
CHAPTER FOUR: ASSESSMENT AND PLANNING



A USAID officer works with her Afghan counterparts

(PHOTO: MICHELLE PARKER, USAID)

Involvement in countering an insurgency overseas is not an endeavor that the U.S. Government should embark on lightly. As this guide has illustrated thus far; insurgencies often arise from a deep rooted social grievance which the affected government may be reluctant or unable to address. Moreover, COIN campaigns are generally protracted affairs entailing significant costs in lives and resources. U.S. decision making on whether and how to assist a country affected by insurgency should follow the sequence below:

- Assessment of the situation
- Formulation of policy
- Development of strategy
- Integrated planning
- Implementation
- Continuous monitoring, evaluation and assessment

This Guide is aimed at U.S. Government policy makers and will therefore give greatest emphasis to their role in the ‘formulation of policy’ stage, in particular determining *whether* the U.S. should become engaged in a COIN campaign overseas and if so how.

Assessing The Situation

A whole-of-government approach to a COIN engagement begins with a strategic-level interagency analysis of the conflict. This should be conducted by an interagency team comprised of all relevant agencies with core competencies needed to counter the insurgency. As much as possible within release constraints, the relevant knowledge and understanding of the affected state and strategic environment should be shared across all participating agencies. The effort may be conducted at the direction of the National Security Council (though it may be recommended by the Chief of Mission or the State Department regional Assistant Secretary) and will usually be led by the U.S. Agency for International Development or by the Department of State. It may involve extensive field evaluation activities conducted through the U.S. Embassy in the affected country, or it may be conducted entirely through remote assessment methods.

Insurgencies are frequently described in terms of sources and root causes, parties and actors, and drivers and triggers. The sources and root causes of insurgency can be described in terms of the stakeholders’ frustrated needs and grievances. The drivers of insurgency can be expressed in terms of the dynamics among the stakeholders; in particular the way in which dissatisfaction is harnessed, channeled and directed by opinion leaders. To fully understand these factors may require detailed analysis of regional history, ethnicity, culture, politics and religion.

The interagency assessment process should yield a comprehensive picture of the environment and a common understanding of the nature of the problem. It will provide the first step towards developing a whole-of-government COIN strategy and supporting plans.

At the strategic level, analytical tools such as the Interagency Methodology for Analyzing Instability and Conflict, the Interagency Conflict Assessment Framework (ICAF), and the Global Forecasting Model of Political Instability (the last from the Political Instability Task Force, a U.S. Government-sponsored grouping of researchers and scholars from a number of American universities) may be useful aids to the development of situation-specific information for policy-level strategic planning. The ICAF, the Tactical Conflict Assessment Framework, and similar modeling tools can be used to inform programmatic, operational and tactical level plans. Use of these frameworks, must incorporate (or at least consider) any pre-existing analysis and data, especially that which has been used in support of previous country plans. A deliberate analysis undertaken carefully will be of enduring utility in providing deep understanding. See Appendix B for web links to these and other assessment and modeling tools.

Forming U.S. Government Policy

The assessment phase described above lays the foundation for the formulation of U.S. Government policy; most critically whether the U.S. should engage with the affected government, and if so, what form that engagement should take. Only with a full understanding of the causes, nature and maturity of the insurgency, along with knowledge of the applicable international and domestic legal frameworks, can policy makers balance U.S. interests against likely costs and risks of becoming involved in what could prove to be a prolonged and expensive conflict.

DECIDING WHETHER TO ENGAGE

It is folly to become engaged with counterinsurgency in a foreign country unless there is a reasonable likelihood that the affected government will introduce necessary reforms and will demonstrate adequate willpower and capacity to defeat insurgents (or at least be willing to accept advice as well as assistance). Before deciding to provide overseas COIN assistance, U.S. officials must determine how likely it is that the local government will cooperate and how willing it is to undertake necessary reforms. For this reason, the following key characteristics of the affected nation must be examined in depth during the assessment phase:

- **Character of the affected government:** Supporting an oppressive, authoritarian or abusive government against an insurgency is highly problematic, not only from an ethical standpoint but also in terms of the practical likelihood of success. Such a government is unlikely to develop the necessary legitimacy to succeed in COIN. At the same time, the credibility and moral authority of the United States may be tarnished or compromised by too close a relationship

with such a regime. In deciding whether or not to become engaged in a given circumstance, policy makers must consider the degree to which the insurgency derives from feckless administration on the part of the affected government, and therefore the degree to which the insurgents represent legitimate grievances. A government that lacks capacity and capabilities for COIN but is open to international community assistance and has a fundamentally democratic and responsible character is more likely to benefit from assistance than a government whose political or moral character is fundamentally unsound. The latter type of government is rarely a good candidate for engagement, regardless of its perceived geo-strategic importance.

- **Government bias:** Insurgencies that occur along ethnic or sectarian lines frequently derive from genuine sectarian or ethnic bias in the government's administration of its population (though this is often manipulated by extremist groups from outside the affected society). Such biased governments may require wholesale reform, including changes in the demographic recruiting base for soldiers, police and civil service, and changes in the political orientation of key leaders. This is a costly, time-consuming and often politically controversial process. Planners must assess the likelihood that the government can be sufficiently reformed to meet the needs and address the legal and human rights of its entire population. They should conduct a detailed assessment of requirements for reform, and seek a firm commitment to specific reforms from the affected government. Continued leverage may be necessary to maintain that commitment, so policy makers may decide to tie continued assistance to measured progress in meeting reform benchmarks. Without effective reform, intervention may stabilize the government in the short term, but may simply enable continued behavior by officials that renders long-term success unlikely.
- **Rule of law:** Most countries affected by insurgency do not have robust, transparent and effective rule of law systems. Indeed, real or perceived inequalities in the administration of the law and injustices are often triggers for insurgency. Consequently, building the government's legitimacy and effectiveness often requires the wholesale reform of rule of law systems. Planners must make a judgment about how eroded or ineffective those systems are, including judiciary and legislative processes, court and prison systems, police, prosecutors, defense attorneys and legal record-keeping systems. This will indicate the amount of effort required to assist and the likely degree of success.
- **Level of Corruption:** Many countries affected by insurgency exhibit pervasive problem of government and security force corruption. This creates grievances which insurgents exploit, and places great friction and cost on international assistance. In some cases this may simply be a factor for planners to take into account, but in others policy makers may decide to seek a commitment to specific anti-corruption programs as a prerequisite for assistance. In judging the importance of corruption, planners should note that the forms of corrup-

tion that are most relevant in an insurgency scenario are those that alienate the people from the government or that lead to waste and inefficiency in government programs.

- **Civil-military relations:** Many insurgency affected governments have weak institutions, including military and police forces and civil administration. In deciding to become involved, U.S. planners must consider whether assistance to the military and police is likely to alter the balance between military and civilian power in the country. Large-scale assistance to militaries in the absence of matching assistance to civil administration (or without military leaders making firm commitments to civilian control and democracy) may increase the risk of a coup d'état in the affected country, either during or after the phase of international assistance. Such an outcome would ultimately harm the affected country and would undermine the moral authority of the international community. Policy makers need to be encouraged to plan for civil-military relations as an integral part of security sector reform, establishing safeguards to mitigate the risk of coups.
- **Economic viability:** Many insurgent fighters at the local level, regardless of rhetoric, are motivated by economic factors: youth unemployment and lack of economic opportunity. Insurgents often pay local fighters (or allow them access to profits from illegal activities) to gain their support. Planners must therefore judge the likelihood that key economic infrastructure and systems can be put in place to generate alternative livelihoods and make the affected country economically viable over the long term.
- **Presence of terrorist or transnational criminal groups:** The presence of adversaries to the global interests of the United States, such as international terrorist or transnational organized crime groups, is a significant but complex consideration. Where terrorist groups are present, policy makers may be highly motivated to engage, in order to prevent the emergence of transnational threats from under-governed or insurgent-controlled areas. However, large-scale or clumsy intervention in such areas may actually lead to a backlash from local people who are alienated by increased government presence. International involvement in a conflict that does not currently include a transnational element may give a foothold to extremists from outside the affected country to exploit, internationalizing the conflict from both the government and insurgent sides. Policy makers should be very cautious about such escalation and should seek to assist in the lightest and least intrusive manner possible, working by, with and through the local government wherever possible. If this is not feasible due to the scale of the problem, policy makers should carefully weigh the risks of inaction against the costs and benefits of involvement.
- **Border security/ungoverned spaces:** An affected government that cannot control its borders, has large areas of ungoverned space near its frontiers, or faces an active insurgent sanctuary in a neighboring country will be particu-

larly challenged in conducting COIN. Policy makers must judge the likelihood that areas of ungoverned space can be brought under government control. They must also take a regional view, considering whether neighboring countries can be persuaded to play a constructive role (or at least be dissuaded from undermining the affected government). Assisting an affected country without an effective strategy for border security, reduction of ungoverned space and denial of cross-border insurgent sanctuaries is highly unlikely to succeed over the long term.

Clearly, a country that scores well on each of the factors listed above, and is therefore a good candidate for assistance, is by definition unlikely to need that assistance in the first place. Countries that are candidates for U.S. engagement in the real world therefore usually score badly on several of these considerations. Hence, for each factor listed here, planners and policy makers should not necessarily expect to find a good current situation, but rather should consider the potential long-term viability. An affected country with sound political, economic and social fundamentals but poor current conditions is much more likely to respond well to assistance than one where fundamentals are poor, even if current conditions are not so bad.

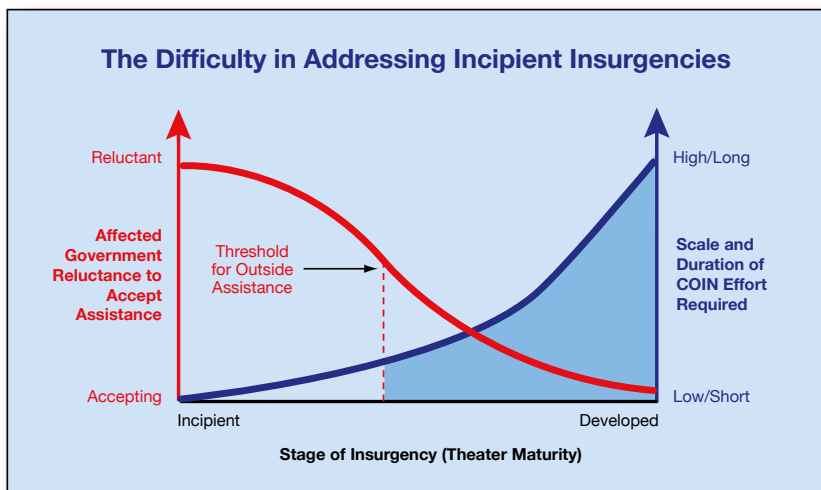
Unfortunately, there will inevitably be occasions when the assessment of the insurgency situation will weigh heavily against U.S. involvement, but specific U.S. national interests will drive policymakers towards engagement. However, this does not negate the value of thorough assessment. On the contrary; it means that the decision will have been made with a good understanding of the inherent risks and the challenges that will need to be overcome. It may also prompt caution over the *form* of engagement to be used, perhaps encouraging a more limited involvement from which a subsequent exit can be made with less political consequence.

DECIDING HOW TO ENGAGE

Depending upon the strength, legitimacy and effectiveness of tools available to the affected government, the U.S. Government may play a subtle role in countering an incipient insurgency or may intervene more forcefully. For reasons of cost, to minimize any backlash from the population against foreign presence, and to protect the sovereignty of the affected government, policy makers should select the most appropriate, most indirect and least intrusive form of intervention that will still have a high probability of achieving the necessary effect. Counter-intuitively for some planners, it is often the case that the less intrusive and more indirect the approach selected, the more likely it is to succeed, though this may be dependent on the maturity of the insurgency.

Insurgencies evolve in stages, and the nature of the U.S. response will often be dependent on the stage of development of the insurgency at the point when the U.S. decides to engage. There is a significant difference between responding to an incipi-

ent insurgency and responding to a full-blown insurrection where a well-developed (though not necessarily effective) counterinsurgency program is being implemented by the host nation government. An incipient insurgency can often be more easily addressed by a small scale U.S. response than a well developed one. However, most affected nations will only seek U.S. assistance when the insurgency has developed sufficient maturity to pose a real threat, by which time the smaller scale response options may no longer be effective.



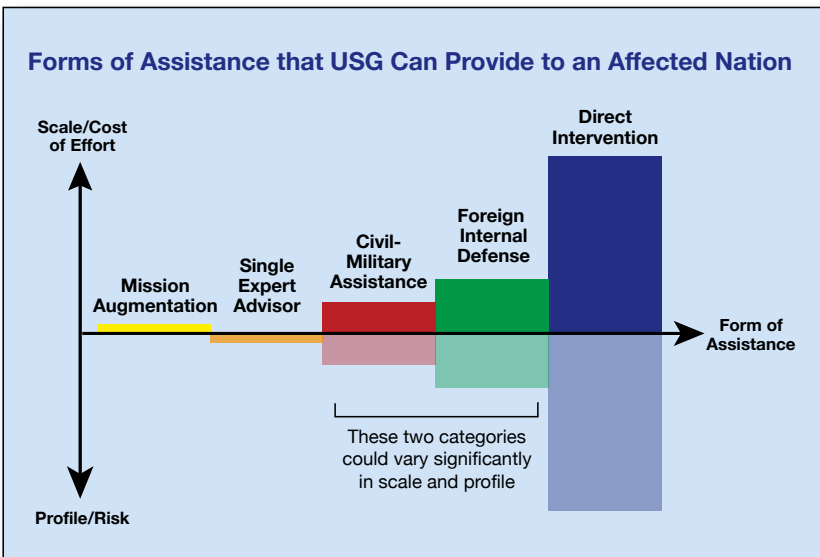
From least to most intrusive, forms of intervention include:

- Mission Augmentation:** The mission augmentation approach involves the deployment of a specialist team to augment the U.S. Embassy in the affected country and/or the U.S. Consulate in an affected region of the country. An example of this approach was the Joint Strategic Assessment Team (JSAT) deployed to reinforce U.S. Mission Iraq at the start of 2007. Further examples are the State Department's Foreign Emergency Response Team (FEST) that can deploy to support embassies experiencing an emergency situation and the intelligence community's Rapid Analytic Support and Expeditionary Response (RASER) teams. The augmentation team may operate on a temporary duty basis, or may be assigned directly to the embassy staff. It includes a team leader well versed in all civil and military aspects of COIN, and team members selected in consultation with the embassy for specialist skills relevant to the needs of the affected government. The team should be as small as possible and would have minimal direct interaction with the affected government or population. Instead, it performs its function by training, advising, supporting and assisting the U.S. Country Team in its role of providing advice and support to the Ambassador. Assistance to the affected government is then carried out by

the Country Team in the normal manner. This is a low cost, low profile, small footprint approach which is appropriate early in the development of an insurgency, or as a short term surge at other stages in a campaign. It is sustainable over very long periods due to its low cost. It may also be the chosen approach in situations when U.S. intervention would be extremely politically sensitive.

- **Single Expert Advisor:** The single expert advisor approach involves the seconding of one advisor, who may be either a civilian or a military officer, directly onto the staff of the affected government. The advisor should be placed, in close consultation with the affected government, in a position to advise, train and assist its elected leaders and officials in dealing with the insurgency. He or she assesses the situation, develops plans and capabilities in support of the affected government, and advises on the placement and tasking of additional U.S. assets if deployed. They will usually maintain a close relationship with the U.S. Ambassador and Country Team and may be supported by an embassy augmentation team or by specialist capabilities that can be called forward as needed. In order to achieve the necessary influence, the advisor must have appropriate rank, status and freedom of action as well as a diplomatic approach to his or her work. The advisor should take a low key, backstage role and support the affected government as it leads the COIN effort, and avoid even the appearance of taking on the lead. This approach is relatively low profile, low cost and sustainable yet it has historically been extremely effective. It is most successful when the selected advisor possesses cultural and language skills appropriate to the affected nation, is paired with an effective indigenous leadership team, and deploys for a long duration.
- **Civil-Military Assistance:** The civil-military assistance approach involves the deployment of a specialist team, potentially operating as a Joint Inter-agency Task Force (JIATF), to work with civilian and military agencies of the affected government. Team members or detachments may be embedded in key positions in the affected government to provide support, advice, technical assistance, education and training. Team members do not normally engage in direct activity against the insurgency. Through the civil-military assistance program they may help develop an Internal Defense and Development (IDAD) strategy in consultation with the affected government, and become a conduit for international community assistance. The team operates as a separate entity from the U.S. Mission, but normally works under Chief of Mission authority. If a military Joint Task Force is deployed, or if the security threat is especially high, the team may operate under military authority (as Provincial Reconstruction Teams do in Afghanistan). However, unlike Foreign Internal Defense, it remains civilian-led and military-supported. This approach is relatively low-cost and sustainable over the long term, but has a higher profile than the two previous methods discussed above. The size of the civil-military assistance team should be kept as small as possible, and the duration of deployment rotations as long as possible, to increase its cost-effectiveness.

- Foreign Internal Defense (FID):** Foreign internal defense is defined as the participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization, to free and protect its society from subversion, lawlessness, and insurgency. The FID approach involves the deployment of military teams, often originating from the U.S. Special Operations Command, to support the affected government. It differs from civil-military assistance in that it is normally military-led, but still includes very substantial interagency input and support. FID is described in detail in U.S. Army Field Manual 31-20-3 and in Joint Publication 3-07.1. It varies in scope, cost and intrusiveness depending on the nature of the insurgency and the capabilities of the affected government, but is usually more intrusive than the models discussed above (though significantly less intrusive than direct COIN intervention).
- Direct COIN Intervention:** Direct intervention in a COIN campaign may follow previous attempts to handle an insurgency using the approaches discussed above, or it may be the initial engagement. The current campaigns in Iraq and Afghanistan are not standard examples of direct COIN intervention, since troops were initially deployed to bring about regime change. The military role in direct COIN intervention is described in detail in Army Field Manual 3-24/Marine Corps Warfighting Publication 3-33.5 and in the Defense Department's forthcoming Joint Publication on Counterinsurgency 3-24, as well as being discussed elsewhere in this Guide.



When considering options, it must be remembered that every insurgency is different and will require a carefully tailored response. The approaches outlined above should therefore be seen as broad categories and not specific models.

It should be noted that there is a tendency for assistance to creep incrementally from small scale and less intrusive forms to ever larger and more obvious assistance. This is clearly illustrated by the history of U.S. involvement in Vietnam. The danger of this type of escalation is that the in-depth assessment and policy evaluation that occurred for the initial decision to assist may not necessarily be repeated for every increment and the government may find itself enmeshed in a scale of effort which was not reached by logical deliberation.

The risk of escalatory involvement should be considered during the formulation of policy. If the assessment of the situation is thorough enough and accurate, then the level of engagement chosen should be sufficient to address the problem. However, most countries significantly underestimate the scale of effort required to defeat an insurgency. If escalation of involvement does occur, then a full reappraisal of the situation and policy response should be conducted prior to each and every increment of involvement.

Developing a Strategy

Regardless of the model of engagement selected, the policy decision to engage requires the development of a detailed framework. The more detailed framework for the U.S. response, in which objectives are determined and resources matched to their achievement, is achieved through strategy development. The components of a COIN strategy have already been outlined in detail during Chapter 2. Ideally, the overall COIN strategy should be devised by the affected nation, as their understanding of it and their commitment to it will be key to success. If possible, the role of the U.S. should therefore be one of advising and assisting the affected nation to improve its strategy (if it already has one) or to help it write one from scratch (if it does not). If the latter is the case, the U.S. should also strive to build up the strategy development capacity of the affected government.

As previously discussed, the affected government may not be particularly eager to address some of the underlying causes of insurgency and so may find U.S. suggestions unpalatable. If so, the U.S. will need to work with the affected government to encourage it to take the necessary steps.

Once the affected nation has a viable COIN strategy, the U.S. should determine where its own resources and actions can best be applied to contribute to the affected nation's strategy.

Integrated Planning

The planning process to put a COIN strategy into effect will seldom be simple. To be effective, it must be integrated in two dimensions: internationally and between U.S. Government agencies.

- **International Integration:** By the very fact that the U.S. is assisting another nation to conduct COIN, the planning process must be at least bilateral. If the U.S. is involved as part of a coalition, then planning will require a multinational approach if the capabilities of other nations are to be integrated to best effect and the gains in legitimacy are to be preserved. In such a coalition, the degree of influence should be proportional to the degree of investment that each nation is willing to make in support of the affected nation.

As with the strategy, the plan should ideally be devised and owned by the affected government whose legitimacy and credibility are central to the campaign. If its competency and capacity to conduct COIN is limited, then initial planning will require a greater proportion of outside assistance, but supporting nations should recognize (indeed welcome) the increasing autonomy of the affected government in planning and conducting COIN as it grows in competence, capacity and confidence. While such independence may create conflicts of interest with the supporting nations, it represents progress towards the desired end-state.

- **Interagency Integration:** COIN planning by the affected nation should integrate civilian and military capabilities across each of the four COIN strategy functions of security, politics, economics and information. This requires the affected nation to conduct ‘whole-of-government’ planning to synchronize and sequence each department’s activities towards achieving the objectives of the COIN strategy. The synergies achieved will be key to exercising control over the environment through the strengthening of legitimate and effective government institutions.

The U.S. Government also needs to take a ‘whole-of-government’ approach to its support of the affected nation. It must employ a tailored approach that captures and integrates the range of capabilities that U.S. Government departments and agencies offer, so as to best support the affected government.

A whole-of-government plan should specify:

- The over-arching goal to be achieved;
- Critical facts and assumptions about the environment;
- Critical facts and assumptions about cause and effect;
- Major mission elements necessary and sufficient to achieve the goal;

- Essential task areas within each major mission element (tailored to the unique context and with possible consequences weighed against the desired end-state);
- Sequencing of essential tasks;
- Resources available to support the plan (skilled people, relationships, expert knowledge, money, materials, and time);
- Metrics to assess progress towards the overarching goal and major mission elements;
- The applicable international and domestic legal constraints;
- The structure and business rules for contributing, storing and sharing all relevant information.

The outputs of whole-of-government assessment and planning should include detailed descriptions of:

- Dynamics driving the conflict, including those that create and support the insurgency, and those that might mitigate the conflict and defuse the insurgency;
- Primary actors and factors, including opinion leaders and identity groups (legitimate government leaders and their constituencies, insurgent groups and their supporters, identity issues around which the actors coalesce (ideologies or other organizing principles), the degree to which the insurgency has subverted or penetrated the legitimate government, indigenous and external support to the insurgency, and vulnerabilities of the insurgent movement);
- Purpose of engagement (the “what” or mission statement for the COIN campaign);
- Major mission elements and essential tasks (the “how” for COIN operations);
- Resources required; detailed description of how the programs will be funded and managed by each U.S. Government department and agency; and resource shortfalls;
- Measures of effectiveness and performance indicators for each component of the plan and for the overall strategy;
- Key legal requirements, constraints and redlines;

- Coordination and synchronization mechanisms—“business rules” for integration of activities across departments and agencies, including clear lines of authority, command, and communication;
- Incorporation, where appropriate and possible, of other national, IGO, and NGO capabilities into plans and operations.

In summary, the success of the USG in helping other nations to defeat insurgencies will often be dependent on its proficiency at coordinating all committed agencies and resources (including its own, those of the affected nation, and those of international partners) towards a common objective. The first requirement for the U.S. is that it must synchronize its own agencies in a ‘whole-of-government’ understanding and approach. The second requirement is that it exercise sufficient diplomatic skill to coax, guide and assist the affected nation through the necessary steps of planning and execution to regain legitimacy and control. In situations where other coalition partners are involved, that diplomatic acumen must extend to maintaining the coalition and ensuring that partner efforts are woven as effectively as possible into the overall COIN strategy.

The ‘Principles of the U.S. Government Planning Framework for Reconstruction, Stabilization and Conflict Transformation’ document can be a useful tool for strategy development and planning. See Appendix C for web links to this and other planning tools.

Implementation

The requirement for integration does not end with planning; but should carry over into the execution of the plan. Unity of command may seldom be achievable, but a common sense of purpose and teamwork (between U.S. agencies, with the affected government and with other coalition players) will greatly increase the probability of success.

Continuous Monitoring, Evaluation and Assessment

Counterinsurgency situations are typically dynamic; insurgencies evolve and mature, affected governments (especially democratic ones) will alter in composition, competency and stance and the opinions held by populations will change. Concurrently both insurgents and counterinsurgents will evolve and adapt their strategies and tactics in a Darwinian struggle to outmaneuver each other. Under such dynamic conditions, it is not sufficient for assessment and planning to occur once, when the decision to become involved is taken. Planning should be adaptive and flexible, though for unity of effort and continuity the main themes should be maintained wherever possible. The situation should be continuously reassessed and the relative success of insurgent and counterinsurgent should be evaluated. Humanitarian and development activities should be monitored and evaluated according to

international standards and best practices. Evaluations are often best achieved by an independent team of experts reporting directly to the senior U.S. official. The U.S. military frequently applies this concept, using retired military commanders and diplomats. The views of the local population and non-U.S. Government entities should always be sought. Where the situation has changed significantly, the counterinsurgents (the affected nation, the U.S. and partners) must be prepared to review the strategy to determine whether it is still valid.

CONCLUSION



Afghan women waiting in line to vote at their local polling place

(PHOTO: USAID)

Effective counterinsurgency requires multi-faceted and integrated operations that apply civilian and military capabilities across information, security, political and economic functional areas. The goal of intervention in a COIN campaign is to help an affected government achieve control over its sovereign territory by establishing, developing, and consolidating legitimate, effective government institutions.

The U.S. can assist an affected government with strategies that combine information, security, political and economic elements. Before committing to engagement, careful consideration must be given to the affected government's legitimacy, its willingness to reform and its general political and economic viability. Approaches ranging from augmentation teams, through advisory support, civil-military assistance, Foreign Internal Defense and direct COIN intervention are available and historically proven. Diplomatic efforts in COIN, which shape the international environment as well as helping the affected government to reform, mobilize support, marginalize insurgents and extend its control throughout its territory, are led by the Department of State. Development efforts help the affected government to meet essential needs, develop infrastructure and build economic capacity and are led by the U.S. Agency for International Development. Both diplomacy and development are enabled by and contribute to security activities, which are led by the Department of Defense. The complex nature of insurgency also requires the integration of capabilities extant in a number of other U.S. Government agencies and departments, as well as those of other partner nations, inter-governmental and non-governmental organizations, and the private sector.

Insurgencies, and thus COIN strategies, can vary significantly from one situation to another. COIN efforts succeed if they result in a political resolution acceptable to the parties involved. Diplomacy, development and defense are interdependent at every level of a COIN effort, and civil-military integration is required at the strategic, theater/operational and local/tactical levels. Most successful COIN campaigns have achieved this unity of effort through unified authority.

This Guide serves to synthesize counterinsurgency theory with the recent experience of officials across U.S. Government departments and agencies working in this field. It deliberately focuses at the broad national level so as to develop civilian literature on counterinsurgency to complement existing military doctrine. As the first serious U.S. effort at creating a national counterinsurgency framework in over 40 years, this Guide is intended to provide the basis for continued discussion among and feedback from practitioners. The ultimate intent of this effort is to develop our national capability to support the counterinsurgency efforts of legitimate and responsible governments that respond to the needs of their people.

Contact information for the authors and contributors is listed in Appendix E by U.S. government department or agency.

APPENDICES

APPENDIX A: U.S. GOVERNMENT ROLES IN COIN

National Security Council

The National Security Council (NSC) is the President's principal forum for consultation with senior advisors and cabinet officials on national security and foreign policy matters. The NSC staff provides advice to the President with respect to the integration of domestic, foreign, and military policies and manages the processes through which the President's policies are coordinated and implemented. Due to COIN's inherent requirement for a whole of government approach, the NSC is uniquely positioned to guide COIN policy development and implementation.

Intelligence Community

Intelligence is central to any COIN campaign; it is the basis upon which a precise and deep understanding of the nature of insurgency, its context, and its remedies are based. The U.S. and international intelligence communities are indispensable contributors, providing intelligence support to policy makers, including indications and warning; conflict assessment tools; deployable support, including Rapid Analytic Support and Expeditionary Response (RASER) teams; collaborative tools; and dedicated support to planning staffs.

Department of State

The Department of State, through its bureaus, offices, and missions overseas, leads and oversees U.S. Government support to COIN efforts. The relevant regional bureau will normally direct primary policy regarding U.S. engagement in or operations in support of other governments. Several functional bureaus and offices, including the Bureau of Political-Military Affairs, the Office of the Coordinator for Reconstruction and Stabilization, the Bureau of International Narcotics and Law Enforcement, the Bureau of Democracy, Human Rights, and Labor, the Bureau of Population, Refugees, and Migration, the Bureau of Intelligence and Research, and the Legal Adviser's Office will have substantive roles in the development and execution of COIN strategy. The functional bureaus within State have the capability to design and execute full-spectrum assistance programs in the security sector to include counter-narcotics, anti-corruption, and police and non-military security forces. The Office of the Coordinator for Reconstruction and Stabilization has been tasked to develop a Civilian Response Corps, to provide a pool of civilian expertise

in reconstruction and stabilization able to respond rapidly to countries in crisis. Chiefs of U.S. Missions will oversee official U.S. Government operations in the countries to which they are accredited.

Department of Defense

The Department of Defense and U.S. military forces provide a broad range of capabilities to support an integrated U.S. counterinsurgency effort. These may include advising and training foreign military, internal security, and police units; planning and conducting security operations in support of indigenous security forces; intelligence, communications, and logistical support; public affairs and military information operations; medical assistance; civil affairs support; and infrastructure repair and construction. *Army Field Manual 3-24/Marine Corps Warfighting Publication 3-33.5, Counterinsurgency*, and U.S. military joint doctrine describe U.S. military COIN capabilities and operations in detail.

U.S. Agency for International Development

USAID can assist U.S. COIN efforts by fostering economic growth, promoting human health, providing emergency humanitarian assistance and enhancing democracy in developing countries. This is achieved through a spectrum of actions from policy reform to community level programs. USAID has extensive experience in developing and implementing programs with national governments and has field offices in 100 developing countries, working in close partnership with private voluntary organizations, indigenous groups, universities, American businesses, international organizations, other governments, trade and professional associations, faith-based organizations, and other U.S. government agencies. USAID programs are designed to enhance institutional capacity and ameliorate the root causes of conflict; community-level programs in particular have a good track record in addressing the grievances that fuel insurgency. The large numbers of foreign service nationals that make up the professional cadre of field staff provide a unique understanding of the local situation, while the range of sectors and levels of activity allow USAID great operational flexibility and agility to both implement and track the effectiveness of COIN operations.

Department of Justice

The Department of Justice, through its constituent agencies (the Federal Bureau of Investigation, the Drug Enforcement Administration, the U.S. Marshals Service, and the Bureau of Alcohol, Firearms, Tobacco and Explosives) and components, works with other nations to combat transnational crime and international terrorist activities, including financial and operational support that may buttress insurgency operations. Justice also has offices devoted exclusively to providing overseas technical assistance that are highly relevant to COIN: the International Criminal

Investigative Training Assistance Program, which develops police and corrections institutions; and the Office of Overseas Prosecutorial Development, Assistance and Training, which develops prosecutorial and judicial institutions.

Department of the Treasury

The Department of Treasury's Office of Terrorism and Financial Intelligence (TFI) plays an important role within the U.S. Government with the twin aims of safeguarding the financial system against illicit use and combating rogue nations, terrorism facilitators, weapons of mass destruction (WMD) proliferators, money launderers, drug kingpins, and other national security threats by disrupting and dismantling terrorist and insurgent financial networks as well as building partner nation capacity. Both of these aims are highly relevant to COIN. TFI's components include the Offices of Terrorist Financing and Financial Crime, Intelligence and Analysis, Foreign Assets Control, and the Financial Crimes Enforcement Network. The Office of International Affairs, through its Office of Technical Assistance, works directly with foreign governments to support their efforts to improve their financial systems.

Department of Homeland Security

The Department of Homeland Security (DHS) was formed by merging 22 separate and distinct federal agencies. The Department's overarching purpose is to govern domestic security operations; however, several component agencies and offices operate overseas, interacting and cooperating with host nation government agencies. A significant by-product of that interaction and cooperation is improved U.S. and host government capabilities to provide security and safety for their populations. DHS component agencies and offices with capabilities most relevant to COIN are U.S. Customs and Border Protection (CBP), U.S. Immigration and Customs Enforcement (ICE), the Transportation Security Administration (TSA), U.S. Citizenship and Immigration Services (USCIS), the U.S. Coast Guard (USCG), the U.S. Secret Service, the Office of Intelligence and Analysis, the Office of International Affairs, and the Office of Operations Coordination.

Department of Agriculture

Many insurgencies occur in countries where the majority of the population is dependent upon agriculture, and where unemployed or underemployed rural youth are considered prime candidates for recruitment. Development of the agricultural sector and its institutions helps facilitate trade and increase incomes, reducing recruitment and support for insurgency. The Foreign Agricultural Service (FAS) executes the U.S. Department of Agriculture's (USDA) international programs, including market development, trade agreements and negotiations, and the collection and analysis of statistics and market information. The FAS delivers training and technical assis-

tance, and collaborates with developing and transitional countries to facilitate trade and promote food security. The goals of USDA's international work are to help ensure that countries critical to U.S. national security strengthen their institutions, policies, and market-based agricultural systems, thereby contributing to long-term economic and political stability; adopt regulations consistent with international standards to increase trade, resulting in economic growth and stability; and employ agricultural practices that will reduce instability, increase regional cooperation, and ensure an adequate resource base for future generations.

Department of Transportation

Transportation infrastructure (roads, rail, ports, air and pipeline) is a critical component of the economic health and development of countries, factors that mitigate conditions that encourage insurgency. All facets of commerce, trade, travel, and quality of life depend on mobility. Transportation facilitates a government's ability to provide its population with basic services and security, thereby reducing the appeal of insurgency within the most likely populations of potential recruits. Transportation can support COIN efforts by helping countries to strengthen their institutions, policies, and intermodal transportation systems, contributing to long-term economic and political stability; adopt regulations consistent with international standards to increase trade and safety, resulting in economic growth and stability; and adopt transportation practices that promote infrastructure development for local, regional and international movement of people and commerce.

APPENDIX B: WEBSITE LINKS TO ASSESSMENT & MODELING TOOLS

1. Global Forecasting Model of Political Instability
<http://globalpolicy.gmu.edu/pitf/PITFglobal.pdf>
2. USAID—Conducting a Conflict Assessment: A Framework for Strategy and Program Development
http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMM_ConflAssessFrmwrk_May_05.pdf
3. USAID Conflict Mitigation and Management Policy
http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/USAID_Conflict_MM_Policy.pdf
4. USAID Community-Based Development in Conflict-Affected Areas
http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMM_CBD_Guide_May_2007.pdf
5. Principles of the USG Planning Framework for Reconstruction, Stabilization and Conflict Transformation
<http://www.crs.state.gov/index.cfm?fuseaction=public.display&shortcut=49Q9>
6. Graphical Overview of Whole-of-Government Planning Framework and Process for Reconstruction and Stabilization
<http://www.crs.state.gov/index.cfm?fuseaction=public.display&shortcut=49QF>
7. S/CRS Triggering Mechanisms for “Whole-of-Government” Planning for Reconstruction, Stabilization and Conflict Transformation
www.crs.state.gov
8. S/CRS Interagency Management System for Reconstruction and Stabilization
www.crs.state.gov
9. OECD DAC Handbook on Security System Reform (SSR) (includes a framework for SSR assessment)
<http://www.oecd.org/dac/conflict/if-ssr>

APPENDIX C: USEFUL REFERENCES

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APPENDIX D: ACRONYMS AND ABBREVIATIONS

CAF	Conflict Assessment Framework, USAID
CCDR	Combatant Commander, DOD
COCOM	Combatant Command
COIN	Counterinsurgency
COM	Chief of Mission, State
DOD	Department of Defense
Justice	Department of Justice
State	Department of State
FAS	Foreign Agricultural Service, USDA
FM	Field Manual, DOD
IGO	Inter-Governmental Organization
MCWP	Marine Corps Warfighting Publication, DOD
MNC	Multinational Corporation
NGO	Non-Governmental Organization
NSC	National Security Council
U.S.	United States
USAID	U.S. Agency for International Development
USDA	U.S. Department of Agriculture
USG	United States Government

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www.defenselink.mil
www.usdoj.gov
www.ustreas.gov
www.usda.gov
www.dot.gov
www.dni.gov
www.dhs.gov

U.S. GOVERNMENT COUNTERINSURGENCY GUIDE



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www.state.gov/t/pm/ppa/pmppt

