how to make an assessment of the current governance situation and explains through a step-by-step approach how a certain result, based on this assessment, can be achieved. The framework focuses on three phases of a military mission, the pre-deployment, deployment and the transition phase. This makes the framework relevant for the planning, execution and the evaluation of a mission and therefore operationally comprehensive.

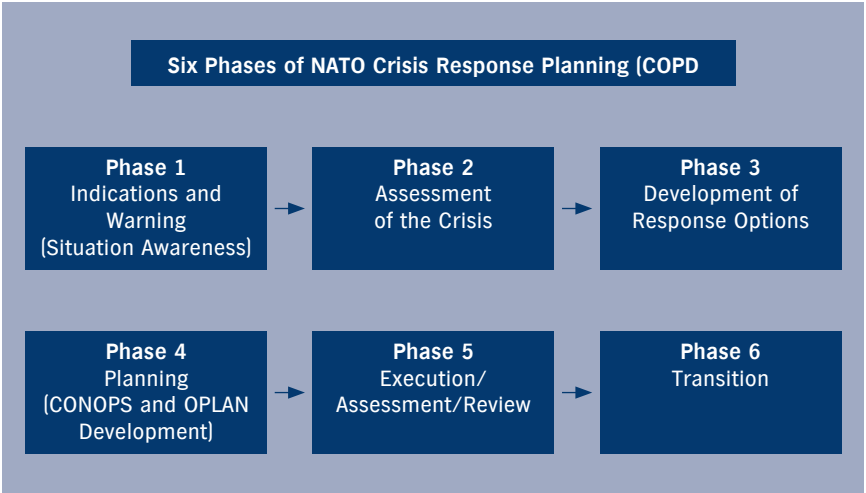


Graphic 5. The basic good governance assessment framework

<sup>20</sup> NATO, *BI-SC Civil-Military Co-operation Functional Planning Guide* (8 June 2012) p. 5.

**Box 1: A basic good governance assessment and NATO’s Comprehensive Operations Planning Directive (COPD)**

Set within the context of a NATO contribution to a comprehensive approach, the purpose of the Comprehensive Operations Planning Directive (COPD) is to outline the military procedures and responsibilities governing the preparation, approval, assessment, implementation and review of operations plans to enable a common approach to operations planning.



*Graphic 6. NATO COPD*

The COPD provides a common framework for collaborative operations planning when defining NATO’s contribution within a comprehensive approach philosophy. It is deliberately detailed, to support training, while giving experienced planners, at the strategic and operational levels, the necessary tools to fully appreciate all elements of the most complex crisis and produce high quality operations plans.

One of these tools is the CIMIC Functional Planning Guide. FPGs in general provide guidance in specific functional areas. In general, the FPGs mirror the areas covered in the list of typical annexes to the main body of a COPD. The intent of these guides is to supplement the planning information available in approved NATO doctrines and the COPD. The CIMIC specific FPG (draft) therefore links CIMIC to the overall planning process. Consequently, a basic good governance assessment can provide the respective inputs for the FPG.

Like the COPD and the FPG, a basic good governance assessment is designed to help military planners and CIMIC personnel develop a product of clarity and simplicity capable of providing the necessary guidance to execute the commander's vision. Since the political dimension of military missions is growing, the planning and execution phase of these missions have to incorporate a certain approach towards the elements of governance. Crucially, both concepts therefore take into account the aspects of good governance on the application of effects in the planning and conduct of operations. In fact, a basic good governance assessment can be used in all six phases of the COPD to make an assessment of the good governance situation, and provide a thorough overview of the governance situation in a particular area.

## 5.2 The basic good governance assessment framework: methodology

The basic good governance assessment framework can be used as a framework for CIMIC personnel in three different phases of a military mission. The first phase will of course be the **pre-deployment phase**, where the initial assessment of the governance situation in a given situation or country takes place. In this phase it is important to determine a state's governance structures, as well as the effects various actions will have when intervening in that particular situation. It is therefore important to define which actions should be undertaken, and which outcomes are to be achieved, on all levels of the military command structure, from the strategic level down to the tactical level. In fact, this approach also applies for the **deployment** and the **transition phase** of military missions. In these three phases, objectives are being distilled from the mandate and are then translated into practice in their area of operations. Moreover, the desired tools and measures to achieve these results are also being determined (this already starts in the pre-deployment or planning phase).

In short, the first step of a basic good governance assessment is to assess (not determine) the desired outcome or define certain objectives, based on mandates and their derivatives (**step 1**). In the case of strengthening good governance this could mean the mitigation of corruption for instance, or improving the Rule of Law, as a broader (long-term) objective.

An important part of the assessment is analyzing which factors could positively or negatively influence the desired achievements. CIMIC personnel should, in other words, take into account three different kinds of factors which could affect the desired outcome (**step 2**).<sup>21</sup> First there are factors that are of influence

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*21 Step 2 and the associated terms are a derivative from the Conceptual Framework from the Collaborative Decision Making model created by the Netherlands Organization for Applied Scientific Research (TNO).*

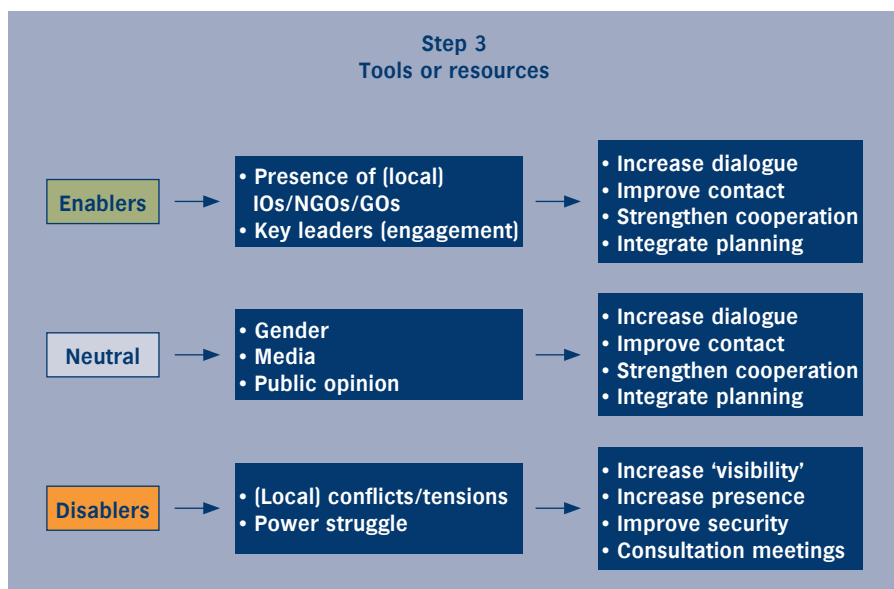
to military missions, but are not by definition negative or positive. The public opinion of the host-nation's population is such a factor, because this aspect can either contribute to or hinder the mission. That is why these specific factors of influence are called **neutral** factors. These aspects can, in short, either be of use to the military objective or operations, or can hamper them. Other factors other than the public opinion are for instance the presence of local leadership, the media or basic living conditions. These circumstances are not necessarily positive or negative, and can thus be seen as neutral factors.

A second set of aspects that influence the basic good governance assessment process are factors to mitigate, or in other words **disablers**. Organized crime, power struggle, corruption and tribal, ethnic and religious tensions or conflicts are such factors. These elements can substantially hamper a military mission, and should therefore be mitigated. That is why these factors are being called disablers. The last aspects to take into consideration contain elements to exploit, and are the opposite of disablers. These aspects can be influenced, so that they will contribute to the success of a mission. Good examples for instance are the presence of local NGOs, GOs and coordinated international development and humanitarian partners. The presence of an NGO or GO in the field of governance development can substantially contribute to the military objective to promote good governance. It should therefore not come to a surprise that these factors to exploit are being called **enablers**.



Graphic 7. Common factors to assess/analyze

The third step of a basic good governance assessment will be to determine the 'tools', or desired (military) resources to allocate, to strengthen the aspects of good governance (**step 3**). Ideally these tools should consist of CIMIC activities, and are in accordance with the military objectives. With regard to the enabling factors for instance, specific steps can be taken to exploit these factors in a positive way in order to promote good governance. At the same time the disabling factors have to be mitigated, which can be accomplished by using certain CIMIC activities or military and civilian resources. Naturally, both approaches also apply to the neutral factors. Ultimately the outcomes of the attempts made by CIMIC personnel to strengthen good governance through step three contribute to the overall military mission, and are therefore operationally relevant. Subsequently, as a final step it is imperative to assess the achieved effects and outcome (step 4), and if necessary re-evaluate the objective(s) and repeat steps two and three.



Graphic 8. Tools and resources

### 5.3 The basic good governance assessment and the ACC-model

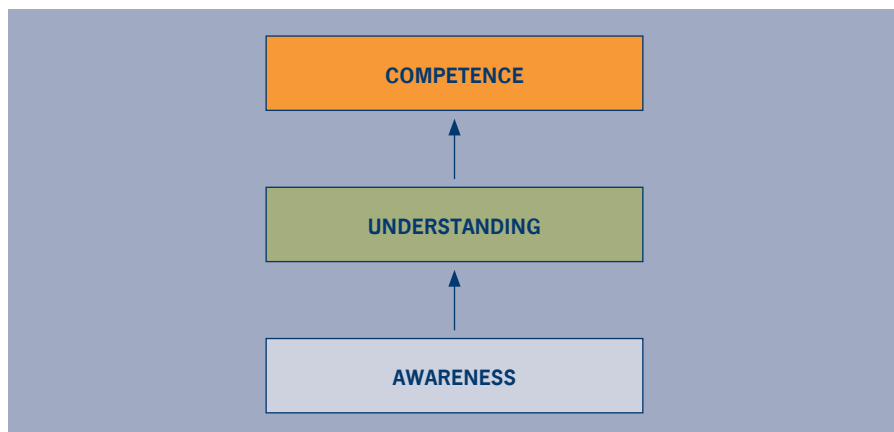
It should be noted that the basic good governance assessment framework does not necessarily represent a fully tested and comprehensive template to be used as a model, nor should it replace other valid assessment tools, such as PMESII or the CCOE's Advanced Cultural Competence Model. However, as shown in the case studies in the next chapter, the framework functions as an assessment tool for CIMIC personnel to complement other models and ways of assessing the aspects of governance. A basic good governance assessment therefore provides added value in all phases of a military operation. Next to that, the basic good governance assessment framework and its case studies have proven to be a valuable tool in training and educating (CIMIC) students on good governance. The CCOE has incorporated several case studies and scenarios in its CIMIC courses, with great success, in order to enhance the general knowledge about good governance and to enable military and civil operators to conduct CIMIC related good governance tasks in different missions and scenarios.

With regard to the CCOE's ACC-model, the basic good governance assessment framework has in common that there should be a strong focus on culture, when approaching the different aspects of governance. A basic good governance assessment is a process to operationalize the ACC-model, as it reflects good governance in the context of culture. The more personnel in a mission are aware of and understand the culture of the area in which they operate, the better they will be able to move around, plan and execute, making a difference in that culture and thus support the mission. One of the crucial elements in understanding the cultural aspects of the Area of Responsibility is to comprehend the most important approach to good governance - that is, what CIMIC personnel perceive as 'good' governance is not always shared by other 'cultures'. Cultural awareness with regard to each other's approaches to good governance is therefore a key element in both the ACC-model and the basic good governance assessment.

Furthermore, as illustrated in the preface, the ACC-model enables a holistic analysis of the situation in a certain area through looking at five different segments. With regard to good governance, the fourth (political) dimension illustrates how a society has divided its power and organized its leadership. When CIMIC personnel try to assess the aspects in the political dimension they have to take into account the different assessment factors from the basic good governance assessment framework (i.e. enablers, disablers, and neutral factors). Indeed, a truly comprehensive analysis can only be achieved when all of these factors are being approached in accordance with a cultural approach.



Lastly, both the ACC-model and the basic good governance assessment framework use the taxonomy of levels of knowledge, which from lowest to highest are: awareness, understanding and competence. This means that in both cases as a first step in the approach to good governance there has to be a creation of situational awareness and knowledge-development regarding the aspects of governance. Only if this first step is accomplished will a thorough understanding of these features be achieved. As result a certain competence can be created among CIMIC personnel or civilians, which will eventually provide the skills necessary to formulate a clear good governance assessment.



*Graphic 9. Awareness, understanding and competence*

## 6. A basic good governance assessment in practice

As stated in the previous chapter, a basic good governance assessment is one of the tools accessible to actors operating within the field of civil-military dimensions to analyze and assess the governance situation. Although the framework has not been tested in the field the following case studies will demonstrate how it can function as an instrument for CIMIC personnel. This chapter will therefore provide three examples of the basic good governance assessment framework in practise, perceived from the pre-deployment, deployment and transition phase of a military mission. The case studies will provide a comprehensive overview of the different dimensions of a good governance assessment, and will hopefully contribute to a better understanding and further development of fundamental knowledge on good governance.

### 6.1 Pre-deployment

#### Background

In the pre-deployment phase it is first of all important to make sure that the relevant and competent personnel have had the required education and training. In order to do a professional job, training in the relevant field is an essential element of the pre-deployment phase. For example having an understanding of the local governance structures is important before deploying into theatre. Furthermore, it is essential to know what the mandate and type of mission will be. Training and education institutions like the CCOE provide support, create training products and offer specialized education and training in order to enhance the general knowledge about CIMIC and good governance to enable military and civil operators to conduct CIMIC related activities with regard to good governance in different missions and scenarios, while simultaneously contributing to the lessons learned process.

Next to that, fact finding, mapping and diagnostics are the first indispensable steps in any strategy for transition. An important part of this process is to analyze which factors are likely to be of positive or negative influence to the mission, or can be qualified as neutral aspects. Especially in the pre-deployment phase it is essential to determine those aspects that need to be mitigated or can be exploited to achieve (sustained) success of a military mission.



16. KFOR LEGADs receive a briefing on Rule of Law issues

Based on this framework, the next stage is to set priorities and objectives and to develop strategies to achieve these objectives. Clarifying priorities and objectives, in turn, is critical to assessing the extent to which progress towards the objectives has been made. Once priorities, objectives and strategies have been defined, the individual steps towards the final goal are elaborated through programme development. Programmes are likely to address various aspects of good governance, as well as institution and capacity building and strategies to increase civil (society) involvement. The progress of the reform effort and its constituent programmes must be continuously evaluated to allow any necessary adjustments to the substance of reform to be made, and to identify areas in which local ownership of the governance structures might be strengthened and authority can be transferred back.

## **Case study: IFOR Bosnia and Herzegovina**

### **Background<sup>22</sup>**

The NATO-led Implementation Force (IFOR - Operation Joint Endeavour - 20 Dec. 1995 - 20 Dec. 1996) in Bosnia and Herzegovina will serve as a first example to demonstrate the basic good governance assessment framework, and will show how this framework can be used in practice.

### **IFOR's objectives**

The current constitutional, legal and administrative structure of Bosnia and Herzegovina must be seen as the outcome of the armed conflict between ethnic groups after the country's secession from the former Yugoslavia in 1992 and, subsequently, the Dayton Peace Accords, the General Framework Agreement for Peace in Bosnia and Herzegovina, which, under pressure from the international community, and especially NATO and its forces (IFOR), brought the conflict to an end in December 1995. The treaty draws internal boundaries, ensures peace and sets out the constitution. According to this system, which remains applicable today, the State of Bosnia and Herzegovina is a state under international law and has the constitution contained in Annex 4 of the Dayton Peace Accords.

On 15 December 1995, the United Nations Security Council, by its *Resolution 1031* (1995), endorsed the establishment of a High Representative to 'mobilize and, as appropriate, give guidance to, and coordinate the activities of the civilian organizations and agencies' involved with the civilian aspects of the Peace Agreement. In the same resolution, the Council welcomed the deployment of IFOR in Bosnia and Herzegovina, and noted that the force would remain for a

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<sup>22</sup> The following background is provided by Major Jeroen Sennef (OF3, NLD, AF) Civil-Military Cooperation Centre of Excellence, Staff Officer Concepts, Interoperability and Capabilities (CIC).

period of approximately one year. The police task was allocated to the United Nations Mission in Bosnia and Herzegovina (UNMIBH).

As part of the Dayton accords it was decided to support the restoration of civil authority and civil administration in Bosnia and Herzegovina, especially in the Republika Srpska. At the local level the objective was to establish newly founded municipalities. Although local governance structures were already present in Bosnia and Herzegovina, an important question remained of how to arrange the new governance structures. In other words, there had to be an agreement on how to put in place lasting and self-sustaining structures for a democratic government, both at the national and the local level. Another prerequisite for a successful mission in Bosnia and Herzegovina was the reestablishment of basic service delivery by the local government.



*17. Providing security was a key objective for IFOR*

### **IFOR in the CIMIC environment**

The main objective of the IFOR mission was to implement the military aspects of the Dayton Peace Agreement, when NATO took over responsibility for military operations in Bosnia and Herzegovina from the United Nations Protection Force (UNPROFOR). However, as the situation on the ground improved, IFOR began, according to plan, providing support to organizations involved in overseeing the implementation of the civilian aspects of the Dayton Peace Agreement, including the Office of the High Representative, the Organization for Security and Co-operation in Europe and the United Nations. Amongst this support IFOR began to facilitate certain CIMIC activities, as agreed upon before the mission took over from UNPROFOR.

Annex 10 of the Dayton Peace Accord states that the establishment of political and constitutional institutions in Bosnia and Herzegovina; promotion of respect for human rights and the return of displaced persons and refugees; and the holding of free and fair elections is part of the implementation of the civilian aspects of the peace settlement. It was however clear that due to security concerns the High Representative was not in a position to guarantee the implementation of these aspects. There were still a lot of ethnic, nationalistic and other local tensions and conflicts. Therefore it was decided that IFOR (with its military capacity) could contribute as a facilitator to fulfil the mission's task to establish the civilian aspect of the Dayton peace agreement.



*18. Signing of the Dayton Peace Accords*

As a result, IFOR commanders started to assess and plan how the mission could facilitate certain activities to contribute to the strengthening of specific aspects of good governance. A first aspect that had to be taken into account was the existing pre-war civil infrastructure, primarily based on a communist system. Consequently it was clear that the government structures had to be revised. A positive factor contributing to the IFOR mission's objective to restructure the local governance structures in Bosnia and Herzegovina was that the organizational structures were already known beforehand. The Washington Agreement (1994) stated that the newly founded Federation of Bosnia and Herzegovina was to be divided into several cantons.

In order to facilitate civilian activities performed by the High Representative, IFOR was willing to participate in civil-military interaction between the local authorities in Bosnia and Herzegovina and their military component. However, IFOR was keen to hand over these activities to local NGOs, keeping in mind that these activities covered civilian aspects of the peace agreement. In the planning phase of the mission these NGOs were taken into account and considered to be essential and cooperative partners in facilitating the High Representative in guaranteeing the civil objectives of the peace agreement.

A serious problem that IFOR faced was the 'hidden agenda' of some of their counterparts, in particular local representatives and civil servants. Although it appeared that they were willing to cooperate in reforming new municipality structures, it often was the case that it was in their own interest actually to not participate.

### **IFOR's approach to strengthen good governance**

The aforementioned factors were taken into account by military planners from NATO well before the IFOR mission actually started. Moreover, in the planning phase of the IFOR mission other aspects that could be of influence to achieve success of the mission, especially when taken into account a civilian approach, were being assessed. It appeared for instance that local religious leaders in Bosnia and Herzegovina were playing a vital role in influencing the public opinion, in a positive and negative way. It became clear that these institutions could be used in a positive way for the IFOR mission.

As a result an important task for IFOR was establish contacts with local 'key leaders', and newly established civil institutions. A consequence from the war was that a lot of these actors had fled the region, but were of great importance to rebuild local governance structures. Therefore IFOR planners decided it was crucial to support initiatives from the High Representative to get these persons back to their community and provide them with the necessary security. To enable this process, one of the IFOR mission's objectives became to provide security for local political parties. This was done by isolating extremist and preventing criminal political actors from gaining too much power by controlling their activities.

Another instrument to strengthen the security aspects of good governance was the facilitation of contacts between the police training operation (as part of UNMIBH), the military (who were trained by a private military contractor) and local governance actors, and vice versa. These activities were also complemented by facilitating contacts between army engineers and local subcontractors in rebuilding basic public services, like water, gas and infrastructure.





*19. IFOR forces redistributing ballot boxes*

## **Result**

IFOR's goals were essentially completed by the September 1996 elections in Bosnia and Herzegovina. However, as the situation was still potentially unstable and much remained to be accomplished on the civilian side, NATO agreed to deploy a new Stabilization Force (SFOR) from December 1996. Consequently, the IFOR mission was able to facilitate several civil activities for the High Representative. Although its main objective remained to guarantee the end of hostilities and separate the armed forces of the Federation of Bosnia and Herzegovina and the Republika Srpska.

## **A basic good governance assessment in practice**

The aforementioned example of the IFOR mission in Bosnia and Herzegovina serves as a first template for the basic good governance assessment framework. The following analysis of the background story will therefore provide a step-by-step explanation of a basic good governance assessment in practice.

### *Step 1. Objectives (desired outcome/achievements)*

- Implement the military aspects of the Dayton Peace Agreement
- Support the restoration of civil authority and civil administration in Bosnia and Herzegovina, especially in the Republika Srpska.
- Support the reestablishment of (basic) service delivery by the (local) government.
- Overseeing the implementation of the civilian aspects of the Dayton Peace Agreement.
- Facilitate activities via CIMIC.
- Establish contacts with local 'key leaders'.

### *Step 2. Factors to assess/analyze*

#### **Enablers**

- Local governance structures were already present in Bosnia and Herzegovina.
- Existing pre-war civil infrastructure.
- Organizational structures were already known beforehand (the creation of a Federation).

#### **Neutral**

- The implementation of the Washington Agreement (1994).
- Local religious leaders in Bosnia and Herzegovina were playing a vital role in influencing the public opinion.
- Who are the 'key leaders', and where have they fled to.

#### **Disablers**

- Security problems: ethnic, nationalistic and other (local) tensions.
- The 'hidden agenda' of some of IFOR's counterparts.

### *Step 3. Toolbox*

#### **[Enablers] Tools**

- Participate in civil activities between the local authorities in Bosnia and Herzegovina and their military component.
- Hand over activities coordinated by CIMIC to (local) NGOs.
- Facilitating contacts between army engineers and local (sub) contractors in rebuilding basic public services.

#### **[Neutral] Tools**

- Go on patrols, talk to people and find out who the key leaders in the region are and try to get them back to their community.
- Use religious leaders to influence the public opinion.



### **[Disablers] Tools**

- Isolate extremist or criminal political actors from gaining too much power by controlling their activities.
- Facilitate contacts between the police training operation (as part of UNMIBH), the military (who were trained by a private military contractor) and local governance actors, and vice versa

#### *Step 4. Outcome*

- The IFOR mission was able to facilitate several civil activities for the High Representative.
- Guaranteed the end of hostilities and separate the armed forces of the Federation of Bosnia and Herzegovina, on the one hand, and the Republika Srpska, on the other.
- Provided help to reconstruct basic public services.
- Made contact with and reengaged local 'key leaders', an activity coordinated by InfoOps.
- The new local civil infrastructure became accepted, although it remained not a very popular one.
- Provided security for local political parties.

## **6.2 Deployment**

### **Background**

It is important to establish a culture of partnership rather than patronage with local actors. Consultative mechanisms must be coordinated with and linked to decision making processes to ensure that they do not become ineffective but make a genuine contribution to the formulation of policy. In order to be perceived as genuine, the outcome (i.e. reform programs regarding good governance) must reflect at least some of the preferences that emerge during the consultation process. Consultations are dependent on a permissive environment that allows participants to express their views, perceptions and concerns openly and safely. It is a challenge to consult widely enough in order to ensure satisfactory local representation while keeping the process within manageable and practicable limits.

Wherever possible, local actors should be encouraged to take the lead and ownership in good governance projects. This encourages a greater 'buy in' from the community and reduces the chances of dependency upon the international community. Ultimately, local actors will be responsible for the projects once the international community completes the mission and departs. Where local actors struggle to lead the consultation process, qualified international staff can take on a facilitating and guiding role.



*20. Female engagement is an important prerequisite for good governance*

However, consultative mechanisms at the technical level must avoid becoming politicized and thereby impotent. Objective mentoring can help to maintain a focus on professional issues. When working with local actors, members of the international staff should show their local counterparts collegial respect and not treat them as 'pupils' or 'subordinates'. It is also critical to monitor the activities of interim governments in order to prevent misuse of power or attempts to oust political opposition. Shared authority is not a fixed state but the beginning of a process by which responsibility should be transferred progressively, and which should be coupled with capacity building.

Finally, the military must try to work together with IOs and NGOs who are also working on this topic in the area of operations. Certain IOs/NGOs are much better equipped to do good governance projects and they will probably still be working in the area when the military have gone.

## Case study: Mission Team Chora, PRT Uruzgan, Afghanistan

### Background<sup>23</sup>

In the period 2009-2010 the Dutch Mission Team Chora was operating in the Uruzgan province, Afghanistan, as part of the Netherlands-led multinational PRT Uruzgan. The hands-on objectives of this mission team consisted of establishing contacts with local key leaders and letting them assume local leadership of their region (the Chora district) and encouraging them to use their influence in a positive way. An important part of this objective was to strengthen the mutual understanding of the PRT's aims to create a strong local government, and strengthen the cooperation between the military and civil actors. Partially due to the efforts of previous PRT rotations the local population came to appreciate the PRT's method of approaching local authorities (the district governor, local warlords and tribal leaders).



21. An American soldier hands out PsyOps magazines on good governance

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<sup>23</sup> The following example is based on a lecture on good governance given by the Netherlands 1 CIMIC Battalion during a course for CIMIC Functional Specialists.

## **The use of CIMIC activities to strengthen good governance**

It was decided that the objective to promote (local) good governance had to be achieved through 'teaching on the job', and influence the Afghan public opinion regarding the Dutch motives to promote good governance (for instance via Psychological Operations (PsyOps) or local media). The current public opinion with regard to the accountability and transparency of the local government authorities was relatively negative. The population of Chora was therefore still fairly skeptical about their approach to change this. As a result the mission team decided to go out into the villages and tried to approach civilians and local civil servants to inform them about the PRT's approach. This meant that Mission Team Chora multiplied their amount of patrols in order to increase visibility ('presence'). This made it possible to enhance their contact with the local population and specifically the local key (tribal) leaders such as the District Chief of Chora (Mohammed Daoud Khan). The reason for this was to 'become a part of the community' and to use a civilian perspective with regard to the local governance structures. This was of course easier said than done, because the security situation in Chora was far from ideal. There were still a lot of local tensions and conflicts, and the Taliban insurgency was far from over. Next to that, the power behind the scenes in Chora district remained Jan Mohammed Khan, the regional governor who was removed from his post by president Karzai in 2006 but who was more than an annoyance for the PRT and Mission Team Chora in particular. Hence the ongoing efforts to create security and stability for both the military and the civilian population remained a crucial objective.

## **Outcome**

Although in the end the overall effectiveness of the Netherlands-led multinational PRT Uruzgan with regard to the Chora district can be disputed (after leaving Uruzgan in 2010 the security situation in Chora deteriorated due to the influence of local warlords), several short term goals were nonetheless achieved. As a result of the hands-on approach Mission Team Chora did not only increase the interaction between the military and local civil actors, and therefore contributed to a better relationship between the two parties, but also resulted in the strengthening of good governance. An important tool to promote the communication between local key leaders and leaders from the district and provincial level was to re-open the so called 'White Compound'. This compound was, and still is, a central government building in the heart of Chora where important *shuras* had taken place. These *shuras* (consultation meetings) in the 'White Compound' formed a crucial part in the reconciliation process of local conflicts and formed a primary instrument of local governance.

In the end the mission team hoped to hand over their activities to local NGOs/IOs and other civil organizations. Due to the security concerns and the Taliban insurgency however, no international aid agencies or NGOs could develop a permanent presence in this region. Therefore the mission team could not hand

over any activities to strengthen the governance situation to local/international civil actors and organizations. The outcome of this case study therefore demonstrates that building or strengthening good governance is a long-term process and long-lasting results are often hard to achieve. This is especially the case when there is still a climate of insecurity and if conflicts remain an ongoing problem.



*22. Dutch troops on a foot patrol in Uruzgan province*

### **A basic good governance assessment in practice**

The next overview demonstrates how the aforementioned example of Mission Team Chora fits into the basic good governance assessment framework:

#### *Step 1. Objectives (desired outcome/achievements)*

- Strengthen the cooperation and visibility of local leaders/key players (promote leadership).
- Strengthen the interaction between local leaders and the civil population (strengthen communication).
- Provide a clear message on the aims and objectives of the Netherlands-led multinational. PRT Uruzgan, strengthen mutual understanding, and contribute to information sharing (develop information exchange).

## *Step 2. Factors to assess/analyze*

### **Enablers:**

- Local presence of NGOs/IOs (although they were largely absent at that time).
- The presence of local governance structures (*shura* meetings).

### **Neutral:**

- Public opinion.
- Local leadership.

### **Disablers:**

- Conflicts between regional key players (Especially the presence of Jan Mohammed Khan).
- Tribal, religious, gender, ethnic conflicts.
- Corruption.
- Security status.

## *Step 3. Toolbox*

### **[Enablers] Tools:**

- Hand over projects to local NGOs (project management).
- Use PsyOps or local media for disseminating positive information on local key leaders.
- Re-open the 'White Compound'.

### **[Neutral] Tools:**

- Be a part of the community (through 'presence'/patrolling).
- Use the civilian perspective.

### **[Disablers] Tools:**

- Bring local key players together in *shura* meetings.
- Provide security through military presence.

## *Step 4. Outcome*

- The civil support of local leaders has been enhanced.
- Meetings between the civil population and locals leaders have been created.
- Mutual understanding, information sharing and conflict prevention has been promoted.
- Due to security concerns there was no handing over of activities to local NGOs or IOs.

## 6.3 Transition

### Background

In line with the requirement of sustainability, transition of the aspects of governance means transition of lead from military to civilian governance actors, in supporting host nation civil servants or the transition of those aspects of governance capacity building which are being enabled by the civilian actors to the full ownership of local stakeholders. A breakdown of good governance, if there was such a thing, may be both a cause and the consequence of a conflict and, while a situation may become stable in the short term, long-term security depends on the establishment of a robust commitment to sustainable good governance capacity.

Establishing such a commitment, including the necessary institutions, skills and culture, is a long and demanding process that will most likely outlast any military mission. In order to ensure that the mission's best efforts have not been in vain, it is necessary to facilitate a transition to local authorities. Ultimately, the running, staffing and future development of government institutions will fall to local authorities. In addition, the local population is the end-user of justice and security and must have confidence in the government in order for it to work effectively and equitably. It therefore makes sense to begin building the capacity and willingness of local actors as early in the mission as possible in order that, over time, good governance becomes the basic organising principle of society and the foundation for continued security.

Calls for local ownership are widespread in all missions, as they aim to put in place the minimum conditions necessary to enable formal local authorities, local staff in justice and security institutions and the wider public to sustain good governance. It is important to note that this is a gradual process. The precise shape and pace of transition in each mission will depend on a range of factors and will vary in different areas of the justice and security sector.

Nonetheless, one way in which to approach implementing the principle of local ownership is to view the reform effort as consisting of a series of stages:

- a) civil assessment
- b) setting objectives, priorities and strategies;
- c) programme design;
- d) programme implementation; and
- e) evaluation.

Ownership is critical in any reform process regardless of whether it takes place in a post-conflict situation. Efforts to build local ownership would do well to keep



in mind that any reform or change process introduces temporary instability into that organisation. People in most societies are generally reluctant to – or even scared of – change. Staff members may fear for their jobs or continued control over areas of influence and it is therefore not very likely that they are motivated and willing to cooperate with reformers. In order to increase support for a process of change, it is imperative that goals and processes are communicated clearly to the staff. Lessons from institutional reform processes also suggest that staff personnel should be consulted and heard in order to engender enthusiasm for the new organisation.



*23. Flatbed trucks ready for departure*

Some of the preconditions for successful change management to accomplish local ownership include clear political signals that outline the goals of reform and the authorities' commitment to those goals; that the process is as predictable and cohesive as possible; and that there is a balance between the level of ambition of the reform process and the resources available to support the organisation in the future. These challenges of reform and ownership are increased in a post-conflict society, where local stakeholders may not trust the international reformers to understand their concerns and to act in their best interests. This underlines the need to win over and maintain the trust of the local stakeholders from the very beginning and thereafter for there to be iterative consultation, communication and transparency in all dealings. In part, this is a question of attitude and the need to treat local counterparts with respect. It also calls for mechanisms to hold international actors accountable – especially if they have executive powers – in order to prevent decisions from being made that do not take local interests into account, prevent international abuses, and avoid inconsistencies between the words and the deeds of international actors. Independent bodies that can monitor the transition to a just order, that can



handle complaints are a central component of local ownership and can also enhance popular trust in international actors.

In many post-conflict settings several reform processes are likely to be taking place simultaneously, across the range of public institutions. This will increase the challenge of achieving a cohesive end-product. Keep in mind that reforming institutions, or the individuals that drive them, will vie for international attention and funds also puts additional strain on the available resources and increases the need to create a set of institutions, skills and understandings that is sustainable in the long-run by local sources of funding. Capacity building and time are important factors for the creation of this set of institutions, skills and understandings. Capacity building should be both structural and normative. Structural measures aim to put in place an institutional structure, the skills to run these institutions effectively and the understanding of the legal framework (laws that define the role of the institutions as well as internal regulations and procedures). The normative element stresses the values of transparency and respect for human rights in both the individuals' and the institutional culture. The time aspect reflects the long term nature of this process. Furthermore, there is in fact no end-state as creating a set of institutions, skills and understandings is a dynamically evolving process.



*24. In the end local ownership will hopefully result in good governance*

## Case study: United Nations Mission in Liberia (UNMIL)

### Background<sup>24</sup>

#### UNMIL CIMIC

In January 2008, United Nations mission in Liberia (UNMIL) began to slowly draw down its forces parallel to the government of Liberia's implementation of its Poverty Reduction Strategy (PRS). The international community supported the PRS using the United Nations Development Assistance Framework (UNDAF) and other plans designed to help build the capacity of the Government of Liberia – particularly at the county level – to deliver essential public services. These services included security, governance, the rule of law, and economic and social development. Indeed, this has been the vital centre of gravity to the fulfillment of the mandate and the mission's exit strategy.<sup>25</sup> The intent of these frameworks was to reach fulfillment of these services, articulated in a series of benchmarks, by the time of the next general election in November 2011. This was supposed to mark the end of the second (or drawdown) phase and the beginning of the third and final phase of withdrawal, characterized by civilian-led peacebuilding focused on development to supplant security intensive, military-based peacekeeping operations.

In recognition of its role in underpinning this stabilization process, the UNMIL Force approach to CIMIC changed substantially, based on the constant concern in UN Force Command reports on “the increasing dependence of the Government of Liberia on the assets of the UN Force...” Since then, the greatest risk for security and stability in Liberia has been persistent dependency on the mission in general and the military in particular as UN Force capability diminishes, bringing on potentially destabilizing effects that risk the investment and sacrifices of many to bring lasting peace there.<sup>26</sup>

#### Risks and opportunities

For the drawdown phase, both risks and opportunities abounded. Under enormous international pressure, accelerated drawdown intensified these civil-military concerns, which could be seen as a first threat to successful UNMIL CIMIC. Further, military reductions paralleled a humanitarian assistance

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*24 The following is a summary based on an article written by Christopher Holshek - Senior U.S. Military Observer and Chief, Civil-Military Coordination, UN Mission in Liberia (2008-2009): Christopher Holshek, 'Civil-military coordination and transition management: the UNMIL experience', Conflict Trends, 3 (2011)pp. 45-52.*

*25 United Nations Security Council, Resolution 2008 (2011).*

*26 The UNMIL case study serves as a clear example to demonstrate how CIMIC can contribute to Disarmament, Demobilization, and Reintegration (DDR) and Stabilization and Reconstruction (S&R) operations.*

drawdown, requiring more efficient and effective coordination in the transition from relief to recovery. Additionally, large concentrations of idle and unemployed youth have presented the most dangerous threat to long-term civil stability. This is particularly true among young men in urban areas, who are ideal recruits for illicit activities as Liberia struggles economically, further feeding the general problem of a corrupt society.



*25. Combatants are disarming at Camp Schieffelin, outside of Monrovia*

However, there have also been opportunities to facilitate the transition from military-intensive peacekeeping to civilian-led, self-sustained peace building, per the PRS. One opportunity has been the relatively peaceful and stable situation enduring from the peacekeeping effort. Another has been the substantial development assistance presence still residing in Liberia – among this, strong bilateral donor nation support of Liberia as well as coordination among those nations, the mission, and the Government of Liberia in support of a well-developed, home-grown transition plan (that is, the PRS). Last but not least, the Liberian government and population have thought positively of the international presence – due in no small part to an effective public information campaign.

### **UNMIL CIMIC tools to strengthen good governance**

UN agencies and the Government of Liberia aligned with them and their frameworks and benchmarks, to promote local ownership of civil administration and essential public services responsibilities, and to help build civil authority and public confidence. To de-emphasize 'winning hearts and minds', the slogan for UNMIL CIMIC became: "It's not about us; it's about them." The military itself therefore became the real 'force multiplier'. At the same time, the assumption of a more indirect and supporting role has made it easier for the UN to diminish its presence and operations, while mitigating or reducing potential destabilizing drawdown-related gaps and risks associated with over-dependency as the UN prepares for withdrawal.

A good example of the application of this civil-military transition concept is the UNMIL CIMIC approach to project management. To facilitate transition, ownership and sustainability, UNMIL CIMIC directs that its projects should involve Government of Liberia officials throughout the entire relief or development project life cycle – that is, assessment, planning, coordination and execution – to 'front-load' ownership and simultaneously enhance project management skill development, which is a clear capacity development outcome. In addition, it should demonstrably support specific PRS objectives. Understanding that 'civil success is UN Force success' gradually makes the UN a minority stakeholder in the provision of essential public services, and thus facilitates the 'CIMIC end-state'. The indicator of this is the successful execution of UN Force drawdown with no debilitating civil-military impacts and hundred percent civilian lead in all civil-military initiatives.



*26. Training, education and knowledge-sharing are crucial in developing good governance*

Similarly, UNMIL's approach to its military-assisted Quick Impact Project (QIP) programme has, accordingly, de-emphasized 'hearts and minds' and focused more on helping to build capacity and confidence – specifically, in the renovation or construction of local rule-of-law infrastructure, including dozens of police stations, courthouses and detention facilities. While UN engineers largely did this earlier on, local contractors were increasingly employed, where they gained experience, with the additional impact of creating local employment and trained labor. In governance and rule of law, the UN helped to build local physical capacity in the execution of numerous specially selected rule-of-law QIPs. It also indirectly shared information and data collected by military observer teams on the civil situation – in order to build civil administrative information capacity, as well as assist with local assessments, early warning of civil unrest, and monitoring of development progress.



*27. UN Mission builds new courthouses and police stations in Liberia through QIPs*

### **Using the civilian perspective**

There are two other essential characteristics of the UNMIL CIMIC concept. First, because peace support operations are in an operating environment that is largely psychological rather than physical, UNMIL CIMIC forges a close relationship between CIMIC and information operations, which is critical to achieve desired outcomes. It directs that Liberians be visibly in the lead of capacity-building efforts or events such as medical outreach, even if most of the effort is from the UN. In clear support of governance and security sector reform, it also attempts to involve local police and the military in CIMIC activities to build their capacity and, more importantly, promote public confidence in the government by transferring the psychological capital of public trust gained by the UNMIL to the Government of Liberia.



CIMIC itself has been supportive of public information through 'key leader engagement' of indigenous public opinion makers and international civilian relief and reconstruction managers. This encourages greater sensitivity to local culture and the use of non-media public communication. A well-synchronized PsyOps information effort was also intended to educate locals on issues such as public health gender-based violence, and other drivers of conflict important to both civilian and military stakeholders.

As with a lot of African peace support operations, a critical vulnerability has been the relatively low understanding of the more comprehensive idea of CIMIC among both military and civilian players in the mission. UNMIL instituted a multisourced education and training strategy to improve overall understanding of CIMIC, build CIMIC capability and thus enhances mission coordination. This includes a CIMIC course that has trained UN Force officers but included the Government of Liberia, NGOs and UN police, as well as members of the Armed Forces of Liberia (AFL) and the Liberian National Police (LNP) – thus further contributing to both capacity building and good governance.

The final goal of integration of UNMIL CIMIC with civilian efforts has been coined in a catchphrase to promote its transitional thrust: 'Their game plan is our game plan'.



28. *'Their game plan is our game plan'*

## **A basic good governance assessment in practice**

Although the UNMIL mission in Liberia is based on a UN approach to CIMIC, the basic principles of assessing the dimensions of good governance and the use of CIMIC capabilities to strengthen these aspects are comparable to NATO's approach to CIMIC with regard to good governance. In fact, due to the universal applicability of the basic good governance assessment framework, the framework is applicable to a great variety of missions (NATO, EU, UN etc.). The biggest difference will most likely lie in the tools to be used in step 3 of the framework. Accordingly, the UNMIL mission in Liberia is very suitable for a basic good governance assessment. This paragraph will therefore demonstrate, through a step-by-step approach, how the UNMIL mission can be analyzed based on a basic good governance assessment.

### *Step 1. Objectives (desired outcome/achievements)*

- Draw down of military forces parallel to the implementation of the PRS.
- Transition from relief to recovery/stabilization.
- Promote local ownership of civil administration and essential public services responsibilities, and to help build civil authority and public confidence.

### *Step 2. Factors to assess/analyze*

#### **Enablers**

- The presence of a Poverty Reduction Strategy.
- A relative peaceful and stable situation enduring from the peacekeeping effort.
- Substantial development assistance presence.

#### **Neutral**

- A well articulated UNMIL CIMIC concept.
- Public opinion.

#### **Disablers**

- Military reduction parallels a humanitarian draw down.
- The real and perceived effectiveness of county governments.
- A large presence of idle and unemployed youth.

### *Step 3. Toolbox*

#### **[Enablers] Tools**

- Rule-of-Law QIPs, which indirectly shared information and data collected by military observer teams on the civil situation – in order to build civil administrative information capacity, as well as assist

with local assessments, early warning of civil unrest, and monitoring of development progress.

- Coordination among donor nations, the mission, and the Government of Liberia in support of a well-developed, home-grown transition plan (that is, the PRS).

#### **[Neutral] Tools**

- Forge a relationship between PsyOps and Information Operations to influence public opinion.
- Put Liberians visibly in the lead of capacity-building efforts or events such as medical outreach.
- Involve local police and the military in CIMIC projects to build their capacity and, more importantly, promote public confidence in the government by transferring the psychological capital of public trust gained by the UNMIL to the Government of Liberia.
- Develop a multisourced education and training strategy.
- 'Key leader engagement' of indigenous public opinion makers and international civilian relief and reconstruction managers.

#### **[Disablers] Tools**

- A CIMIC approach to project management. To facilitate transition, ownership and sustainability, UNMIL CIMIC directs that its projects should involve Government of Liberia officials throughout the entire relief or development project life cycle.
- Mission statement: 'civil success is UN Force success'. This gradually makes the UN a minority stakeholder in the provision of essential public services, and thus facilitates the 'CIMIC end-state'.
- Local contractors were increasingly employed, where they gained experience, with the additional impact of creating local employment and trained labor.

#### *Step 4. Outcome*

- Promote 'front-load' ownership and simultaneously enhance project management skill development, which is a clear capacity development outcome.
- 'CIMIC end-state': the successful execution of UN drawdown with no debilitating civil-military impacts and hundred percent civilian lead in all civil-military initiatives.
- UNMIL's approach to its military-assisted Quick Impact Project (QIP) programme has, accordingly, de-emphasized 'hearts and minds' and focused more on helping to build capacity and confidence – specifically, in the renovation or construction of local rule-of-law infrastructure, including dozens of police stations, courthouses and detention facilities.



## Conclusion

The success or failure of future and current missions will not be determined by military footprint alone. An important part of the outcome of military missions will be defined by the challenge of supporting the host-nation's government in being rendered capable to be self-sufficient in providing basic needs, like security and safety, in coordination with other civil actors. The efforts exerted by CIMIC in the process of such transition should not be underestimated. Although it is not up to CIMIC personnel or other military actors to establish the criteria of good governance, nor be fully occupied with the making or the maintenance of the different dimensions of governance, they play a key role in evaluating and assessing the requirements that can support this process. In fact, it is the dissemination of assessments to the respective military commanders, in all levels and phases of military planning, which can eventually contribute to overall mission success. Next to that, it helps the military commander understand what consequences his actions may have on the local governance situation.

To answer the first objective of this publication, it is undeniably clear that the aspects of 'good' governance ought to be evaluated on a case-by-case basis and should not be fitted into a generic template. Although it is up to the host-nation's population themselves to define good governance, there are several general (Western) characteristics to work towards this outcome. From a NATO perspective good governance is participatory, accountable and transparent, follows the Rule of Law, provides basic service delivery, is based on democracy, controls military and police activities, respects human rights and is free of corruption. It is crucial that CIMIC personnel concerned with good governance, as well as military staffs and other personnel in the field, are well aware of the different dimensions of good governance. As shown in this publication, these assessments and evaluations on the governance situation in a specific country (for instance through a basic good governance assessment framework) are in fact two of the main instruments for CIMIC to promote the aspect of 'good' in governance. For these judgments can eventually support a military commander's assignment or mission, especially when working together with civil actors in the field of governance. Often, it is these non-military capabilities that can best address the underlying causes of *bad* governance and help ensure the transition to *good* governance.

The answer to the third question of this publication (how good governance can be promoted through CIMIC capabilities) can thus be understood both as a process and as an outcome. As a result of all the possible CIMIC efforts regarding good governance, the last phase (transition phase) will lay the basis for an enduring stability and a 'healthy' formal government. This government should ideally be based on at least several of the elements of good governance as described in chapter three of this publication. The tools and assessments provided by CIMIC personnel should then bear fruit and result in a situation where local civil actors

concerned with governance are fully self-sufficient in running an unrelentingly stable government (which in short addresses objective two). The end result of the CIMIC efforts regarding good governance will thus contribute to strong governance structures and capacities, even long after the military forces have withdrawn. CIMIC, being an important facilitator in this process, is therefore a key factor in achieving a long lasting and sustained success of a military operation.

### **A way ahead**

In sum, good governance will most likely be of great importance for future military and political missions. The topic of good governance has been firmly placed on NATO's agenda since the Lisbon Summit in 2010 and more recently the Chicago Summit in 2012. As a result NATO has developed the Building Integrity Initiative (BI), which seeks to raise awareness, promote good practice and provide practical tools to help nations build integrity and reduce risks of corruption in the security sector by strengthening transparency and accountability.<sup>27</sup> The approach to this initiative is the assumption that promoting good governance starts with self-awareness. Since, the critical element of promoting good governance lies within the fact that what one perceives as 'good' governance is not always shared by others, it is crucial to have a degree of self-awareness. The aim of strengthening good governance through CIMIC can therefore only be truly successful and legitimate when defense institutions themselves are free of corruption, transparent and committed to integrity. In short, CIMIC is a vital component of military missions for assisting civilian efforts to promote good governance. Competence and understanding are thereby the primary elements to achieve that these efforts have a positive and lasting outcome and the overarching (political) goal of promoting security and peace can be accomplished. This publication has therefore demonstrated that raising awareness on the importance of good governance is a crucial component in understanding future conflicts and will enable long lasting mission success.



29. The Congolese military receives education and training in building integrity

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27 NATO – Topic: Building Integrity Initiative, [http://www.nato.int/cps/en/natolive/topics\\_68368.htm](http://www.nato.int/cps/en/natolive/topics_68368.htm) (accessed May 5, 2012).

## Recommendations

- It is essential to understand how (good) governance can be defined.
- Use the civilian perspective: cultural awareness is crucial for strengthening good governance.
- What you perceive as 'good' governance is not always shared by other people.
- It is important to understand that a significant prerequisite to achieve sustained success of a military mission lies within the people's acceptance of state authority and trust its institutions. It is up to CIMIC personnel to sense which essential requirements in a particular situation or area are needed to create or develop this kind of trust among civil actors.
- Raising awareness among state, civil and private actors on how governance can be used in a 'good' way is an essential CIMIC activity in relation to good governance.
- CIMIC should facilitate activities to strengthen good governance, not lead them. The military should not take over the job of local civil actors in strengthening good governance. Self-sufficiency and local ownership is therefore the desired outcome.
- The preconditions for the military to get involved in any activities in the field of good governance derive from the idea that coordination with a wide spectrum of actors from the international community, both military and civilian, is essential to achieving key objectives of lasting stability and security.
- Do not let opportunities pass you by. However, when taking action carefully consider your beneficiary's approach to the matter. Are your actions in line with their views? This prevents any counterproductive effects.
- Good governance issues are incorporated into mandates, directives and all phases of military planning and implementation. It is therefore significant that military personnel at all levels are aware of the importance of good governance.
- Training, education, coaching and knowledge-sharing are key aspects of promoting good governance.
- Strengthening good governance should be approached as a long-term process: there is no 'quick fix'.

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## **Annex A**

### **The different levels of responsibility**

NATO is following a strict structure to successfully analyze situations, assess needed resources, plan operations and conduct them at the tactical level. The nature of NATO's missions demand a level of integration and harmonization which cannot be met by measures of the tactical level alone. Resulting from that the approach to strengthen good governance has implications for all levels of responsibility within NATO. The interaction responsibilities as well as their requirements are described in depth in the *NATO AJP-3.4.9 Allied Joint Doctrine for Civil-Military Cooperation (Ratification Draft)*.

#### **The political level**

This level will pave the ground for each interaction of the subordinate levels. Here it is decided what the mandate of the forces committed will be and if the reconstruction and development of good governance is included and if, up to what extent. It will enable in principle the interaction with all partners committed to re-stabilizing a society.

#### **The strategic level**

As the strategic level develops the more detailed guidance for the operational level, based on the outline of the political level, it will also imply instructions regarding the conduct and policy of good governance in the operation area. Added to that the strategic level will design a liaison matrix and link to the highest levels of international organizations, governmental organizations, non-governmental organizations as well as the highest levels of the host nation. The resulting interaction will construct the framework for the cooperation in the mission area. It is of the highest importance that by the means of reporting the strategic level is informed about conduct, success or failure of any measures at the tactical level in order to change agreements at the highest possible level and maybe stipulate a change of attitude in partnering organizations.

#### **The operational level**

Here the detailed campaign plan for any operation is designed. It is of the largest benefit to include the partners in the operations area at each single step. Here synergies can be identified, commonly needed resources will be calculated, plans be de-conflicted and actions be harmonized.

The mandate, as well as the guidance from the two superior levels, will help develop a course of action that is also including the importance of good governance in the area of operations. The courses of action, together with the centre of gravity, will define at what stage of the operation good governance projects will be conducted as well as depicting the point of time when functional specialists in good governance will be deployed to the area.

In order to enable adjustments of plan the information about the situation at hand at the tactical level needs to be transported fast and without friction, thus providing situational awareness focused on governance, not only for the tactical but also the operational level. This level will also allocate needed or not available resources to the forces deployed if deemed beneficial or necessary.

### **The tactical level**

It is of the utmost importance that all action according good governance is embedded and harmonized with the overall tactical conduct. NATO forces are surely not deployed into an area to facilitate the complete reconstruction of the complete governance structure. It is merely an important (side-) aspect of all operations that's needs to be recognized as contributor to successful civil-military cooperation and success of a mission.

### **The technical level**

A final level of responsibility is the technical level. This level can be described as the way of implementing force or resources with regard to small units, sometimes even individual soldiers or weapon systems, to achieve a tactical objective in a fight or otherwise tactical proceeding, in certain comprehensive conditions. In the case of strengthening good governance at the technical level a commander can allocate specific CIMIC personnel to make an assessment of the governance situation for instance.

## **Annex B**

### **Bi-SC CIMIC Functional Planning Guide - Format of a Theatre Civil Assessment (TCA) Section 3: POLITICAL** <sup>28</sup>

#### **Section 3: POLITICAL**

Section 3 of the Theatre Civil Assessment format example describes the first letter of PMESII, which is the **P**olitical dimension. *Political* means any grouping of primarily civil actors, organizations and institutions, both formal and informal, that exercises authority or rule within a specific geographic boundary or organization through the application of various forms of political power and influence. It includes the political system, parties and main actors. It must be representative of the cultural, historical, demographic and sometimes religious factors that form the identity of a society.

#### **Sub-section 3.1: GOVERNANCE**

##### **3.1.1 Public Administration**

- 3.1.1.1 General System of Public Administration
- 3.1.1.2 Structure of National Government
- 3.1.1.3 Structure of Government at Other Levels
- 3.1.1.4 The Armed Forces
- 3.1.1.5 Political Parties
- 3.1.1.6 International Affairs

##### **3.1.2 Legal Systems**

- 3.1.2.1 System of Laws
- 3.1.2.2 The Administration of Justice

##### **3.1.3 Public Health**

- 3.1.3.1 Organization
- 3.1.3.2 General Conditions and Problems
- 3.1.3.3 Agencies and Institutions
- 3.1.3.4 Medical Personnel
- 3.1.3.5 Medical Equipment and Supplies
- 3.1.3.6 Diseases
- 3.1.3.7 Environmental Sanitation

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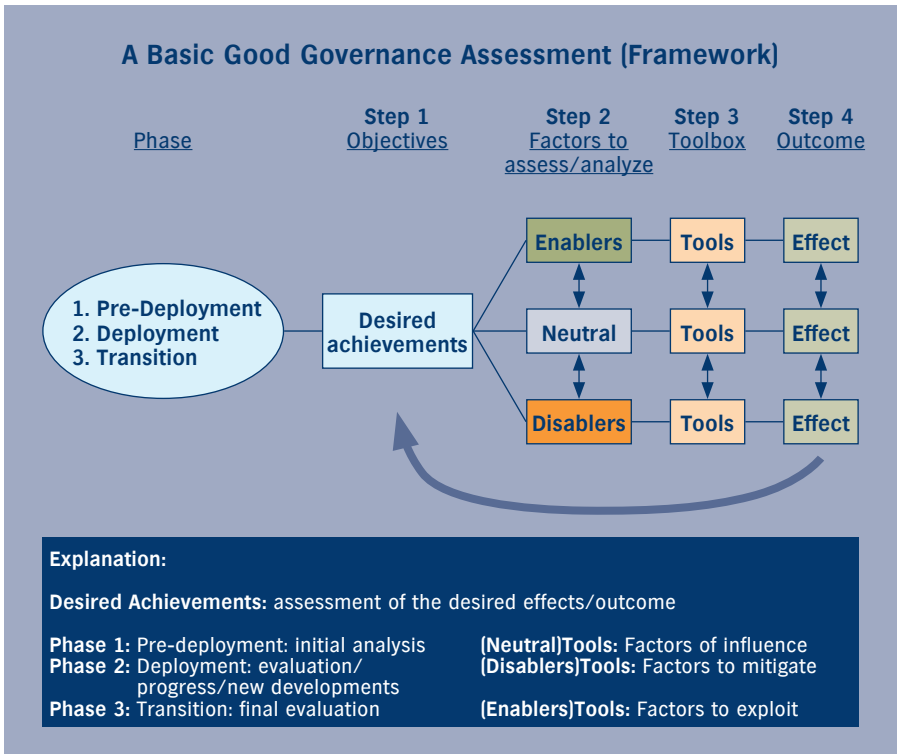
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- 3.1.4 Public Education
  - 3.1.4.1 Organization
  - 3.1.4.2 General Conditions and Problems
  - 3.1.4.3 Agencies, Institutions, and Programs
  - 3.1.4.4 Influence of Politics on Education
  - 3.1.4.5 Literacy Rate
- 3.1.5 Public Finance
  - 3.1.5.1 Organization
  - 3.1.5.2 General Conditions and Problems
  - 3.1.5.3 Monetary System
  - 3.1.5.4 Budgetary System and Current Budget
  - 3.1.5.5 Sources of Government Income
  - 3.1.5.6 Financial Institution
  - 3.1.5.7 Foreign Exchange
  - 3.1.5.8 Applicable Laws and Regulations
- 3.1.6 Public Safety
  - 3.1.6.1 General Conditions and Problems
  - 3.1.6.2 Police System
  - 3.1.6.3 Penal Institutions
  - 3.1.6.4 Fire Protection
  - 3.1.6.5 Civil Emergency Planning
  - 3.1.6.6 Civil Defense
- 3.1.7 Public Welfare
  - 3.1.7.1 Organization
  - 3.1.7.2 General Conditions and Problems
  - 3.1.7.3 Agencies, Institutions and Programs
- 3.1.8 Implications for Alliance Forces

# Annex C

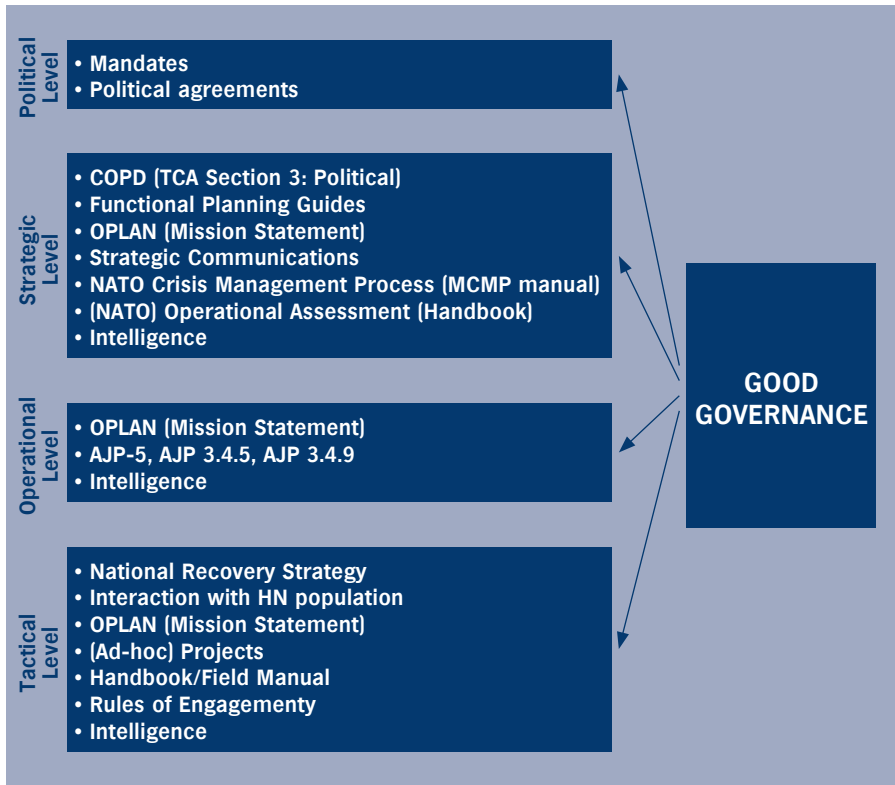
## A Basic Good Governance Assessment

### A Basic Good Governance Assessment



## Step 1

The first step of any basic good governance assessment is to assess (not determine) the desired outcome or define certain objectives, based on mandates and their derivatives. In the case of strengthening good governance this could mean the mitigation of corruption for instance, or improve the Rule of Law, as a broader (long-term) objective.





## Step 2

An important part of the assessment is analyzing which factors could positively or negatively influence the desired achievements. CIMIC personnel should, in other words, take into account three different kinds of factors which could affect the desired outcome.

First there are factors that are of influence to military missions, but are not by definition negative or positive. The public opinion of the host-nation's population is such a factor, because this aspect can either contribute to or hinder the mission. That is why these specific factors of influence are called **neutral** factors. These aspects can, in short, either be of use to the military objective or operations, or can hamper them. Other factors than the public opinion are for instance the presence of local leadership, the media or basic living conditions. These circumstances are not necessarily positive or negative, and can thus be seen as neutral factors.

A second set of aspects that influence the basic good governance assessment process are factors to mitigate, or in other words **disablers**. Organized crime, power struggle, corruption and tribal, ethnic and religious tensions or conflicts are such factors. These elements can substantially hamper a military mission, and should therefore be mitigated. That is why these factors are being called disablers. The last aspects to take into consideration contain elements to exploit, and are the opposite of disablers. These aspects can be influenced, so that they will contribute to the success of a mission. Good examples for instance are the presence of local NGOs, GOs and coordinated international development and humanitarian partners. The presence of an NGO or GO in the field of governance development can substantially contribute to the military objective to promote good governance. It should therefore not come to a surprise that these factors to exploit are being called **enablers**.

## Step 2 Common factors

### Enablers



- Presence of (local) IOs/NGOs/GOs
- (Civil) infrastructure
- Key leaders (engagement)
- Host nation support & willingness to cooperate
- Political agreement(s)

### Neutral



- Local ownership/leadership
- Gender
- Media
- Public opinion
- (Inter)national strategies/development programs
- Political/tribal/ethnic balance

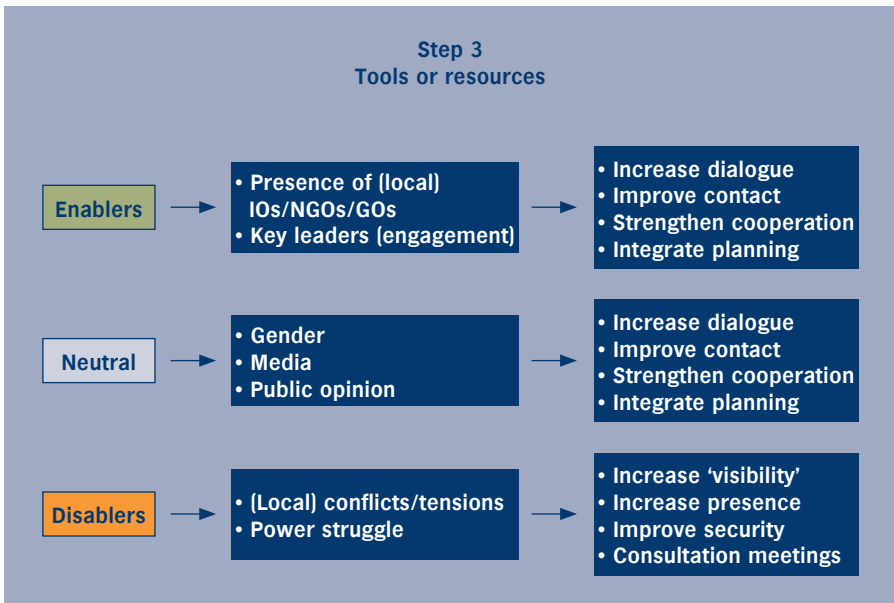
### Disablers



- (Local) conflicts/tensions
- Organized crime
- Corruption
- Power struggle
- Black market

### Step 3

The third step of a basic good governance assessment will be to determine the 'tools', or desired (military) resources to allocate, to strengthen the aspects of good governance. Ideally these tools should consist of CIMIC activities, and are in accordance with the military objectives. With regard to the enabling factors for instance, specific steps can be taken to exploit these factors in a positive way in order to promote good governance. At the same time the disabling factors have to be mitigated, which can be accomplished by using certain CIMIC activities or military and civilian resources. Naturally, both approaches also apply to the neutral factors. Ultimately the outcomes of the attempts made by CIMIC personnel to strengthen good governance through step three contribute to the overall military mission, and are therefore operationally relevant.



### Step 4

As a final step it is imperative to assess the achieved effects and outcome, and if necessary re-evaluate the objective(s) and repeat steps two and three.

The Civil-Military Cooperation Centre of Excellence (CCOE), assists NATO, Sponsoring Nations and other military and civil institutions/organizations in their operational and transformation efforts in the field of civil-military interaction, by providing innovative and timely advice and subject matter expertise in the development of existing and new concepts, policy and doctrine; specialized education and training; and the contribution to the lessons learned processes.

The CCOE fulfils its role as a multinational contribution to NATO's transformation efforts, by selecting key issues in the Civil-Military dimension and relations than can be further researched through seminars, workshops, conferences and publications like this one. By this, CCOE will continue to promote and explore new ideas, findings, trends and developments together with relevant institutions and individuals, and emphasize the value of mutual understanding through a continued debate. CCOE welcomes all kinds of feedback or constructive comments and remarks from all that are affiliated with the topics these CCOE publications will cover.



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