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**AJP-3.4.9**

**ALLIED JOINT DOCTRINE FOR  
CIVIL-MILITARY COOPERATION**

**Edition A Version 1**

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**NATO LETTER OF PROMULGATION**

8 February 2013

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Director NATO Standardization Agency

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## INTRODUCTION

The 21<sup>st</sup> Century strategic environment involves a myriad of ethnic, religious, ideological and capability drivers, which require sustainable solutions in societies ravaged by conflicts, disasters or humanitarian catastrophes. Solutions to these serious events are impossible to achieve by military means alone.

North Atlantic Treaty Organization's (NATO) contribution to a comprehensive approach, as one of its military facilitators, is a link to the civil environment, with civil-military cooperation (CIMIC) as one of the military facilitators. This enables the military to help reaching the desired end state by coordinating, synchronizing and de-conflicting military activities with civil actors, thus linking military operations with political objectives. The influence of the vast variety of civil contributions to stabilise a dysfunctional society must continue to be considered by the military. This will enable the smooth transition from offensive/defensive operations to security/stability operations, thus reaching a status of development where Alliance forces can leave a secure area behind much sooner.

CIMIC as a military function that is an integral part of modern multidimensional operations, addresses all cooperating parties within a conflict situation and facilitates mutual support of civilian capabilities to military forces and vice versa. The governing idea in all those interactions is reaching the defined and commonly desired end state, for the best of the local population, the civil actors and the Alliance, which will be, under the best of circumstances, hard to achieve.

In order to maximize success for all parties it is crucial that all sides fully understand how each partner plans and operates. On one hand, military personnel at the tactical level will carry out CIMIC tasks, as generically described in AJP-3.4.9 and specified in tactical publications, directly contributing to the military effort as 'boots on the ground'. On the other hand CIMIC tasks will be carried out by personnel not directly linked to CIMIC staff functions. The planning of military action demands CIMIC input, as does all other military work within and outside of the mission area. The multiple dimensions of modern military operations are all influenced by CIMIC, as their focus is on the civil environment. Not everything in the military is CIMIC, but CIMIC can play a key role within NATO's contribution to a comprehensive approach. CIMIC's contribution and influence has to be visibly present at all the levels of responsibility of the Alliance, while this doctrine is focusing on the operational level.

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## PREFACE

Allied Joint Publication - 01 (D) (AJP-01(D)) Allied Joint Doctrine, outlines NATO strategy for establishing peaceful and secure environments across a wide spectrum of threats and challenges, ranging from armed conflict to humanitarian emergency, which could affect Euro-Atlantic stability. Modern conflict solutions demand much more than just defeat of the military opponent. NATO believes that a comprehensive approach is the most appropriate way to answer these threats and challenges. This strategic analysis, requiring NATO operations to contribute to a comprehensive political-civilian-military approach to crisis management by the international community, creates the need for operational guidelines within this spectrum. CIMIC is the enabler and facilitator for this comprehensiveness between NATO forces and civil actors, all committed to the solution of a specific crisis.

AJP 3.4.9 builds on AJP-01 (D), whereby coherence is achieved through the harmonisation of strategic processes, planning and objectives across civil and military instruments and agencies. In addition to AJP 3.4.9, other Allied Joint Publications, such as AJP-3, Allied Joint Doctrine for the Conduct of Operations and AJP-5, Allied Joint Doctrine for Operational-Level Planning, which cover factors of influence for civil-military interaction, operational and planning factors contributing to conduct of military missions. Therefore all relevant publications have to be used in an integrated way to develop comprehensive solutions.

While AJP 3.4.9 CIMIC primarily addresses commanders and their staffs at operational and tactical level, it is also relevant to the civil-military interaction at the strategic level. It displays, amongst others, relevant factors for effective and efficient civil military interaction within NATO's contribution to a comprehensive approach. It fosters the development of CIMIC activities, introducing all necessary principles, planning factors and training requirements.

Correspondingly, AJP 3.4.9 reflects this approach as well as all other NATO documents for the operational level to enable joint civil-military interaction.

This revised version of AJP 3.4.9 aims to provide generic doctrine which is flexible in application. This approach will intentionally allow CIMIC to adjust to different operational realities through improvisation and adaptation.

All related tactical publications should be synchronised with AJP 3.4.9.

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## CHAPTER 1 – THE STRATEGIC CONTEXT OF CIMIC

### 21<sup>st</sup> century threats

0101. Large-scale conventional aggression against the Alliance is unlikely in the near future but the possibility of such a threat emerging over the longer term remains. Meanwhile the security of the Alliance will be challenged by a wide variety of risks, military as well as non-military, that will be often difficult to predict. These risks include uncertainty and instability in and around the Euro-Atlantic area and the possibility of regional crises at the periphery of the Alliance, both of which could develop rapidly. Ethnic, political and religious rivalries, territorial disputes, disputes over vital resources, inadequate or failed efforts at reform, the abuse of human rights and the dissolution of states will lead to local and regional instability. The resulting tensions could create a wide spectrum of consequences, ranging from the need to provide humanitarian assistance to armed conflict. They could also affect the security of the Alliance by spilling over into neighbouring countries, including NATO members and could affect the security of other states.
0102. Any armed attack on the territory of the Allies would generate a response under Articles 5 and 6 of the North Atlantic Treaty. However, Alliance security interests could be affected by other extant or emerging risks including acts of terrorism, sabotage, organized crime, uncontrolled movement of large numbers of people (particularly as a consequence of armed conflict) or disputes over often dwindling vital resources. The various forums in the Alliance give member states platforms to discuss mutual security issues under article 4 of the North Atlantic Treaty and the opportunity to coordinate their responses to risks of this kind.
0103. The evolving strategic environment. Alliance doctrine must take into account the changing context in which armed forces are used. The strategic environment will become increasingly dynamic and complex. There will be a variety of factors that directly influence or cause change, as well as discernable patterns in that change. There will also be a handful of key strategic drivers of change: globalization of society, political geometry, demographic and environmental change and the impact of technology. The implication of these strategic drivers, through an examination of their military implications, provides some trends for defence and security:
- a. **Globalization.** The process of globalization, including the free flow of ideas, people, goods, services and capital, continues. This pattern of cultural import and export provokes conflict in areas of the world where cultures and values collide; action by anti-capitalists and extremists are two examples of such reactions. Twenty-four hour news media will continue to broadcast the realities of globalization to an ever-growing audience. Terrorists and

extremists have, and will continue to, become more sophisticated in their use of the media and information networks to foster unrest through targeted information campaigns.

- b. **Political geometry.** Notwithstanding the effects of globalization, nation states will remain key geopolitical players and most will retain armed forces. However, the way in which state sovereignty is exercised will change.
- (1) There is likely to be greater interdependence between states and a shift in power from states to transnational organisations and networks or multinational corporations.
  - (2) Alliance members are likely to become more open as societies. They will be increasingly reliant on global stability, particularly with key trading partners in Europe, North America and, increasingly, Asia.
  - (3) Failing states are likely to become a more persistent and pervasive threat to global security. For example non-state actors may exploit the vacuum caused by their deterioration. There is potential to undermine the security of the Alliance in a world where concern for personal and collective security is gaining prominence over the defence of territory against conventional attack. A failed state that has little strategic significance in the traditional sense of resources or geographical location can take on strategic importance as a potential base for non-state actors. The Alliance may therefore choose, or be called upon, to intervene more frequently to stabilize dangerous situations in poorly or ungoverned territory. Any attendant rise in support for extremist groups will continue to demand the diplomatic, and potentially military, involvement of Alliance nations.
  - (4) The technical and economic strength of NATO and other developed states will stimulate innovation by an adversary to achieve political objectives, including the unconventional use of armed violence. Reaction to such threats must be coordinated across all instruments of state power, which will necessitate close liaison between multilateral networks and organizations.
- c. **Demographic and environmental change.** Demographic differences between the developing and developed world will widen. This will lead to significant migratory pressures from one to the other, increasing ethnic tensions and putting stress on employment and welfare systems:
- (1) Competition for scarce resources will continue, and global demand for energy resources in particular will intensify. Although oil and gas reserves are sufficient for the near future, their location and transport

routes will present security challenges for developed and developing nations alike. Starvation and water scarcity will remain a significant problem for sections of the developing world.

- (2) Impoverishment and inequitable distribution of resources can lead to grievances, provokes extremists and offers opportunities for organized crime to threaten security. Poverty, hunger and disease in the developing world contribute to increasing stress in the security environment.
- (3) Poor resource distribution and governance in areas affected by demographic and environmental change will compound this problem. This will further increase migratory pressures, internal instability and could call for humanitarian intervention.

- d. **Technology and military transformation.** Technology continues to be a key driver of change that will pose both new threats and new opportunities. As access to current and emerging technology becomes more widespread, there will be greater opportunities for potential adversaries to develop effective conventional and unconventional means for direct and indirect attack on Alliance nations. The proliferation of technologies such as information and communications, biotechnology and nanotechnology will be led by industry rather than the military and, because of globalization, will be more accessible than ever before. Consequently, assuming a given level of political pressure and access to finance, it will be easier for a range of both state and non-state actors to gain access to technology, including greater lethal power and even chemical, biological, radiological and nuclear (CBRN) weapons.

### Implications for the military

0104. The complexity of the operating environment, and the consequent need to maintain a focus beyond the central principle of collective defence, has demanded a re-evaluation of the likelihood of NATO involvement in Non-Article 5 Crisis Response Operations (NA5CRO). NA5CROs are a major part of the Alliance's contribution to effective crisis management. Their purpose is the contribution to international peace and security. They are intended to respond to such crises, to include the containment of hostilities, in a timely and coordinated manner where these crises could either affect the security of NATO nations, or threaten stability and lead to conflict on the periphery of the Alliance. NA5CROs encompass the Alliance's conduct of, and participation in, the full range of operations to include those in support of peace, which could range from the most demanding types of peace enforcement to military preventative activities, as directed by the North Atlantic Council.

## Evolving character of operations

0105. More likely, NATO forces may be confronted, possibly simultaneously, by groups or individuals operating in unpredictable and innovative ways, and employing tactics that have no regard for either International law or widely accepted norms of morality. Those engaging in this irregular activity may exploit civilians in order to promote their aims and maximise the impact of their actions. Conducting operations where *'the people in the streets and houses and fields - all the people anywhere - are the battlefield'* the so-called war amongst the people has significant implications for NATO forces. Positive identification and engagement of opponents, particularly in urban areas, will become more difficult and heighten the risk of collateral damage. Furthermore, in complex political and social contexts where the will of the indigenous population becomes the metaphorical vital ground (i.e. it must be retained or controlled for success), there is a requirement to influence and shape perceptions through the judicious fusion of both physical and psychological means. In order for NATO forces to do this effectively, they need a detailed understanding of the situation, its human context, and the other agencies that could help to achieve a desired outcome.
0106. Intelligence collection, analysis, dissemination and sharing will be critical to anticipating and, possibly, preventing or containing conflicts. Intelligence processes include agencies not traditionally associated with military operations, for example law-enforcement agencies, and non-traditional sources. A full understanding of the operational environment and a proactive approach in the earliest stages of an emerging crisis will be required. This assessment will support increased situational awareness and aid enhanced collaboration in rapidly evolving situations, including the sharing of vital information between military and non-military actors. Improvements in all aspects of the decision making cycle may be necessary so that the time between the anticipation of a risk or threat, and the definition and subsequent execution of an operation can be shortened. However, all action in this sensitive area of intelligence-related information-sharing will be aimed at providing all cooperation partners with information important to them and is not directed on gathering intelligence in the process of cooperation.
0107. NATO forces might intervene in crises, for example, to strengthen, uphold or restore peace and security, to re-establish governance and authority, or to provide humanitarian assistance. NATO forces will usually be but one contributor; while different participants' respective goals may be broadly aligned, each is nevertheless shaped by different perspectives, priorities, motivations, mandates, timeframes, cultures and processes. This complex of actors may include, in addition to multinational military forces, the indigenous population with their formal and informal authorities, media, diplomats, international organisations (IOs) such as the United Nations (UN), non-governmental organisations (NGOs), private military and security companies, multinational companies and opportunists.

0108. NATO must seek to influence these complex situations through the application of diplomatic, information, military and economic instruments of power, and civil capabilities. Individually, each is limited in terms of its discrete influence and impact. The likelihood of a favourable and enduring outcome is therefore enhanced through the careful use of all instruments in concert, using the 'commonly understood principles and collaborative processes' of a comprehensive approach (described in the following paragraphs). What constitutes an appropriate combination of the instruments of power will depend upon the context.

### **NATO's contribution to a comprehensive approach**

0109. NATO experiences in Afghanistan, Kosovo and other operations confirm the complexity of contemporary crises. Complex crises do not lend themselves to simple definition or analysis. Today's challenges demand a comprehensive approach by the international community, including the coordinated action from an appropriate range of civil and military actors, enabled by the orchestration, coordination and de-confliction of NATO's military and political instruments with the other instruments of power. This requires a broader cooperation and planning approach in accordance with the principles and decisions of relevant senior NATO bodies. NATO's engagement in a comprehensive approach to crisis management is focused at three levels:

- a. At the political and strategic level, NATO concentrates on building confidence and mutual understanding between international actors.
- b. At the operational level, the priority is to cooperate with other international actors in the overall planning for complex operations in which a large degree of civil-military interaction will be required.
- c. At the theatre/tactical level, NATO force commanders must be empowered to conduct effective cooperation and coordination with indigenous local authorities and other international actors in the execution of operations.

All three levels must function in a complementary manner to achieve success.

0110. NATO considers there to be three targets in the successful prosecution of a comprehensive approach:

- a. Improving the coherent application of the Alliance's own crisis management instruments, including its military and political planning procedures.
- b. Improving the Alliance's practical cooperation at all levels with partners, the UN (and other relevant IOs), governmental organisations (GOs), NGOs and local actors in the planning and conduct of operations.

- c. Enhancing the Alliance's ability to bring military support to stabilisation operations and reconstruction efforts in all phases of a conflict in concert with other actors.

0111. In the context of crisis management, the success of a comprehensive approach is dependent on a common sense of purpose and resolve, mutual understanding and collaboration, and appropriate resourcing. This is ideally predicated by political agreement on the desired outcome. A future desired outcome is likely to involve aspects related to security, governance, and economic development. The complexity or evolving nature of a crisis may preclude definitively defining the desired outcome. It may only be possible to look ahead months rather than years and reframing the problem and desired outcome may become necessary.

0112. Political agreement on a desired outcome is necessary for clarity on strategies and objectives; however complete agreement between different actors may be difficult to achieve and, in this case, developing a shared vision or unity of purpose should be pursued. Creating the conditions to achieve a desired outcome requires active involvement from each of the instruments of power. It also requires effective collaboration between military and non-military actors, across both NATO and a broad range of multinational institutions, agencies and organizations. Although the implementation of a comprehensive approach may vary between the levels of operation (strategic, operational and tactical), and from one crisis to another, a number of guiding principles apply:

- a. The need for proactive engagement between all actors, before and during a crisis.
- b. The importance of shared understanding engendered through cooperative working, liaison, education and a common language.
- c. The value of collaborative working based upon mutual trust and a willingness to cooperate - institutional familiarity and information sharing are key.
- d. Thinking focused on outcomes, ensuring that all actors work towards a common goal (or outcome), and ideally mutually agreed objectives, underpinned, even in the absence of unity of command, by unity of purpose.

0113. From a military perspective, a comprehensive approach is founded on not only a shared situational understanding, but also recognition that sometimes non-military actors may support the military and conversely on other occasions the military's role will be supporting those actors. Recent NATO operations suggest that these elements are inter-dependent. A military plan is most likely to succeed (in making a significant contribution to the desired outcome) when it is nested within a comprehensive response, itself based upon a shared understanding of the problem



and a universal commitment to resolve it. Unity of command may be elusive and, realistically, only unity of purpose can be achieved. In this case only through negotiation will commanders and other actors be able to confirm responsibilities, resolve differences, facilitate coordination and create unity of effort across a diverse multi-agency 'coalition'. Having terms of reference, memorandums of understanding or agreements at a high level provides some framework for coordination. Implementing a comprehensive approach requires sensitivity, rapport, respect, trust, patience and tact, as well as determination to collaborate in all actors, military and civilian, at all levels.

0114. The role of military force in achieving the desired outcome must be very carefully considered, and must be understood by those directing the strategy. If the successful use of force leads directly to the achievement of the desired outcome, then it can be said to be decisive. But if the military contribution simply enables, or supports, the achievement of the desired outcome by others, then it is not decisive. In the case of the latter, the importance of including from the outset those elements - diplomatic, civil, and economic - that are to be enabled by military success must not be underestimated. Failure to do so will at best lose the strategic initiative; at worst, it will result in strategic failure. This is the basic premise of a comprehensive approach, which NATO applies to its operations.

### **Peace support operations<sup>1</sup>**

0115. Peacekeeping follows an agreement or ceasefire that has established a permissive environment where the level of consent and compliance is high, and the threat of disruption is low. The purpose is to sustain a situation that has already met the steady-state criteria established by international mandate; the use of force by peacekeepers is normally limited to self-defence. Typical peacekeeping activities include interposition and protection, the interim management of selected civilian administration, and humanitarian assistance.
0116. Peace enforcement is also predicated on the existence of a cease-fire or peace agreement, but the level of consent or compliance is uncertain, and the threat of disruption is considered to be high. Consequently, NATO military forces contributing to peace enforcement should be capable of applying credible coercive force, impartially, to ally the provisions of the peace agreement.

### **Other Activities**

0117. NATO forces are likely to be required to support a broad range of activities:

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<sup>1</sup> For further details on PSO see AJP-01 (D) and AJP-3.4.1

- a. **Security sector reform.** Security sector reform (SSR) involves reforming security institutions so that, under the control of a legitimate authority, they can play an effective and accountable role in providing internal and external security. SSR can apply to any security institution, including police and militias, and may be preceded by disarmament, demobilisation and reintegration (DDR). It encompasses: host nation defence ministry reform; training and development; education; and support for the enhancement of judicial and law enforcement institutions.
- b. **Capacity building.** Capacity building involves the enhancement of national and regional institutions in order to reinforce their credibility among, and authority over, an indigenous population. The aim is to cultivate sufficient authority within local, regional and national institutions that their governance becomes self-sustaining.
- c. **Interim governance.** Long-term governance must be indigenous. Where instability develops in ungoverned space, or an existing government has insufficient authority, then an intervention force may be needed to underpin some form of interim governance. The key will be to build authority, restore order, encourage respect for due political process, and then hand over to the indigenous authority as soon as possible. The precise form and function of governance institutions and the extent of any military contribution will be determined at NATO's strategic level (the North Atlantic Council (NAC)). In a comprehensive approach, SACEUR (as the military-strategic commander) will provide his operational level commander with direction on interim governance (including relevant objectives and the military contribution to them), agreed by the NAC, and where necessary by other relevant international institutions (e.g. the UN).
- d. **Restoration of essential services.** In the immediate aftermath of a conflict, catastrophic incident or natural disaster when appropriate civil agencies may be unable to act quickly or operate with sufficient safety, the reconstitution of critical infrastructure and the restoration of essential services may fall to the military within the means available. The aim is likely to be two-fold: to provide support to those in need, and to cement the support of the civil population. Services deemed essential will depend on the situation and the needs of the people. They may include the protection and/or restoration of medical care, the re-establishment of transportation systems, and the provision of potable water, electrical power and other utilities. As the security situation becomes more benign, non-military organisations (including indigenous ones) should (re-)assume responsibility for reconstruction, drawing upon international funding where appropriate.

- e. **Military outreach (MO).** Interaction with other international actors will provide NATO the opportunity to shape and influence ideas and values. MO builds trust, host nation strategic options and understanding and can prevent or support failing states. It can be delivered rapidly through contact and exercises with partners of choice.

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## CHAPTER 2 – CIMIC IN THEATRES AND OPERATIONS

### 0201. Definition and application of CIMIC

#### a. Definition

'The coordination and cooperation, in support of the mission, between the NATO Commander and civil actors, including national population and local authorities, as well as international, national and non-governmental organizations and agencies.'

#### b. Application. Four further factors condition the application of CIMIC:

- (1) CIMIC staffs are fully integrated into the commander's headquarters (HQ), have full vision of and are authorised to coordinate CIMIC activities and projects in the joint operations area (JOA).
- (2) CIMIC activities form an integral part of the joint force commander's plan, contribute to his mission and are related to implementing the overall strategy and contribution to achieving a stable and sustainable end state.
- (3) NATO forces will seek to accommodate and support the activities of civil actors in achieving the agreed, shared end state.
- (4) CIMIC activities, as projects or other development activities are conducted with the purpose of transitioning responsibilities to the appropriate civil organizations or local authorities in a timely manner.

### 0202. The aim and purpose of CIMIC

The aim and purpose of CIMIC is the interaction between military and civil actors within a comprehensive environment to support the military commander's plan. Ideally all actors will work to a common goal, but where this is not possible this interaction will ensure that activities to support each plan are harmonized as far as possible. This will minimize interference or unintended conflict between all actors. This interaction might consist of, but is not limited to, coordination, cooperation, mutual support, coherent joint planning and information exchange, covering the political mandate. It includes NATO military forces, governance and civil actors.

- a. **Background.** CIMIC is applicable to all types of NATO operations. In all conceivable scenarios commanders are increasingly required to take into account political, social, economic, cultural, religious, environmental and humanitarian factors when planning and conducting their operations. Furthermore, commanders recognise that operational areas contain the

presence of a large number of civil actors with their own mandate, aims, methods, principles, structure, role and perspectives, that might have implications for operations and vice versa. The context and profile of CIMIC will alter according to the nature of the crisis or operation.

Three essential aspects of a comprehensive approach, therefore also part of CIMIC, are identified:

- (1) Improving the application of the Alliance's own crisis management instruments.
- (2) Improving the Alliance's practical cooperation at all levels with partners, the UN and other relevant international organizations, NGOs and local actors in the planning and conduct of operations.
- (3) Enhancing NATO's ability to bring military support to stabilisation activities and reconstruction efforts in all phases of a conflict.

Operations governed by the use of mainly combat to achieve operational objectives might contain a different quantum of CIMIC interaction compared to stabilisation operations or disaster relief operations. The nature and the core functions of CIMIC remain the same. A broader spectrum of CIMIC might be found in stabilisation operations.

- b. **Relationships with civil actors.** Joint forces will usually seek to conduct operations in conjunction with civil actors, where the level of interaction will range from non-cooperation to coexistence to full cooperation. The North Atlantic Council (NAC) will lay down the parameters for the involvement of military forces deployed on operations. Some of the conditions for military success can be achieved by harmonising the military commander's aims and methods with those of the civil actors. In a complex operation, involving major civilian elements and a civilian political head of mission, the military campaign plan or operation plan (OPLAN) will be one of several functional plans. This involvement also includes concerted and integrated planning mechanisms at the strategic level. CIMIC is one of the commander's tools for establishing, maintaining and expanding these relationships. Challenges will be enhanced by the presence of the media and the expectations of both the international and local communities, especially, but not limited to a hostile environment or a high intensity of the military mission. In these situations, CIMIC will mitigate against undesired outcomes.

**0203. Detailed tasks of CIMIC**

- a. CIMIC is to interact with the appropriate civil actors on behalf of the NATO commander to accomplish the mission.
- b. The long-term result of CIMIC is to create and sustain conditions that will contribute to the achievement of objectives within the overall mission, and to the implementation of a successful end state. The mid-term purpose is to link the short term and the long term purposes in a friction free way.

In accomplishing those tasks CIMIC staff will:

- (1) Establish and maintain liaison with civil actors at the appropriate levels, facilitating cooperation, harmonisation, information sharing, integrated planning and conduct of operations.
- (2) Identify and explain military goals, objectives, and concepts of operation (within appropriate operations security (OPSEC) and classified material release guidance) with civil actors.
- (3) Facilitate concurrent, parallel, and where possible integrated planning between the joint force and friendly civil actors. When and where possible participate in civilian planning and assessment groups, teams, or cells.
- (4) Integrate with other staff branches on all aspects of operations.
- (5) Continuously evaluate the operational environment, including local needs and capability gaps to resolve issues.
- (6) Work towards a timely and smooth transition of responsibilities to the proper civil authorities.
- (7) Advise the commander on all of the above.
- (8) Share information with all staff branches.

**0204. The core functions of CIMIC****a. Civil-military liaison**

Establish and maintain liaison with civil actors at appropriate levels, facilitating cooperation, harmonisation, information sharing, concerted or integrated planning and conduct of operations. This includes:

- (1) Timely identification of relevant actors.

- (2) Development of a liaison structure (formatted and frequently updated<sup>2</sup>).
- (3) Organization of CIMIC information.

**b. Support to the force**

Commanders, depend on the circumstances, will require significant support from within their JOA as well as coordination of effort to minimise disruption to military operation. For that reason CIMIC plays a proactive role by contributing to operations planning and participating in operations. This includes, in cooperation with other military functions:

- (1) Provision<sup>3</sup> of information on the civil situation.
- (2) Provide assessed civil situation picture.
- (3) Evaluate civil situation, identify civil key indicators and sensitive factors having a critical impact on the conduct of operations as well as the impact of the military situation influencing the civil environment.
- (4) Recommend military activities to mitigate the critical impact.
- (5) Conduct CIMIC activities including CIMIC projects. CIMIC projects are part of CIMIC activities. The conduct of projects by military forces, whether of a quick impact or a long term impact nature, should be considered whenever the civil partners are unable to comply to needs of the civil environment.
- (6) Promote force acceptance.
- (7) Contribute to influencing the civil society in the mission area.
- (8) Facilitate access to civilian resources, when needed.

**c. Support to civil actors and their environment**

Within a comprehensive approach, military support to civil actors and their environment will generally only be conducted, if it is required to create conditions supportive for the accomplishment of the military mission within the context of the mandate. They may include a wide spectrum of resources such as information, personnel, materiel, equipment, communications

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<sup>2</sup> Format of the enhanced liaison matrix developed by joint commands

<sup>3</sup> Provision consists of the gathering, assessing and displaying of information regarding the civil environment.



facilities, specialist expertise or training. Enabling this is a role of CIMIC and it may be executed by all elements of the military. A staggered approach in support should follow:

- (1) Enabling support by means of capacity building.
- (2) Support by means of capacity sharing.
- (3) Support by military means only (as a last resort).

#### 0205. The components of CIMIC

- a. **General.** In order to achieve all of the above, NATO needs a dedicated CIMIC capability. This capability exists when the following four components are in place:
  - (1) Policy, doctrine and concepts.
  - (2) The understanding, will and capacity to utilise doctrine and concepts.
  - (3) CIMIC assets in the form of selected, trained and competent personnel and Joint elements (land, maritime and air) are present in the theatre of operations.
  - (4) Appropriate logistic support of infrastructures to ensure operability.
- b. **The conceptual.** The conceptual aspect of CIMIC encompasses policy, doctrine, planning and procedures throughout NATO commands and includes the supervision and coordination of CIMIC during training and operations.
- c. **Training, education, exercises, experimentation, conduct and general awareness.** The training aspects of the CIMIC capability covers, but is not limited to, courses, presentations, conferences and seminars as well as the lessons learned process. Most important is the full integration of CIMIC in NATO exercises and experiments, therefore rooting it into operational conduct.
- d. **Physical resources.** The physical aspect of CIMIC capability comprises the resources the commander allocates to the conduct of CIMIC, and its related activities in a given situation. Because situations differ, the composition of CIMIC assets cannot be prescriptive. However CIMIC staff must populate all HQ levels. Their role is to advise the commander, participate in joint planning to prepare and develop the CIMIC assessment and the CIMIC lines of activity

in support of the commander's plan, while also conducting liaison. As a result, military forces may be tasked to assist and contribute to CIMIC projects. There may also be a requirement to deploy additional CIMIC assets into theatre. These will fall into three categories:

- (1) **CIMIC groups, CIMIC units and CIMIC elements.** CIMIC groups, CIMIC units and elements are bespoke to the mission and provide a structured organization, appropriately resourced and equipped, to conduct CIMIC activities in support of the mission. Their size and deployment duration will be determined by both the task and by how quickly the appropriate civil actors and structures can be established.
- (2) **Functional specialists (FS).** FS 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.
- (3) **Fiscal planning.** The execution of CIMIC projects and other CIMIC activities in need of a budget require a detailed fiscal planning prior to the conduct. It is clearly into national authority to adhere to planning modules of the donating entities<sup>4</sup>. However this does not imply that any such action does not have to be concerted, harmonised and fitting into the overall mission.

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<sup>4</sup> Donors as well as civil entities might have different rules for financial action than the Alliance or its member nations.

## CHAPTER 3 – THE PRINCIPLES OF CIMIC

### 0301. General

CIMIC principles will help governing the military direction of CIMIC as well as the civil-military relationship. The principles will guide the internally military process and underpin the effective civil-military relationships. Applying CIMIC principles will contribute to a comprehensive approach.

### 0302. Principles of CIMIC

#### a. Understand the context and environmental awareness

- (1) **Cultural context.** Military operations now take place within a wider political and civil context than before, and commanders are increasingly required to take account of social, political, cultural, religious, economic, environmental and humanitarian factors when planning and conducting these operations. The scale and nature of the risks and challenges within this multinational, multi-agency environment requires greater understanding of and emphasis on CIMIC at all levels of operation.

The present operational environment is likely to be complex, unstable and unpredictable. Military success alone will achieve little beyond containment of a situation unless the conditions for the pursuit of civil objectives by civil actors are created. In the majority of operations, intolerance to collateral damage (both in terms of casualties and materiel), damage to the environment and legal issues will all be constraining factors in the conduct of operations.

Short-term success may undermine the mid and long term by thoughtless violation of traditional cultural practices, which could lead to the loss of legitimacy of the military forces. CIMIC plays a vital role as one of the major advisors to the commander and in ensuring mission relevant cultural competence of the forces through education and training. A prerequisite is to be settled firmly into one's own cultural identity, by knowing its principles and having understood its mechanisms. Without that knowledge the identification of differences will be impossible.

- (2) **Assess the different actors involved.** The civil actors addressing the conditions and circumstances of any given conflict or crisis situation

will have varying mandates, competencies and capacities. The complex dynamics and inter-relationships of these actors will blur boundaries. All actors, both military and civil, involved in an area of operations will have an influence on those operations and so will create an effect, both on the operational environment and on the activities of the other involved actors.

b. **Understand the aims and objectives of the military and civil actors**

- (1) **Unity of effort.** Civil-Military Liaison is the key aspect of CIMIC in providing the necessary interaction to facilitate and support the planning and conduct of coherent, and, where necessary, integrated activity. Such liaison early in the planning process and throughout the conduct of an operation provides the basis for a greater unity of effort and coherence to achieve the North Atlantic Council (NAC) approved objectives and end state<sup>5</sup>. Whilst liaison is a two-way process, military forces invariably have greater capacity for liaison than civil actors and as such are normally able to take the initiative in establishing liaison mechanisms which help to establish an effective overall unity of effort. In the case of the humanitarian sector, consideration may need to be given to conducting this liaison away from formal military establishments in order to preserve the 'humanitarian space' of non-military actors.
- (2) **Synchronize effects.** The synchronization of military and civilian resources has the potential to open up communities which have formerly been isolated or dominated and effects of civil-military coordination will allow to synchronized security, governance and development approaches, creating a potential positive domino effect.
- (3) **Pursue common goals.** Establishing, maintaining and strengthening civil-military relationships are critical to success in an operational environment. Although the various entities operating within a JOA may have different missions, NATO forces and civil actors should identify common goals wherever possible and work towards them. Depending on the amount of common goals, areas of common interest will vary from only minor common goals to complete unity of effort. Each participating organization shall understand the political and resource commitments required. This understanding forms the basis of civil-military relationship in a common effort to reach the desired end state.

c. **Operate within the law**

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<sup>5</sup> The defined end state of the Alliance might vary from those of civil actors.

- (1) **Fulfil legal obligations.** Commanders have a legal responsibility to comply with obligations under international law. While fulfilling these legal requirements, commanders should always seek, within the constraints of the mission, to reduce the effect of military operations on and where possible facilitate maximum support for the civil population. Detailed advice on such obligations can be sought from the legal advisor (LEGAD). CIMIC significantly contributes to the joint commander's "fulfilment of legal obligations."
- (2) **Be humanitarian aware.** Regardless of the type of operation, a complex civil sector will be part of the problem and equally, part of the solution. The military commander will require a clear picture of the civil administration (whether this be sovereign or failed) including such aspects as police, local government, emergency services, utilities etc. The population within an operational environment will have its ethnic and religious groupings, cultural differences and allegiances. The type and degree of co-operation and coordination between the military and various civilian organisations will vary depending on the type of civil organisation (and in some cases the particular organisation).

d. **Gain respect and trust**

- (1) **Interaction.** The ethos, structure and working practices of the civil actors with whom the joint force must interact are extremely diverse. As in a multi-national environment, developing respect and trust will take time and effort, requiring a broad, coherent and consistent approach. The most effective way for military forces to understand the skills, knowledge and capabilities of IOs and NGO<sup>6</sup>s is to establish and maintain relationships before entering an area of operations. This requires joint multi-agency activity within the training regime. Civil agencies can also use such relationships to develop an understanding of how effective liaison with the military can benefit civil goals.
- (2) **Transparency.** Tension between political, military, humanitarian and other components of a civil-military relationship will inevitably lead to confusion and misunderstanding at times and may be aggravated by political bias, media inaccuracy or distortion, and poor communications. At the civil-military interface, there is a need to demonstrate openness, competence, capability and resolve in order to win the respect, trust and confidence of all elements of the civil environment and so engender successful civil-military relationships.

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<sup>6</sup> The list of civil entities is not complete and consists of many more actors. Please do refer to chapter 6 for further information.

- (3) **Legality.** It has to be absolutely unambiguous, communicated and understood that Alliances' forces will remain within the framework of their mandate and their rights and obligations, agreed by the mandating authority, at all times. This framework might need explanations to non-NATO-actors in the area.

e. **Civilian primacy and ownership**

- (1) **Reduce dependency.** The undertaking of tasks and activities in the civil environment merely to employ spare capacity or generate a 'feel good' factor can create unbalanced perceptions, both local and international, of the military mission. It may also lead to long-term dependency on military resources, rendering both military disengagement and follow on civilian activity more difficult. It is important to develop a culture of ownership and 'self help' within the local population. Any military activity carried out in the civil environment should use the minimum resources necessary to achieve the task. This approach will assist the joint commander in guarding against the inadvertent creation of long-term dependency.
- (2) **Plan for transition to civilian ownership.** The military commander should do everything in his power to encourage the promotion of co-operation to achieve economy and unity of effort. This includes transition planning within the overall operational-level planning process (OLPP) for handover of responsibilities to civilian entities. When the military is directed to perform in place of civil actors, it is important to pre-plan the transition to civil ownership as early as possible. Examples include, but are not limited to, ensuring the rule of law, conducting good governance, fulfilling vital roles of the civil administration, public health, and infrastructure.
- (3) **Plan for exit strategy.** This includes the consideration of the long-term effects of military activities and advising commanders and staffs of the consequences. This becomes most important considering a transition and exit strategy within the OLPP. Each single action of the military as well as most of the civil actors should be focused on leaving the area as soon as possible while ensuring a maximum positive impact on the situation that led to the deployment of forces and the commitment of civil actors. This demands a close connection and harmonization of all action with a development strategy for the area and a detailed plan on when to exit the area.

f. **Integrated planning**

- (1) **Prioritisation.** Following a commonly agreed development strategy, or help-agenda, based on agreed strategy, consequently leads to a prioritization of actions to be conducted. This prioritization needs to be harmonized and de-conflicted throughout the commitment of Alliances forces to generate optimized effects.
- (2) **Synchronization.** To optimize the desired objectives each action of the military and the civil actors should be synchronized as much as possible to multiply the positive impact. The focus of the Alliances forces will, by the use of the operations planning process (OPP)<sup>7</sup>, remain to achieve the NAC approved objectives. IOs and NGOs may have a different agenda than NATO, but everyone should work together to achieve common objectives.
- (3) **Resource management.** The military may undertake civil-military tasks and activities in the Campaign Plan, under the commander's direction and using joint force resources and/or local resources facilitated by the joint force. A wide range of joint forces can be involved in information, personnel, materiel, equipment, communications facilities, specialist expertise or training. This activity will clearly have an effect on the civil environment, and will benefit from specialist advice, co-ordination, and professional resource management. CIMIC facilitates this advice and co-ordination.

g. **Effective communication**

Communication between military and civilian personnel requires to a high extent the relay of information in both directions. This may be facilitated by technical means but will happen generally in face-to-face meetings. Further to that, electronic ways of working will not make personal networks obsolete. To achieve interoperability amongst military and civilian participants in a mission seems to be even a challenge within member nations of NATO or EU. As required for operational security reasons, the classified information exchange with civilians via civilian/ military communication systems is even more problematic. This is not favourable to a civilian mission where impartiality remains a major concern. Military communication should therefore provide an interface (i.e. information exchange cell) to transfer information from the military to the civilian network and vice versa.

- (1) **Strategic communications (StratCom).** This is the effective communication between military commanders and their national and international political and policy decision making bodies. It includes

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<sup>7</sup> Not limited to the OLPP in particular

maintaining the operational civil-military interface relationship between military commanders and national, governmental authorities and active IOs and NGOs on one side and the civilian population of countries within the joint operations area (JOA), including the tactical level, at which interaction between the military and civilian sectors takes place on the ground. It will be vital in applying the foregoing principles: maintaining consent, generating the necessary level of understanding and co-operation. Civil actors with whom the joint force will deal are likely to pursue their own priorities. Indeed, some may take the view that co-operation with the joint force and their own independence are mutually exclusive. The key to minimising these difficulties is to maintain open and constant communication. The positioning of facilities to establish and maintain this requirement needs to be carefully considered. There is a balance to be struck between accessibility for civil actors, force protection and OPSEC. If placed 'inside the wire' the effectiveness of communication measures may be compromised by the perceptions of civil actors and their need to be, and seen to be, independent, impartial and neutral. Comprehensiveness is only achievable if all levels of responsibility are communicating. The generated effects of this horizontal and vertical communication will facilitate the most friction-free cooperation in the mission area. CIMIC staff will participate in Information Operations Coordination Board (IOCB), public affairs (PA) and StratCom coordination meetings to ensure effective horizontal and vertical synchronization of messaging.

- (2) **Resources, facilities and interoperability.** All communication and information systems should be on the highest achievable interoperability level, not only within the Alliances Forces but also wherever possible with all civil actors cooperating with the Alliance. This is a basic, and vital, precondition for a comprehensive approach to achieve any mission success. The positioning of facilities to establish and maintain this requirement needs to be carefully considered. There is a balance to be struck between accessibility for civil actors, force protection and OPSEC.
- (3) **Infrastructure.** A key part of the military mission is also in restoring communication to civilian first responders across the area of operations, and eventually to restore the original communications system to the civilian population. Communicational capabilities are not limited to devices, but have to be seen as the cross-entity capability to successfully exchange data anytime, anyway and anywhere. Data exchange systems, mainly consisting of information systems, but not



limited to them, may not be compatible, however, liaison is another way to achieve the communication capability.

- (4) **Network.** Effective civil-military communication needs an enlarged network to facilitate communication in an omnidirectional way. This is the general guidance for developing a network plan, based on the enhanced liaison matrix<sup>8</sup>.

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<sup>8</sup> The enhanced liaison matrix is a product of the OLPP, detailing who is meant to liaise with whom at what level.

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## CHAPTER 4 – CIMIC PLANNING AND EXECUTION

### 0401. General

- a. **Relationships between NATO and civil actors.** In order to harmonise the contribution of the NATO forces and civil actors working in theatre, it is necessary to develop an effective relationship between them, thus contributing to a comprehensive approach. CIMIC is the commander's tool for building these relationships within his/her JOA. These relationships will be supported by those established between NATO and respective civil actors at strategic command level and higher. Although institutional relationships between NATO HQs and certain civil actors will exist, there may also be less formal relations, based upon working knowledge of respective planning mechanisms and joint training activities. In pursuit of a comprehensive approach these relations will assist adequate integrated planning at the strategic level prior to and during an operation, therefore reducing the challenges of independent and unlinked military planning.
- b. **CIMIC and the civilian factors of an operational environment.** CIMIC plays an important role across the spectrum of NATO operations. It contributes towards the establishment of a stable environment within which the mission may be completed more easily. Indeed, a force may be at least partially dependent on civil actors for resources and information, and might rely on civil authorities to provide security in certain areas. It may be impossible to gain full freedom of action and movement without the cooperation of these civil actors. CIMIC personnel play a central role in the assessment of the immediate as well as long term needs of the local population and the capabilities of both the local government and civilian organizations. Assessments will be key to operations planning, meeting immediate local needs, and achieving stabilisation and for transition to full civilian authority. Military actions on the civil environment should be considered at all stages of an operation. CIMIC personnel will identify actions to maintain civil support. Civil and military planning efforts should be coherent, de-conflicted and transparent at all stages.

0402. **CIMIC as a joint function.** CIMIC is an integral part of missions, spanning from humanitarian emergency to armed conflict. Through CIMIC the commander will rely on links with the civil actors. The force is unlikely to gain full freedom of action and movement without interaction but establishing good relations might also deny the same advantages to hostile or potentially hostile forces. CIMIC's contribution to

other functions<sup>9</sup> and disciplines is crucial, as it maximizes any military operations impact. Examples include but are not limited to:

- a. Joint targeting as CIMIC helps identifying critical infrastructure
- b. Joint planning as CIMIC helps identifying most beneficial actions
- c. Information Operations (Info Ops) as CIMIC helps focus on the right target audience
- d. Joint Assessment as CIMIC helps including the opinion of civil partners
- e. Continuous information – and knowledge acquisition by liaison with others
- f. Public Affairs supported by CIMIC contacts

0403. **CIMIC assessments.** Situational competence<sup>10</sup> is a vital element for mission success. It may heavily rely on CIMIC contribution in the form of frequent, detailed and accurate assessments of the civil environment in the area. These assessments will provide a picture of the civil situation to enable all command levels in NATO to understand the situation and better inform future decisions and coherent planning. Monitoring progress is aided through the adoption of commonly understood procedures and techniques. Therefore, organization and planning for, as well as the conduct of CIMIC assessments will be performed as part of the overall assessment process. To shape and execute this process CIMIC and other experts from all required staff functions cooperate under the lead of the HQ's assessment element to provide an integrated assessment function.<sup>11</sup>

#### 0404. **CIMIC in planning**

- a. At the operational level, joint campaign planning follows a specific operational-level planning process (OLPP). It is essential that CIMIC representatives are an integral part of the OLPP and members of the joint operations planning capacity or equivalent.
  - (1) Furthermore, other members of the operational level CIMIC staff not only support its representatives in the joint operations planning group but also perform non-planning related CIMIC activities that include

<sup>9</sup> For further details refer to AJP-01(D) and AJP-3(B).

<sup>10</sup> Awareness implies knowledge gained through one's own perception or by means of information. Competence implies the state or quality of being adequately or well qualified to act or react in specific situations. (Source: The American heritage dictionary of the English language)

<sup>11</sup> For further details refer to AJP-5.

establishing a network outside the JOA that can provide expertise thus supporting the operation from outside the JOA.

- (2) CIMIC staff also needs to be included in theatre reconnaissance from the start to ensure the availability of an up-to-date assessment of the civil situation.
- b. CIMIC staff activities and contribution to an OLPP include:
- (1) In an operational appreciation and assessment process the broad direction of the CIMIC focus is to be determined as well as critical issues are to be identified. Those results that are of interest to all the participants in the joint operations planning group will be documented in a CIMIC initial estimate.
  - (2) During the OLPP problem and mission analysis step the aim is to ensure that all influencing civil factors that have military implications are included in an overall comprehensive plan.<sup>12</sup> In this way CIMIC contributes to a mission analysis (the 'desired end state', 'commander's planning guidance', operational planning directive' etc). As information is made available the CIMIC initial estimate is updated and improved versions will be produced, resulting in a comprehensive CIMIC estimate.
  - (3) During operational concept development, CIMIC contributes to operational design and the description of operational objectives. CIMIC evaluates the potentially critical impact on the conduct of planned operations to recommend activities to mitigate that impact and vice versa<sup>13</sup>. CIMIC contributions to each course of action (COA) will be developed and specific concerns will be shared with the joint operations planning group and the commander. The risk management in regard to CIMIC objectives, effects and tasks will be incorporated into the planning synchronisation matrix to be linked up with the lines of operation designed during concept development. This process identifies likely civil-related objectives, and the requirement for both direct support military CIMIC forces and dedicated CIMIC forces. The requirement for forces is captured in the combined joint statement of requirement (CJSOR).

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<sup>12</sup> This overall plan consists, under the best of all circumstances, of a military part including the civil implications and a civil plan including the military implications.

<sup>13</sup> See paragraph 0402 for examples.

- (4) In operational plan development all civil-related issues and tasks will be included in the operation plan (OPLAN). Also the tasks for CIMIC assets will be listed in the OPLAN, covering the three core functions of CIMIC; CIMIC personnel will prepare the CIMIC input to the OPLAN. They will ensure that factors relating to the civil dimension are incorporated into all aspects of planning. Inputs will be based, where possible on reconnaissance, detailed assessments and input from country/area studies and open source information. These inputs will include:
- (a) Political and cultural history, including tribal matters;
  - (b) The state of national and local government;
  - (c) Civil administration and services;
  - (d) The needs of the population;
  - (e) Population movement (internally displaced person [IDP] and refugees, situation);
  - (f) The presence, mandates, capabilities and intentions of applicable civil actors;
  - (g) Infrastructure<sup>14</sup>;
  - (h) Economy and commerce;
  - (i) The mind set and perceptions of the civil population.
- (5) During campaign execution, assessment and plan review, as well as the transition phase, CIMIC will deliver branch-plans and sequels to reflect operational changes (contribution to contingency planning). Next to this CIMIC personnel will feed in all information from the civil environment (documented as assessments or as an update of a comprehensive CIMIC estimate) that influences the OPLAN to identify and address necessary changes.
- (6) CIMIC capabilities make significant contributions to information operations and must always be coordinated and synchronized.

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<sup>14</sup> Infrastructure in this sense is covering critical civil infrastructure which supports the population as well as civil infrastructure critical to the military mission.

The implementation of a StratCom and an Info Ops process is critical to CIMIC success. CIMIC activities are an important tool in the hand of a JFC in order to shape the perception of his campaign. Therefore these activities have to meet the identified desires and needs of the population and relevant civil actors. The overall success of CIMIC activities lies within the perception in the targeted audience itself. The Info Ops function integrates and coordinates the CIMIC activities with other staff functions and capabilities in order to meet the defined information objectives within the overall JFC campaign plan through the StratCom process.

Commanders on all levels ensure that the given information strategy is implemented within their own planning process. The Info Ops staff on all levels will coordinate in an early and continuous manner all activities within the information environment so that their messages are not contradictory and damaging to the credibility of the joint force.

#### 0405. **CIMIC in execution**<sup>15</sup>

**General.** CIMIC in execution must meet the mission end state and objectives. Therefore CIMIC field work must contribute to create, influence and/or sustain to ensure obtaining operational objectives with the use of CIMIC principles. CIMIC remains valid across all operations, principles remain the same but the focus of effort may change.

a. Specific issues in CIMIC execution:

- (1) **Projects**<sup>16</sup>. CIMIC projects consist of project-supported stabilisation and reconstruction efforts. At certain stages of a mission, when a lack of security and safety prevents civil actors from operating or there are shortfalls in civil actor capacity, the military component may be requested to contribute to reconstruction and development efforts. The planning as well as the conduct has to be executed following broad guidance issued by the strategic level, and operationalized at the operational level.
- (2) **CIMIC and intelligence.** The work of CIMIC personnel at the tactical level generates large amounts of information that when processed with

<sup>15</sup> For further detail regarding integration of CIMIC into the operational conduct process-wise refer to AJP-3.

<sup>16</sup> The term “CIMIC fieldwork” is also commonly used for projects in this context, carried out with guidance from CIMIC experts.

other related information may result in intelligence. CIMIC personnel has to be capable of assessing which information has to be collected and distributed in the framework of the intelligence collection plan (ICP) of the higher echelon.

- (a) Civil actors are opposed to contributing to military intelligence gathering; any attempt to use civil actors for this purpose will result in lasting discord and tension thereby reducing cooperation and movement towards the desired end state. It also prevents effective CIMIC contribution to the overall mission. The need to share information with civil actors is by far more beneficial for a comprehensive approach than the former 'need to know' policy.
  - (b) The military should refrain from over classifying information, attempting to de-classify as much information as possible, thus assisting civil actors in performing their activities. For this purpose the procedures to follow have to be in accordance with the NATO security policy as described in the supporting document on information and intelligence sharing with non-NATO entities'<sup>17</sup>. This also enhances the overall information sharing process that will allow more information to be provided to civil actors.
- (3) **CIMIC contribution to the full range of operations.** CIMIC remains valid across all operations, principles remain the same but the focus of effort may change.
  - (4) **Civil emergency planning (CEP).** CEP in NATO refers to the development of collective plans for the systematic and effective use of Alliance civil resources at national and NATO levels in support of Alliance strategy. The focus of CEP is the protection of vulnerable societies against the effects of emergency situations (crisis, war or peacetime emergencies such as disasters).

The NATO CEP organization consists of four basic elements: The Civil Emergency Planning Committee (CEPC), which reports directly to the NAC; eight technical planning boards & committees (PB&C); the CEP staff supporting the CEPC and the PB&Cs; and the Euro Atlantic Disaster Response Coordination Centre (EADRCC).

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<sup>17</sup> See reference publications.



The Assistant Secretary General responsible for the Operations Division is also the Chairman of the Civil Emergency Planning Committee in Plenary Session.

The Civil Emergency Planning section, under the direction of the Deputy Assistant Secretary General for Civil Emergency Planning and Exercises who is the Chairman of the Civil Emergency Planning Committee in Permanent Session, is responsible for:

- (a) The coordination and guidance of planning aimed at the rapid transition of peacetime economies of the nations of the Alliance to an emergency footing.
- (b) Development of the arrangements for the use of civil resources in support of Alliance defence and for the protection of civil populations.
- (c) Providing staff support to the Civil Emergency Planning Committee and the eight civil emergency planning boards and committees responsible for developing crisis management arrangements in the areas of civil sea, land and air transport; energy; industry; food and agriculture; civil communication; medical care and civil protection.
- (d) Policy for the EADRCC which coordinates international responses to requests for assistance from or, on behalf of, a nation stricken by disaster.

The Deputy Assistant Secretary General for Civil Emergency Planning and Exercises also oversees civil emergency planning activities undertaken in the context of the EAPC, Partnership for Peace, the NATO-Russia Permanent Joint Council, the NATO-Ukraine Commission, and the Mediterranean Cooperation Group.

- (5) **Host-nation support (HNS).** CIMIC contributes to HNS by assessing the implications of military involvement on the local economy and establishing interaction with civil actors in cases where de-confliction and harmonisation between military and civil needs is required. De-confliction activity will be conducted by the relevant personnel. For a detailed description of military relations in HNS refer to AJP-4 and AJP-4.5.
- (6) **Challenges of staff procedures resulting from civil military liaison.** CIMIC provides a conduit for information exchange between

civil and military actors. This generates specific challenges for the staff and requires well developed procedures to fulfil this function in a manner that is both effective and well understood. It also demands an understanding of the other processes in use by civil actors.

- (7) **Military-to-military interaction.** In case of non-Alliance forces operating in the same area it is advisable to de-conflict and harmonise CIMIC efforts between NATO and non-NATO forces. This is not a CIMIC task alone and must be coordinated by the JFC. Likewise CIMIC activities in the area should be coordinated at the tactical level to avoid duplication of effort or disruptive procedures.
- (8) **Civilian actors advisor (CIVAD).** Tailored to the mission, independent on the level of military activities being positioned at the strategic, operational or tactical level, civil expertise in direct support of the commanding officer will most probably be found. This is not limited to the cultural or political sector as many areas of the civil environment might be qualified as the key area of concern. Those experts need to be in closest connection with the CIMIC personnel at their level. It is responsibility of the head of CIMIC to coordinate all military efforts within the military going into the civil direction, avoiding thereby mutual interference. Resulting from the contribution of the civil advisory personnel to CIMIC needs to be harmonised.

- b. **CIMIC Tasks.** The following sections outline likely CIMIC tasks.

Although CIMIC requires very special skills to contribute to the commander's mission, the basic military skills of each soldier remain of the utmost importance in the conduct of CIMIC. Constant vigilance and self protection skills are the key for survivability in any mission area. The unique nature of each operation will require commanders to create specific solutions to let CIMIC promote the military contribution to a comprehensive approach.

- c. **Members of the Alliance and other troop contributors should:**

- (1) Consider CIMIC during the planning process and implement it into directives and planning documents.
- (2) Develop plans and programs in line with NATO CIMIC policy and doctrine.
- (3) Ensure, within their capabilities and overall priorities, that information, research and analysis are provided in support of NATO CIMIC.

- (4) Ensure interoperability is taken into consideration during development and procurement of CIMIC capabilities.
- (5) Include CIMIC in education, training and exercises.
- (6) Provide resources and trained personnel to support NATO CIMIC in operations and exercises.

**d. Strategic level tasks in support of operations should:**

- (1) Ensure CIMIC contribution to all stages of planning.
- (2) Advise the commander and staff on the civil situation in the theatre of operations and the implications of military operations on the civil environment and vice versa.
- (3) Issue direction and guidance to subordinate HQs on the conduct of pre-deployment CIMIC activities.
- (4) Ensure effective communication with civil actors:
  - (a) Dissemination of regular assessments and reports, the frequency of which will be determined by the commander.
  - (b) Collection, analysis and dissemination of civil actor reports and information.
  - (c) Attendance at key actors' meetings.
  - (d) Exchange of liaison personnel with key civil actors.<sup>18</sup>
  - (e) Enable information sharing with civil actors, focussed on partnership and common interests.
- (5) Provide expert advice when preparing agreements with civil actors.
- (6) Coordinate with the information operations staff to contribute to the development of an information operation plan designed to inform audiences about CIMIC objectives and activities and influence selected target audiences to support or refrain from interfering with military operations. Those could consist of, but are not limited to, the

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<sup>18</sup> e.g.: military liaison personnel permanently detached to civil actors and vice versa.

local population of the mission area for consent winning activities (e.g. “winning hearts and minds”).

(7) Plan and prepare for transition.

e. **Joint command level and subordinate echelons**

(1) **Joint force commanders and their eventual substructure should:**

- (a) Provide competent CIMIC staff personnel to assist in training, education and exercises.
- (b) Should play a proactive role in standardising CIMIC skills within their areas.
- (c) Promulgate appropriate directives and guidance, including operational planning directive and contribution to planning activity.
- (d) Conduct CIMIC assessments and use them in the operational planning.
- (e) Issue guidance on CIMIC training standards and input to exercises.
- (f) Ensure appropriate liaison with the HQ in the JOA.

(2) **Theatre commanders should:**

- (a) Ensure CIMIC staff is provided with commander’s direction and guidance, able to develop guidance for subordinate level.
- (b) Ensure the use of NATO CIMIC doctrine and develop theatre specific CIMIC procedures.
- (c) Ensure CIMIC input is included in planning.
- (d) Ensure CIMIC is conducted in support of the mission.
- (e) Ensure national or multinational CIMIC assets are integrated.
- (f) Ensure CIMIC content in pre-deployment exercises (e.g. familiarisation or mission rehearsal exercises).

- (g) Plan and prepare for transition.

f. **Tactical level**

(1) **General tasks**

- (a) Use of provided CIMIC assets.
- (b) Establishment of CIMIC facilities (if applicable).
- (c) Conduct CIMIC projects (see 0405 a (1)) and all other CIMIC activities laid out in the OPLAN.

(2) **Potential specific tasks**

(a) **Pre-operational stage**

- Assess the civil situation in the theatre of operations and contribute to the common operational picture.
- Assist in the assessment and planning of contingency planning and exercises. Work with all other staff branches to ensure that all civil related factors are incorporated into the planning process.
- Use existing relationships with civil actors to conduct integrated planning.
- Provide advice on the civil situation and the effect of military operations on the civilian population and organizations and vice versa.
- Prepare educational material for the force on likely civil conditions and brief staff re-enforcements.
- Train and educate CIMIC personnel and integrate CIMIC in pre-deployment training.
- Assist in the determination of commander's critical information requirements and promulgate to NATO commands and contributing nations with collection capabilities.

- Establish and maintain the exchange of information with civil actors. Civil sources will often provide information of operational relevance. Subject to security considerations, it is likely to be of mutual benefit to pass information in both directions. When the military will provide unclassified information, relevant security information must be declassified
- Plan and prepare for transition.

(b) **Operational stage**

- Continue those pre-operational tasks that are enduring.
- Conduct CIMIC activities and projects. CIMIC activities may need to fill any vacuum<sup>19</sup> or capability gaps not filled by civil actors. These activities may consist of services or facilities required to meet the immediate life sustaining needs of the local population and to ensure the long-term sustainability of the society within the JOA.
- Provide continuous assessments of the capabilities and tasks of civil organizations in the JOA along with assessments of the needs of the population and the progress of certain aspects of the mission. These assessments will include the dimension of any civil vacuum and the identification or adjustment of milestones concerning transition of civil responsibilities.
- Contribute to mission planning at all stages of the operational-level planning process.
- Conduct coherent planning with civil actors and ensure mutual information flow. This also includes contribution to CEP.
- Enable communications between logistics staff functions and potential contractors and partners in theatre (supportive contribution to HNS).

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<sup>19</sup> This vacuum or gaps will have arisen due to the mandated civil actor's or International Community's temporary inability to fulfil these needs. Any activities of this nature will be performed within limitations and capabilities and will be conducted within the context of a plan for transition of such responsibilities to the mandated authorities. Donors for some activities may have to be identified.

- Communicate with applicable civil actors. The commander will normally be in communication with local political, civic, and religious leaders and the heads of mandated civil actors.
  - Plan and prepare for transition.
- (c) **Transition stage.** The primary role of CIMIC in the transition stage is to assist civil authorities in operating without NATO forces in the JOA. This includes, but is not limited to:
- Finalize the operational stage tasks, cease performing any functions that are no longer necessary, fostered by improved stability in the area.
  - Execute plans for the transition of responsibilities and functions to civil actors.
  - As the military force reduces both in size and in the scope of its responsibilities, CIMIC will continue to assist the transfer of any civilian responsibilities that the force may have assumed.
  - Final hand-over of civil related functions and/or responsibilities to the proper mandated civil actors, in as smooth and seamless manner as possible.
- g. **CIMIC assets.** CIMIC personnel need to be present at each level of the NATO command and force structure. The primary role of CIMIC at these levels is to inform the commander on the impact of the civil environment on military operations and vice versa. The management task implied in that action defines the benefit CIMIC is able to generate for the complete mission.
- (1) **CIMIC staff personnel.** CIMIC staff personnel are trained in NATO staff procedures and NATO CIMIC at all command levels, either as a complete joint staff branch or integrated in other staff branches. At these levels CIMIC staff personnel may be part of a planning cell, an operations cell, a liaison cell, a head of department or be multiple advisors in direct support of the commander (e.g. cultural advisor, civilian actors advisor). The staff is mission tailored, with particular focus on the transitional phase.

- (2) **CIMIC personnel at the tactical level.** The organizational structure, from brigade level HQ<sup>20</sup> down, needs to be mission tailored. Generally there is a CIMIC unit (CU) at component command (CC) level and an appropriate number of CIMIC elements in the field.<sup>21</sup> It is of utmost importance that those mostly national CIMIC elements perform their task according to NATO procedures. Command relationship of the CU must ensure national caveats but attach NATO operational command (OPCOM) or NATO tactical control (TACON) authorities for the supported commander to address the dynamic civil environment.
- (a) **CIMIC units.** The CIMIC unit is organised to provide staff augmentation with planning, operations, liaison, and analysis capability as part of its headquarters element. It also may include CIMIC elements that are normally attached to the subordinate manoeuvre components of the supported headquarters.
- (b) **CIMIC elements.** The CIMIC element should be headed by an experienced leader, familiar with NATO procedures, who guides CIMIC team assessments, councils the liaison function and supervises reporting. The number of CIMIC teams in a CIMIC element is mission dependent.
- (c) **Other military actors in direct support of CIMIC.** In the absence of CIMIC assets or additionally, non-CIMIC military forces can be employed in direct support of CIMIC fieldwork<sup>22</sup> (e.g. engineers reconstructing infrastructure, medical support and capacity building). As the main focus of such troops is not support to CIMIC, their employment should be as limited as possible and their employment requires direction and guidance from CIMIC staff.
- (d) **Military Engineering support to CIMIC.** Military engineering (MILENG) is a multi-faceted force multiplier and an essential physical enabler throughout all stages of an operation. Particular areas of expertise in support to CIMIC are infrastructure development and environmental protection. The range of MILENG capabilities available within a theatre will depend on the mission type, operational environment, the

<sup>20</sup> This brigade level HQ, most probably a component command (CC), will most likely be supported by a CIMIC group, depending on the organisational structure of the CC's superior levels

<sup>21</sup> The CU can be the first multinational CIMIC asset. The CIMIC element is to be considered as national troop contribution of a non-multinational character.

<sup>22</sup> Also used is the expression CIMIC projects



campaign objectives and the allocated resources. Depending on the circumstances, they may be provided by the Host Nation authorities, by contractors or by other organizations. Key to the effective integration and synchronisation of capabilities, efforts and effects is the coordination between the senior joint engineer and CIMIC staffs.

- (3) **Functional specialists.** Functional specialists are employed to conduct specific tasks that have been identified by the assessment process. Their number and area of expertise will vary according to both need and availability. They should only be employed for the duration of the specified task. These specialists may be either military or civilian.

#### 0406. CIMIC related funding

- a. **General.** Effective allocation of finances is critical to the success of any campaign. Pending the nature and circumstances of the operation, a variety of funding mechanisms can support the mission. Typically, there could be a NATO common funded portion and nationally funded portion and some form of joint or multinational funding. It is important to ensure adequate fiscal planning before the mission is commenced. Budgets should be devised, credits granted and financial personnel should control this while also providing advice to the commander. In practice the financial dimensions of NATO operations normally develop as a series of options and respective funds. An inability to negotiate or influence these issues may seriously inhibit the commander and adversely impact the mission. Effective allocation of financial resources and staff to handle related issues will ensure effective support to the operation.
- b. **Funding and approval of CIMIC related fieldwork<sup>23</sup>.** There are two main types of funding for CIMIC fieldwork – national funding and grants to NATO operational level command entities. National level funding in theatre should be coordinated through the respective CIMIC staff to de-conflict and harmonise all projects efforts at the appropriate level. Management of the funds and contracting is normally retained with the comptroller. Approval levels for varying funding programmes may be retained by each national contributor and through the headquarters allocated programme. Each funding programme may also have varying approval levels whereby the commander must retain or delegate approval authority to his subordinate commanders. Interoperability between CIMIC staff, comptroller, and subordinate

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<sup>23</sup> Also known as projects

commanders and staffs is imperative for seamless integration of all available funding for CIMIC.

- (1) **National funding for CIMIC related fieldwork.** It is recognized that National funding has associated caveats that must be adhered to. Nothing in this document will supersede or override these caveats. However, national CIMIC assets utilizing national funding must coordinate their projects with the appropriate CIMIC staff branch at JOA HQ level in line with the commander's intent while also consulting with relevant civil actors and field commanders.
  - (2) **Funds for JOA HQ for CIMIC related fieldwork.** When funds are received from other parties (e.g. donors) they remain the responsibility of the commander. CIMIC assets are tasked to develop and plan CIMIC fieldwork activities following the commander's intent. Subsequent CIMIC echelons shall apply for funds on completion of the planning phase.
- c. **CIMIC projects activities during transition.** From the outset of delivering CIMIC fieldwork activities it is essential to plan for the transition of activities back to the appropriate civil actors. To prevent loss of focus, all stages of CIMIC projects should consider transition in their planning. However, CIMIC fieldwork actions have to fulfil the requirements below:
- (1) Consultation with civil actors, when appropriate, to validate the need assessment and establish requirements, followed by the development of a collaborative plan on how to deliver support.
  - (2) Sustainable after transition with no further support required from the military.
  - (3) Military funding should cease after transition.
  - (4) Fieldwork activity shall be closely controlled and monitored according to the plan, especially in relation to fiscal control, military resources involved and the timeframe.
  - (5) Documentation of fieldwork activity, including lessons learned. This documentation needs to imply the add-on value<sup>24</sup> created by the fieldwork, together with a concise description of resources used and best practice.

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<sup>24</sup> This add-on value is defined by the positive change created by the fieldwork activity.

#### 0407. **Lessons learned**

The implementation of Alliance strategy, the success of its missions and its transformation requires the continuous improvement of internal procedures, interoperability and military effectiveness. The lessons learned (LL) process is an important tool to assist commanders to achieve improvements, while recording and communicating best practice.

LL, including best practices, have to be captured and implemented to improve all CIMIC related issues including education, training, procedures (including tactics, techniques and procedures (TTPs)/standing operating procedures (SOPs)), and doctrine development. Therefore, the content of the LL process is to be shared with civil partners whenever cooperating with civil actors. Communication with all partners is the most important factor to create best practices from lessons learned on the military and the civil side. Results of this process have to be included in training, education, exercises and execution.

LL can improve organizational learning, as well on the military as the civil side. The learning process is a dynamic concept. It creates the mindset to appreciate change. This results in the implementation of more capable structures and processes in organizations. This is especially valid for CIMIC in transporting applicable civil procedures into the military. CIMIC personnel must be aware of the importance of LL to improve the system.

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## CHAPTER 5 – CIMIC TRAINING AND EDUCATION

### 0501. General

- a. A solid education & training (E&T) program is a prerequisite for effective and efficient conduct of CIMIC staff work and CIMIC activities including CIMIC projects. Basic E&T for all CIMIC personnel is essential in advance of all CIMIC activities in theatre, regardless of the type of mission. CIMIC E&T should be tailored to the personnel working level.
- b. A comprehensive approach demands the mutual understanding of all contributors. To create this, all contributors should seek to facilitate and conduct linked training and harmonised education at all stages of preparation and covering all levels. The result is the generation of a coherent approach to the development of CIMIC activities and capabilities.
- c. Further training for specific tasks that CIMIC personnel are expected to fulfil during a mission should then be conducted. It is recommended to integrate the more stand-alone-training and exercises of CIMIC personnel with the other military elements in the pre-operational phase to harmonise and synchronise their efforts. CIMIC should therefore be integrated at both staff and force level training and exercises.
- d. In addition to training dedicated CIMIC personnel, NATO commanders should include CIMIC training modules for other military force elements that may be employed in direct support of CIMIC activities.
- e. To achieve unity of effort, commanders have to support training with civil actors. This underlines the common purpose, develops better division of responsibilities and creates an understanding of respective capabilities and limitations. Without those having been identified upfront there is no shared basis for E&T. Wherever applicable military and civil actors should identify opportunities for collective training and exercises prior to deployment.

### 0502. CIMIC education and training for military.

- a. When the NAC<sup>25</sup> agrees on an operation, forces are made available by member countries through the force generation process. This may include non-NATO forces. All CIMIC personnel allocated by troop contributing nations should conform to NATO procedures and should follow the training

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<sup>25</sup> North Atlantic Council

guidance outlined in this chapter. The basis for interoperability is a common CIMIC doctrine and use of compatible hardware for comparable activities. Means of validation could consist of the participation in joint and multinational training and exercises. In addition to the early selection of CIMIC personnel, E&T is a precondition for the sound development of CIMIC expertise for CIMIC staff, activities and projects.

b. **Training of CIMIC personnel.**

- (1) **Basic E&T.** The personnel employed in CIMIC have a varied background of military expertise. Therefore basic E&T has to start at the lowest common level of all CIMIC personnel. For this type of training there are, for example, NATO accredited courses, in conjunction with specific training modules. Civil expertise should contribute wherever beneficial, either in the teaching process or as a source of information. Recommended qualifications and proficiencies for this training are:
- (a) Language skills: capable of communicating in English language (English SWRL [speaking/ writing/ reading/ listening] 3333) to attend meetings, give briefings and write reports.
  - (b) Negotiation skills and ability to prepare and conduct meetings.
  - (c) Qualified to work with interpreters.
  - (d) Information technology (IT) and radio communication skills.
  - (e) Displaying a diplomatic, transparent and open minded attitude.
  - (f) Proactive and be able to provide advice & support to all actors (civil and military).
  - (g) Cultural and gender competent.
  - (h) Media awareness (including additional media training).
  - (i) Show reliability and credibility.
  - (j) Show leadership qualities and effective in team-interaction.
  - (k) Display flexibility and logical thought under pressure.

- (l) Physically and mentally 'fit for action' (including basic military skills, if necessary refreshed prior to deployment).
  - (m) Work according to the 'military code of conduct'.
  - (n) Ability to operate in an austere environment.
- (2) **Staff level related E&T.** This training is necessary for CIMIC staff personnel who work at the different staff levels, alongside other joint functions. A prerequisite is a profound knowledge of the OLPP and its procedures, with special focus on CIMIC contribution to it. For this type of training there are, for example, the NATO accredited courses, in conjunction with specific training modules. Civil expertise should contribute to this process where beneficial. Recommended qualifications and proficiencies for this training are:
- (a) Language skills (English SWRL 3333).
  - (b) Knowledge of NATO staff procedures and structures.
  - (c) Capable of collecting, selecting and assessing information.
  - (d) Understanding political implications of military actions.
  - (e) Understanding the cross-cutting elements of CIMIC and civil-military interaction as well as its differences.

Without these qualifications any staff personnel in CIMIC will be likely to underperform on all CIMIC related tasks of staff work.

- (3) **CIMIC job specific training.** Specific posting requirements demand special E&T. Once the requirement has been identified, E&T has to be designed to the requirements and tailored to the function. It is probable that teaching expertise and knowledge will not exist solely within the military structure. Recommended qualifications and proficiencies for this type of training are:
- (a) Ability to make initial critical CIMIC assessments.
  - (b) CIMIC field expertise.
  - (c) Finance, budget, disbursement, and contracting skills.

- (4) **Mission specific E&T.** In order to address 21<sup>st</sup> Century threats and challenges, one of the key areas of consultation and cooperation for the Alliance's military forces is, among other things, training and exercises, interoperability and civil-military relations. It is linked with the stages in the planning process and the preparation for joint operations.

Prior to training of personnel for specific CIMIC jobs, there should be a selection based on age, military and related CIMIC experience, maturity and appropriate level of rank.

Mission specific training also includes integrated training with appropriate civil actors.

Recommended qualifications and proficiencies fitting in this type of training are:

- (a) Mission knowledge (mandate, commander's intent, plans, orders, tasks, etc.).
  - (b) Situational awareness.
  - (c) Have a working knowledge of the civil side (organizations, structures, policies, missions, aims, goals, constraints, restraints, 'code of conduct', capabilities, concerns, etc.).
- (5) **Functional specialist (FS) training.** FS should undertake the basic training syllabus as all qualifications regarding basic training and education are applicable to FS. Without adequate understanding of CIMIC, FS do not possess the applicable profile for CIMIC projects.
- (6) **Civil-military liaison training.** Civil military liaison demands a special set of skills (e.g. negotiation, mediation and interview techniques, communication theory and practice) that are always mission dependent and need to be addressed, trained and enhanced to enable future liaison personnel to successfully perform their tasks during CIMIC work.
- c. **Other military actors in direct support of CIMIC.** All military forces in a JOA must either have awareness or knowledge of NATO CIMIC. The type and depth of such training shall be tailored to the mission. Pre-deployment training and education of these units should include a CIMIC module and integrated training. This includes mission rehearsal exercises or mission rehearsal training.



## CHAPTER 6 – THE CIVIL ACTORS

### 0601. General

- a. This chapter offers NATO commanders an explanation of how different civil actors, consisting of national civil administration, host nation civil administration, various political bodies, international organizations (IO), governmental organizations (GO), nongovernmental organizations (NGO), global economic bodies and the population itself are influencing the conduct of military operations, as well as explaining their rudimentary fundamental principles and beliefs. This insight will improve awareness and understanding, thus promoting a comprehensive approach.
- b. Experience has shown that the context of missions can vary markedly. A common feature, however, is the complex assortment of actors engaged in the JOA and beyond. In addition to the indigenous population, and the parties to the conflict, multinational military forces have to operate in complete consideration of the presence of other actors in the area as media, diplomats, IOs, NGOs, and GOs. This complex list of actors must increasingly operate in a coordinated and complementary style, ideally harmonised by a Special Representative of the United Nations (UN) Secretary General (SRSG), a relevant regional organization (e.g. OSCE, European Union and African Union) or other multinational entities.
- c. The SRSG generally focuses on diplomatic, governance and security sector matters, while his/her Deputy (D/SRSG) generally focuses on development, civil-society and UN budget matters. In this way they are positioned to broadly coordinate all efforts of civil actors. Those entities organise themselves in a cluster approach (see paragraph 0608), appointing a cluster leader for the various working fields. The cluster leader transfers information from the SR to the members of its cluster and vice versa. Additionally this function embeds harmonisation and de-confliction of work within the cluster itself.
- d. Wherever a comprehensive approach demands the participation of military expertise in, or interaction of military forces with these clusters, CIMIC should contribute in its' civil military liaison function.
- e. Each civil actor will usually follow a set of principles, governing their work and conduct. Although they might not share their organizational design, they are all founded on an idea or theory (e.g. religious NGOs, humanitarian aid agencies) and an area of expertise, ranging from humanitarian aid to reconstruction and development, economic support, educational issues and

many other aspects. This variety of approaches results in different agendas, structures and procedures. Understanding the motivation of the civil actors enables military personnel to minimise friction when interacting with civil actors.

- f. The commitments that civil actors devote themselves to are not only found in the area of humanitarian assistance or disaster relief. It spreads over a vast spectrum from immediate assistance to save lives to long-term economical development projects, infrastructural stabilisation, educational aspects or society-developing issues in general. All those have an impact on the overall situation, therefore should be part of the militaries' plan of interaction.

## 0602. The humanitarian principles

- a. **Core principles.** UN General Assembly Resolution 46/182 provides guiding principles for UN humanitarian assistance (HA) operations: humanity, neutrality and impartiality. NATO forces operating under UN authority should apply them.
  - (1) **Humanity.** Human suffering must be addressed wherever it is found, with particular attention to the most vulnerable in the population, such as children, women and the elderly. The dignity and rights of all victims must be respected and protected.
  - (2) **Neutrality.** HA must be provided without engaging in hostilities or taking sides in controversies of a political, religious or ideological nature.
  - (3) **Impartiality.** HA must be provided without discriminating as to ethnic origin, gender, nationality, political opinions, race or religion. Relief of the suffering must be guided solely by needs and priority must be given to the most urgent cases of distress.
- b. **Guiding principles for humanitarian and development assistance.** In addition to the three core principles, civil actors also developed a catalogue of ten principles that will provide more detailed guidance to the planning and conduct of projects. They are:
  - (1) **Objective of humanitarian and development assistance.** Working together to contribute to improvements in the quality of life of the people. Assistance focuses on alleviating suffering, eradicating poverty, enabling communities to become self-sufficient and supporting an inclusive peaceful solution to the conflict.

- (2) **Non-discrimination.** Provide assistance solely based on identified needs, regardless of location, ethnicity, gender, social status or religion.
- (3) **Impartiality.** Will remain impartial and we do not accept our assistance, supplies, vehicles, facilities or equipment to be used for any military, political or sectarian purposes.
- (4) **Respect of human dignity.** Request the respect for human rights as depicted in customary international law. Work is in response to the expressed wishes of local communities, and respecting the dignity of people, their culture, religion and customs.
- (5) **Transparency and accountability.** Accountable to those whom we seek to assist. Ensure that assistance is transparent. Zero tolerance for any corruption, theft or misuse of development or humanitarian supplies or equipment.
- (6) **Sustainability and preparedness.** Activities are tailored to local circumstances and aim to enhance locally available resources. Local capacities are strengthened (civil society, business community, local authorities, etc) to address current needs and to prevent or prepare for future emergencies.
- (7) **Consultation and participation.** Seek to involve communities in the design, planning, management, implementation and evaluation of programmes implemented for their benefit.
- (8) **Coordination.** Coordinate activities with the government and all relevant stakeholders at every level.
- (9) **Access.** As a basic requirement, request unrestricted access to all people in need of assistance. Expect relevant authorities to expedite the accreditation of staff and the customs clearance of humanitarian goods and services.
- (10) **Security and safety.** Request all parties concerned protect and promote the safety, security and freedom of the agencies and their staff. Do not accept staff to be subjected to violence, abduction, harassment or intimidation. Vehicles should not be used to transport persons or goods that have no connections with work.

#### 0603. International organizations (IOs)

- a. An IO is an intergovernmental, regional or global organization governed by international law and established by a group of states, with international juridical personality given by international agreement, however characterized, creating enforceable rights and obligations for the purpose of fulfilling a given function and pursuing common aims. Notable examples include the United Nations (UN), Organization for Security and Cooperation in Europe (OSCE), Council of Europe (CoE), European Union (EU; which is a prime example of a supranational organization), and World Trade Organization (WTO).
- b. **Principles and values.** The disparate nature of IOs makes it difficult to generalise about their characteristics. Clearly, a security focussed body like NATO is fundamentally different to an IO that serves a humanitarian or diplomatic agenda. Security actors tend to have evolved characteristics that mirror military hierarchical structures, whilst the humanitarian sector reflects the decentralised and flattened approaches needed to derive maximum field based impact. The humanitarian bodies' decision-making, financing, and resourcing procedures are highly devolved with individuals operating with considerable autonomy in the JOA. Rather than being appointment based, 'authority' is derived from competence and egalitarian negotiations where the impact of personal dynamics can be very important. Internal management is achieved through policy statements that can be readily challenged.
- c. **Organization.** Coordination between humanitarian organizations is rarely 'ordered'. Instead, it tends to reflect a temporary accommodation born of pragmatism and necessity. However, as the sophistication of the solutions fielded by security and humanitarian actors has increased there is some convergence in the nature of those operating in the field. Both sectors value characteristics such as: loyalty, integrity, initiative, humanity, leadership, perseverance and intellect. Cross flow of personnel from the military into IOs has increased so that many major IO country teams now contain ex-military staff. Nevertheless, a distance between the military and IO actors remains. In many situations, it is this distance between military and civil actors that affords room for separation, therefore making those differences distinguishable, to achieve the high level aims of a comprehensive approach.
- d. **Decision making process and hierarchies.** IOs can suffer the same discontinuity in perspective between the field and headquarters as the military. This can become pronounced when communication becomes difficult, or the tempo of events exceeds the decision-making capacity of IOs.

#### 0604. The International Committee of the Red Cross (ICRC)

Separate mention should be made of the ICRC which, unlike those IOs mentioned above, was not established by intergovernmental agreement. The ICRC is an impartial, neutral and independent organization whose exclusively humanitarian mission is to protect the lives and dignity of victims of war and internal violence and to provide them with assistance. Its authority was formed through a permanent mandate founded in international law; a worldwide mission to help victims of conflicts. It directs and coordinates the international relief activities conducted by the International Red Cross and Red Crescent Movement in situations of conflict and their aftermath. The ICRC has a unique status as it fulfils a role conferred upon it by international treaties of the Geneva Conventions of 1949, to which virtually all countries in the world are party (and their Additional Protocols of 1977) and the Statutes of the International Red Cross and Red Crescent Movement adopted by the states parties to the Geneva Conventions in 1986.

#### 0605. **Non-governmental organizations (NGOs)**

A NGO is a private, non-profit voluntary organization with no governmental or intergovernmental affiliation, established for the purpose of fulfilling a range of activities whose primary purpose is either to design and implement development-related projects or defend or promote a specific cause, and organized at local, national, regional or international level. The UN formally recognises certain private associations as a result of their consultative status with the economic and social council. The UN collectively refers to these associations as NGOs. In common usage, however, the term is applied to any private body engaged in humanitarian or other charitable activities, whether or not they maintain UN consultative status. In recent decades there has been an enormous increase in the number and scale of NGOs. At one extreme the body may resemble a multinational corporation, with significant budgets, international presence and considerable diplomatic leverage. At the other end of the scale local NGOs may pursue a narrow agenda with a low budget and limited means.

- a. **Principles and values.** NGOs are often highly motivated, displaying a vocational drive and belief in the causes championed by their donors. Increasingly, they are willing to concede that coordination is necessary in pursuit of high-level aims. Caution over partiality and association with a comprehensive approach remains a very real and understandable issue. Military personnel must understand the necessity for NGOs to defer to the values their donors expect them to be championing. This 'donor sentiment' demands that NGOs seek effective solutions in the most pressing of circumstances. First and foremost NGOs are accountable to their beneficiaries ensuring that the effects of their actions benefit those that they are trying to help. Secondly, NGOs are accountable to their benefactors, be they individuals or national donors, ensuring that funds donated are spent

effectively and appropriately. Finally NGOs are accountable to their trustees, thereby ensuring that their actions remain true to their organization's values.

- b. **Interaction and understanding.** Experience has shown that an acceptable degree of complementary activity can be achieved whilst adhering to the humanitarian principles that must guide NGO activity. Most NGOs have now become signatories to the 'Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief'. This voluntary code lays down principles of conduct for NGOs and describes how host governments, donor governments and IOs should shape the working environment to deliver HA. It is important that military personnel understand these humanitarian principles and the rationale of it.
- c. **Organization.** Most NGOs will operate within a territory using a recognisable and flat command and control structure based upon a country director, supported by a small number of deputies and, beneath that level, field personnel bring policies and programmes into effect.

#### 0606. **Governmental organizations (GO).**

GOs are, depending on their specific area of expertise, dependent on their sponsoring nations to support their efforts in the JOA. They have either an expertise in good governance, health support, economic development, infrastructural reconstruction and development, education and political capacity building. Their main focus varies from granting HA to long term development projects.

#### 0607. **Civil Police.**

Properly resourced and effectively coordinated civil police forces can play a role in reaching the desired end state. While police liaison is normally conducted through the office of the Provost Marshal, CIMIC staff should ensure that a close relationship is established and maintained. Neither the military and civilian police nor the humanitarian and development communities are homogenous. Military and civilian police contingents vary in capability, doctrine, procedures, and understanding of humanitarian and development issues. The humanitarian and development communities vary widely in mandate, outlook, degree of integration into the humanitarian coordination system, and in approach to dealing with the military and civilian police.

#### 0608. **Working with civil actors.**

- a. **United Nations cluster approach.** In December 2005 the Inter Agency Standing Committee principals designated global cluster leads (see 0608. c.) for eleven sectors or areas of activity that in the past either lacked predictable

leadership in situations of humanitarian emergency, or where there was considered to be a need to strengthen leadership and partnership with other humanitarian actors. This complements those sectors and categories of population where leadership and accountability are already clear, e.g. agriculture (led by the Food and Agriculture Organization of the United Nations), food (led by the World Food Programme), refugees (led by the United Nations High Commissioners Office for Refugees) and education (led by the United Nations Children’s Fund). In the case of education in emergencies, however, there may be some further modification to the existing arrangements.

b. **The cluster leader.** The cluster leaders, together with their partners, provide the following types of support to strengthen field response:

- (1) Technical surge capacity (e.g. camp management and coordination staff, early recovery advisors, logistics response teams, health emergency and assessment response teams).
- (2) Trained experts to lead cluster coordination at the field level.
- (3) Increased stockpiles, some pre-positioned within regions (e.g. emergency shelter materials);
- (4) Standardised technical tools, including for information management;
- (5) Agreement on common methods and formats for needs assessments, monitoring, and benchmarking; and
- (6) Best practices and lessons learned from field tests.

c. **The clusters.**

Sector or area of activity	Global cluster lead
Agriculture	Food and Agriculture Organization of the United Nations (FAO)
Camp coordination / management:	
- Conflict-induced IDPs	United Nations High Commissioners Office for Refugees (UN CHR)
- Natural disaster induced IDPs	International Organization for Migration (IOM)
Early recovery	United Nations Development Programme (UNDP)

Education	United Nations Children’s Fund (UNICEF) Save The Children - United Kingdom
Emergency shelter:	
- Disaster situations	International Federation of Red Cross and Red Crescent Societies (IFRC)
- Conflict-induced IDPs	United Nations High Commissioners Office for Refugees (UNHCR)
Emergency telecommunications:	
- Process	UN OCHA
- Data	UNICEF
- Security	World Food Programme (WFP)
Health	World Health Organization (WHO)
Logistics	WFP
Nutrition	UNICEF
Protection	UNHCR
Water, sanitation and hygiene	UNICEF
<b>Cross-cutting issues</b>	
Age	HelpAge International
Environment	United Nations Environment Programme (UNEP)
Gender	United Nations Population Fund (UNFPA), WHO
HIV / AIDS	Joint United Nations Programme on HIV / AIDS (UNAIDS)

- d. **Standards and evaluations.** The most well known set of standards is the SPHERE standards. These standards provide a widely accepted set of universal minimum standards in core areas of HA and aim to improve both the quality and the accountability of assistance. The cornerstone of the standards is the ‘Humanitarian Charter’, which describes the core principles that govern humanitarian action. The standards themselves are broken down into 5 sectors: water and sanitation, nutrition, food aid, shelter and site planning and health services. NATO personnel involved in humanitarian activities should be familiar with the SPHERE standards and apply them as appropriate, taking into account the local situation.<sup>26</sup>

<sup>26</sup> For further information refer to “The SPHERE project humanitarian charter and minimum standards in disaster response”



## 0609. Key challenges.

- a. The increasing proximity between the military and humanitarian actors implies a need for the two communities to find agreement on core issues of responsibility and competence. In doing this, investment is needed to gather evidence to show whether the military's delivery of assistance (a marginal activity compared to their core operations) is inimical to good outcomes for local populations – even in the short term. At the very least, if military efforts are directed towards implementing relief or rehabilitation efforts, these should concentrate on areas of comparative expertise. This implies understanding exactly where these areas are. This could involve agreement that militaries focus on providing assistance that humanitarian agencies cannot (in security and large-scale infrastructural work, for instance), and that both communities work together more effectively to define respective roles and objectives in the protection of civilians.

The increased engagement of the military in policy and “operational areas of humanitarian concern” raise a number of key issues. Three in particular stand out:

- (1) What does the promotion of combined military, political and humanitarian efforts mean for the integrity of humanitarian principles?
- (2) What should the military role be in the protection of civilians from deliberate harm?
- (3) What impact will the growing use of private security companies in providing security for assistance efforts have on humanitarian action?

- b. The field of language and terminology especially requires attention of both military and civilian personnel. The different use of terms in the military and the area of civil actors can cause misunderstanding and create loss of efficiency. Awareness and communications training will provide CIMIC personnel with the needed tools to avoid many difficulties in this area and enables them to function as multiplier within the force.

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# LEXICON

## PART I – ACRONYMS AND ABBREVIATIONS

Part I of the Lexicon contains abbreviations/acronyms used in AJP-3.4.9.

AJP	Allied joint publication
CBRN	chemical, biological, radiological and nuclear
CEP	civil emergency planning
CIMIC	civil-military cooperation
CIVAD	civilian actors advisor
CJSOR	combined joint statement of requirement
COA	course of action
CoE	Council of Europe
CoE	centre of excellence
CU	civil-military cooperation unit
DDR	disarmament, demobilisation and reintegration
E&T	education and training
EADRCC	Euro Atlantic Disaster Response Coordination Centre
FS	functional specialist
EU	European Union
GO	governmental organization
HA	humanitarian assistance
HQ	headquarters
HNS	host-nation support
ICRC	International Committee of the Red Cross
IDP	internally displaced person
IO	international organization
JFC	joint force command
JOA	joint operations area
LEGAD	legal advisor
LL	lessons learned

LOAC	law of armed conflict
MILENG	military engineering
MO	military outreach
NA5CRO	non-article 5 crisis response operations
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NGO	non-governmental organization
OPCOM	operational command
OPLAN	operation plan
OLP	operational-level planning
OLPP	operational-level planning process
OPP	operations planning process
OPSEC	operations security
OSCE	Organization for Security and Cooperation in Europe
SACEUR	Supreme Allied Commander Europe
CEPC	Civil Emergency Planning Committee
SR	special representative
SSR	security sector reform
STRATCOM	strategic communications
SWRL	speaking – writing – reading – listening
TACON	tactical control
UN	United Nations
WTO	World Trade Organization

## PART II – TERMS AND DEFINITIONS

Part II of the lexicon contains terms and their definitions used within AJP-3.4.9. Unless otherwise stated, they are drawn from AAP-6(2012) '*NATO Glossary of Terms and Definitions*'. Those marked (1) are to be submitted to the NATO Terminology Programme for consideration on behalf of the AJODWG.

### **civil-military cooperation (CIMIC)**

The coordination and cooperation, in support of the mission, between the NATO Commander and civil actors, including national population and local authorities, as well as international, national and non-governmental organizations and agencies. (AAP-6)

### **command**

1. The authority vested in an individual of the armed forces for the direction, coordination, and control of military forces.
2. An order given by a commander; that is, the will of the commander expressed for the purpose of bringing about a particular action.
3. A unit, group of units, an organization or area under the authority of a single individual.
4. To dominate an area or situation.
5. To exercise a command. (AAP-6)

### **control**

That authority exercised by a commander over part of the activities of subordinate organizations, or other organizations not normally under his command, which encompasses the responsibility for implementing orders or directives. (AAP-6)

### **doctrine**

Fundamental principles by which the military forces guide their actions in support of objectives. It is authoritative but requires judgement in application. (AAP-6)

### **end state**

The NAC statement of conditions that defines an acceptable concluding situation for NATO's involvement.

(New definition harmonized in accordance with Bi-SC letter, CPPSPL/7740-73/10-271642; 5000 FEF 0070/TT 6518/Ser: NU0008 dated 31.01.2011. Will be processed for inclusion in the NATO Terminology Management System (NTMS) and AAP-6 in accordance with the procedures defined in C-M(2007)0023-AS 1, 23 April 2007, 'Guidance for the Development and Publication of NATO Terminology'.)

### **host-nation support (HNS)**

Civil and military assistance rendered in peace, crisis or war by a host nation to NATO and/or other forces and NATO organizations which are located on, operating on/from, or in transit through the host nation's territory. (AAP-6)

### **international organization (IO)**

An intergovernmental, regional or global organization governed by international law and established by a group of states, with international juridical personality given by international agreement, however characterized, creating enforceable rights and obligations for the purpose of fulfilling a given function and pursuing common aims.

Note: Exceptionally, the International Committee of the Red Cross, although a non-governmental organization formed under the Swiss Civil Code, is mandated by the international community of states and is founded on international law, specifically the Geneva Conventions, has an international legal personality or status on its own, and enjoys some immunities and privileges for the fulfilment of its humanitarian mandate. (AAP-6)

### **joint**

Adjective used to describe activities, operations and organizations in which elements of at least two services participate. (AAP-6)

### **joint operations area (JOA)**

A temporary area defined by the Supreme Allied Commander Europe, in which a designated joint commander plans and executes a specific mission at the operational level of war. A joint operations area and its defining parameters, such as time, scope of the mission and geographical area, are contingency- or mission-specific and are normally associated with combined joint task force operations. (AAP-6)

### **military engineering (MILENG)**

Engineer activity, comprising both force support engineering and combat support engineering, undertaken regardless of component or service to shape the physical operating environment. (AAP-6)

**mission**

A clear, concise statement of the task of the command and its purpose. (AJP-01(D))

**multinational**

Adjective used to describe activities, operations and organizations, in which elements of more than one nation participate. (AAP-6)

**non-governmental organization (NGO)**

A private, not for profit, voluntary organization with no governmental or intergovernmental affiliation, established for the purpose of fulfilling a range of activities, in particular development-related projects or the promotion of a specific cause, and organized at local, national, regional or international level.

Notes:

1. A non-governmental organization does not necessarily have an official status or mandate for its existence or activities.
  2. NATO may or may not support or cooperate with a given non-governmental organization.
- (AAP-6)

**objective (Obj)**

A clearly defined and attainable goal to be achieved.

(New definition harmonized in accordance with Bi-SC letter, CPPSPL/7740-73/10-271642; 5000 FEF 0070/TT 6518/Ser: NU0008 dated 31.01.2011. Will be processed for inclusion in the NATO Terminology Management System (NTMS) and AAP-6 in accordance with the procedures defined in C-M(2007)0023-AS 1, 23 April 2007, Guidance for the Development and Publication of NATO Terminology. Not to be confused with the NTMS – NATO agreed definition. See footnote<sup>27</sup>.

**operation (Op)**

A military action or the carrying out of a strategic, tactical, service, training, or administrative military mission; the process of carrying on combat, including movement, supply, attack, defence and manoeuvres needed to gain the objectives of any battle or campaign. (AAP-6)

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<sup>27</sup> objective: A clearly defined and attainable goal for a military operation, for example seizing a terrain feature, neutralizing an adversary's force or capability or achieving some other desired outcome that is essential to a commander's plan and towards which the operation is directed. (NTMS - NATO Agreed)

**operational command (OPCOM)**

The authority granted to a commander to assign missions or tasks to subordinate commanders, to deploy units, to reassign forces, and to retain or delegate operational and/or tactical control as the commander deems necessary. It does not include responsibility for administration. (AAP-6)

**operation order (OPORD)**

A directive, usually formal, issued by a commander to subordinate commanders for the purpose of effecting the coordinated execution of an operation. (AAP-6)

**operation plan (OPLAN)**

A plan for a single or series of connected operations to be carried out simultaneously or in succession. It is usually based upon stated assumptions and is the form of directive employed by higher authority to permit subordinate commanders to prepare supporting plans and orders. The designation "plan" is usually used instead of "order" in preparing for operations well in advance. An operation plan may be put into effect at a prescribed time, or on signal, and then becomes the operation order. (AAP-6)

**support**

The action of a force, or portion thereof, which aids, protects, complements, or sustains any other force. (AAP-6)

**sustainability**

The ability of a force to maintain the necessary level of combat power for the duration required to achieve its objectives. (AAP-6)

**tactical control (TACON)**

The detailed and, usually, local direction and control of movements or manoeuvres necessary to accomplish missions or tasks assigned. (AAP-6)



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MC 400/3	Military Committee Guidance for the Military Implementation of NATO's Strategy in Concept
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MC 411/1	NATO Military Policy on CIMIC
MC 327/2	NATO Military Policy for Non-Article 5 CRO
MC 334/2	NATO Principles and Policies for Host Nation Support (HNS)
MC 324/1	NATO Military Command Structure
MC 457/2	Military Policy on Public Affairs
MC 458/2	NATO Education, Training, Exercise and Evaluation Policy
MC 343/1	NATO Military Assistance to International Disaster Relief Operations
MC 550	MC Guidance for the Military implementation of the CPG
MC 560	MC Policy for Military Engineering
MC 586	MC Policy for Allied Forces and their use for Operations
MC 422/3	NATO's Information Operations
MC 402/1	NATO Policy on Psychological Operations
PO(2009)0141	NATO Strategic Communications Policy
AC/35-D/1040-REV2	Information and Intelligence Sharing with Non-NATO Entities
MCM-0164-2009	Strategic Communications Policy
AJP-01	Allied Joint Doctrine
AJP-3	Allied Joint Doctrine for the Conduct of Operations
AJP-3.4.1	Allied Joint Doctrine for Peace Support Operations
AJP-4	Allied Joint Logistic Doctrine
AJP-4.5	Allied Joint Host Nation Support Doctrine & Procedures
AJP-6	Allied Joint Doctrine for Communications
AJP-3.10	Allied Joint Doctrine for Information Operations
AJP-3.10.1	Allied Joint Doctrine for Psychological Operations

UN General Assembly Resolution 46/182 – Strengthening of the coordination of humanitarian emergency assistance of the United Nations (Guiding principles for humanitarian assistance)  
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**AJP-3.4.9(A)(1)**