

Peace



Stability

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“UN provides a platform to keep the peace in states torn apart by conflict.....

It is a smart investment. It's the right way to lead.”





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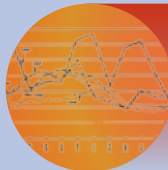


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# Director's Corner

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“UN provides a platform to keep the peace in states torn apart by conflict.... It is a smart investment. It's the right way to lead.”







## Alliance Operations in Kosovo: Setting Conditions to Win the Peace

*by MAJ Heather Clevenger and CPT Michael Robinson  
while serving as the Battle Group Intelligence Officer and  
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## INTRODUCTION

While the discourse of American military efforts in the 21st-century has been dominated by the nature of counterinsurgency operations and urban warfare, perhaps its most salient output has been a renewed understanding of the importance of ‘whole of government’ approaches to future Army operations. Leveraging the collective capabilities of all elements of national power towards the accomplishment of over-arching political objectives is, therefore, critical to the rapid cessation of hostilities and the subsequent winning of the peace. In no theatre has this concept been so thoroughly explored than in American involvement in the NATO-led Kosovo Forces (KFOR) mission, where the alliance has engaged in Peace Support Operations (PSO) since the withdrawal of Federal Yugoslav (now Serbian) forces in 1999. Insofar as doctrine provides us a framework of PSO, Kosovo proves a useful case study in understanding the nature of intelligence and operations activities in a mature peace-support environment, as well as the necessity that military and political agencies be effectively synchronized.

While involvement in the Kosovo mission now spans several decades, the NATO-led military arm of the operation has experienced a constant evolution in its focus since its original intervention aimed at rectifying the ethnic Albanian refugee crisis and preventing further Serbian hostility. In order to fully understand the intricate relationship of intelligence and operations in this theatre, it is necessary to address two essential factors. First, the American military operates as part of a multi-national force in its efforts. This is significant in that American military tasks are not directed by an American political entity like the Department of State; instead, the direction of American intelligence and operational activities are driven by a coalition headquarters. As a result, the perspective for our analysis will be as a decidedly American one, but with the additional considerations that come with our involvement in a coalition mission. Second, Peace Support Operations, doctrinally envisioned by NATO publication AJP 3.4.1 as “multi-functional ... military, diplomatic, and humanitarian” efforts to affect “long term political settlements,” define two core functions of the peace-support force. While the military arm of the operation acts as the “Fixing Force,” setting the conditions for a safe and secure environment (SASE) for both international actors and the host-nation population, the international civilian community constitutes the “Striking Force,” addressing the root causes of political unrest. It is through this lens that we will analyze American military contributions to KFOR and the nature of intelligence gathering and operational efforts.<sup>1</sup>

## INTELLIGENCE: TRACKING THE ENVIRONMENT

### *Intelligence in the context of PSO*

As peace-support operations doctrine at the coalition level dictates, there is an innate requirement for “good intelligence to find and identify the causes of the problem.”<sup>2</sup> While continuous collection, effective sharing, and efficient processing capability are all prescribed and essential, perhaps the most important directive is the warning that “conventional military analysis activities may need to be augmented” in light of changing atmospherics.<sup>3</sup> If the military arm of the peace-support effort is one of two ‘forces’ dedicated to addressing the causes of unrest, then intelligence is similarly one of two elements within the ‘fixing force’ that provides an accurate picture wherein operational efforts can be targeted effectively. Sequentially, we can chart unrest within the population as they lead towards overt action, a process which the intelligence wing is uniquely suited to chronicle. Initially, the military function of the overall mission was primary to maintenance of an effective cease-fire and the establishment of a safe environment wherein civilian agencies could operate. Success in achieving this goal has led to a new reality for peace-support forces. With military operations in Kosovo having evolved to ‘third responder’ status, the key task of the intelligence function is to maintain effective understanding of the environment and provide early warning for operational forces to intervene or pre-empt negative action.

### *Developing models to chart atmospherics*

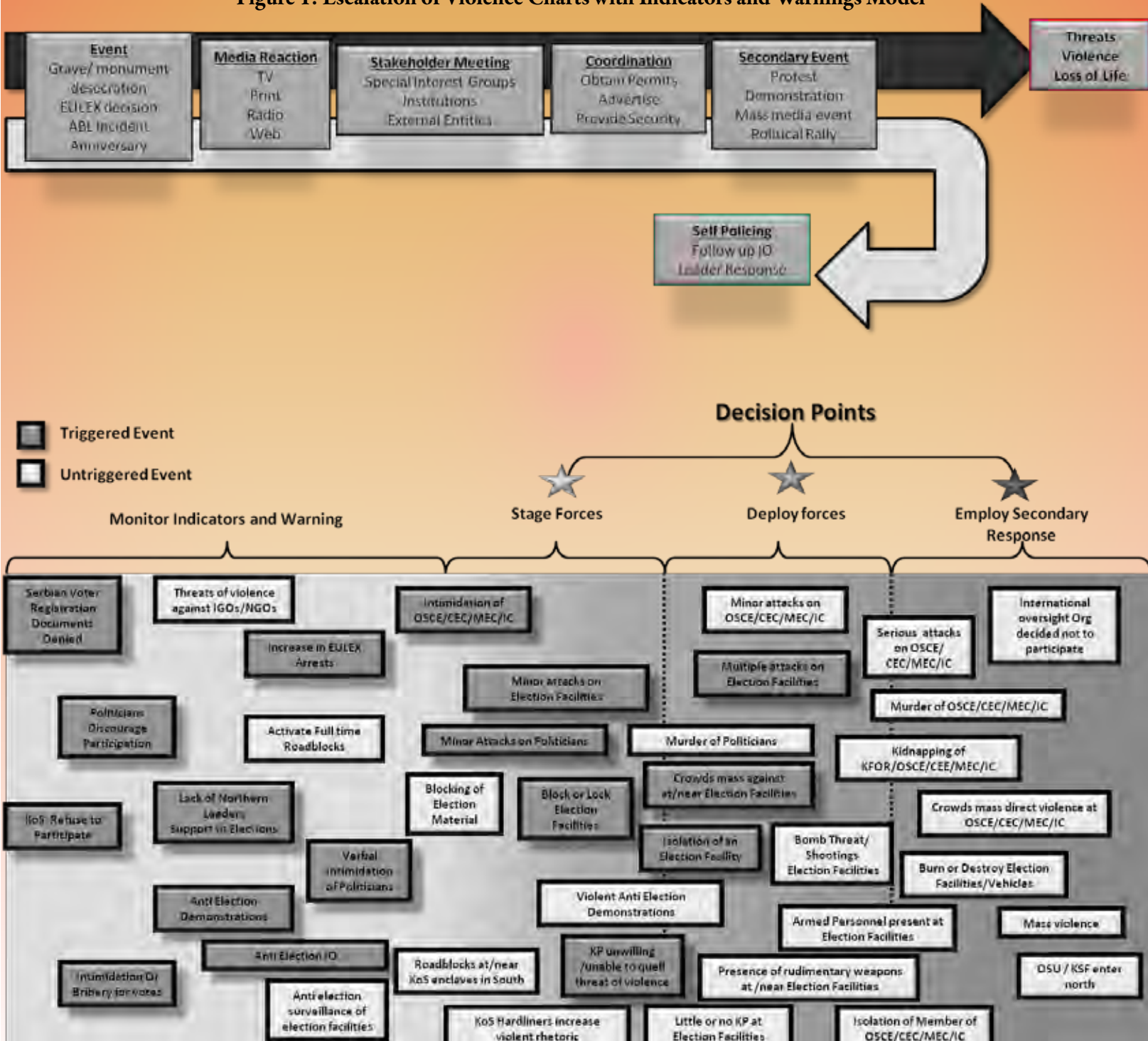
One of the more unique aspects of the Kosovo theatre’s conduct of PSO is that, given the maturity of the theatre and the development of the host nation’s security institutions, KFOR is designated as a response element that intervenes only when the Kosovo Police (KP) and EULEX (European Union Rule of Law Mission) – the first and second responders, respectively – cannot suitably restore order. This “third responder” role creates an operational situation where civil unrest or violence must escalate to the point where the first responder – Kosovo Police Forces – and the second responder EULEX are unable to mitigate the threat with their resources and capabilities and require KFOR to respond. This third responder role nearly eliminates the commander’s ability seize the initiative. However, using intelligence to build layers of early warning in the form of indicators and warnings establishes a method for intelligence to define and continuously re-define the operational environment by identifying recognizable effects that occur as violence escalates. Researching and analyzing historical population responses and adversary incidents of violence, it is possible to establish

a common sequence of events or *Escalation of Violence Model*. The *Escalation of Violence* (EoV) model (see Figure 1) describes that a single incident will create two types of responses from the population, a civil response and a competitor response. A civil response is planned to demonstrate a peaceful show of discontent to trigger political, social or economic reaction. A competitor response is planned to incite intense emotion and dissatisfaction in an effort to trigger a secondary escalating event.

In Kosovo, it was simple to establish that nearly all incidents that lead to violence follow a similar six step pattern. The first

step, or trigger event, is any event that causes a civil or competitor response. In Kosovo, these events tend to be related to political announcements and decisions, high profile arrests, or any ethnic symbolic desecration. The trigger event will immediately and nearly simultaneously cause the second step, media reaction, in the form of radio, TV, print, and more importantly, social media and social networking. The stoking of emotions and reactions will create the third step, a 'stakeholder meeting', where leaders of different elements will decide on their formal reaction to the trigger event. The fourth step requires establishing logistics and support for the reaction event by obtaining

**Figure 1: Escalation of Violence Charts with Indicators and Warnings Model**





permits, establishing security, advertising and other necessary factors. Steps one through four can occur over several hours to several days depending on the type of trigger event and the emotional scope of the reaction. The fifth step is the ‘secondary event’, which is the point at which the most potential for violence to escalate exists. It is this secondary event that has the potential to move towards the sixth step, either the most likely course of action (MLCOA) – a civil response through leader engagement and self-policing – or the most dangerous course of action (MDCOA), the competitor response that stokes extreme emotions and instigates violence. In order to determine which course of action the secondary event is trending towards the MLCOA/MDCOA is broken down into indicators.

The indicators and warning model is a detailed description of seemingly random events that could occur that when laid in order over time beginning on the left and increase in violence and intensity towards the right of the spectrum. These indicators must incorporate elements of both the MLCOA and MDCOA in order to provide an effective description of the environment. Just as the doctrinal template of enemy positions across terrain assists in combating conventional forces, this model templates “events across time” in order to pre-empt threats to a peaceful environment. Identifying specific indicators provides a roadmap of priority intelligence requirements (PIR) for a specific event that essentially builds a unit’s collection plan. Once the indicators are established over time it is easy to identify potential points where violence passes through thresholds that may require action by KFOR. These thresholds are then established as decision points and become the basis for the operational decision support matrix.

Once generated, the EoV Model enables the battle desk to process seemingly random reports from multiple sources and battle-track the event through identifying which indicators have triggered and, therefore, establishing a common operating picture of the environment. More importantly, the unit as a whole now has a common understanding of the environment and the Battle Group Commander’s decision matrix which enables lower echelons to develop their own decision matrices. This Escalation of Violence model can be utilized for any and all events that occur in a conflict or other like environments.

Ultimately, if we continue our visualization of the ‘fixing force’ as an intelligence function and an operational function, the development of new analytical models to augment conventional collection methods is an essential measure in assessing the operational environment. Sequentially, the intelligence function will measure the volatility of the surrounding environment, chart its likely progress based on internal and external influences, and

provide operational forces early-warning in order to pre-empt or mitigate any threat to the safety and security of the area. The EoV and Indicators and Warning models are essential tools in handing off the collection effort, managed by intelligence cells, to the mitigation effort, managed by operational command and staff elements.

## **OPERATIONS: THE FIXING FORCE**

### ***Operational efforts in a PSO environment***

If the intelligence function provides an accurate picture of the escalation of violence, trends in competitor action, or key events and forecasted impacts, the operations function capitalizes on these insights to direct timely, effective, and properly-focused efforts to establish or re-establish a safe and secure environment. If we imagine the ‘fixing force’ as two elements, the intelligence and operational wings, they work both sequentially and simultaneously to assess, predict, and mitigate threats to the security of the ‘striking force’, or, namely, the international civilian presence. When analyzing the nature of operations in the Kosovo theatre, it is critical to address two factors: first, all operations must perform military tasks in support of a larger goal or political objective, and, second, that operations must properly utilize intelligence-driven understanding of the environment when targeting military efforts.

Within the context of Peace Support Operations, the actions of military forces are understandably limited to peace-keeping tasks designed to enforce consensual agreements or cease-fires, or peace-enforcement tasks authorizing coercive efforts to re-establish peace.<sup>4</sup> In a mature theatre such as Kosovo, where local institutions and security agencies have been developed to the point of independent functionality, the military role is even more limited, forcing KFOR to act as the previously-described ‘third responder’ to environmental security threats. Nonetheless, operations are inexorably linked to the over-arching objectives of the coalition headquarters and its political leadership in the North Atlantic Council (NAC), the United Nations (UN), and constituent assemblies. Understanding this limited but essential role is pivotal to preventing an improper application of counterinsurgency principles to a theatre that is not in need of its prescriptions.

### ***Military operations in support of a safe environment***

As we have shown, the intelligence function tracks the escalation of atmospheric indicators that can lead to a disruption in the peace, allowing the operational function to either pre-empt or mitigate those threats. With KFOR’s over-arching objective being the maintenance of a safe and secure environment, both

actions are possible within the context of the mission's mandate. Pre-emptive operations may range from over-flight of the pseudo-border between Kosovo and Serbia – the Administrative Boundary Line (ABL) – to deter illegal activity, to patrols through major population centers designed to assure both the citizenry and the international community of the military capability to respond to active threats. In both cases, day-to-day operations are designed to prevent the influence of external or internal factors to disrupt an otherwise stable environment. Similarly, operations may be steered to pre-empt flashpoint events, such as ethnic or religious celebrations like Vidovdan (Serbian holiday) and the Black Madonna festival (a Christian pilgrimage in Albania), or political milestones such as the municipal or parliamentary elections. Again, increased operations are used in a pre-emptive manner to deter escalation.

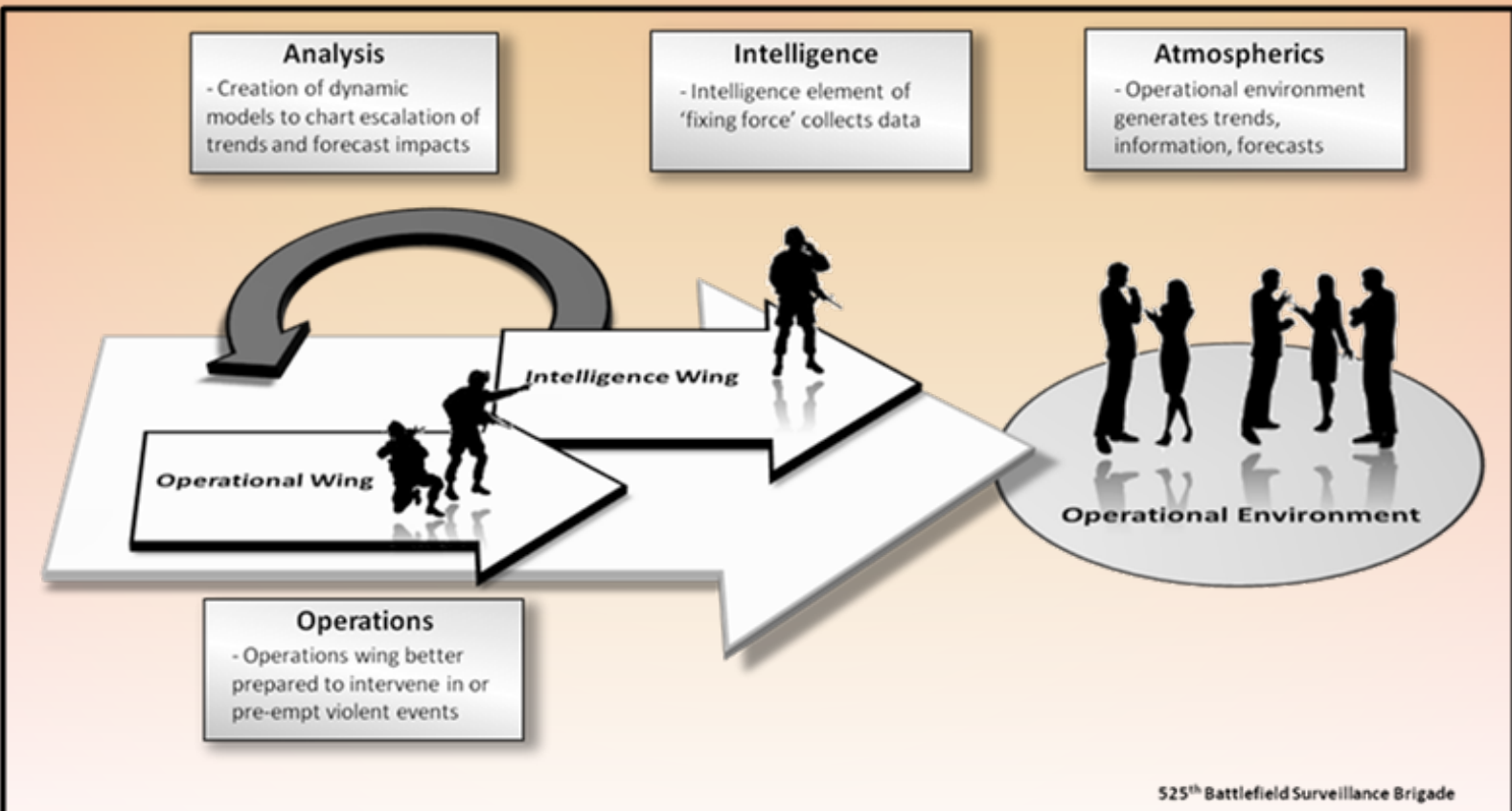
Just as the operations function can exploit forewarning of future events, so too can military efforts be used in a responsive manner to mitigate unforeseen or underestimated events within the environment. Insofar as AJP 3.4.1 directs the peace-support force to “shape the immediate environment,” maintaining crowd-riot control (CRC) and mobile force projection capabilities are essential to rapidly and decisively restoring a safe and secure environment when threatened.<sup>5</sup> Whether it be the unexpected escalation of violence during political events or protests, the construction of roadblocks and other obstacles to military

freedom of movement, or emergency support to members of the international community, KFOR operations can often take on a decidedly reactive tone, necessary in its role as ‘third responder’. Consequently, while the intelligence wing of the fixing forces must be able to chart trends and indicators, the operations wing must be able to quickly and accurately tailor appropriate response measures or pre-emptive actions that do not violate the mission's mandate.

### *Using intelligence to focus operations*

The essential link between the intelligence and operations functions in such a mature PSO environment as Kosovo is the use of indicators and escalation trends as benchmarks for operational decision-making. Thus far, our analysis has shown how the intelligence wing of the ‘fixing force’ maps the environment and produces dynamic and robust models that monitor progress and trends. Furthermore, we have shown how operational elements can use the advanced warning offered by proper information collection to plan and prepare for deliberate or sudden events effectively. The final element of efficient intelligence-operations synergy is converting the indicators and warnings model into operational decision points that will better prepare the peace-support force to ensure a safe and secure environment. Whether it is for rapidly-escalating flashpoint actions or long-

**Figure 2: Intelligence and Operations in Mutual Support**





planned political or cultural events, the operations element of the staff can utilize the standard indicators and warning model produced by the intelligence cell to escalate operational measures in a manner commensurate with the escalating probability of violence. These decisions can be driven by a number of factors. The first is operational necessity and the role of the peace-support force. In the case of KFOR, its designated 'third responder' role obliges the operational staff to chart decision points that embrace increased flexibility and response time to events. While this runs contrary to our traditional understanding of initiative, the delicate nature of PSO demands that the force tie escalating trends in potential violence to preparation vice action. This can mean alerting aerial assets, tasking Unmanned Aerial Systems (UAS), preparing CRC forces, or generally increased Quick Reaction Force (QRF) capability.

Next, disposition of available assets in sector can influence at which point along the spectrum of escalation the notice-to-move time for response forces or aviation assets should be reduced. The position of CRC-equipped elements, proximity to urban centers, the availability of forward deployed refueling stations for aviation, and force protection measures can all drive at which point the operations cell can direct increased posture.

Finally, additional operational priorities can influence the nature of decision points. The necessity of forces to maintain capability for standing contingency plans, facilitate base defense, and provide enduring quick-reaction forces may affect how much of the operational force is tasked with operational efforts.

Ultimately, a robust analysis of potential threats to the environment conducted by the intelligence wing is wasted if they are not exploited for operational gain. A complete indicators and warnings template should essentially represent actual events over time, in accordance with the escalation of violence model, with operational decision points along the entire spectrum. As discussed, these operational decisions should posture the peace-support force for increased flexibility and the ability to respond when activated. In the Kosovo theatre, the nature of the military force as 'third responder' requires that operational staff designate decision points that allow the commander to re-establish a safe and secure environment when threatened. When flashpoint events precipitate a rapid escalation to KFOR involvement, accurate intelligence processing is even more critical to success. Combined, the intelligence and operations elements of the 'fixing force' create the necessary security environment for the international community, particularly in Kosovo, to address key causes of regional instability.

**German Soldiers conducting crowd control training during a KFOR mission rehearsal exercise at the Joint Multi-National Readiness Center in Hohenfels Germany, January 28th 2014.**



## WORKING WITH THE STRIKING FORCE: COOPERATION AND SYNCHRONIZATION

With the establishment of suitable models and processes that engender a constant flow of intelligence collection and operational preparedness, the environment is set to allow the 'striking force' of PSO to address the symptoms and causes of the theatre's conflict. In the Kosovo theatre, coordination with multi-national, intergovernmental, and regional organizations is essential to the synchronization of political objectives and military tasks. American military involvement in the KFOR mission is, by mandate, subject to the overarching prescriptions of its political leadership. As envisioned by the UN and NATO, the international civil presence, represented most notably by organizations like EULEX and the OSCE (Organization for Security and Cooperation in Europe), will ultimately be the driving force of stabilization for Kosovo-Serbia relations. As such, the military arm of the peace-support operations, KFOR, must maintain close ties with these organizations in order to ensure that political objectives do not outpace military capacity, or that military efforts do not stray from the overarching objective.

Again, seemingly contrary to the lessons of Iraq and Afghanistan, the military should not be utilized as the prime mover for efforts pertaining to institutional development or regional politics, especially in a thoroughly-developed theatre such as Kosovo. Instead, KFOR must maintain understanding of the intent of its political leadership, and forecast threats to the environment that may result. This relationship is particularly important with regards to potentially controversial political decisions, institutional legitimacy, tax or customs collection, and cultural endorsement, all of which can be at the direction of the 'striking force', but may negatively impact the safety of the environment. Deliberate political processes, such as elections, will frequently involve oversight from intergovernmental organizations like OSCE, obliging KFOR to account for their security and the continued stability of the environment. Even when not acting kinetically, KFOR can provide a useful source of lessons learned and advice for the international presence to predict potential flashpoints. Collectively, the involvement of the international civil presence and their primacy in the mission's completion forces the military arm to target its effort carefully. In addition to a well-honed intelligence-operations cycle, a close relationship with adjacent organizations will help to ensure a well-prepared force ready to intervene when necessary.

## CONCLUSION

Throughout the course of our analysis we have described the core functions of the peace-support force, articulated the dis-

inction and linkage between intelligence and operations within the 'fixing force', demonstrated the need for adaptive models and collection techniques that track escalating trends, and the necessity of tying intelligence-based forecasts to operational decision-making. With a unified and mutually-supporting security force, the conditions are set for international civilian partners to execute the core tasks of the operation, namely, institution-building and diplomatic normalization. While it is critical that the security force be able to operate with satisfactory efficiency by developing robust processes and procedures, it is just as important that the military wing of PSO coordinate thoroughly with civilian agencies in order to synchronize long-term planning objectives and short-term operational requirements.

Ultimately, the success of peace-support operations hinges on the effective unity of intelligence-driven understanding and appropriately-scaled operations. In the Kosovo theatre, KFOR's role as 'third responder' is the result of years of environment maturation, increased security, and highly-developed local capacity. As such, there is a wealth of knowledge to be gained by thorough analysis of the operation.



## NOTES:

- <sup>1</sup> AJP 3.4.1, Peace Support Operations (July 2001), 6-2 .
- <sup>2</sup> AJP 3.4.1, 6-5.
- <sup>3</sup> AJP 3.4.1, 6-5.
- <sup>4</sup> AJP 3.4.1, 6-8.
- <sup>5</sup> AJP 3.4.1, 6-1.



# PKSOI News

## IAPTC

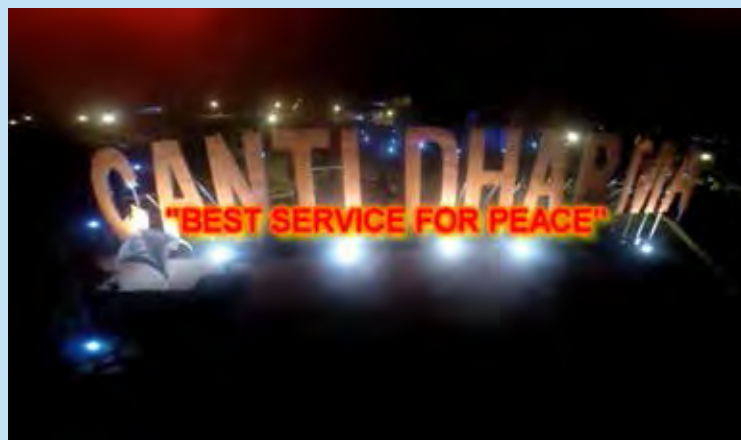
The 20th Anniversary of the International Association of Peacekeeping Training Centers (IAPTC) was celebrated in Jakarta, Indonesia from 22-26 June 2014. The Indonesian National Defense Forces Peacekeeping Centre (INDF PKC) hosted the event. Dr. James Embrey, Professor of Stability Operations and Ms. Karen Finkenbinder, Rule of Law, Justice, and Reconciliation Advisor, attended the conference.

The theme was “Towards a Global Peacekeeping Training Architecture” and was attended by more than 80 countries. For the most part, it is the only opportunity for those responsible for training and educating soldiers, police, and civilians for peace operations to share lessons learned, methodologies, and discuss difficulties with the United Nations and Regional Organizations.

The event was opened by several dignitaries, to include the Chief of Staff of the Indonesian Military, the Commandant of the Peacekeeping Centre and the Senior Advisor to the Minister of Foreign Affairs. Each region presented an update on their various training and education efforts.

The Director of the UN Training Service presented an overview of current training and education. A workshop on Impact Assessment was conducted as well as various functional break-out groups. Dr. Embrey participated in the pedagogy workshop and Ms. Finkenbinder participated in Rule of Law Strategic Guidance Framework and Women, Peace, and Security groups. The results of the conference will be used to inform Joint doctrine, concepts, education and training as well ensure that all products are designed to provide the desired impact.

[IAPTC 2014 VIDEO, click here to play ►](#)



## CHAD

PKSOI's Dwight Raymond conducted a seminar on UN Peacekeeping in N'Djamena, Chad from 23-30 June. Participants included twenty Chadian officers from two battalions who will deploy this summer to the UN peacekeeping mission in Mali (MINUSMA). PKSOI was joined by a U.S. Army officer who is currently assigned to MINUSMA, and the instructor team provided training on the United Nations, Mandate Development and Implementation, Peacekeeper Conduct, Peacekeeping Mission Organization and Functions, UN Infantry Battalion Missions, Staff Procedures, the Protection of Civilians, and MINUSMA Operations and Issues. Seminar attendees also participated in a staff exercise to conduct mission analysis and to begin development of a concept of operations for the upcoming mission. The instructor team also conducted two office calls with the U.S. Ambassador to Chad. The seminar was well-received by the Chadian participants, who were appreciative of this effort to help them prepare for their upcoming complex and important mission.





## **Global Animal Health Engagement: Augmenting Military and Professional Veterinary Competencies Toward Effective Support of Peace and Stability Operations**

*by Paul J. Hollier, DVM, MPH\*; Corrie C. Brown, DVM, PhD†; Bob E. Walters, DVM, MPH‡; John L. Poppe, DVM, MPH-TM§*





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## BACKGROUND

Veterinary Corps Officers have been planning and conducting animal health activities in support of stability operations for at least 70 years.<sup>1</sup> Typically, these activities were developed on an ad hoc basis and measured effectiveness by the quantity of veterinary services delivered. The higher the number of patient encounters the more impact the activity was considered to have. A limitation of this approach to measuring effect is that there is insufficient evidence to link “animals treated” to overarching U.S. goals and objectives and free distribution of veterinary services has anecdotally been linked to economic hardship on local veterinary businesses. In 2005, the Department of Defense issued a directive that officially recognized stability operations as an essential component of the range of military operations<sup>2</sup> and it was incorporated into FM 7-15 The Army Universal Task List. This defined the stability operations mission and allowed the U.S. Army to more closely examine the link between animal health activities and broader military objectives.

At the request of the Army G3/5/7 Strategy, Plans and Policy office, RAND Arroyo Center and the RAND Center for Military Health conducted a doctrine, organization, training, material, leadership, personnel, and facilities (DOTMLPF) assessment and in 2008, published “Toward the Effective Use of Military Veterinarians in Stability Operations.” This report highlighted gaps and made several recommendations for military veterinary utilization in Iraq and Afghanistan.<sup>3</sup> The Department of Defense Veterinary Service Activity acted on RAND’s recommendations beginning with the immediate need of training Veterinary Corps Officers to design and implement meaningful and measurable animal health activities that are linked to broader U.S. goals and objectives in Iraq and Afghanistan.

## GLOBAL ANIMAL HEALTH ENGAGEMENT

Subsequent to the RAND study, Department of Defense Veterinary Services focused efforts to train and educate Veterinary Corps Officers tasked to support stability operations. This involved analysis of the stability operations task and characterized global animal health engagement as a function of veterinary support to stability operations.

### *Veterinary Support to Stability Operations*

In September 2009, a veterinary support to stability operations working group was convened by Department of Defense Veterinary Service Activity to define the role for military veterinarians in support of stability operations. Utilizing Army Task 7.3 Conduct Stability Operations as a framework for analysis, the

working group participants determined the link between animal health and the Army’s task to establish civil security, establish civil control, restore essential services, support governance, and support economic and infrastructure development.<sup>4</sup> At the conclusion of the working group meeting “global veterinary medicine expertise” was identified as having a role to play in the five stability operations sub-tasks, but was especially relevant for restoring essential services and supporting economic and infrastructure development.

### *Principles of Reconstruction and Development*

Andrew Natsios identified nine principles of reconstruction and development in the autumn 2005 edition of Parameters. In his paper Natsios describes the nine principles in the context of Afghanistan for a military audience. The nine principles are: ownership, capacity building, sustainability, selectivity, assessment, results, partnership, flexibility, and accountability.<sup>5</sup> The RAND study also identified these nine principles as a guide to successful stability operations and highlighted ownership by the country’s leaders and people, capacity building, and sustainability as essential to success and added “coordinated across the interagency” as a fourth pillar.<sup>6</sup>

The traditional approach to animal health activities that deliver free veterinary services and measures effect by quantity of services delivered has limited application in stability operations in the context of the nine principles of reconstruction and development. It can be argued that under the stability operations task to restore essential services there is an application for direct veterinary service delivery as an emergency response function. For example, helping a partner nation’s Veterinary Services control a disease outbreak in livestock that threatens economic security of the people and subsequently government legitimacy. However, this is a narrow application under specific conditions and should not be generally applied.

### *Global Animal Health Engagement*

The application of “global veterinary medicine expertise” in support of stability operations within the context of Natsios’ principles is accomplished through global animal health engagement.

*Global animal health engagements are agricultural, public health and animal health activities and engagements that extend, augment or bridge gaps within host nation systematic framework; are utilized as tools to impact economic, food, and health security outcomes; and are executed in accordance with United States Defense, Diplomacy and Development policy and guidance.*



This definition, established by the veterinary support to stability operations working group, highlights four key points about the role of veterinary services in stability operations. First, the reference to activities and engagements are descriptive terms that link global animal health engagement to the doctrinal definition of military engagement, “routine contact or interactions with another nation’s armed forces or civilian authorities to build trust and confidence.”<sup>7</sup> Second, it shifts the focus of animal health activities from free delivery of services to building animal health capacity. Third, it links veterinary service actions to economic, food and health security as a pathway to stability. Finally, it places global animal health engagement in an inter-agency context.

## ANALYSIS OF VETERINARY COMPETENCIES

Following the veterinary support to stability operations working group a deliberate effort was made to further clarify “global veterinary medicine expertise” that is required to conduct global animal health engagements. A review of the literature and established professional and military veterinary competencies were analyzed for relevance to the veterinary support to stability operations and global animal health engagement.

### *Professional Veterinary Competencies*

The American Veterinary Medical Association Council on Education establishes the standards by which U.S. veterinary schools are accredited. By the American Veterinary Medical Association standard, a graduate of a U.S. veterinary school will have competence in:

*Comprehensive patient diagnosis (problem solving skills), appropriate use of clinical laboratory testing, and record management; comprehensive treatment planning including patient referral when indicated; anesthesia and pain management, patient welfare; basic management; emergency and intensive care case management; health promotion, disease prevention/biosecurity, zoonosis, and food safety; client communications and ethical conduct; and critical analysis of new information and research findings relevant to veterinary medicine.*<sup>8</sup>

The American Veterinary Medical Association Council on Education competencies are intended to ensure that graduate veterinarians of American Veterinary Medical Association accredited veterinary schools are competent to practice veterinary medicine in a U.S. based animal health system. American Veterinary



Medical Association competencies are the expected baseline level of proficiency of a newly assessed Veterinary Corps Officer. These competencies focus on clinical practice of veterinary medicine and are applicable to the traditional model of animal health activity but have limited applicability to support stability operations within the context of Natsios' nine principles of development.

The World Organization for Animal Health developed Competencies for Day One Graduate Veterinarians intended to ensure the effective functioning of national Veterinary Service systems. These competencies include:

*Disease prevention and control programmes, communication skills, trans-boundary animal disease, zoonoses (including food borne diseases), emerging and re-emerging diseases, epidemiology, organization of Veterinary Services, general certification procedures, inspection and certification procedures, veterinary legislation and ethics, food hygiene, application of risk analysis, research, veterinary products, management of contagious disease, administration and management, animal welfare, and international trade framework.*<sup>9</sup>

The World Organization for Animal Health competencies are the international standard for graduate veterinarians to work in national Veterinary Service systems around the world. They include clinical competencies as well as competencies related to global animal health systems and programs. These competencies are relevant to veterinary support to stability operations within the context of Natsios' nine principles of development; however, they are incomplete. They provide the required knowledge and skill to operate in the global animal health environment, but do not address the competencies required to build animal health capacity. While these competencies are partially relevant to the stability operations mission, they are not currently adopted or being taught in U.S. veterinary schools.

### ***Military Veterinary Competencies***

Military veterinary competencies are described in the Army Veterinary Corps Officer critical task list. The competency domains in the critical task list include:

*Food safety and defense, veterinary public health operations, veterinary service operations, general officership/ leadership, emergency care, clinical competence, laboratory, anesthesia, surgery, dentistry, endodontics, radiology, large animal medicine, laboratory animal medicine, CBRNE (chemical, biological, radiological, nuclear, and explosive), and administrative.*<sup>10</sup>

The Veterinary Corps Officer critical task list competency domains build on the American Veterinary Medical Association Council on Education competencies of newly assessed Veterinary Corps Officers. These competencies were last updated in 2009 and reflect the four core functions of Veterinary Services: food safety, veterinary care of military and government-owned animals, prevention and control of animal disease and zoonotic disease, and support to medical research and development.<sup>11</sup> These competencies focus on force health protection and clinical practice of veterinary medicine, and while some are applicable to the traditional model of animal health activity, there is limited applicability to support stability operations within the context of Natsios' nine principles of development.

### ***Global Veterinary Medicine Competencies***

Literature review revealed a limited number of scholarly articles regarding "global veterinary medicine expertise." A paper by Brown et al, *The Global Veterinarian: The Why? The What? The How?* (2006) provided the most comprehensive list global veterinary competencies to include:

*Intercultural communication; knowledge of disease surveillance technologies including diagnostic tests; familiarity with transboundary animal diseases, familiarity with infectious zoonotic diseases and bio-threat agents of concern; knowledge of effective prevention and control strategies for animal and human health priority diseases; understanding of world agriculture systems; understanding world trade and international health regulations; educated perspective on trade and policy; awareness of international organizations; comprehension of globalization of the food supply; ability to work in multidisciplinary teams; and interpersonal skills and flexibility.*<sup>12</sup>

The global veterinary medicine competencies described by Brown et al. include the required knowledge to operate in the global animal health environment as well as the skills required to conduct global animal health engagements in support of stability operations. Global veterinary medicine competencies by Brown et al. were adapted and expanded to include awareness of international animal health and public health organizations; project planning and evaluation; and ability to utilize relevant assessment methodologies to target and evaluate animal health activities, as a foundation to build training and education curricula.

## **OPERATIONALIZING GLOBAL ANIMAL HEALTH ENGAGEMENT**

Global Veterinary Medicine competencies were operationalized in 2010 through the Professional Postgraduate Short Course

Program – a specialized training opportunity offered by the Army Medical Department Center and School Academy of Health Sciences to promote leader development, readiness, and technological clinical competency.<sup>13</sup> In collaboration with the University of Georgia College of Veterinary Medicine, Department of Defense Veterinary Services developed the Veterinary Support to Stability Operations Assessment and Production System Course and the Veterinary Support to Stability Operations Global Veterinary Medicine Course. These two 40 hour continuing education courses put global veterinary medicine competencies into practice allowing for further validation and refinement of the competencies and the global animal health engagement model.

The 2008 RAND study authors identified “modify Army Veterinary Service doctrine to include stability operations as a stated mission” as the most important study recommendation.<sup>14</sup> In June 2013 the Department of Defense updated Veterinary Service policy to include the responsibility to:

*Provide veterinary coordination, manning, and support to plan and conduct agricultural, veterinary public health and animal health activities across the range of military operations, to include: support of Department of Defense stability operations, medical stability operations and global health strategic goals to include national strategy for countering biological threats.<sup>15</sup>*

This responsibility explicitly describes a role for veterinary services in animal agriculture and public health capacity building efforts in support of various missions across the range of military operations. This establishes the requirement necessary to align resources and develop doctrine.

## **IMPLICATIONS FOR VETERINARY SERVICES**

Operationalizing global veterinary medicine competencies and updating Department of Defense Veterinary Service policy are the first steps to institutionalizing global animal health engagement as a core function of Veterinary Services. This has implications for Veterinary Services efforts to validate and refine global veterinary medicine competencies, approval of global veterinary medicine competencies in the Veterinary Corps Officer critical task list, and integration of the global veterinary medicine competencies across the Veterinary Corps Officer training and education lifecycle.

Since the 2009 veterinary support to stability operations working group there have been 10 changes to FM 7-15 *The Army Universal Task List*.<sup>16</sup> An updated analysis of the application of global veterinary medicine competencies to Army task 7.3

Conduct Stability Operations including subtask 7.3.6 Conduct Security Force Assistance and expanded to Army task 5.4 Conduct Civil Military Operations is necessary to characterize the applicability of global animal health engagement across the range of military operations.

Veterinary Corps Officers have been trained and deployed to conduct animal health activities in the context of global animal health engagements since 2010. This provides cases to study how global veterinary medicine competencies are applied in practice. While continued efforts have been made to refine the delivery of global veterinary medicine competencies in the Veterinary Support to Stability Operations courses, a summative review is warranted to determine if the instructional design is meeting the intended outcomes. Periodic process reviews and summative assessments will allow Veterinary Services to validate and refine global veterinary competencies based on operational requirements.

Refined global veterinary competencies that are matched against Army tasks can be included in the Veterinary Corps Officer critical task list. The last update of Veterinary Corps Officer critical task list was conducted in 2009 prior to identification of global veterinary medicine competencies and characterization of global animal health engagement. Integrating global veterinary medicine competencies into the next approved critical task list will further validate global animal health engagement training and resource requirements.

A validated requirement for competence in global veterinary medicine also invites integration of global veterinary medicine competencies into the Veterinary Corps Officer education and training lifecycle, institutionalizing global veterinary medicine competencies and global animal health engagement as core functions of Department of Defense Veterinary Services. The established and refined learning objectives and course modules for the Veterinary Support to Stability Operations courses function as a framework for integrating global veterinary medicine competencies across the Veterinary Corps Officer education and training lifecycle based on skill level and expected operational need.

## **CONCLUSION**

This paper describes the process utilized to by Department of Defense Veterinary Services to identify the knowledge and skills required to effectively support stability operations, recognize the gaps in professional and military education, and characterize a method by which operational support is delivered. Global veterinary medicine competencies and global animal health engagements were characterized through analysis of the stability



operations task, but are applicable to other population-centric military operations e.g. civil military operations, counter insurgency operations, village stability operations and are applicable in support of security cooperation and security force assistance. The concept of a globally focused veterinary practitioner was novel for the U.S. Army Veterinary Corps. Most military education and training is focused on health service support functions and global veterinary medicine competencies are not taught in the U.S. veterinary school curricula. As the American veterinary profession responds to the changing global environment, newly assessed Veterinary Corps Officers will enter the service with a better understanding of the global environment relieving some of the pressure on the military education and training system. However, incorporation of global veterinary medicine competencies into the Veterinary Corps Officer critical task list and training and education lifecycle are required now to prepare Veterinary Corps Officers to conduct effective global animal health engagements across the range of military operations. Institutionalizing global veterinary medicine competencies are a step in the right direction toward the effective utilization of veterinarians in support of peace and stability operations.

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<sup>4</sup> Headquarters, Department of the Army, Field Manual 7-15, *The Army Universal Task List*, Washington DC, Government Printing Office, February 2009, pp. 7:1-23.

<sup>5</sup> Andrew S. Natsios, "The Nine Principles of Reconstruction and Development," *Parameters*, Autumn 2005, pp. 4-20.

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June 16, 2014.

<sup>9</sup> World Organization for Animal Health, "OIE Recommendations on the Competencies of Graduating Veterinarians (Day 1 graduates) to assure National Veterinary Services of Quality," available from [www.oie.int/fileadmin/Home/eng/Support\\_to\\_OIE\\_Members/Vet\\_Edu\\_AHG/DAY\\_1/DAYONE-B-ang-vC.pdf](http://www.oie.int/fileadmin/Home/eng/Support_to_OIE_Members/Vet_Edu_AHG/DAY_1/DAYONE-B-ang-vC.pdf), accessed on June 16, 2014.

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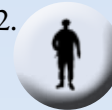
<sup>12</sup> Corrie Brown, Sharon Thompson, Gary Vroegindewey, Marguerite Pappaioanou, "The Global Veterinarian: The Why? The What? The How?" *Journal of Veterinary Medical Education*, Vol. 33, No. 3, Fall 2006, pp. 411-415.

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<sup>14</sup> Melinda Moore and Gail Fisher, *Toward the Effective Use of Military Veterinarians in Stability Operations*, Santa Monica, CA, RAND Arroyo Center and the RAND Center for Military Health, RAND Corporation, 2008. pp. 83-84.

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# Planning and Conducting a Local Procurement Strategy in Developing Countries

*by Anthony Luberto, Schaeffer DeArmond,  
and Thomas Calderwood*





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## INTRODUCTION

Upon arriving in Port Au Prince in April 2013, my team was eager to learn and test a concept in development. When a Haitian business owner asked me in a not so friendly fashion “what can you do for my business,” it put the severity of the issue front and center considering the conditions there. We were blown away by the amount of poverty among people who only live only a short two hour flight away from Miami, Florida. When confronted with the brutal reality of despair on the faces of parents holding their sick children throughout the city, how could my team and I help the Haitian business owner or his employees in an ever changing global market? In a developing country such as Haiti, how could they possibly be competitive when their next door neighbor, the Dominican Republic, eclipses their economic potential?

Prior to our arrival in Port Au Prince, my colleague Schaeffer DeArmond and I spent two years helping the local procurement effort in Central Asia for goods and services destined for coalition forces in Afghanistan. Over this period and our concept development we began to notice parallel challenges of local procurement from international procurement entities. Combining our experience with over a year of analysis with Thomas Calderwood on other local procurement activities, we believe that although there are key challenges in developing a local procurement strategy, there are great rewards if planned properly and with host nation involvement.

The concept of local procurement is accepted by a range of internationally operating procurement entities, including the U.S. Department of Defense (DoD), Department of State, the U.S. Agency for International Development, the United Nations Development Programme (UNDP), among others. Local procurement presupposes that buying goods and services locally can have advantages over traditional methods of importing from the U.S. or other developed nations during humanitarian assistance/disaster relief (HA/DR) operations. Buying goods and services locally can produce significant time and cost savings. Expanding on these findings in the DoD arena, the case is made for local procurement strategies in HA/DR, and long term sustainable development initiatives that mitigate common pitfalls of past ad hoc efforts. The divergent experiences in Central Asia and Haiti provided useful lessons, which offer practical solutions to develop more effective local procurement strategies. These solutions span a range of challenging environments, including military engagements, development projects, and HA/DR operations.

## LOCAL PROCUREMENT CHALLENGES

Despite the benefits of a systemized local procurement strategy, implementation remains problematic, and identification

and utilization of local vendors consists of ad hoc execution strategies. Although policy goals are designed to increase local procurement and engage in sustainable economic development practices, on-the-ground realities continue to undermine policymakers’ and organizations’ abilities to procure goods and services locally.

During multiple tours to the Republic of Uzbekistan, Republic of Kazakhstan and the Republic of Kyrgyzstan from 2010-2012, supporting the local procurement strategy for U.S. Central Command (CENTCOM), the many challenges to implementing local procurement policies were evident. Procurement entities were mandated to seek vendors in Central Asia before considering other countries, yet it was not uncommon to have items such as fruit juices, wood and shelf-sustainable subsistence products sourced from the United Arab Emirates (UAE), Germany or even the U.S. While CENTCOM’s mandate was simple in theory - procuring products and services from Central Asia before other countries (even the UAE, which is relatively close) was neither simple nor uniform in its execution. Procurement entities struggled to adapt, often failing to deliver on their mandate to locally procure goods and services.

The Manas Transit Center (MTC), located near Bishkek, Kyrgyzstan is the one of the gateways for U.S. and International Security Assistance Force service members transitioning in or out of Afghanistan. In a meeting between top officials in the DoD logistics arena, we personally observed a senior official specifically instruct a subordinate entity charged with procurement for the MTC, to procure all subsistence products, used to support MTC operations from local Kyrgyz vendors. This was a tall order as the MTC serves as a critical logistical point and also offers military personnel a needed respite from combat, as many incoming and outgoing personnel typically spend a few days at the MTC between flights. The MTC subsistence management subsequently provided us a tour of their large subsistence warehouse where many of the products served in the dining facility (DFAC) were stored. We were stunned to find that none of the products at the warehouse were sourced from Kyrgyzstan, or anywhere else in Central Asia. Despite the abundance of available foodstuff in and around Bishkek, not to mention the rest of Kyrgyzstan and Central Asia, why was the only example of ‘locally procured goods’ available at the DFAC, cookies? Why did the senior official’s order, which outlined that the local procurement strategy should be executed ‘without exception’, fail?

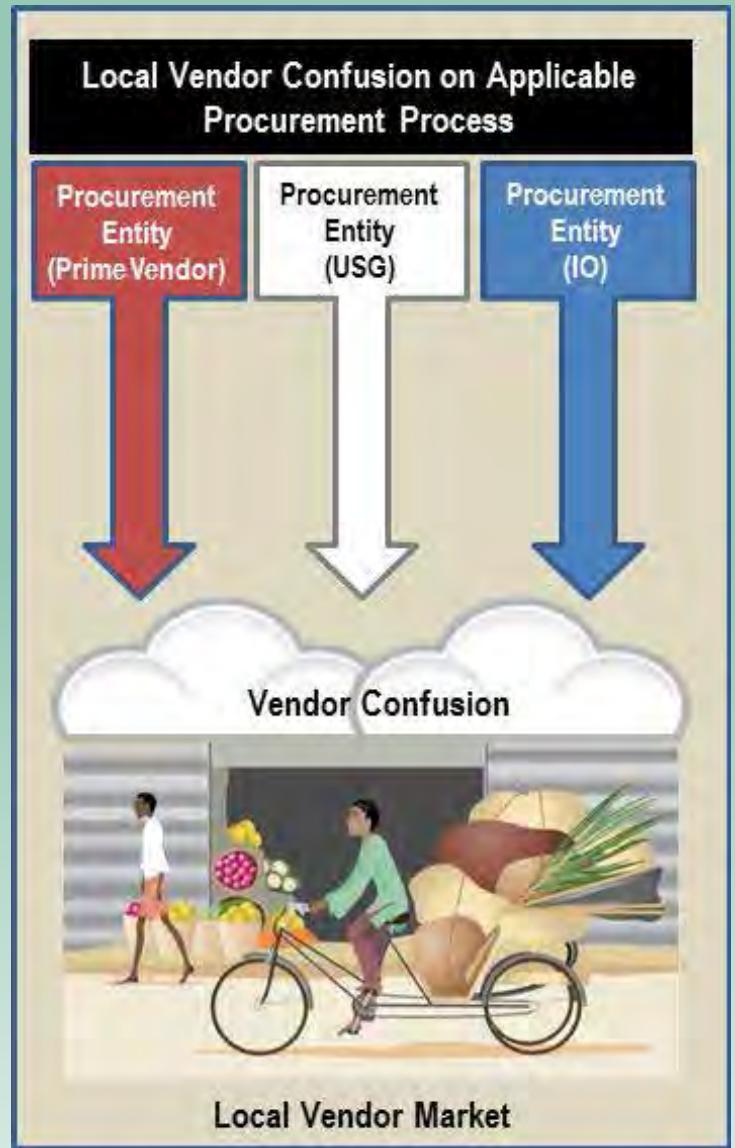
Absent a truly systemized approach, ad-hoc systems continue to inhibit local procurement efforts in developing and post disaster economies. During the operation in Afghanistan, the U.S. Government (USG) bought lumber from German sources because it was priced far cheaper than lumber in Central Asia.

Yet after accounting for the costs of transporting the lumber from Germany to Afghanistan, the total procurement cost of the German lumber proved significantly more expensive than lumber available closer. When procurement entities sought out products in Central Asia, they often overwhelmed the vendor base. This was displayed through the myriad of procurement processes unique to individual organizations which unfortunately created a formidable barrier between buyers and local vendors. Procurement agencies had different websites, different protocols, different contracting officers, and thus a very different network of contacts. While there are inevitably overlaps between various agencies, their cultures and operating procedures led to an onslaught of confusion for the local vendor.

During our concept development visit to Haiti, local procurement among international procurement entities was also a difficult task to complete. The Haitian Ministry of Commerce (MoC) highlighted that crucial international aid efforts facilitate capacity improvement in support of sustainable local economic development efforts, which is critical to long-term development prospects. The wishes of the Haitian MoC could be fulfilled, in part, by perhaps the most surprising revelation made by my team during our concept development trip: the large number of local vendors that produced goods and provided services that could meet international requirements and specifications. Not only did a surprisingly large number of firms meet such standards, but their production capacity and the variety of goods they were able to provide were tremendous. They merely lacked the knowledge to identify and bid on contract opportunities offered by international procurement entities. However, those that were aware of bidding processes still had issues winning contracts.

Local vendors are often capable of meeting requirements more quickly and at a lower price than traditionally procured materials, yet procurement entities are too frequently unaware of this local capacity. Take Huileries Haïtiennes, S.A (HUHSA), a Haitian subsistence and goods distributor for instance. HUHSA possessed sufficient ability and the capacity to stock the shelves of the subsistence warehouse for the United Nations' Stabilization Mission in Haiti (MINUSTAH). This was not the case when we toured the UN facility and discovered rice from Pakistan, cooking oil from Belgium, juice from Cyprus, ketchup from the U.S., and other internationally procured goods. The unfortunate circumstance here is that the UN either lacked the ability to identify local capacity or simply stuck to what was easiest for them.

Development theories suggest that the better way to support a local economy is for an international procurement entity to not rely upon one large, easy service provider or goods producer.



The underlying logic is that the procurement of one commodity across more than one vendor prevents monopolistic practices by the sole firm that was awarded the contract, increases competition, and helps decrease corruption. Yet we observed in both Central Asia and Haiti that procurement entities either stopped or never started looking for alternative, smaller suppliers upon discovering a large local vendor or they maintained current contracts with existing large international vendors.

## LOCAL PROCUREMENT APPROACHES

While it is not simple to procure from local vendors in a developing country, it is also not impossible nor should procurement entities simply go with what's "been working," or the path of least resistance. Proposed approaches are extensive enough to address local procurement issues for not only DoD and other USG actors, but also key international actors, including the UN, the World Food Programme, and others. Agencies should consider a number of possible actions. Structured approaches that combine both a process and methodology for develop-





multiple vendors must equitably reap the benefits of procurement of quality goods and services, and an on-the-ground presence allows procurement entities to seek the largest feasible number of suppliers. Why not create local vendor handbooks that provide a solid, permanent set of instructions on how vendors can bid on solicitations? Depending on the location and the goods and services sought, these handbooks would vary in focus, language, length and content. If this is done properly and with adequate resources, procurement entities themselves could conduct “outreach and teach,” programs to help connect local vendors with potential opportunities. Being on the ground and taking an active approach in the development of local vendors could also help them upgrade their capabilities or put them in contact with regional development banks.

Ad hoc approaches to meeting policy guidelines have produced an undesirable side effect, alienating the very vendors U.S., UN, and other local procurement policies sought to support. A systemized approach that harnesses a broker to identify the required local vendors is needed; this approach would have a broker work together with those identified vendors to assist throughout the bidding process. The goal is to help local vendors win solicitations that meet the requirements of both the procurement entity, as well as the local vendor. While helping to develop the local economy, local procurement policies concurrently help strengthen and transition the host nation’s internal economic structure from dependency to self-sustainability. It offers benefits going beyond short or long-term economic gains: locally procured food, shelter, water, medical supplies, and other life saving goods can reach areas of need far quicker than importing them from abroad. Reducing extreme poverty, improving economies, and assisting host nations be self-sustaining compelled us to reach out the international procurement entities and government organizations through this article.



*Disclaimer:*

The LMI team met with several local vendors whose inclusion during the course of LMI’s research in Port-au-Prince does not imply endorsement. Neither LMI nor its research team received any remuneration for their inclusion in this article. The information herein was taken from the team’s meetings, provided by each company’s respective website, and supplemented by the United Nations Procurement Division (UNDP).

ing local vendors, supported by an implementation process when necessary, are paramount for success. Without taking the initiative to look into the potential areas you may need to procure goods and services from, ad-hoc reactive local procurement will surely miss a more extensive vendor base. Enhanced planning and effective local procurement strategies will prevent the failures of previous ad-hoc implementation efforts, thereby greatly improving the response effectiveness to a contingency or disaster scenario and saving agencies scarce resources over the long-term. By asking questions in the planning stage, planners can understand the dynamic they are working in and work to solve issues before they arise. Imagine if a proper analysis and planning effort would have gone into local procurement strategies of Central Asia or Haiti. It would have contributed to enhanced regional partnerships, strengthened business models, higher employment, and created an environment in which the host nation could have addressed domestic programs.

Procurement entities, government organizations with heavy involvement from the host nation must supply an actual presence on the ground in the country or region where the local strategy is being implemented. For economic development to take hold,





# Interns Corner



2LT Brent Stimer

Indiana Univ. of Penn

Aide to the Director of PKSOI, senior intern and assistant coordinator of the intern program



Bai O'Donnell

DePaul Univ.

Develop a training module on Transnational crime and the impact on peace operations



Andrew Fletcher

Penn State Univ.

Develop a database for an international manual on Peace Operations and demonstrate with an example on protection of civilians and its effective implementation



Tyler Hacker

Virginia Military Institute

Assistant to a Peace Keeping and Stability Operations Institute off-site and a United Nations table top exercise



Robert Marshall

USNA at Annapolis

Assistant to a Peace Keeping and Stability Operations Institute off-site



Leon Whyte

Tufts University

A Decade of War Analysis



Kieran R. Green

Tufts University

Researching a new course syllabus on governance and resilience; assisting with the creation of a PKSOI external site that is designed to improve network connectivity

Word cloud containing terms: discuss, skills, research, operation, leadership, analyze, data, future, Best pra, scholarship, Team, find, briefing, document, identify, differentiate, strategy, lessons learned, e





# Interns Corner



Ryan Paradis

Dickinson College

Case-studies on the resilience of individuals living in third world countries



Michael Byers

Univ. of Pittsburgh

Case-studies on the resilience of individuals living in third world countries



Arianna De Reus

Penn State Univ.

Develop a scenario based on the possibility of a North Korean collapse and the resulting requirements for stability and reconstruction used for policy level and military table top exercises



William Mallard

Dickinson College

Creation of PKSOI's collaborative APAN website



Robyn Behar

Penn State Univ.

A Decade of War Analysis



MIDN Jack Mellgard

U.S. Naval Academy

Conflict related sexual violence publications/conference brochure



Mark Rynn

Penn State Univ.

Research Assistant DNSS



Conner White

Dickinson College

Develop a counter corruption blueprint for regeneration and expansibility to support Joint Capabilities Based Assessment 12

Word cloud containing terms: introduce, research, leadership, analyze, data, future, scholarship, understand, Team, find, briefing, identify, document, differentiate, strategy, lessons learned, edit, discuss, develop, practical, data, future, scholarship, understand, Team, find, briefing, identify, document, differentiate, strategy, lessons learned, edit, discuss, develop, practical, data, future, scholarship, understand, Team, find, briefing, identify, document, differentiate, strategy, lessons learned, edit.



# Interns Corner



Leigh Siegfried

Queens College

Research Assistant for Senior Leader Development and Resiliency



Justin Warren

Univ. of Pittsburgh

Develop an in-depth case study of the Kosovo Conflict with a focus on track I, II, III diplomacy in a peace and stability operations context



Cole Priest

Tufts

Editing, reviewing, and preparing the final draft of Army Techniques Publication (ATP) 3-07.6 Protection of Civilians which will be the official U.S. Army doctrine



David Stack

Penn State Univ.

Revise the China Syllabus with a focus on more relevant and timely topics and readings for professional military strategists



Cameron Stevens

Penn State Univ.

Research Assistant for the Strategic Studies Institute



Cadet Hope Landsem

USMA Westpoint

Propose and implement changes to the International Forum for the Challenges of Peace Operations. Studying how social cube theory can be used to analyze peacekeeping efforts in Kosovo



Mark Rynn

Penn State Univ.

Research Assistant DNSS



Daniel Glickstein

Univ. of Oklahoma

Researching a new course syllabus on governance and resilience

Word cloud containing terms: introduce, research, leadership, data, scholarship, strategy, edit, understand, Team, find, briefing, identify, lessons learned, document, differentiate, and others.







## UN Peacekeeping – “The Right Way to Lead”

*by PKSOI Intern Mr. Michael Byers*



In his commencement address at West Point on May 28, President Obama reflected on the trials and sacrifices of over a decade of war in Iraq and Afghanistan. He acknowledged that the need for operations in unstable areas will persist, and that the United States must work with partners in these endeavors. “For the foreseeable future, the most direct threat to America, at home and abroad, remains terrorism, but a strategy that involves invading every country that harbors terrorist networks is naïve and unsustainable,” said the President. Instead, multilateral action through UN peacekeeping can build stable environments that make it difficult for threats to American security to develop.

The first unarmed UN peacekeepers deployed in 1948 between former warring groups following the Arab-Israeli War. Since then, armed and unarmed peacekeepers have been involved in a total of 69 operations spanning the globe. Personnel operate under approved mandates that contain three mission principles: the consent of the involved parties, impartiality, and the use of force only in self-defense of the mandate. UN missions have been categorized broadly as securing peace, disarming and reintegrating combatants, defending civilians, and safeguarding human rights and legal processes.

While many consider UN operations largely humanitarian efforts, peacekeeping has enabled stable environments that help contribute to overall global security. Though some operations, most notably in Rwanda, have failed, many others have had great success. From securing peace in Cambodia and Guatemala, to ensuring democratic transition and self-determination in Namibia and Timor-Leste, peacekeepers have built a more secure world.

The United States benefits from UN peacekeeping through its spreading of democratic and humanitarian values. In its 2000 Millennium Declaration, the UN pledged its dedication to the preservation of individual freedoms and rights and to the promotion of democratic rule of law. This pledge has been put into action through facilitating electoral assistance and monitoring and protecting civilians in peacekeeping operations. Not only are these values held by the United Nations, but they are also fundamental American principles.

Additionally, participation in peacekeeping develops non-combatative military capabilities among U.S. personnel. Modern warfare is inclined to necessitate post-combat stability operations. In the 2013 National Security Policy, the Department of Defense stressed the need for maintaining capabilities to engage in non-combatative and low-intensity conflict operations. As the United States draws down from operations in Afghanistan, it is important that it retain its ability to not only fight and win wars, but also ensure its capacity to win the peace.

Currently, the United States contributes just over a quarter of the UN’s peacekeeping budget. While this may seem to be a great deal of money, the UN conducts 17 missions with about 115,000 personnel on a budget of nearly \$8 billion – the cost of just one month of American operations in Afghanistan. Peacekeeping operations provide a cost-effective way of maintaining global stability.

However, many believe that American involvement in UN peacekeeping threatens U.S. sovereignty and global power. The operations cost money, may limit the American military’s ability to command and control its own troops, and surrenders operation selection to the United Nations.

This may seem like a real problem, but examining American peacekeeping contributions reveals that these issues are insignificant. The total UN peacekeeping budget is \$7.83 billion per year with a little over \$2 billion coming from the United States. Though this may seem like a large amount of money in a time of massive budget cuts and ballooning debt, it is less than the cost of one Navy destroyer for America’s contribution to seventeen UN missions around the world. Additionally, the U.S. only deploys 132 out of the total 115,000 peacekeepers engaged in UN missions. These missions provide stability, preventing larger conflicts in the future and restricting the spread of terrorism.

Additionally, the United States has never surrendered its ability to command and control its troops, even in UN operations. Presidential Decision Directive 25, signed by President Clinton in 1994, reaffirms that the president only conditionally provides troops to UN operations, which can be recalled at any time, and that U.S. commanders in UN operations maintain the capability to report through their American commanders to the president.

Finally, UN peacekeeping operations protect American interests around the world. In addition to building stability, UN operations can only take place with the consent of the United States, a permanent Security Council member with veto power. Additionally, the U.S. has the right to participate only in UN operations that it sees fit.

The Department of Defense should continue to support peacekeeping operations and, if possible, increase the contribution of personnel. An increase from America’s current contribution of 132 personnel will not limit U.S. military capabilities. Rather, an increase in support for peacekeeping operations will provide experience in stability operations and further the DoD’s mission to defend the United States for only a fraction of the cost of unilateral action. As the President stated at West Point, “It’s a smart investment. It’s the right way to lead.”

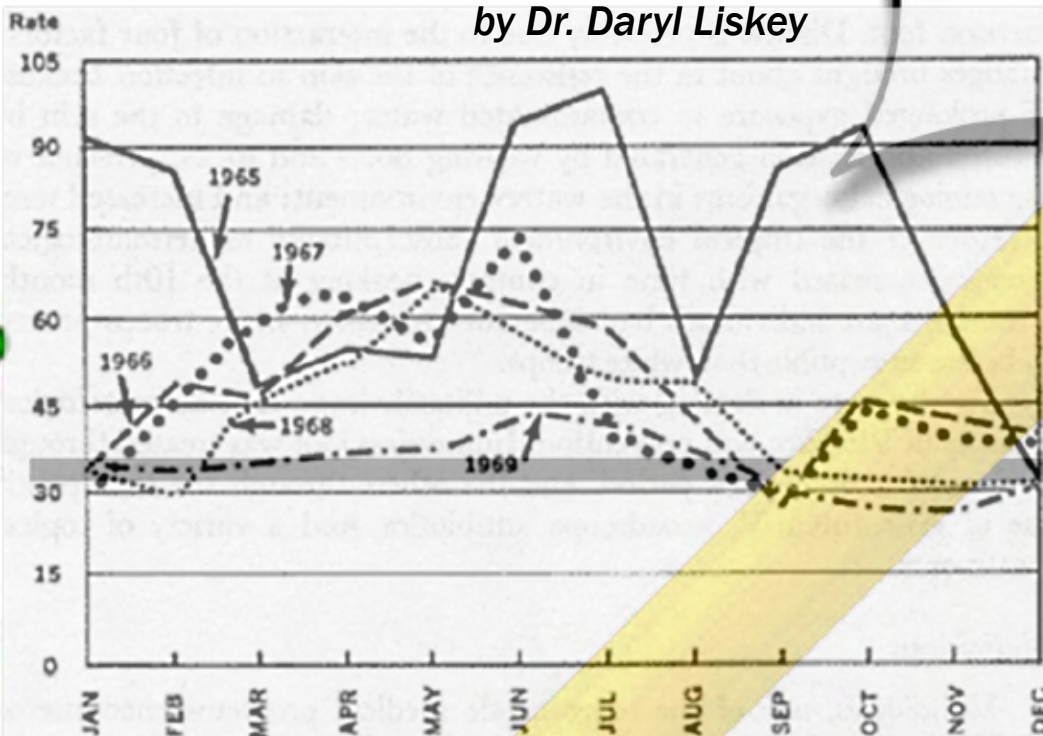






# U.S. Military Population Surveys in World War II and Vietnam: A Historical Review Of Methods

by Dr. Daryl Liskey



Surveys are often the best way to measure population viewpoints: their wants, perceptions, beliefs, and attitudes. Such measures are useful for assessing population dynamics and reactions for stability operations and for synchronizing lethal and nonlethal actions. However, there is substantial uncertainty over the accuracy and usefulness of surveys conducted in violent conflict areas.<sup>1</sup> For example, the survey estimate of about 650,000 Iraqi civilian violence related deaths published in the respected medical journal, *The Lancet* was about 10 times greater than most official estimates.<sup>2</sup>

To be clear, surveys conducted among a population largely at peace can be accurate when best practices are rigorously followed.<sup>3</sup> Such surveys are widely conducted by U.S. Government agencies, business corporations, health and education institutions, humanitarian organizations, the media, and academic researchers.<sup>4</sup> These surveys provide quantitative measurements for market research, quality control, assessments and evaluations, public opinion research, and testing of theories (models).

Surveys were also widely conducted in support of military missions during the recent conflicts in Afghanistan and Iraq. However, insecure conditions limited the execution of some best practices while the dynamic nature of conflict amplified biases from self-reported answers. Critics argue that these factors increase error and such surveys are not reliable or useful.<sup>5</sup>

Surveys to support military missions were conducted as far back as World War II. A review of this experience provides insights into the usefulness and limits of surveys conducted for stability, shaping, and warfighting missions. This article briefly reviews U.S. military survey research methods employed during World War II and the Vietnam War.<sup>6</sup> The review focuses on survey methods rather than describes survey findings. Methods are tools that provide capabilities that apply across wars and contexts and methodological lessons learned are directly relevant for future military operations. Before reviewing US military survey experience, a brief review of the evolution of survey methods is helpful to understand the limits and strengths of various methods employed by military forces during recent conflicts.

## **SURVEY METHODS: FROM CANVASSING TO PROBABILITY SURVEYS**

A survey is the systematic collection and aggregation of information to provide an overview of the whole or a population.<sup>7</sup> Surveys of populations have been conducted since ancient times although the methods have evolved. The Roman and Han empires conducted the first recorded censuses—a survey that canvasses all members in a population.<sup>8</sup> Charlemagne in

the 8th century surveyed local officials (bishops, abbots, and counts) and asked for “the most common reasons why men are commonly refusing to obey military orders.”<sup>9</sup> William the Conqueror in 1085 ordered meetings held in each shire to record his people and their property. More recently in 1798, the British “Defense of the Realm Act” directed local authorities to canvass the population’s willingness to resist a French invasion.<sup>10</sup>

While these survey methods were useful, they had shortcomings. A census is expensive, time consuming, and normally is limited to the enumeration of a people and property. Aggregation of qualitative assessments of local authorities and advisors may not reflect the views of the local population because the authorities may not fully know them and the authorities are subject to institutional pressures that can bias their assessments.<sup>11</sup> Records may be incomplete, in error, dated, or do not provide the data needed—which is widely the case in many countries where the U.S. military operates overseas.

In the 16th century by Bernardino de Sahaqun, a monk, conducted a sample survey where he interviewed natives using a question guide to compile a report on Aztec culture.<sup>12</sup> An advantage of a sample survey is that it can be conducted quickly and requires fewer resources than a census. Additionally, a sample survey directly solicits population views and the survey questions can be designed to fill information gaps.

Sample surveys were widely used in the 19th century. The social survey movement in Europe and the United States surveyed social problems such as crime and poverty, conditions that were amplified by rapid industrialization and urbanization.<sup>13</sup> In the United States, the first straw poll was conducted in 1824, which used convenience sampling methods.<sup>14</sup> Reporters asked questions of as many individuals as possible on the assumption that a larger sample would more closely approximate a census. However, statisticians, at the time, distrusted sample surveys because there was no reliable way to know whether a sample was representative of the larger population.<sup>15</sup>

Rapid industrialization also drove the requirement for anticipating customer demands to plan production by large industrial firms. Market researchers in the United States at the beginning of the 20th century developed close-ended unbiased questions written in clear everyday language. These surveys could be quickly administered and the answers quantified to provide measurements. Samples were selected by a quota method, which was thought to be representative.<sup>16</sup> A quota specifies the number of interviews to be conducted within a demographic category (such as gender and age) to mirror known demographic information. George Gallup famously predicted Roosevelt’s victory in the 1936 U.S. presidential election using quota meth-



ods while the Literary Digest wrongly predicted a Langdon victory based on a much larger (2.3 million) convenience sample.

At about the same time, academic statisticians applied statistical theory to develop probability (random) sampling methods. Probability sampling is a method to select a sample that reliably is representative of a population and from which the sample reliability (margin of error) can be directly estimated. Because error is always present to some extent in measurement, knowing the margin of error (and design effects) is needed to determine the extent the estimate is likely to be useful. In the early 1940s, U.S. Census researchers developed a practical method, multistage cluster sampling, to draw a probability sample for a population spread over a large area.<sup>17</sup> Probability surveys were subsequently adopted as a research method by U.S. Government agencies.<sup>18</sup> Gallup and other pollsters also adopted probability sampling methods, which was more expensive to conduct, after wrongly predicting a Dewey landslide in the 1948 presidential election.<sup>19</sup>

## U.S. MILITARY SURVEYS DURING WORLD WAR II

The U.S. military first employed population sample surveys (hereafter referred to as surveys) on a wide scale during World War II. During the war, most of the survey research sponsored by the military was conducted by the Research Branch of the Information and Education (formerly, Morale) Division at the War Department, and by the Psychological Warfare Division under the Supreme Headquarters Allied Expeditionary Forces (SHAEF) in Europe.

Initial proposals to conduct surveys in the War Department were controversial. Secretary of War Stimson banned “polls” because “anonymous criticism, good or bad, is destructive on a military organization.”<sup>20</sup> With the support of General Marshall, the Research Branch under the direction of Samuel Stouffer, an academic sociologist, conducted two “surveys” on American Soldiers. The finding that “beer drinkers in the army are better adjusted than non-beer drinkers” interested Secretary Stimson, who at the time was fending off attempts by Congress to ban the sale of beer at Army posts.<sup>21</sup> Thereafter, survey research received the support of senior Army commanders.

The Research Bureau surveyed mostly morale issues among Soldiers. Stouffer noted that conducting surveys under wartime conditions required a “balance” between practical considerations with survey best practices. For example, the practical constraints of duty rosters and requirements for “a fast, practical job” resulted in the use of quasi-probability sampling methods.<sup>22</sup> Recommendations resulting from the Research Bureau’s surveys contributed to the establishment of the Combat Badge,

measures to reduce resentment of enlisted towards officers, and training using live fire and realistic combat situations to reduce fear in combat, to name a few.<sup>23</sup>

The military also sponsored surveys of foreign populations. Prior to the U.S. entry into the War, Lloyd Free conducted a covert quota survey under the cover of market research to determine how best to reach Brazilians by radio (the Brazilian government at the time favored the Axis powers).<sup>24</sup> Later, Elmo C. Wilson, a civilian market researcher, organized a survey of local Frenchmen, conducted three-weeks after D-Day.<sup>25</sup> The Psychological Warfare Division under SHAEF continued to conduct “combat surveys” through the war. This effort included a survey of German prisoners of war that estimated Wehrmacht morale remained high until two months prior to V-E Day.<sup>26</sup> At the end of the War, more rigorous probability survey methods were used to assess the impact of bombing on the morale of German and Japanese populations for the U.S. Strategic Bombing Survey and to survey local population conditions and attitudes for U.S. military-government operations in occupied Germany and Japan.<sup>27</sup>

Following the War, surveys of Army personnel continued under the Troop Attitude Branch and, today, by the Army Research Institute (ARI). Probability surveys were also widely employed across the military services for personnel, training, and health assessments.<sup>28</sup> PSYOP doctrine incorporated survey methods, although primarily to measure the effect of messages or PSYACTs.<sup>29</sup> However, the War Department discontinued operational and strategic level surveys of foreign populations. Instead, the United States Information Agency (USIA) and, today, the State Department’s Bureau of Intelligence and Research (INR) conducted surveys of foreign populations.

A consequence of wartime survey research was to propel academic research in survey methodology.<sup>30</sup> By 1960, best practices for survey research were well established and the use of probability surveys extended across most segments of American society, economy, and politics.

## U.S. MILITARY SURVEYS DURING VIETNAM WAR

During the Vietnam War, surveys were employed in a war zone to inform efforts to “win hearts and minds.” Most of the these surveys were conducted by the Joint United States Public Affairs Office (JUSPAO) and, later, the Pacification Attitude Analysis System (PAAS) under the Civil Operations and Revolutionary Development Support (CORDS) program.

JUSPAO was established in 1965 as a joint U.S. Agency for International Development (USAID), U.S. Information Agency (USIA), and Department of Defense office for public affairs

and propaganda in Vietnam. Unlike Stouffer during World War II, JUSPAO surveys employed best practices that were not adapted to wartime conditions. Probability sampling methods were used but coverage was limited to hamlets that were “reasonably accessible and secure;” where best practices could be reliably executed.<sup>31</sup> Survey of only reasonable secure areas biased the sample by excluding rural areas contested or controlled by insurgents. Additionally, survey field interviewers were frequently identified as agents of the South Vietnamese government, which biased responses in an operational environment where enemy collaborators were targeted.<sup>32</sup>

The JUSPAO survey estimates contributed to a more favorable view of South Vietnamese popular sentiment than was warranted. For example, prior to the Tet Offensive, in a October 1967 Memo to the U.S. President, the JUSPAO survey was cited as reporting: “Seven in ten people welcome the American presence in Viet-Nam,” and “Nearly ten times as many people blame the war on North Viet-Nam, Communist China, the VC, and Soviet Russia as on the United States.”<sup>33</sup>

PAAS conducted surveys between March 1970 and July 1972. These surveys focused on pacification concerns. PAAS survey methods were in direct contrast to those used in the JUSPAO survey. Three-man field interview teams from each province were drawn from Vietnamese pacification advisors. The teams were trained to overcome respondents’ reluctance to express negative views towards the South Vietnamese Government. The PAAS survey methods included:<sup>34</sup>

Specific subjects to be surveyed are memorized by the cadre who do not directly ask the questions but use a semi-structured interview ... The semi-structured interview has proven to be the only feasible technique that is capable of encouraging rural respondents living in war time conditions to openly express their attitudes and aspiration.

Quota sampling has been used in the PAAS due to inadequate sampling frames and war time risk involved in surveying contested area.

Questions were validated while a pre-coded guide limited problems of coding reliability of qualitative answers to open-ended questions.

PAAS use of quota samples, reliance on pacification advisors, and memorization of questions and answers are not fully consistent with best practices. Despite these adaptations, the OASD (SA) RP Southeast Asia Intelligence Division in 1975 estimated that PAAS data provided a better assessment of security than the Hamlet Evaluation System (HES).<sup>35</sup> The HES was the

primary area security assessment system used during the war and was based mostly on subjective assessments by local advisors and commanders.

## AFTER VIETNAM

Since the Vietnam War, advances in personal computational technology and statistical software enabled surveys to be designed and deployed in the field, untethered to a mainframe computer. Additionally, the application of cognitive psychology and statistical theory by survey methodology researchers advanced methods to validate questions and minimize bias.<sup>36</sup>

During Operation Iraqi Freedom (OIF), a military survey capability was again retooled. The U.S. State Department trained a local Iraqi academic to conduct countrywide surveys to address policy-level concerns.<sup>37</sup> However, these surveys did not fully address military information requirements. As early as June 2003, the 312th PSYOP Company supporting the 1st Marine Division conducted a tactical level survey of the local population.<sup>38</sup> A survey capability in 2005 was established in western Iraq after civilian coverage ceased because of widespread violence. Many tactical and operational units in Iraq and Afghanistan also established survey research programs. At the company level, Soldiers and Marines often conducted censuses or directed intercept surveys at checkpoints. At higher echelons, civilian contractors were relied upon.

Some of these surveys covered only “reasonable accessible and secure areas” similar to the JUSPAO surveys. Additionally, questions were not always validated.<sup>39</sup> Failure to validate questions can result in survey measurements that reflect our own biases (a form of mirror imaging writ large) more than the local population’s views. Despite advances in survey methods since Vietnam and lessons learned it is uncertain whether the results of many of the surveys conducted during OIF and Operation Enduring Freedom-Afghanistan (OEF-A) were better or worse than that achieved in the JUSPAO surveys.

## CONCLUSION

The above historical review is incomplete and a more comprehensive review is needed to draw firm conclusions from past U.S. military survey research experience. Tentative conclusions are that adapted survey best practices can produce useful results; the failure to survey insecure areas can bias assessments; and a need for a military survey capability is reoccurring.

Survey best practices developed in peacetime can produce more useful results when *adapted for wartime conditions*. Wartime conditions means many best practices cannot be fully imple-



mented. Wartime operational tempo often means that there is insufficient time to fully implement many best practices. Reliable demographic information needed to establish a sampling frame for a probability sample often is not available because census information may not be accurate and war or unstable conditions often causes populations to move. Violent conflict limits access to populations needed to develop and validate questions while at the same time amplifies biased responses that can produce misleading measurements. Additionally, many quality control procedures cannot be implemented in insecure areas. However, ignoring best practices can result in the errors they were designed to mitigate.

As demonstrated by Stouffer in World War II and the PAAS surveys during Vietnam, adapted best practices based on survey methodology principles can be useful. Additionally, modern technology provides further opportunities to adapt best practices. Two examples are the adaptation of the U.S. Department of Agriculture grid sampling methods based on imagery to draw a probability sample<sup>40</sup> and use of GPS and wireless technology to report location, time, and key strokes for interviews increases quality control.<sup>41</sup>

**Failure to survey insecure areas** can bias assessments as demonstrated by the JUSPAO surveys. Survey of only “reasonable accessible and secure” areas can result in more positive results than warranted. Friendly populations move to “secure areas” and facilitate holding of these areas. Additionally, survey of insecure areas can be critical because outcomes in contested and insurgent influenced areas can be important for overall mission success. Surveys of these areas also contribute to the synchronization of lethal and nonlethal actions needed to clear and sustain holding operations.

During OIF, insecure areas were surveyed in Al Anbar in 2005-06 and Baghdad in 2007-08. Methods developed resulted in successfully accessing and surveying violently contested areas. Additionally, methods to survey armed conflict areas has recently become a focus for academic survey methodology researchers supporting humanitarian and disaster assistance efforts. Their research and methods can contribute to developing better survey methods to support military missions.

The requirement for a military capability to conduct surveys is likely to be enduring. After the U.S. military developed an initial survey capability in World War II the military had to regenerate a capability for the Vietnam War and again for OIF and OEF. The consequence was that some lessons learned were forgotten while a sustained effort to improved survey capabilities for insecure areas was not undertaken. Further, the above review indicates that civilian survey capabilities cannot be fully relied upon for military missions, particularly for surveying

insecure areas. Civilian agencies do not focus on many military objectives or have the capacity to survey areas where lethal violence is ongoing. A military capability is likely to be enduring to the extent that knowledge of populations is important to achieve military missions.

Surveys in warzones are a blunt tool that is not as accurate as surveys of a population largely at peace. Current surveys of insecure areas are like a high-altitude low-resolution imagery where major features observed over a wide area are blurred. The picture must be refined through statistical analysis to reliably identify major features. Development of a more accurate survey tool can provide measurements of smaller population features and enable assessments of smaller changes. Such a capability improves the ability to anticipate population reactions and assess the effects of programs. Developing such a capability can be advanced through a sustained effort—institutionalized in doctrine, organization, and training. A more powerful survey capability contributes to achieving superior human domain knowledge, which shifts the traditional advantage of asymmetric adversaries’ local knowledge of the population to our favor and enables the more effective exercise of Landpower in the 21st century.



#### NOTES:

<sup>1</sup> For example, see Todd C. Helmus, Christopher Paul, and Russell W. Glenn, *Applying Madison Avenue Principles and Recent Operational Experience to Counterinsurgency and Stability Operations*, RAND, 2007.

<sup>2</sup> Gilbert Burnham, Riyah Lafta, Shannon Doocy, and Les Roberts, “Mortality after the 2003 Invasion of Iraq: A Cross-Sectional Cluster Sample Survey,” in *The Lancet*, Vol. 368 No, 9545, 2006, pp. 1421-1428.

<sup>3</sup> For example, the error in a survey for reported social security benefits compared to a records check was about two percent. Minh Huyah, Kalman Rupp, and James Sears, “The Assessment of Survey of Income and Program Participation Benefit Data Using Longitudinal Administrative Records,” SIPP Working Paper No. 238, U.S. Census Bureau, 2002.

<sup>4</sup> The Office of Management and Budget (OMB) publishes survey best practice guidelines and standards for U.S. Government agencies. See U.S. Office of Management and Budget, Office of Regulatory Affairs, *Standards and Guidelines for Statistical Surveys*, September 2006, and *Questions and Answers When Surveys for Information Collection*, January 2006 both

<sup>5</sup> For example, see Sultan Barakat, Margaret Chard, Tim Jacoby, and William Lume, “The Composite Approach: Research Design in the Context of War and Armed Conflict,” in *Third World Quarterly*, 23 (2002): 991-1003.

<sup>6</sup> A comprehensive review of military combat surveys was not found. For a history of U.S. military personnel and training surveys see Charles R. Shrader, *History of Operations Research in the United States Army*, U.S. Army, Center of U.S. Military History, 2009.

<sup>7</sup> See Jean Converse, *Survey Research in the United States: Roots and Emergence 1890-1960*, Transaction Publishers, 2005, p.8. Survey is not defined in JP 1-02. In an organizational context, U.S. Army Regulation 600-46 (“Attitude and Opinion Survey Program,” November 1, 1979. p.1) defines survey as “The collection of data concerning the intensity and direction of feelings and beliefs for the purpose of description or prediction, as a guide to action, or for the purpose of analyzing relationships between variables.”

Additionally, “polling” and “survey” are often used interchangeably. The U.S. Government uses the term “surveys” while U.S. Army Field Manuals usually use “polls and survey” to distinguish population surveys from other kinds of military surveys. Strictly speaking, “polling” is a method to count opinions or ballots (*Merriam-Webster Dictionary*) while surveys are conducted to establish an overview and aspires to measure true population conditions, behaviors, and viewpoints rather than just opinion as where analysis becomes as important as data collection.

<sup>8</sup> Walter Scheidel, ed., *Rome and China: Comparative Perspectives on Ancient World Empires*, Oxford University Press, 2010. Some trace surveys back 4,000 years to the ancient Egyptians and early Chinese kingdoms.

<sup>9</sup> Thomas Peterson, “The Roots of Survey Research” (The Public Opinion Pro, 2005): online

[http://www.publicopinionpros.norc.org/features/2005/feb/petersen\\_s3.asp](http://www.publicopinionpros.norc.org/features/2005/feb/petersen_s3.asp)

<sup>10</sup> Chris Evans, *Debating the Revolution: Britain in the 1970s*, I.B.Taruris, 2006, p. 62.

<sup>11</sup> For an example of wildly inaccurate estimates that can result, see *Great Leap Forward in Maurice Meisner, Mao's China and After: A History of the People's Republic*, Simon and Schuster; 1999, p. 233.

<sup>12</sup> Peterson.

<sup>13</sup> The social survey movement was largely a subsidiary movement that supported the social reform movement of that era. See Converse, Chapter 1.

<sup>14</sup> Tom W. Smith, “First Straw? A Study of the Origins of Election Polls,” in *Public Opinion Quarterly*, Vol. 54, No. 1 (1990), pp. 21-26.

<sup>15</sup> Jelke Bethlehem, *The Rise of Survey Sampling*, Statistics Netherlands, 2009, pp. 13-14.

<sup>16</sup> Converse, Chapter 3.

<sup>17</sup> U.S. Bureau of the Census, *A Bibliography of Selected Statistical Methods and Development Related to Census 2000*, Statistical Research Division, report prepared by Tommy Wright and Joyce Farmer, Statistical Research Report Series No. RR 2000/02 issued August 10, 2000; Part I.

<sup>18</sup> Converse, *Survey Research in the United States*: 28-29. The U.S. Department of Agriculture pioneered the use of probability sampling in the 1930s.

<sup>19</sup> See David W. Moore, “Six Decades of Gallup Polling: Interviews with Alex Gallup and George Gallup Jr. in the Public Perspective,” April/May 1997, Roper Center. In Jean Converse’s view, in part, they did so to gain protection from the authority of academic scientific prestige (Converse, p 222).

<sup>20</sup> Quote cited by Christopher P. Loss, *Between Citizens and the State: The Politics of American Higher Education in the 20th Century*, Princeton University Press, 2012, p.95.

<sup>21</sup> Converse, pp. 157-158.

<sup>22</sup> *Ibid*, p.159, p.195.

<sup>23</sup> Joseph W. Ryan, “Samuel A Stouffer and the American Soldier,” in *Journal of Historical Biography*, Vol. 7, Spring 2010, pp. 100-137.

<sup>24</sup> Converse, pp. 142-143. Later, prior to the Bay of Pigs, Free organized a survey of Cubans. The survey found Cubans were overwhelming optimistic about the future while opposed the return of Batista. See Daniel Patrick Moynihan, *Secrecy: The American Experience*, Yale University Press, 1998, p.222.

<sup>25</sup> Converse, p. 177.

<sup>26</sup> M.I. Gurfein (Lt. Col.) and Morris Janowitz, “Trends in Wehrmacht Morale” in *Public Opinion Quarterly*, Vol.10, No. 1, Spring 1946, pp.78-84.

<sup>27</sup> See *U.S. Strategic Bombing Survey: European War (1945) and Pacific War (1946)*, U.S. Government Printing Office; Public Opinion in Anna J. Merritt and Richard L. Merritt, eds., *Public Opinion in Occupied Germany: The OM-GUS Surveys, 1945-1949*, University of Illinois Press, 1970; Lt. Col (USAF).

John W. Bennett, “A History of Public Opinion and Sociological Research Division, SCAP,” accessed online Ohio State University Library at [http://library.osu.edu/projects/bennett-in-japan/3a\\_docs.html](http://library.osu.edu/projects/bennett-in-japan/3a_docs.html).

<sup>28</sup> USIA media research today is conducted under the authority of the Broadcast Board of Governors.

<sup>29</sup> See U.S. Army Field Manuals 33-5, 1966.

<sup>30</sup> Stouffer et al., *The American Soldier*, Princeton University Press, 1949.

This seminal book was written after the war but based on wartime survey research and set a model for the “new social science”. In addition, the National Opinion Research Center at the University of Chicago, gained its sea legs during the War and Rene Likert established the Survey Research Center at the University of Michigan soon after the War. Likert was the director of the Program Surveys, Department of Agriculture during the War and the Morale Division of *The U.S. Strategic Bombing Survey*.

<sup>31</sup> See JUSPAO, *Research Report: National Hamlet Survey Fourth Interim Summary Report*, 13 December 1967, p. 1.

<sup>32</sup> There is considerable doubt that JUSPAO could select a true probability sample under the conditions that prevailed (as indicated in the PAAS survey). George H. Morris and John E. Dunkelberger allege JUSPAO survey used quota sampling and the samples had an urban bias. See “Duc Hoa Villagers’ Opinion about the U.S., Americans, and Vietnamese Affairs 1992: Then and Now” in *The International Journal of Contemporary Sociology*, Vol. 33, No. 6, December 1995, pp. 1-6.

<sup>33</sup> See Eugene M. Locke’s memo to Walt W. Rostow, Saigon, October 17, 1967, W. W. Rostow to President Lyndon B. Johnson; Nationwide Hamlet Survey, 25 October 1967, deposited at the The Vietnam Center and Archive, Texas Tech University, Folder 10, Box 02, Veteran Members of the 109th Quartermaster Company (Air Delivery) Collection.

<sup>34</sup> MACV, CORDS Headquarters, Office of the ACofS, *Pacification Attitudes Analysis System Jul-Aug 70*, Pacific Studies Group, reported by Col (Ret.) Terry E Rowe.

<sup>35</sup> Thayer notes that 44 percent of hamlet residents rated security conditions lower than indicated by HES. He noted an optimistic bias in the HES reports (local commanders relied upon local advisors for about 50 percent of the assessment items). See Thomas C. Thayer, *A Systems Analysis View of the Vietnam War 1965-1972*, OASD (SA) RP Southeast Asia Intelligence Division, 1975, p. 45.

<sup>36</sup> See Robert M. Grove *Survey Errors and Survey Costs*, Wiley, 2004.

<sup>37</sup> Interview with the Iraqi academic, August 2005.

<sup>38</sup> Interview with 312th commander, then MAJ Calvin DeWitt, December 19, 2013.

<sup>39</sup> For example, see remarks by Sarah Chayes, Carnegie Foundation online <http://carnegieendowment.org/2012/12/03/in-afghanistan-it-s-not-all-in-numbers/epjw>, accessed Jan 2014.

<sup>40</sup> Humanitarian / disaster relief NGOs have recently proposed similar grid sampling techniques to those used in Anbar province. For example, see L.P. Galway et al, “A Two-Stage Cluster Sampling Method Using Gridded Population Data, a GIS, and Google Earth Population-based mortality Survey in Iraq,” in *International Journal of Health Geographics*, Vol. 11, No.12, 2012, online: <http://www.ij-healthgeographics.com/content/11/1/12>.

<sup>41</sup> For example, today, the Survey Research Center at the University of Michigan employs cutting-edge technology to record respondent’s answers, computer key strokes, time, and location; and to transmit the data from the field, globally, to a central data management system in near real time.

<sup>42</sup> See Zenia N. Mneimneh, William C. Axinn, Dirgha Ghimire, Kristen L. Cibelli, and Mohammad Salih Alkaisy. Conducting Surveys in Areas of Armed Conflict. R. Tourangeau, Bates, Edwards, Jonson, and Welter, editors, *Interviewing Hard to Reach Population*, Cambridge University Press: 2014 (forthcoming).





# Peace & Stability Operations Training and Education Workshop

March 24-27  
George Mason University  
Arlington, Virginia



# 2014



The 2014 The Peace & Stability Operations Training and Education Workshop (PSOTEW) was held at George Mason University's Arlington Campus, Arlington Virginia from 24 – 27 March 2014. This event marked the 10th anniversary of PKSOI co-hosting a workshop to address peace operations, stability operations, P&SO training and education, or a whole-of-government approach. The workshop reflects the great efforts and resolute dedication of the community of interest that is focused on discussing current challenges and best practices toward improving civilian and military teaming efforts in Peace and Stability Operations. These efforts endeavor to ensure that resources, in particular, time and energy, are applied to training and education for peace and stability operations. Many organizations participated in this event. This year's event was sponsored by Mr. Frank DiGiovanni, Director, Force Readiness and Training, Office of the Deputy Assistant Secretary of Defense (Readiness) and graciously hosted by George Mason University's Peace Operations Policy Program.

## BACKGROUND

For the past several years, the Peace and Stability Operations Training and Education Workshop (PSOTEW) has provided a forum through which a broad assembly of educators and trainers can dialogue on essential content, methods and practices in the areas of conflict response/prevention and peacebuilding programs; and to collaborate on the development and presentation of integrated, cross-organizational curricula and programs that advance leader development, education, and training across our community of interest. The goals of this workshop were:

- to provide a forum that addresses the equities of the community of practice and its activities;
- to foster collaboration between the joint professional military education and academic communities;
- to link community efforts; and
- to inform and support senior leaders, to monitor progress, and to provide feedback on the recommendations over the next year

## WORKSHOP OBJECTIVES

Over the past decade of, not only major wars but, numerous responses to conflicts and disasters, the United States government has been continuously challenged to develop, to resource, and to conduct effective, integrated efforts to shape conditions and to respond to emerging security challenges. The call for the Department of Defense to engage with other nations through partnerships, designed to increase regional capability to respond to conflicts and disasters, will require innovative and adaptive

approaches by leaders and practitioners. Building upon last year's discussions on methods for adapting our education and training efforts to meet future challenges, this year's workshop focused on "Partnerships and Innovation: Novel Approaches to Training, Educating, and Engaging in Peacekeeping and Stability Operations." In this year's event, participants discussed the challenges of building effective partnerships across organizations involved in conflict and disaster preparedness and response, and the education and training options, efforts, and innovations that can be developed for the community's benefit. Discussions occurred across three work groups and were directed toward providing insights, assessments, and recommendations on education, training, and leader development challenges within the community of practice. It is a goal that the community of practice acts on the recommendations relating to their respective activities as we work cooperatively across organizations.

The workgroups conferred with the following objectives in mind:

- Develop programs that support effective, durable and flexible relationships that meet the need of the Department of Defense and the US Government. Enhance the current curriculum and efforts in education, training and leader development (ET&LD) across the community of practice to reflect the changing competency requirements;
- Identify areas requiring adaptation and/or expansion, and propose innovative approaches for future action across the community;
- Identify challenges and propose options for mutual success that leverage mutual efforts, integrate emerging practices and technologies that can be accomplished within the current resource-constrained environments.

## WORKSHOP DESIGN

There were three work group breakouts running concurrently:

1. Conflict Prevention - Partnering for Success in Prevention and Management Efforts
2. Disaster Preparedness and Risk Reduction Engagement Strategies to Support the Health Sector
3. Governance Innovation for Security & Development

The first day of the workshop included presentations by keynote speakers, General Gordon R. Sullivan, U.S. Army Retired, President and Chief Executive Officer, Association of the United



States Army and Ms. Clare Lockhart, Co-founder and Chief Executive Officer, Institute for State Effectiveness that set the context for the work that was to follow.

The workgroup leads selected the plenary speakers for the first day's afternoon. The speakers were Dr. George Lopez, Vice President, Academy for International Conflict Management and Peacebuilding, United States Institute for Peace; Dr. Ciro Ugarte, Regional Advisor, Department on Emergency Preparedness and Disaster Relief, Pan American Health Organization; and Brigadier General Ferdinand Irizarry II, Deputy Chief of Staff, G-3/5/7, U.S. Army Reserve Command. Mr. Frank DiGiovanni provided opening remarks and Dr. Lance Betros, Provost – US Army War College, served as master of ceremony.

The second day for Workgroup 1 and Workgroup 2 began with a morning session composed of panel presentations and moderated discussions, centered on presenting tailored ideas/concepts by subject matter experts and senior practitioners. These presentations led to informed discussions. These two workgroups used the following framework to guide the discussion.

*Assess:* In the current political and fiscal climates, what are the challenges of the near and future operating environments and the challenges that leaders must face?

*Partner:* What are the synergies that can be developed amongst organizations? What economies can be created?

*Innovate:* What paradigms, intra-organization and inter-organization, need to be changed? What are the steps to create lasting change?

The second day for Workgroup 3 consisted of analyzing the required expertise qualifications, human behavior dynamics in support of conflict prevention and mitigation, and technological enablers for stability and peace building across the major stability operations sectors: provision of essential services, civil security, rule of law, governance, economy and infrastructure, and homeland integration.

Each work group concluded their efforts by compiling their insights, assessments, and recommendations across the two days in preparation for presentation to all workshop attendees on the following day. Final out-briefs to the peace and stability operations training and education community concluded the workshop the morning of Day 4.



## Partnering for Success in Future Conflict Prevention and Management Efforts

by USIP's Jim Ruf, Kelly Mader, Ann Phillips, and Dale Erickson

The United States Institute of Peace (USIP), in partnership with the Center for Complex Operations (CCO) at the National Defense University, led a Conflict Prevention working group at the annual Peace and Stability Operations Training and Education Workshop (PSOTEW) in March 2014. This year's PSOTEW focused on the themes of partnerships and innovation.

Building on last year's workgroup efforts, USIP and CCO chose to focus on conflict prevention again this year. The topic merited continued discussion due to its importance to the field of peace and conflict resolution. The USG, NGOs, and IOs have all identified conflict prevention as a national security priority. The reasons are clear: after more than a decade of costly stabilization and reconstruction missions in both human and material terms, the results are disappointing. Successful conflict prevention is less costly in absolute terms and precludes the devastating impact on societies that violent conflict imposes and recovery from which is demonstrably difficult. Despite an overwhelming consensus on its benefits, conflict prevention does not command comparable attention from national/international security professionals. International crisis response situations are more pressing; successful conflict prevention assistance cases are few and very difficult to prove. At the most basic level, there is no agreement on a definition and parameters of conflict prevention. It should not be surprising, therefore, that analyses of conflict prevention are more anecdotal than systematic and policy prescriptions are vague. Moreover, organizations find it virtually impossible to prove that their assistance prevented conflict. How does an organization quantitatively and qualitatively demonstrate that specific conflict prevention efforts stopped the occurrence, escalation, or resumption of violence? With these core issues and points of contention in mind, USIP and CCO set out to further the conflict prevention field through contrasting case studies and new concepts.

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## BACKGROUND:

Last year's working group was co-led by USIP and the Naval Post Graduate School. Given that it was the first working group on conflict prevention, the agenda covered the basics of conflict prevention with a mixed group of participants—practitioners, academics, civilians, military, government and NGOs. It focused on competing perspectives of conflict prevention and explored conflict prevention tools. The most fruitful discussions in the 2013 working group centered to two cases: Jordan and Kenya. Jordan was selected as a case of potential conflict; Kenya represented a case in which the international community was keen to prevent the recurrence of conflict. The value of examining generic concepts and tenets through specific cases shaped the conflict prevention working group's agenda in 2014.

The workshop began with a framing of the environment and identification of key issues and insights by two keynote speakers; Ambassador (Ret) John Herbst and Dr. George Lopez, Vice President of the U.S. Institute of Peace's Academy for International Conflict Management and Peacebuilding. Ambassador Herbst emphasized the importance of "intelligent partnership" in conflict prevention and conflict response. According to Herbst, Neither external or host nation stakeholders have the capacity to achieve successful conflict prevention on their own. That said, the current donor fixation on "capacity building" is not the answer. Rather, intelligent partnership asks 'what is the political problem that needs to be solved? It functions like a facilitator, seeking local solutions. Local solutions provide the most resilient and sustainable results and ultimately require fewer resources. Donors need to learn to listen and understand the local dynamics, before offering 'expert solutions' that may be derived from external perspectives on a given issue.

Dr. Lopez tasked the group to identify what we still need to know; to consider the common factors that contribute to success or failure in conflict prevention, and to identify the strengths and weaknesses of our organizations to do the necessary training for effective conflict prevention. What partnership and training opportunities do we have to maximize our impact and ultimately prevent violent conflict? With their charge, the workshop began its work by reviewing last year's work, examining contrasting conflict prevention case studies and exploring new approaches to conflict prevention.

## SUCCESSFUL CASE STUDIES:

The workgroup explored efforts in Macedonia and in the 2013 Kenyan elections as successful conflict prevention cases. To structure the presentations, each panelist was asked to comment

on primary factors that contributed to success, with special attention to identifying key partnerships and host country sources of resilience. Former U.S. Ambassador to Macedonia James Pardew began the panel discussion with a brief overview on the environment in Macedonia and factors that led to a successful conflict prevention effort. Three factors were most important: US-EU unity of approach; modest assistance; and diplomacy. First, the US and EU were unified in their negotiations with the Government of Macedonia. Second, only modest assistance was provided (larger more complex operations are more difficult to plan and execute) and it was used as a reward for good behavior as opposed to an incentive for behaving better in the future. Third, early detection of potential violence allowed assertive diplomacy, backed by military force, to be effective.

The second panelist, Mr. Jonas Claus, a Program Officer at USIP, described his year-long research of the 2013 Kenyan elections. This case highlighted the dichotomy between international and local perceptions: The international community widely touted its efforts to reduce conflict before and after the 2013 elections in Kenya as a major success. The local population, however, did not consider it a success. This case study underscores some of the challenges of analyzing success in conflict prevention. On the one hand, the absence of wide-spread election violence meant that on some level the conflict prevention methods were successful. However, closer examination of the situation in the country and discussions with people in the country reveal that violence in 2013 was simply suppressed by several factors; among them a lingering weariness from the high costs (both human and material) of the violence that followed the 2007 elections, fear of police action, and the threat of accountability to the ICC. Yet, the drivers for future violence remain unaddressed. As our speaker described, Kenya received a painkiller when what they really needed was therapy.

These two cases, both regarded as examples of successful conflict prevention, underscore the infancy of conflict prevention efforts. The sample size is extremely small. Furthermore, the two cases offer little comparability in scope. Still, key factors pulled from these two cases provide a starting point for additional research. One definite theme that emerged is the importance of partnering with the affected community to achieve local solutions - or the intelligent partnering approach suggested by Ambassador Herbst. Herbst opined that "analysts and practitioners should function more like facilitators and less like experts - be quick to listen and observe, and comparatively slower to talk and act." Using this approach, conflict prevention can make a positive impact on how organizations and host countries operate together in the field.



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## UNSUCCESSFUL CASES OF CONFLICT PREVENTION:

Two recent high profile cases, South Sudan and Mali, highlight deficits in our capabilities to anticipate and respond to deteriorating conditions in countries of strategic importance to the U.S. and the international community. In both cases, the United States and others had been engaged for more than a decade in concerted efforts to bring peace and stability. Panelist Dr. Linda Bishai, a Senior Program Officer working on South Sudan at USIP, noted in the case of the Sudans, many experts were focused on preventing the wrong conflict; that is, a major conflict between Sudan and South Sudan. As a result, most missed the prevalent signs of growing tensions among factions within South Sudan. The South Sudan case reinforces the importance of identifying conflict drivers early and addressing them swiftly—a central point made by Ambassador Pardew in his discussion of Macedonia. Moreover, the international community offered aid as incentives to elicit constructive behavior by key actors in South Sudan instead of rewarding good behavior with aid, as had proven effective in Macedonia.

Panelists Lesley Anne Warner, the CNA Center for Strategic Studies, and Kamissa Camara, the National Endowment for Democracy, presented the second case—Mali. Mali was part of an innovative and promising U.S. regional counter-terrorism program. France had a similar program in the region. The U.S. effort incorporated the three “D’s”—Defense, Diplomacy and Development. The failure of a decade of conflict prevention efforts in Mali reinforce a critical takeaway from South Sudan, the danger of being too focused on one aspect of the conflict. In Mali, the conflict prevention programs focused on counter-ing violent extremism and terrorism through a broad range of programs intended to strengthen not only security institutions but also to address the many grievances of long-marginalized populations in the northern part of the country. Retrospective analyses of the failure in Mali emphasized the narrow scope of the program, probably to divert criticism. More useful, however, they pointed to the failure of U.S. inter-agency partners to develop a common understanding of critical vulnerabilities in the country and region which, in turn, led to fragmented and sometimes conflicting assistance efforts. Mali further demonstrates the issue of focusing on one partner, thereby missing competing narratives within the broader population. The sources of conflict identified by the Malian government did not capture grievances identified by the local population living in the conflict zone. U.S. agency personnel lacked the country and regional expertise to know the difference, making it impossible to establish effective conflict prevention programs.

These are just two examples of many less successful conflict prevention efforts. Yet, from these two cases, the group identified several key takeaways and lessons learned for preventing violence. First, accurate assessment of grievances and critical vulnerabilities is essential. Second, assistance providers must know the history, traditions, culture, key actors and their agendas of the countries and regions they hope to help. More research needs to be done with a greater sample size of case studies to determine if the commonalities identified by the panelists and participants hold up in other cases. This research could provide us a road map and a solid basis in theory and practice upon which to base future policy.

## INNOVATIONS IN CONFLICT PREVENTION

The second phase of the workshop focused on the way forward for conflict prevention, introducing two innovative approaches, which were essentially unknown to working group participants: First, The New Deal for Engagement in Fragile States; second, Resilience. A panel of key stakeholders, composed of Rachel Leatham, the U.S. Department of State, Kirby Reiling, USAID’s Office of Conflict Management and Mitigation, and Kristen Wall, National Democratic Institute, introduced the core principles of the New Deal and their application in pilot countries, providing both a conceptual and practical overview. The New Deal is a country-led aid strategy that specifies host country leadership in conducting a fragility assessment, establishing priorities, and designing One Plan for transitioning out of fragility that utilizes and strengthens host country systems. The New Deal Framework requires more transparency from donors and the host country in the delivery and use of aid. Civil society and the government create accountability measures in order to minimize corruption in the process.

Liberia, one of eight pilot countries, played a key role in the G7+ negotiations that established the New Deal. Liberia remains fragile more than a decade after its deadly civil war. Too often aid plans do not address long-term goals of the host country or prioritize the issues that are most important conflict drivers. In Liberia, ongoing legitimacy deficits in politics and governance remain at the heart of that country’s vulnerabilities. Land reform, necessary to address core grievances, has stagnated as a result. The New Deal is intended to leverage resources of both donors and the host nation to address these core problems, while still maintaining host nation leadership.

The second session on innovation focused on Resilience, a concept complementary to the New Deal paradigm. Similar to the term ‘conflict prevention’, resilience, resilience is a term of art in contemporary discourse, has various definitions and is used

in many contexts and ways. For the purpose of more effective conflict prevention, attention to resilience requires donors to identify and support host nation capacities and sources of resilience that are found in all fragile states. To fully explore this key topic, the workgroup split into two break-out groups and held a facilitated discussion to first identify which organizations were talking about resilience. Those that were, were asked how they identified and supported sources of resilience in fragile states, and how their training incorporated attention to identifying and supporting sources of resilience in the host country. The discussions yielded some useful insights. Resiliency in the context of peacebuilding was defined as the ability of a society to rebound following conflict. The break-out groups agreed that resiliency as it relates to peacebuilding is a newer term and concept that is not yet understood by all. Education can help normalize/socialize this concept among the field.

Additional insights included the importance of recognizing and identifying sources of resilience within society early, before conflict occurs. Too often assistance providers undercut local capacity because they do not recognize it. This weakness may be exacerbated by a lack of understanding on how to foster and support local resiliencies. For example, the resiliency potential of the tribal system in Afghanistan was undercut by an excessive inflow of donor money to set up formal state structures which often lacked competence and legitimacy. The groups concluded that assistance providers need additional education to help identify the formal and informal structures that they can support. Finally, the break-out groups suggested expanding current practice for identifying local partners with whom to work. Current practice limits potential partners to the largest and best known, excluding organizations and individuals that someone with shallow knowledge of the host country may be unaware. The group recommended trying a sector-based approach of identifying resiliencies (health, religious, security, economic, etc.) in order to broaden the scope of potential local partners that may have greater credibility and effectiveness in their communities than better known organizations. The potential risk of a sector-based approach, however, is to reinforce debilitating silos or stovepipes that dominate current assistance practice.

### **THE WAY FORWARD:**

Combined, The New Deal and Resilience require a paradigm shift in donor approaches to fragile states from the host country as recipients of assistance to real partnerships. Such a shift would address some of the notable takeaways from the case studies, such as keeping the focus on sustainable, well-organized programs (Macedonia) and emphasizing institution-building (Mali). A switch in focus to the host nation, assistance becomes

less about external interests. Donors need to understand competing narratives and be able to discern real drivers of conflict. In order to do this effectively, assistance providers must include country and regional experts as well as functional experts. The contribution of effective conflict prevention to national and international security is clear. Just as conflict prevention is cheaper than conflict response, effective conflict prevention that addresses root causes will be cheaper and more effective in the long run than the conflict suppression form of prevention (Kenya), which necessitates constant vigilance and may not always prove successful.

The sizeable number of participants in the conflict prevention workgroup and the level and quality of participation throughout the workshop, demonstrates that this topic merits continued consideration. Declining monetary resources for development and assistance make it essential to work together on research that can inform policy, reshape educational and training programs/and improve the effectiveness of practitioners working on conflict prevention in the field.



## **Governance Innovation for Security and Development**

*by the Navy Post Graduate School's  
Karen Guttieri*

Innovation, sometimes conceived as the production of new artifacts, also involves new social processes that become widely adopted with significant impact. The Hague Regulations of 1899 and 1907 established military responsibilities to care for civilians under occupation that were innovative for their time. Since then, national policies, military doctrine and additional international conventions elaborated on the themes of Hague, to ensure as much as possible that acts of military necessity are balanced by principles of humanity, and to mitigate the governance challenges arising from war and its aftermath. But over this period, the modern welfare state developed, playing a different and larger role as a provider of essential services and more. The demands on military government - conceived initially as a custodian of the sovereign in exile - increased and have come to include broad areas of security and development. In recent years, new norms around human security shifted the



focus again: humanitarian interventions today may be directed not only to stabilize relationships between states but to protect people within them. And meanwhile, new national, international, non-governmental and even for-profit agencies emerged to address the challenges of security and development.

In this institutional and historical context, what are the tasks and responsibilities for military support to governance during peace and stability operations? What skills and competencies are needed of military personnel who contribute to civil sector governance in the first decades of this century?

The Naval Postgraduate School (NPS), in partnership with the Institute for Military Support to Governance (IMSG) at the JFK Special Warfare Center and School, led a working group on Governance Innovation for Security and Development (GISD) during the Peace and Stability Operations Training and Education Workshop (PSOTEW) in March 2014 to address these questions. Our multi-stakeholder dialogue took an integrated, holistic approach to assessment of the major stability operations sectors: provision of essential services, civil security, rule of law, governance, economy and infrastructure, and homeland integra-

tion as articulated by the US Army Peacekeeping Institute and the US Institute of Peace (see Figure 1 below).

The civil sector skillsets needed to promote desired end states in the stability sectors are considerable. Many US and international civilian actors and agencies “deployed” to war zones in the 1990s and did so in greater numbers since 2001. In 2005, for the first time US Department of Defense Directive 3000.05 defined stability operations as “civilian and military operations.” The US Department of State shifted weight somewhat from its state-to-state orientation to develop a Civilian Response Corps, participated in integrated civil-military Provincial Reconstruction Teams in Afghanistan and led them in Iraq. However, many of these initiatives were short lived and often characterized today as artifacts of US engagements that are unlikely to be repeated.

### CIVIL AFFAIRS REVITALIZATION: 38G

United States Civil Affairs (CA) personnel, previously known as military government officers, today continue to hold key responsibilities in support of governance. The Civil Affairs

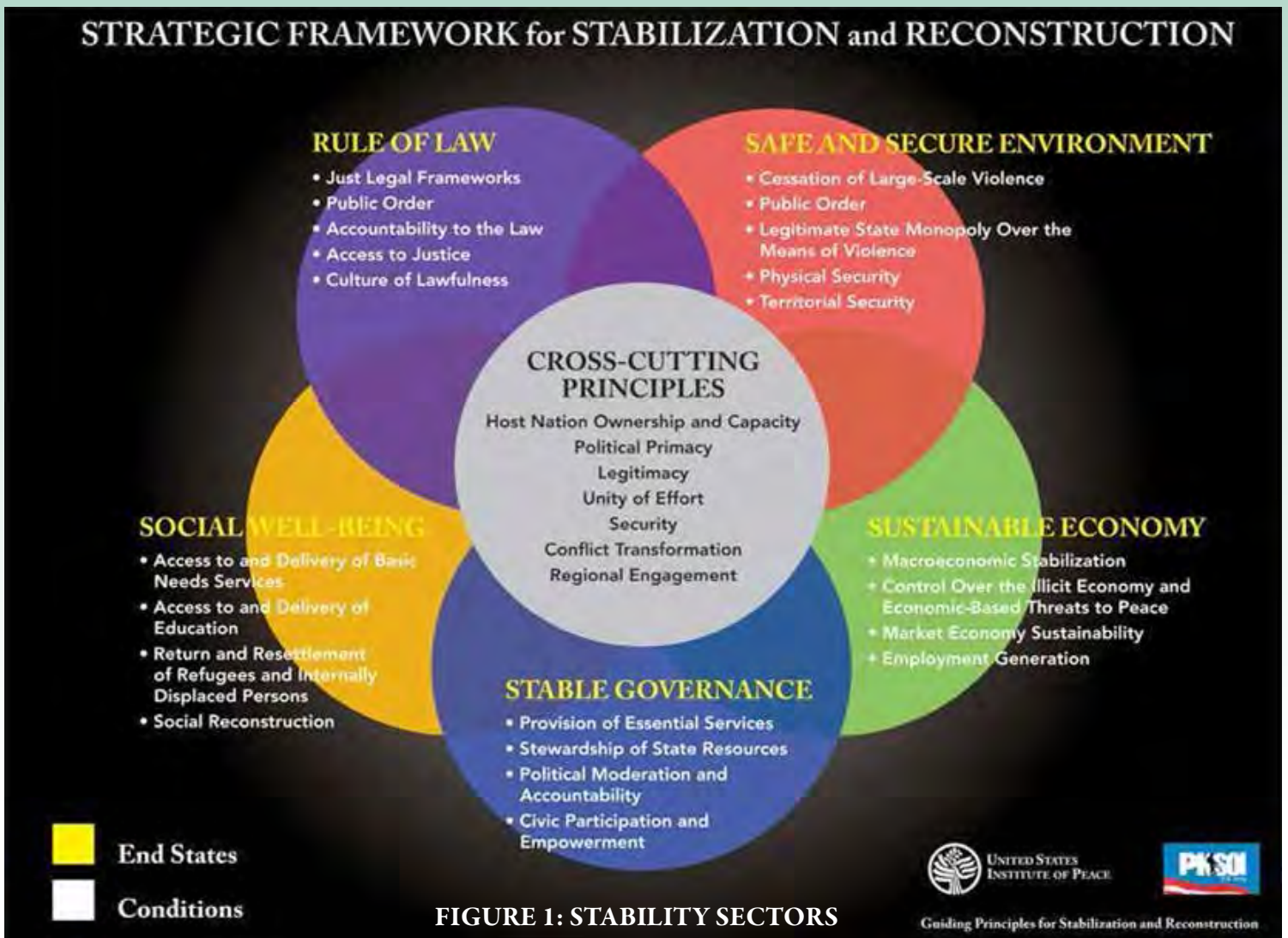


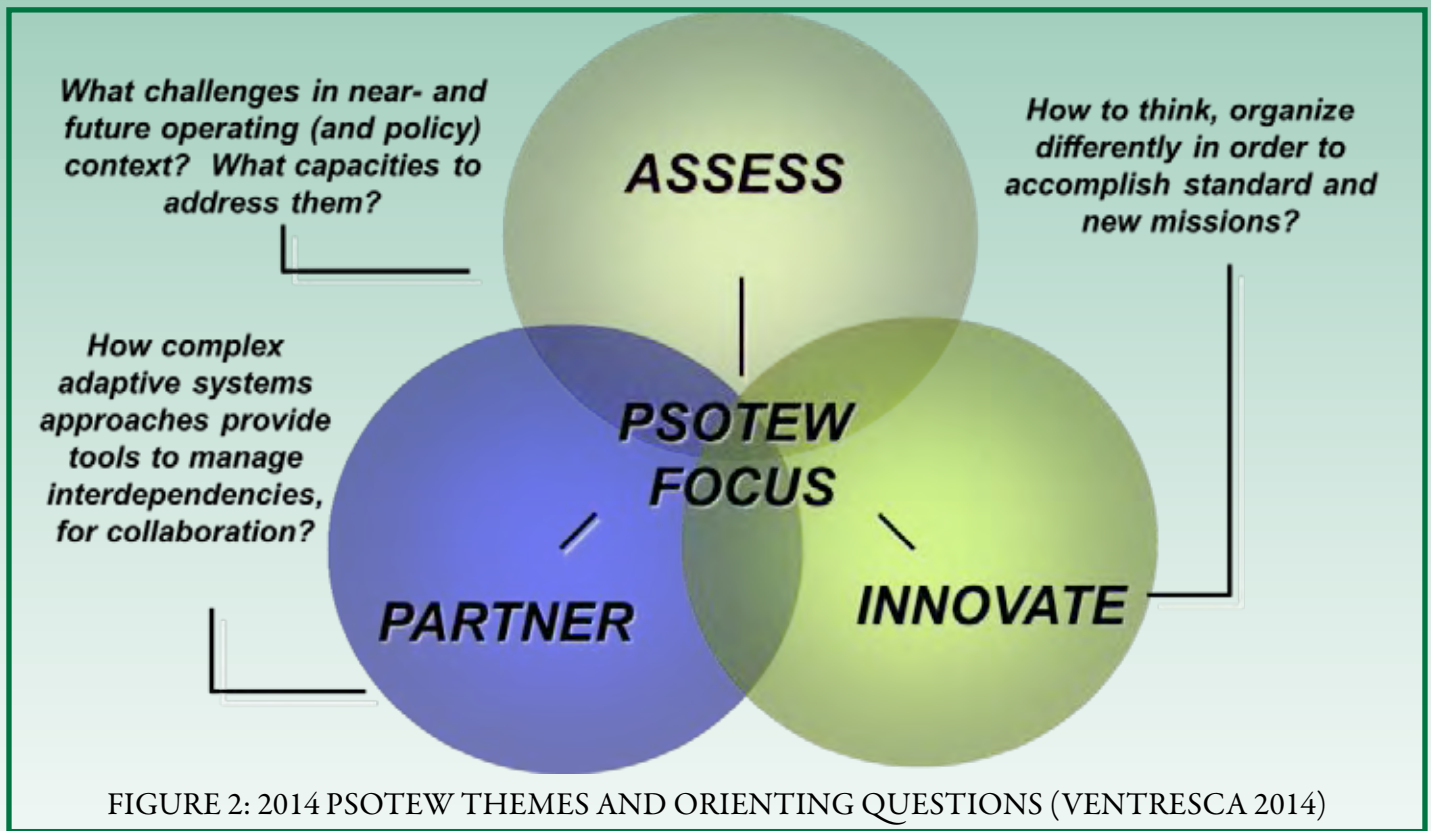
FIGURE 1: STABILITY SECTORS

force structure is made up predominantly by reservists with dual civil-military identities. A subset of “functional specialists” in particular were developed so that their expertise in education, public health, arts and archives (as in “The Monuments Men”) and other civilian realms could be put to use in their military roles.

The CA community is currently undertaking a major revitalization of its functional specialties. This innovation involves both needs assessment, original research, and innovation in policy and practice for civil sector expertise. Part of that program involves establishment of a new military identifier 38G (for governance) that will draw upon existing personnel and direct commission from the civilian workforce on the model of the Army Medical Corps. The US Army’s recently established Institute for Military Support to Governance is engaged in this effort with the following mission:

*The Institute for Military Support to Governance (IMSG) manages the provision of civil sector expertise across the range of military operations in order to support USG obligations under international law and promote stability. On order, supports Theater Security Cooperation, Transitional Military Authority, and Support to Civil Administration operations.*

Given these events, participants in PSOTEW Working Group 3 on Governance Innovation for Security and Development (GISD) considered the environments, partnerships, and competencies needed when the military, particularly the Civil Affairs community, is called upon to offer support to civilians in the stability sectors.



## PSOTEW – PRELIMINARY ANALYSIS AND FINDINGS

How can the peace and stability operations community improve on performance over the last 10 years? Our team returned to this question many times in response to the request from PSOTEW organizers of all working groups to assess, partner and innovate (see Figure 2 above).

One speaker cited some cases such as Tunisia and Yemen as successful compared to the tragedy of Syria. There is certainly

much to learn from both successes and failures. GISD working group participants emphasized the need for new approaches to thinking about roles, missions, and partnerships.

Systemic thinking and action and integrated planning must replace piecemeal and ad hoc approaches to improve effectiveness. As Stuart W. Bowen, Jr., Special Inspector General for Iraqi Reconstruction observed, “planes built in flight do not fly very well.” One speaker noted that the familiar government spending model, “How fast can I spend this money” is increasingly replaced by an emerging model of “What is best for this com-



community?” Community-driven development is difficult, because it is not “your” plan if you are the outsider.

With respect to the specific challenge of military support to governance, the working group members emphasized political primacy as a fundamental consideration. Professional democratic militaries appreciate the primacy of their own national command authorities. However, in peace and stability missions, many key signals come also from civilian leadership abroad, at national, regional or local levels, to be reconciled with government policy directives at home.

Somewhat ironically, outside military forces – due to the need for security so that development can take place – participate in transitions to social activity very different from internal organizational hierarchies in which they normally operate. Furthermore, legitimate self-governance is a common stabilization goal. Those who “rule” – that is, appointed or elected representatives who make decisions affecting the allocation of value in society – must be viewed as rightfully doing so.

State effectiveness is a key component of legitimacy. In many cases, the “sovereignty gap” has become a ‘sovereignty paradox’, according to Clare Lockhart of the Institute for State Effectiveness. Outsiders often intervene in response to internal demands for governance, yet commonly do not take the time to understand the local context or listen to the voices of the people. Although many agencies focus on fragile states, there are often local or sub-state capacities that might be empowered for security and development are overlooked.

## ASSESS

*“We have run out of money, now we must think”* -  
Winston Churchill

As noted by keynote speaker Clare Lockhart, we lack good policy responses to the following issues: youth participation, accountability, and jobs; the interaction of religion, politics and citizenship; urbanization; corruption, criminal networks, organized crime, and piracy. And we will continue to live with challenges of poverty, narcotics, terror, and natural disasters.

The need for peace and stability operations, as Department of Defense Director of Training Frank Di Giovanni observed in the opening plenary session, will not go away anytime soon. However, the resources for them are likely to do so quickly. Synergistic efforts of all partners are needed to cost-effectively promote peace and stability. Strategic assessment and thinking is required of both existing Civil Affairs generalists (38A), who



**Naval Post Graduate School professor and author Dr. Karen Gutteri asks a question to one of the day 1 keynote speakers.**

play key roles as interlocutors between military and civilian agencies, and the new civil sector specialists (38G).

Stability missions are dynamic, evolving over time. GISD keynote speaker BG Ferdinand Irizarry of US Army Reserve Command observed that stabilization missions require up-front engagement for prevention rather than reaction – “don’t wait for after the crisis, shape conditions.”

Local capacity has been a long-time emphasis in the peace and stability discourse. As Clare Lockhart noted, the host nation’s governance capacity and the population’s capacity for resilience are often-overlooked and reduce the expense to outside participants. Multinational development banks have limited ability to confront security risks. Often, speakers argued, the problem is not a shortage of capital in many aid-recipient countries, but a matter of taxation. In any event, a clear trend is the move away from Western taxpayers footing the bill for stability.

## PARTNER

*“Plan inclusively”*

On the one hand, there is overlap among agencies; on the other, many plan exclusively rather than inclusively. WG 3 participants themselves represented a diverse group, and so are familiar with differences in legal mandates, organizational culture, decision and funding cycles, expectations and long-term time horizons.

What should the Civil Affairs community bring to partners?

The better the CA community understands the needs of supported agencies, accounts for, aligns and utilizes civil sector skillsets within its own force structure, the better they will serve as instruments of peace processes.

Civil Affairs as key interlocutors with the population also have a role to play. In recent years, women are more broadly appreciated as producers of security in conflict (for example, in Honduras, El Salvador and Jordan). One participant raised the question, “How can civil-military partners best execute a gender empowerment agenda that sets better conditions for stabilization and social well-being?” From here we turned to opportunities for innovation.

## INNOVATE

“Finding new ways to address old problems”

Civil Affairs, as Prof Marc Ventresca noted, accomplish missions both “in close interdependencies with key partner agencies,” and “in light of local capacity.” These circumstances call for development of new talent, team relations, and modes of seconding or otherwise interfacing with partners. Investment in continuing education – not training only – is needed. As General (ret.) Gordon Sullivan told the opening plenary session, “The problems [of stability missions] are at a PhD level.” The Army can take advantage of any reduced operational tempo to reinvest in and transform its educational programs, with a focus on analogical reasoning, critical and creative thinking. Analysis of stakeholders should identify those with values at risk. Civil Affairs should think beyond Army Civil Affairs to the whole of the US Army Reserve and beyond for the talent that is needed. As BG Ferdinand Irizarry noted, forty percent of U.S. Army capability is in the Army Reserves, including the majority of medical expertise assets. Army reserve engagement cells can move resources forward into theatres. The working group recommended investment in partnership, coordinating and embedding with branches and agencies, and identifying the best modalities for working with partners. New funding models are urgently needed.

What are the rules of engagement for Civil Affairs going forward? Some of these are familiar in a military context: speed, flexibility, and expertise. Others have longstanding global acceptance: do no harm, respect international norms, civilian control of the military. Several are development-oriented: understand local context, build on existing capacity, and plan for realistic change. Finally, several of the rules developed by the GISD working group are oriented toward organizational learning protocols, such as: be inclusive, and check assumptions.

## KEY INSIGHTS

The first key insight from the GISD working group is that the changes in mission and context require a rethink of incumbent assumptions, towards an innovation approach that integrates the legacy CA experience with re-invigorated partnerships, revitalized expertise, and further capacity and review of missions. For the US near-term, the “government spending” model is obsolete. Recommendations that would substitute for US-taxpayer funded stabilization include engagement with stakeholders, capital or funding sources, and regulatory mechanisms.

A second recommendation is to employ Civil Affairs “integrators” able to manage complex projects at the sector and policy levels, as well as specialists with specific expertise ‘on the ground’.

A third is to define and package projects that can be taken over by appropriate others with resources and expertise. It is important to know what functions and projects can garner outside resources compared to those that cannot or for which partnership would be inappropriate

Finally, the GISD working group advocates that Civil Affairs enable reach back to civil society, academe, and convenor organizations for talent and also for available models of policy coordination and innovation to engage, emulate, and extend. For example, there is opportunity to identify and adapt models public-private partnerships that can bring additional talent to address challenges that extend beyond the scope and remit of state actors alone.







# Your Comments

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