

## CIVILIAN-MILITARY COOPERATION POLICY Revision

### 1. PURPOSE

This revised policy updates the first Civilian-Military Cooperation Policy issued in July 2008, which established the foundation for cooperation between the United States Agency for International Development (USAID) and the United States Department of Defense (DoD). In keeping with the increasingly important role of development in support of our national security priorities along with defense and diplomacy, the 2008 policy established civilian military cooperation as fundamental to a whole-of-government approach to contemporary national security challenges.<sup>1</sup>

This revision seeks to build upon the 2008 policy and incorporates what USAID has learned from working with the military into updated and expanded guidance for all USAID personnel. Increasingly, USAID and DoD are present in the same operating space – from the Southern Hemisphere, to Africa, the Middle East, Europe, and Asia. To work together effectively in the diverse places where USAID and DoD personnel find each other, it is important to draw upon lessons from experiences in Iraq and Afghanistan and from cooperation in Colombia, Haiti, the Philippines, and elsewhere.

A Civilian-Military Cooperation “Toolkit” will be issued in stages following publication of this policy. The Toolkit will provide practical implementation guidance for this policy and help apply it where USAID and DoD have linkages in various sectors and issue areas. Beginning with global health and gender, a series of separately issued tools in the Toolkit will replace the Civilian-Military Implementation Guidelines issued with the July 2008 policy.

### 2. POLICY STATEMENT

***It is USAID policy for all personnel to cooperate with DoD in order to advance the Agency’s objectives and broad national security objectives.*** This policy document articulates a set of guiding principles to establish parameters for USAID cooperation with DoD and clarifies the context for that cooperation. These are followed by a set of operating principles, which articulate how that cooperation takes place in the form of cooperative structures and personnel exchanges and across USAID’s program cycle, which includes policy and strategy development, planning, project design and implementation, evaluation and monitoring, and learning and adapting.

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<sup>1</sup> The role of development in support of our national security priorities has grown in importance since the 2002 National Security Strategy (NSS). The 2010 NSS asserts that development is a “strategic, economic, and moral imperative,” and that with diplomacy, development can “help prevent conflict, spur economic growth, strengthen weak and failing states, lift people out of poverty, combat climate change and epidemic disease, and strengthen institutions of democratic government.”

### 3. GUIDING PRINCIPLES FOR USAID COOPERATION WITH DOD

In implementing this policy, USAID personnel will be informed by the following guiding principles:

#### **3.1. Mutual understanding of each other's roles and responsibilities is the basis for USAID-DoD cooperation**

USAID and DoD have unique and differentiated roles and responsibilities to achieve objectives articulated in the U.S. National Security Strategy and subordinate strategic guidance.<sup>2</sup> USAID will work to create an environment that fosters mutual understanding and respect and recognizes that USAID and DoD each lead a pillar of the Diplomacy-Development-Defense national security framework with the U.S. Department of State. Because USAID and DoD do not share the same lexicon for fundamental responsibilities such as humanitarian assistance, focused efforts to foster mutual understanding become even more important.

USAID is the lead U.S. Government agency for global development and humanitarian assistance and offers a comparative advantage through its field presence and pool of skilled, experienced professionals. USAID contributes to our nation's national security objectives by addressing global challenges such as extreme poverty, food insecurity, infectious disease, water scarcity, and climate change through targeted development programs. When USAID succeeds in mitigating these challenges, the Agency may reduce military risk by preventing those challenges from becoming crises and conflicts.

DoD makes a significant contribution to the achievement of national security objectives through strategic military-to-military engagement, which fosters the development of more effective, legitimate, and sustainable armed forces under civilian control and oversight, respectful of human rights, and subject to the rule of law. DoD also provides important assistance to civilian populations overseas—especially in response to natural disasters and complex emergencies. When DoD succeeds in these missions, it helps societies build the necessary foundations to become more resilient to shocks and secure for sustainable development.

This revised policy and toolkit complement existing USAID policies regarding disaster response activities. The Office of U.S. Foreign Disaster Assistance (OFDA), Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA), is the lead US Government (USG) organization for the coordination of international disaster response, and OFDA standard operating procedures will continue to be used in these situations.<sup>3</sup>

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<sup>2</sup> Subordinate strategies include Presidential Policy Directives as well as the Quadrennial Diplomacy and Development Review for USAID and the Department of State and the Quadrennial Defense Review for DoD.

<sup>3</sup> For more information on OFDA standard operating procedures, contact OFDA's Military Liaison Team at [MLTDC@usaid.gov](mailto:MLTDC@usaid.gov).

### **3.2. USAID will apply selectivity and focus to its engagements with DoD**

USAID will invest its cooperative efforts in areas with the greatest potential for positive results. Within the constraints of Agency resources, USAID will focus cooperation on areas where both organizations are operating and when cooperation will advance U.S. global development, humanitarian assistance, and national security objectives. In order to realize the greatest return on its investment in engagements with DoD, USAID will focus cooperation on DoD processes corresponding to USAID’s program cycle—especially when those efforts support the Agency’s Development Objectives. Cooperation with DoD will not divert USAID resources away from its core objectives.

### **3.3. Cooperation with DoD occurs in different degrees depending on context**

Communication is the most basic form of civilian-military cooperation and entails the exchange of information when USAID and DoD personnel may be working in close proximity but conducting separate activities with distinct goals and objectives. The purpose of communication is to provide a shared awareness of those activities between agencies. USAID staff will promote regular communications with DoD to enhance shared understanding of environmental contexts and to de-conflict programs and activities.

The next form of civilian-military cooperation is coordination, which is required when USAID and DoD share objectives and must work together to achieve them, or when the activities of one agency may affect those of the other. Effective coordination fosters better aligned approaches to development and security and can therefore enable better outcomes in certain contexts. In these cases, USAID will coordinate with DoD to promote more effective problem solving and to align plans and activities toward the achievement of common objectives.

Cooperation with DoD will most often entail communication and coordination. In some cases, however, a situation may require joint effort, where personnel from each institution co-locate in the field, at the country level, or at headquarters. Such situations may require prior decision by senior Agency leaders in accordance with the appropriate legal authorities and interagency agreements, where applicable.

### **3.4. USAID may serve a liaison role between DoD and USAID’s implementing partners**

USAID largely depends upon implementing partners to execute its development and humanitarian mission, including Non-Governmental Organizations (NGOs). Many NGOs—especially the subset with a humanitarian mission—are concerned with maintaining independence from military forces when they occupy the same operational space. The 2007 “Guidelines for Relations Between U.S. Armed Forces and Non-Governmental Humanitarian Organizations in Hostile or Potentially Hostile Environments,” which was adopted by DoD and

the group of NGOs under the InterAction umbrella, identify USAID as a potential bridge between the U.S. military and NGOs in the field.<sup>4</sup>

As appropriate, USAID may serve as a liaison between the U.S. Armed Forces and USAID’s implementing partners. In its engagements with DoD, USAID will seek opportunities to educate the U.S. military about the mission of humanitarian NGOs and USAID’s important liaison role between the military and the broader NGO community.

#### **4. OPERATING PRINCIPLES FOR USAID COOPERATION WITH DoD**

The following operating principles will guide USAID personnel in their on-going cooperation processes with DoD:

##### **4.1. Collaborative organizational structures and personnel exchanges provide the foundation of effective cooperation at all levels**

Cooperation with DoD works best when it is institutionalized at multiple levels. Standing working groups and other organizational structures can make communication and coordination systematic and routine rather than ad hoc and personality-based. In Washington, USAID will cooperate with DoD representatives in both formal White House-led interagency processes as well as less formal processes, such as ad hoc working groups.

At the U.S. Mission, USAID staff will cooperate with DoD officials assigned to the Country Team to develop cooperative approaches to country-specific development and security challenges through the Integrated Country Strategy process. “Country assistance” or “civil-military” working groups have proven to be highly effective—especially when they have the active support of the Chief of Mission as well as the USAID Mission Director and Senior Defense Official. When appropriate, USAID staff should seek Chief of Mission support for standing working groups to formalize civilian-military cooperation at the Mission. In countries with a DoD presence beyond the Country Team, USAID staff will also cooperate as appropriate with deployed military staff and personnel. In some cases, USAID and DoD may cooperate directly on civilian-military teams as directed by senior Agency leadership.

Individual personnel exchanges provide an essential foundation for effective cooperation between USAID and DoD. USAID will continue to enter into agreements to exchange officers with each appropriate Geographic Combatant Command (CCMD) and U.S. Special Operations Command headquarters by placing Senior Development Advisors, Deputy Development Advisors, and Humanitarian Assistance Advisors within the Combatant Commands, U.S. Special Operations Command, and the Pentagon and by hosting Military Liaison Officers to facilitate cooperation at USAID Headquarters in Washington.

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<sup>4</sup> “Guidelines for Relations Between U.S. Armed Forces and Non-Governmental Humanitarian Organizations in Hostile or Potentially Hostile Environments,” July 1, 2007. <http://www.usip.org/publications/guidelines-relations-between-us-armed-forces-and-nghos-in-hostile-or-potentially>,

#### 4.2. USAID will cooperate with DoD across the USAID Program Cycle.

USAID will focus its civilian-military cooperation efforts on USAID's program cycle and corresponding DoD processes in order to foster better development and security results and impact. USAID will promote reciprocity and transparency across these key processes as the primary basis of our cooperation.



Figure 1: USAID Program Cycle

#### 4.2(a) Cooperation with DoD begins with policy and strategy development.

USAID cooperation with DoD at the headquarters level leads to the policies and strategies of both organizations that are better aligned with national security objectives. USAID will invite DoD to provide a defense perspective in the development of Agency policies and strategies as appropriate. USAID will seek to influence DoD policies, strategies, and planning and programming guidance that affect USAID's development mission and objectives. USAID will focus its efforts to influence DoD on areas with the potential for greatest potential impact, including the Defense Strategic Guidance, Quadrennial Defense Review, and Guidance for the Employment of the Force as invited by DoD. As appropriate, these efforts will include USAID outreach to DoD policy makers on relevant Agency policies and strategies.

#### **4.2(b) Cooperation in each phase of the planning process underpins effective USAID-DoD cooperation.**

The essential first planning step is **assessment and analysis**. USAID will share information about the environments in which both agencies work in order to develop a common picture of the situation. When appropriate, USAID will conduct assessments and mission analysis jointly or in close coordination with DoD in order to develop a shared understanding of baseline data against which to measure future progress and results. In return, USAID benefits from DoD analytic capabilities, and DoD data collection resources such as geospatial imagery may be used to help fill in data gaps—especially when USAID personnel lack access to an area due to security issues or staffing limitations. Thorough assessment and analysis will also foster a better understanding by both parties of USAID’s development objectives and DoD’s military objectives, especially where they align and where they diverge.

**Strategic planning** is the key to effective civilian-military cooperation and supports the Department of State-led Integrated Country Strategy process. USAID normally translates its policies and priorities into plans through the Country Development Cooperation Strategy (CDCS) Process. DoD executes its own strategic guidance through Theater Campaign Plans and Country Plans. USAID will continue to cooperate with DoD by providing an Agency perspective in DoD campaign planning efforts through its Senior and Deputy Development Advisors and Humanitarian Assistance Advisors located in the CCMDs. USAID will reciprocate by inviting DoD inputs into CDCS development and in the formulation of regional plans and strategies at appropriate levels. DoD planning is conducted at the CCMD Headquarters as well as at the mission. In addition to Country Team-based Defense Attaché Officers and Security Cooperation Officers, planners for the CCMD with DoD responsibilities for the country should be invited by Missions to consult as appropriate on CDCS development during Phase I and Phase II.<sup>5</sup> Consultations with CCMD planning staff shall not detract from CDCS development timelines established by the Mission.

USAID and DoD may approach **crisis planning** differently. USAID Missions operating in conflict-affected or fragile states may apply a variety of planning processes, including developing transition strategies—especially when the likelihood of rapid changes to the country context requires contingency or scenario planning and a blend of relief and stabilization assistance. Missions may also update their CDCS in response to crises and contingencies. DoD has a robust CCMD-based process to develop contingency plans. Some DoD contingency plans and crisis action planning target environments where USAID does not have a Mission. The scenarios on which they are based usually include major complex crises in which USAID would have an important role providing humanitarian assistance and restoring stability. USAID will seek access to DoD contingency planning efforts to help USAID planners understand the security environment as viewed by the military. USAID will reciprocate by opening Agency transition

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<sup>5</sup> ADS 201 requires interagency consultation during Phase I and Phase II of the CDCS development process. This policy recognizes that DoD planning takes place at the CCMD as well as on the Country Team and that the CCMD perspective is important to the interagency consultation process.

and crisis planning processes as appropriate to help the military understand Agency Development Objectives and plans.

**4.2(c) Cooperation in program and project design and implementation can produce better development and security outcomes.**

Cooperating at the programmatic level can enable more effective and sustainable outcomes, mitigate the risk of unintended harm, and optimize the use of limited resources. As appropriate during project design, USAID personnel should consult with DoD counterparts to understand the relationship of USAID development programs to DoD programs. DoD policy requires USAID coordination and concurrence or non-concurrence for its civilian assistance projects, including those funded by the Overseas Humanitarian, Disaster, and Civic Aid (OHDACA) appropriation. USAID recognizes this requirement as a major advance in USAID-DoD cooperation, and within resource constraints, will help shape projects in ways that advance U.S. government and host nation development goals while meeting DoD military objectives. USAID will also cooperate with DoD on security sector assistance, global health, and other sectors where civilian and military projects intersect. Finally, USAID will cooperate with DoD on crisis programming as appropriate when a complex emergency or conflict requires close coordination and alignment.

**4.2(d) Cooperation on the monitoring and evaluation (M&E) of plans, programs, and activities facilitates better understanding of results.**

USAID has a comparative advantage in measuring the outcomes, impact, and results of its international assistance programs and projects. USAID can employ its comparative M&E advantage to help DoD better understand which of its plans and assistance programs are achieving their desired results and which ones are not effective. As resources permit and as appropriate, USAID will share its best M&E practices to facilitate learning and adaptation for future activities. USAID should also seek to leverage DoD data and data collection resources when they can be used to enhance Agency evaluations.

**4.2(e) An emphasis on learning and adapting enables more effective cooperation when integrated throughout the Program Cycle.**

Preparing the next generation of USAID and DoD leaders to understand their organizations' roles and responsibilities, policies, strategies, planning, and programming will be increasingly important as interagency training decreases post-Iraq and Afghanistan. USAID will seek to improve the preparedness of Agency staff to cooperate with DoD across a broad range of missions and environments. USAID will continue to educate its personnel about working with the military and about DoD's unique roles and responsibilities. All USAID personnel are encouraged to take online or classroom Agency training on "Working with the Military."

Within the constraints of Agency resources, and according to Agency priorities, USAID will improve how it trains and educates military audiences to understand USAID’s roles and responsibilities and how to work with USAID across the full range of environments. USAID will support DoD processes of learning and adaptation by participating in DoD training, education, and exercises; doctrine development; knowledge sharing systems; and lessons learned efforts. USAID will prioritize learning opportunities in areas that maximize value for Agency personnel while minimizing burden on scarce USAID resources. USAID will also focus Agency participation on those learning opportunities in which its personnel are afforded a chance by DoD to help shape curriculum, doctrine, processes, and scenarios from the beginning.

#### **4.3 USAID cooperates with DoD across many environments, sectors, and issue areas**

USAID and DoD work together in a wide range of environments ranging from fragile states to those in crisis and conflict to more stable developing countries and those undergoing democratic transitions. USAID and DoD also work together across multiple sectors. DoD conducts significant programming in global health and the security sector focused primarily on military-to-military engagement, and its activities can also affect USAID development objectives in other sectors such as education and food security. USAID will cooperate with DoD in these sectors and across a number of issues, ranging from gender equality to science and technology.

While this policy document concludes here, the Civilian-Military Cooperation Toolkit will elaborate **how** USAID cooperates with DoD by offering practical guidance on how to access Agency civilian-military cooperation expertise and resources and how to work with the military in major sectors and across key issue areas.

For more information on this policy, please contact the Office of Civilian-Military Cooperation in the Bureau of Democracy, Conflict, and Humanitarian Assistance, U.S. Agency for International Development at [\[email address to be created\]](#).