Joint Civil Information Management



USER'S MANUAL

April 2011

UNCLASSIFIED

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HANDLING INSTRUCTIONS FOR JOINT CIVIL INFORMATION MANAGEMENT PRODUCTS

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This product results from a collaborative effort between Joint Civil Information Management Joint Test (JT) and the Joint Test and Evaluation Program (JT&E) under the Director, Operational Test and Evaluation (DOT&E), OSD. The JT&E Program seeks nominations from the Services, Combatant Commands, and National Agencies for projects that develop test products to resolve joint operational problems. The objective of the program is to find ways for warfighters to improve mission performance with current equipment, organization, and doctrine. Please visit http://www.jte.osd.mil for additional information on the program.

Program Participants

The OSD, DOT&E determined that the publication of this manual is necessary for the standardization of joint civil information management procedures. The procedures provide guidance for executing each of the steps in the joint civil information management process to enable decision making by the JFC, facilitate planning by staff members, and support execution of civil-military operations. The following commands and agencies participated in the development and revision of this publication:

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- DOT&E, Air Warfare Division
- Assistant Secretary of Defense, Network Integration Interoperability/Chief Information Operations
- US Africa Command (USAFRICOM) (J5)
- US Pacific Command (USPACOM) (J3)
- OSD
- US Special Operations Command (USSOCOM) (J6, J7/9, J33)
- US Joint Forces Command (USJFCOM) (J8)
- US Southern Command (USSOUTHCOM) (J7)

Marine Corps

- Marine Corps Combat Development Command (MCCDC)
- HQ, USMC, Plans, Policies, and Operations (PP&O)

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- 95th CA Brigade (Airborne), US Army Special Operations Command (USASOC)
- US Army War College, Department of National Security and Strategy
- US Army Civil Affairs and Psychological Operations Command (USACAPOC) (Airborne)

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- Naval Expeditionary Combat Command (NECC)

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Publication Information

We encourage recommended changes for improving this publication. Identify comments to the specific page and paragraph and provide a rationale for each recommendation. Send comments and recommendations directly to:

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PREFACE

1. Scope

The Joint Civil Information Management User's Manual provides joint tactics, techniques and procedures (TTP) as a standard for planning, collection, consolidation, analysis, production, and sharing civil information to supplement how commanders, senior leaders, and staff plan and execute operations. This document establishes an organized and disciplined approach for joint civil information management at the Joint Task Force (JTF) level and below. The focus of the Joint Civil Information Management Joint Test (JT) was Chapters 4, 5, and 8 (collection, consolidation, and sharing, respectively), and the assessment forms located in Annex B. The considerations, procedures, and best practices presented for each of the six steps of the joint civil information management process include current civil information management (CIM) standards employed by each Service with assigned civil affairs (CA) forces.

2. Purpose

The purpose of this manual is to:

a. Provide standardized joint civil information management assessments.
b. Provide a structured joint civil information management process to conduct CIM.
c. Enable commanders and staffs to better plan and execute operations.
d. Define the two primary roles and responsibilities in executing CIM: staff supporting their commander and CIM coordinators supporting the staff with *visible*, *accessible*, and *understandable* civil information.
e. Enable cooperation and collaboration between the stakeholder community and the joint force commander (JFC).

The need for a publication on this topic arose from the joint CA force, but extends beyond that community. Each Service has experienced similar challenges when managing civil information and difficulty collaborating with civilian stakeholders without a standard methodology.

Operational challenges for all services and interagency partners include:

a. No common language defining the civil domain
b. No common reporting standards
c. No common graphic symbols
d. No common naming convention
e. No common data collection procedures
f. No common data storage procedures and standards
g. No interoperable systems for storing and transmitting civil information,
h. No common system for Relief in Place (RIP)/Transfer of Authority (TOA) data/information transfer
i. No common education or training for managing civil information

These challenges degrade the JFC's ability to achieve unity of effort among military, government, humanitarian assistance (HA), and development communities. Standardized TTP for collecting, consolidating, and sharing civil information mitigates some of these challenges and supports decision-making and unity of effort. The impact of these challenges on stakeholders in the operating environment includes:

a. Incomplete situational awareness of civil domain
b. Redundant efforts and wasted resources

This User's Manual is not intended to address the conduct of CMO or Civil Affairs Operations (CAO) outside the task of CIM. While current limitations in training, force development, and acquisition are being addressed by

multiple joint, Service, and COCOM initiatives this manual provides a framework to accomplish the difficult task of managing civil information to better inform these developmental efforts. Considerations, procedures, and best practices in this User's Manual have been collected from multiple units and agencies that have managed civil information, and provide a way to accomplish CIM with available equipment and mitigate constraints that impede a unit or agency accomplishing CMO.

3. Applicability

This publication serves as a source document for developing joint and Service manuals, publications, and curricula, or as a stand-alone document at the JTF and component levels. It expands on several joint publications, providing insight into the procedures for effectively managing civil information. While written for a JTF-level audience, this publication applies to any organization managing civil information.

The stakeholder community referenced throughout this manual consists of the supported JFC and military or non-military entities partnering with it. This community can include:

a. US military consisting of higher, adjacent, and supporting elements
b. US Government (USG) agencies such as country teams, resident offices, or Headquarters (HQ)
c. Host and partnering nation militaries
d. Host and partnering nation agencies
e. International Organizations
f. Non governmental organizations (NGO)
g. Private volunteer organizations (PVO)
h. Private sector entities such as business, education, and medical

4. User Information

This publication reflects current joint and Service doctrine, command and control organizations, facilities, personnel, responsibilities, and procedures. Changes in Service protocol, appropriately reflected in joint and Service publications, will likewise be incorporated in revisions to this document. Unless stated otherwise, masculine nouns and pronouns in this publication do not refer exclusively to men.

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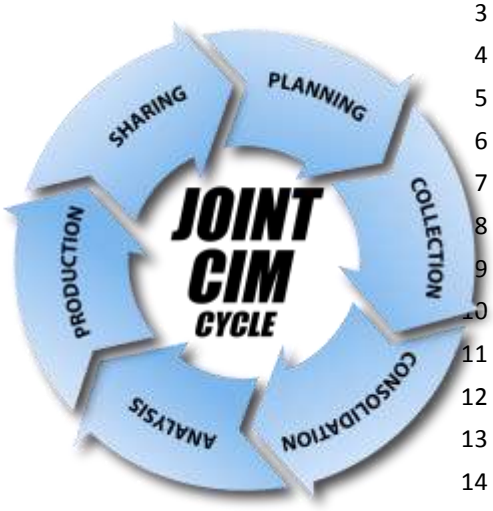

Figure ES-1. Joint Civil Information Management Cycle

The Joint Civil Information Management User's Manual presents tactics, techniques, and procedures (TTP) for managing civil information using a six-step cycle, depicted in Figure ES-1, Joint Civil Information Management Cycle, consisting of planning, collection, consolidation, analysis, production, and sharing. Civil Information Management (CIM) is the process where civil information is collected consolidated in a central information system and shared with supported elements, JTF, higher headquarters, Department of Defense (DoD), United States interagency and coalition partners, nongovernmental organizations, and the private sector to ensure the timely availability of information for analysis and the widest possible dissemination of raw and analyzed civil information to military and nonmilitary partners.

Joint civil information management is applicable to the full range of military operations, but is particularly important to civil-military operations (CMO). The TTP in this User's Manual enable commanders and staff to better plan, execute, and assess operations. They help facilitate cooperation and collaboration between the stakeholder community and the joint force.

Introduction to Joint Civil Information Management

The goal of joint civil information management is to provide *visible*, *accessible*, and *understandable* civil information to decision makers. Joint civil information management occurs at all levels and requires an information management organization to support the information management plan. Joint civil information management coordinators are an important part of that organization, and specialize in monitoring the *information environment* in the unit. The process enhances command and control by changing raw data into information, knowledge, and situational understanding of the civil components of the operating environment. It is a collective task for the entire joint command including the staff, maneuver forces, supporting elements, and military or non military stakeholders operating in the area of operations and among its population. All of these must interact to attain unity of effort. The joint civil information management process provides structure to aggregate information as it moves through the organization, making it useable for the echelon that needs it.

Organization for Joint Civil Information Management

The CMO staff section (J9) is normally the lead for managing *civil* information and must identify and work with *all* stakeholders who execute any component of the joint civil information management process. Each staff section manages information within its field of interest. Supporting elements enable the process as they manage information within their fields. The J9 coordinates moving the most relevant civil information into the decision making process and injects it into the common operating picture (COP). Civil information management coordinators in the J9 may be from Army CIM cells, Navy CIM coordinators, or Marines tasked to conduct CIM. Two

elements are required to successfully manage civil information: *staff* and a *joint civil information management coordination section.* This section of the J9 performs content management and integrates the joint civil information management process into the information management plan. The J9 must task organize a section for this purpose if not supported by CA assets with a CIM capability.

Planning for Joint Civil Information Management

Staffs have specific procedures for managing information about friendly and enemy forces. The robust information architectures in command, control, communications, computers, and intelligence (C4I) systems to manage that information provide poor support for managing civil information. The joint civil information management process provides staff a method to develop a situation-specific civil information architecture that links tactical conditions to strategic objectives for the civil components of the operating environment. It provides structure to measure effectiveness and performance, based on effects. Planning to manage civil information is modeled on the principles of targeting, joint intelligence preparation of the operating environment, and joint operation planning. It relies on civil information architecture for identifying centers of gravity and strengths, weaknesses, opportunities, and threats in the civil environment. This helps develop a collection plan that identifies and prioritizes information requirements to satisfy identified gaps.

Civil Information Collection

Collection can take the form of one or more of the following activities: information search, civil reconnaissance, and civil engagement. **Information Search** is collecting data and information from the internet, printed media, or other non-first person sources. **Civil Reconnaissance** is planned collection by direct observation of the operating environment. **Civil Engagement** is actively engaging individuals in dialogue or cultural exchange. Examples are key leader engagement, mass engagement, and surveys of the people and organizations in the operating environment. Collection must be executed for a purpose, with direction, and have the necessary authority. Source reliability and data credibility must be validated to avoid misrepresenting conditions. Finally, project management is a special environment where collection is conducted and affords opportunities to influence the operating environment.

Civil Information Consolidation

The purpose of consolidation is to organize and filter civil data into civil information. It provides decision-quality information to support command and control. During consolidation raw data is progressively transformed into the more useful state of information. Consolidation is accomplished by collating and processing data into concise groups of relevant information in formats that are *visible*, *accessible*, and *understandable*.

Civil Information Analysis

Analysis provides the “so what” to information, making sense of it for a decision maker. Analysis separates a complex topic into its basic elements to study the parts and their relationships. It can only be conducted with processed information and is done to form conclusions to use as the basis for products that satisfy requirements. Analysis helps commanders understand the operating environment and enables planning, execution, and assessment of operations. Analysis provides situational awareness about operational conditions which decision makers synthesize with operational requirements, commander’s guidance, and direction from higher to achieve situational understanding. Understanding provides the basis for timely and effective decision making.

Civil Information Production

Production of civil information uses various media and formats to help commanders visualize conditions in the operating environment. The end state is products that accurately and completely present the civil components of the operating environment. Content for the various products is found in numerous formats throughout the staff. One of the tasks during production is to select the best format with which to present the information. The product formats used in a military staff are information papers, assessments, area studies, running estimates, orders, annexes, surveys, overlays, matrices, charts, white papers, and others. This chapter provides context, considerations, procedures, and best practices for selecting an existing product or creating a new product with which to convey civil information.

Civil Information Sharing

Sharing is the delivery or exchange of information between users in a usable form for application to appropriate missions, tasks, and functions, and occurs in three ways: pushing, pulling, and populating. **Pushing** is the active dissemination of civil information to stakeholders that have a requirement for it. **Pulling** uses direct electronic access to databases, files, or other repositories by military organizations and provides select stakeholders similar access. **Populating** is adding civil information to the civil COP, expressed as either the civil layer to a COP or a CMO COP, to support organizational requirements. Sharing is a coordinating mechanism that promotes unity of effort between stakeholders by continually providing relevant civil information they can use to further the objectives of their organization.

Annexes

The annexes to the User's Manual provide tools to enhance understanding of the concepts presented and to execute the steps of the joint civil information management process. There are four annexes that cover the following topics:

A. Civil Information Management Quick Reference Guide
B. Civil Data Collection Forms
C. Joint Civil Information Management Coordinators Manual
D. District Stability Framework Overview
E. Relief in place/Transition of authority checklist

Supporting Publications

This User's Manual is supported by a Joint Civil Information Management Tactical Handbook (TACHAN).

The TACHAN is written for tactical collector working in any unit routinely operating in and among the civil populace. It is a pocket size guide covering the details of collection and reporting taken from Chapter 4, Collection, and Chapter 8, Sharing, of the User's Manual.

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CHAPTER 1 INTRODUCTION TO JOINT CIVIL INFORMATION MANAGEMENT

1.0 Introduction

There is an almost insatiable demand for information that provides greater operational success across the range of military operations. Both Service and combatant command resources are expended to gain a greater understanding of the civil environment. A disciplined approach is urgently required for an effective *civil* information exchange that meets joint, interagency, and multi-national requirements.

The scale to develop and implement this disciplined approach is substantially greater than a single Service or command database, information system, or tool. As the demand for civil information increases, civil information management (CIM) becomes more imperative.

> *"It is essential for the [Joint Force Commander] JFC to ensure that subordinate commanders, staff principals, and leaders of [command and control] C2 nodes understand their authorities, their role in decision-making and controlling, and their relationship with others. Control and appropriate sharing of information is a prerequisite to maintaining effective C2. Identifying, requesting, receiving, tracking and sharing the needed information ensures that decision makers make informed, timely decisions."*
>
> Joint Publication 1, Doctrine for the Armed Forces of the United States

Joint civil information management is the process where civil information is collected, consolidated in a central information system, and shared with supported elements, joint task force (JTF), higher headquarters, Department of Defense (DoD), United States government (USG) interagency and coalition partners, nongovernmental organizations (NGO), and the private sector. This ensures the timely availability of information for analysis and the widest possible dissemination of the raw and analyzed civil information to military and nonmilitary partners. Joint civil information management is executed through a six step process designed to support command and control (C2) by providing situational awareness of the civil environment. This is accomplished by consistently transferring information to key decision makers.

> *In the aftermath of several years of less than successful counter insurgency operations, it is not difficult to make the case for collecting, consolidating and sharing civil information. These three activities are essential to moving information while planning, analysis and production determine what is needed at various levels of decision making. So the Civil Information Management process incorporates six main steps necessary for informed decision making.*

Transferring information effectively, like moving people (by foot, bicycle, car, bus, etc.), is made possible by "infrastructure". There is more to infrastructure than roads; there are signs, traffic rules, enforcement, etc. Infrastructure is comprised of the *whole system* of *people*, *process*, and *technology* required to meet the joint force commander's (JFC) information needs. Directing the control and use of civil data requires consistent joint doctrine; focused and understood processes and procedures; and associated information systems and technologies. Today, computer programs, repositories, computational modeling, and communication devices define the control of data and information rather than people, processes and technology. Adequate "infrastructure" is necessary for moving and using civil information. JFCs require infrastructure[1] that provides them *visible*, *accessible*, and *understandable*[2] civil information.

Managing civil information requires a family of mutually reinforcing disciplines designed to support a tested process[3] as the baseline for requirements generation. Joint civil information management is the formalization of a

process historically performed ad hoc to fulfill the decision makers' need to understand the civil environments in which they operate. Joint civil information management tactics, techniques, and procedures do not add tasks or requirements, but rather establishes standards and methods for the tasks that units and staffs already execute.

1.1 Context

Control of civil information is a multidisciplinary endeavor, rooted in command, control, computers, communications and intelligence (C4I) functions that facilitate command and control (C2) of joint operations, actions and activities. Information management and situational awareness (SA) are components of C2, and civil Information management is a component of information management.

C2 is fundamental to controlling civil information and executing civil information management. "C2 is as much a problem of information management as it is of carrying out other warfighting tasks."[4] Joint C2 is thoroughly addressed in joint doctrine, and Joint Publication (JP) 1, Doctrine for the Armed Forces of the United States, states: "C2 is the means by which the JFC synchronizes and/or integrates joint force activities in order to achieve unity of command and unity of effort."[5]

Joint application of C2 is maturing.[6] The Command and Control Research Program (CCRP) is focused on improving both the state of the art and practice of C2 to help the DoD take full advantage of opportunities afforded by emerging technology. *Understanding Command and Control*, published in 2006 by CCRP, establishes the foundation for C2 in an era of complex coalition civil-military operations (CMO). *The operating environment for joint civil information management is nested within this application of joint C2*.

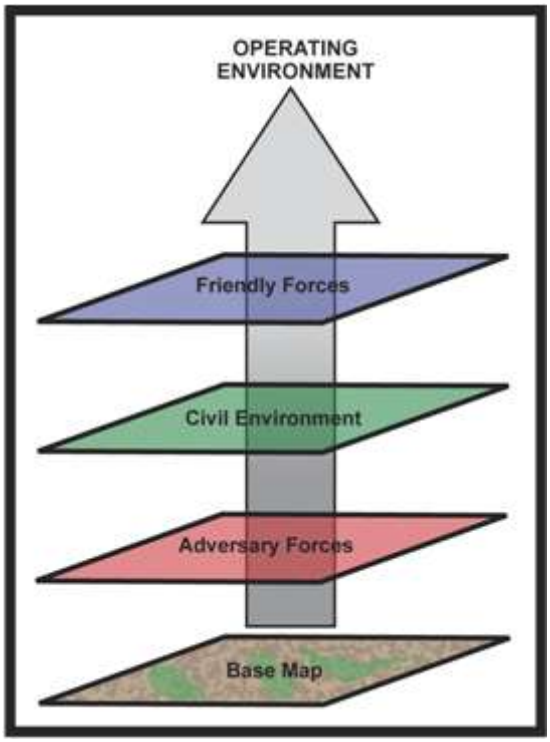

Figure 1-1. Components of the Operating Environment

1.1.1 Understanding the Operating Environment

The JFC's operating environment consists of three layers or components of information that are arrayed in time and space. These are depicted in Figure 1-1, Components of the Operating Environment. Joint civil information management focuses on the civil environment, and was developed to assist the JFC obtain and control civil information during the range of military operations, especially CMO. These include stability, security, transition and reconstruction operations (SSTRO), irregular warfare (IW), counterinsurgency (COIN), and antiterrorism (AT), where civil populations are the center of gravity (population-centric warfare). Control of civil information is a component of joint information management policies, procedures, architecture, and guidelines.

Current joint doctrine and C2 constructs provide definitions, frameworks, models, and cognitive processes for joint information management. The policies, architecture, and guidelines for joint information management enable C2. **Situational awareness** is important to C2 and the execution of joint civil information management at tactical, operational, and strategic levels.

Situational awareness is "the perception of elements in the environment within time and space, the comprehension of their meaning, and the projecting of their status in the near future. Situational awareness is about the knowledge state that is achieved - either knowledge of current data elements, or inferences drawn from these data, or predictions that can be made using these inferences."[7] This framework defines three levels of situational awareness: perception, comprehension, and projection. **Situational assessment** is the process of achieving the first level of **situational awareness.**[8] The first level, **perception**, is being aware of relevant elements or factors present in the environment (*within time and space*).

The second level of situational awareness is **comprehension**. It is often identified as **situational understanding,** and refers to comprehending the meaning of information and applying analysis and judgment to the unit's **situational assessment** to determine the relationship of factors present to form conclusions about threats, opportunities, and *gaps* in information.[9] **Situational understanding** *comprehends of the meaning of data and information as they interrelate and directly apply to the commander's intent or goals*. **Sensemaking** is the term used to describe the process that achieves *comprehension.*[10] **Sensemaking** is the motivated, continuous effort to understand connections between people, places, things, and events to anticipate their trajectories and act effectively.[11] It is looking at past and present information to form explanations and understanding, and is the process used to form a systems perspective.

The third level of situational awareness is **projection**, which involves perceiving information about the environment, comprehending the meaning, then integrating and comparing it with goals to *provide projected future states* that are valuable for decision making. This level uses **situational understanding** to project what may occur in the near future to inform decision making. This is thought of in military terms as *predictive analysis*.

1.1.2 Civil Environment

The first step toward **situational awareness** is to identify the status, attributes, dynamics, and relationships of relevant elements to other points of reference in the operating environment.[12] The scope of these elements is represented in Figure 1-2, Scope of Civil Factors within the Operating Environment. At the most basic level, civil **situation assessment** involves observation, monitoring, cue detection, and simple recognition of multiple civil elements for their current status. These elements can be objects, events, people, systems and other factors. Current status can be conditions, forms, manner of expression, and actions. Together, these express the situation in the civil environment that is assessed during Joint Intelligence Preparation of the Operational Environment (JIPOE), to develop a *systems perspective*.[13]

> *"The tendency to overemphasize detailed information about the enemy at the expense of the political, economic, and cultural environment that supports it becomes even more pronounced at the brigade and regional command levels".*
>
> Fixing Intel: A Blueprint for Making Intelligence Relevant in Afghanistan
> JANUARY 2010

Regardless of the mission, current organizational capabilities lack means and methods to *focus attention and accurately **perceive*** what is occurring in a vast portion of the JFC's operating environment. This manual provides collection, consolidation and sharing procedures to achieve **situational awareness**.

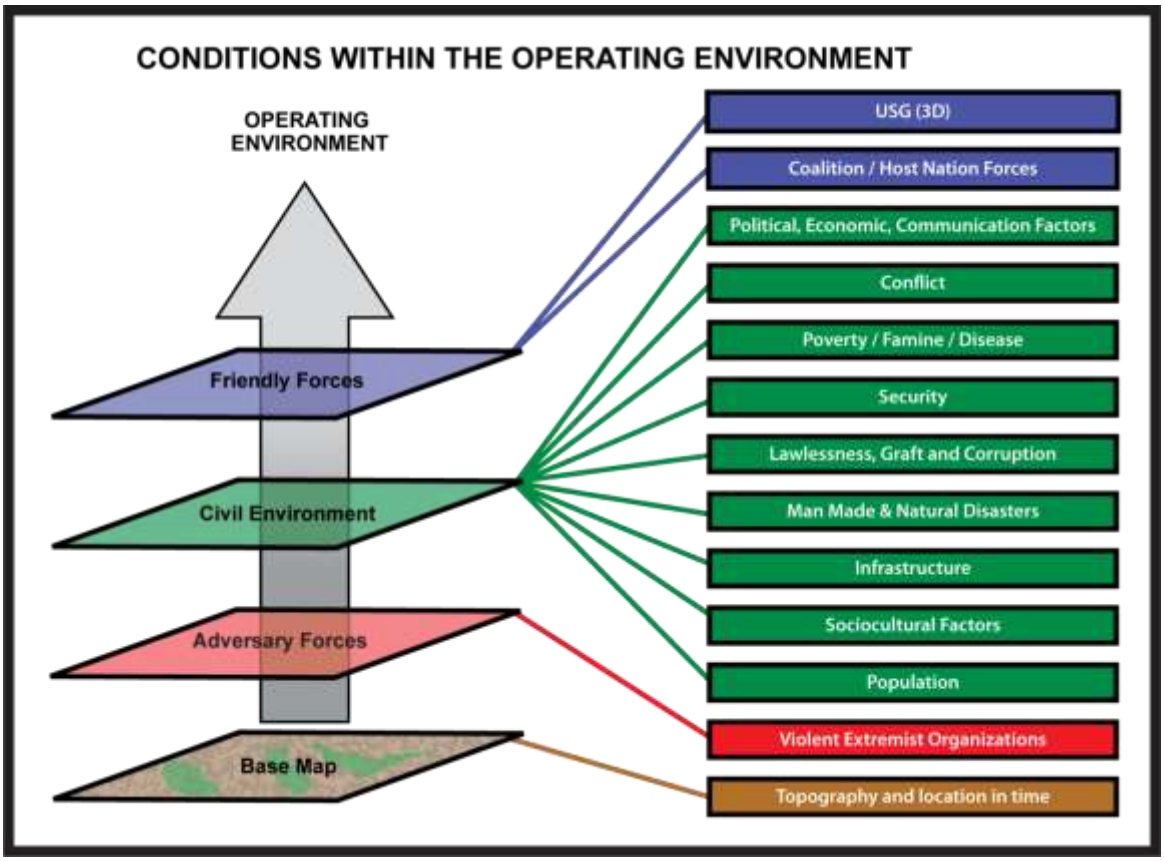

Figure 1-2. Scope of Civil Factors within the Operating Environment

Requirements for achieving **situational awareness** of the civil components of the operating environment include:

- Common procedures for relief in place (RIP)/transfer of authority (TOA)
- Common graphics and symbols
- Common reporting standards
- Common language defining the civil environment
- Civil information education and training
- Common data collection, consolidation and sharing procedures
- Common file naming conventions
- Common data storage methodology
- Interoperable *civil information architecture*
- Civil information system program of record

1.1.3 Focused Attention and Enhanced Perception

Informed, **echelon appropriate** decisions require **situational assessment** and **situational understanding;** neither is possible apart from purposeful collection, consolidation and sharing of civil information. Figure 1-3, Operating Environment and Information Requirements Categories, illustrates the relationship between the operating environment[14] and information requirements categories[15]. It demonstrates how the civil components of the operating environment relate to the commander's critical information requirements (CCIR) to produce **situational awareness**. Information requirements categories (*adversary forces*, *civil environment*, and *friendly forces*) direct attention and focus.

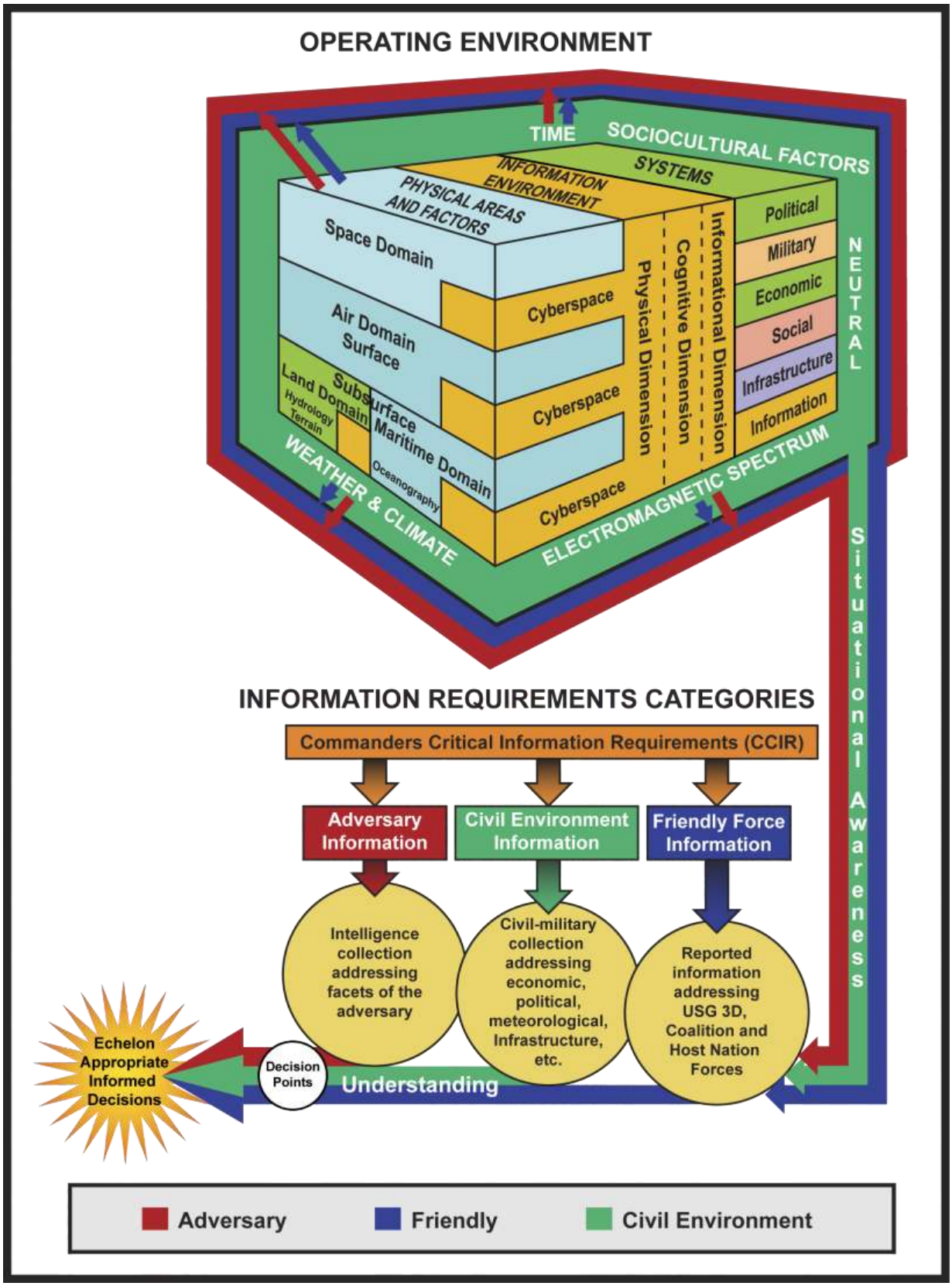

Figure 1-3. Operating Environment and Information Requirements Categories

There are two aspects of information necessary to understand the situation and make sound decisions. Military and civilian practitioners who work to enhance **situational awareness**, at any one of the three levels in section 1.1.1 will often manage these two aspects of civil information differently. They are:

- ***What is going on?*** This is information that helps to scope a problem in the operating environment. The information shapes informed decision-making related to complex problems. It is seeking to first understand conditions and events in the operating environment. Answering this question is similar to framing the problem, which is often one of the initial steps before proceeding to operational design.
- ***What are we doing* or *what is being done?*** This information captures what the organization is doing, or what actions and activities are taking place to address a problem or concern. This captures the quality, performance, and results of actions. For ongoing efforts, this information is often associated with measures of performance (MOP) and measures of effectiveness (MOE). This information begins with and further focuses operational design, planning and analysis.

Both aspects correlate with the two basic uses of information identified in JP 6-0, Joint Communications Systems: the first is to help create situational awareness as the basis for a decision while the second is to direct and coordinate actions in the execution of the decision.[16] Focusing attention on civil information and making sense of it are the only means to know what is occurring and how joint force and stakeholder activities impact the operating environment. Clear comprehension of the civil environment must occur before integrating and comparing goals to **project** future events in the operating environment. Mission success depends on focused **comprehension** and **projection** of events and actions using civil components of the operating environment.

1.1.4 Command, Control, and Decisions

Joint doctrine defines **Joint Force Commander** "as a general term applied to a combat commander, sub-unified commander, or joint task force commander authorized to exercise combatant command or operational control over a joint force."[17] His means to manage activities are command and control. "The purpose of command and control is to bring all available information and all available assets to bear."[18]

The connection between C2 and decisions is established in the following definition: *command and control encompasses decisions directly associated with goals or collective actions and the control of activities and actions that carry out these decisions.* Decisions relate directly to identified command goals or the commander's intent. In other words, they are mission related. They do not encompass all of the decisions made by individuals or organizations nor decisions that emerge from collective behavior.[19]

- **Command** identifies or decides a desired outcome – intent or goal [*Art*].
- **Control** specifies the orders given (direction). Control consists of decisions linked to action (execution of the intent) [*Science*].

The JFC produces decisions. The following C2 model identifies three specific processes that demonstrate how the JFC's decisions become actions. They are:

- **Information processing**, which accepts information from and about the operating environment and converts it into situational awareness;
- The **sensemaking** process by which situational awareness is converted into understanding and decisions at either the individual or some shared level;
- Implementation processes by which decisions are converted into actions.[20]

The variables of mission success are as diverse as the factors that dominate the situation. Even so "the effectiveness of the leader [*commander*] is proportional to the effectiveness of the decisions the leader makes and the cascading impacts as decisions turn into action, both good and bad." [21]

There is a simple control loop where information is processed as part of *focused* **situational awareness**. **Sensemaking** leads to **situational understanding** that enables decisions. Through control mechanisms, decisions are converted into actions. These actions and their effects are observed to form updated **situational awareness**. This simple loop represents the link between joint force actions and *effects* in the civil environment. However, events occur outside of this control loop, which prompt the question: "What is going on?" This can happen in an environment of ongoing activity or someplace altogether new. In either case, initial effort and focus may be applied to collect information *leading to* ***situational awareness***. Answering this question may require situational awareness of events and actions in the civil environment occurring outside of the JFC's control.

The cases identified above include situations where questions, information processing, and making sense of the operating environment must do more than simply consider the civil components. Civil considerations must become *civil imperatives* to achieve situational awareness, satisfy the CCIRs, identify decision points, and support **echelon appropriate** decisions.

1.1.5 Command, Control, and Planning

Defining CCIRs, identifying decision points, and decision making are conducted during planning. C2 determines the conditions that shape that process.[22] Figure 1-4, Planning in the Context of C2 and Operations, illustrates the relationship between command, control, **sensemaking**, planning, and execution.[23] Planning is an integral part of the **sensemaking** process.[24] Making sense of the operating environment begins with factors in the civil environment. The JFC and his staff determine roles and responsibilities, allocate resources, determine the nature of interactions that take place among participants, and define how information is shared among stakeholders. This is done for each information requirements category. The level of effort applied to each category reflects the JFC's priorities and operational capability.

Civil information planning, collection, consolidation, analysis, production and sharing enable units and staffs to more effectively accomplish missions they are already tasked to execute. Standards and methods for managing civil information enhance collaborative processes and support joint operational planning. Figure 1-4, Planning in the Context of C2 and Operations, shows *collection, consolidation, and sharing* in the operating environment and collaborative planning space. They enhance the movement of information by information processing and sharing. Plans inform both the **sensemaking** and execution processes because they are updated interactively. Similarly, civil information planning is part of **sensemaking** and informs the JFC's **situational understanding** and **projection**. Sharing is both internal (sharing of plans within the collaborative process) and external to stakeholders in the operating environment. The decision about what to collect, consolidate and share from the civil environment is determined by command priority (decision) based on **situational awareness** (planning, analysis and production) and carried out (control) through the execution of plans.

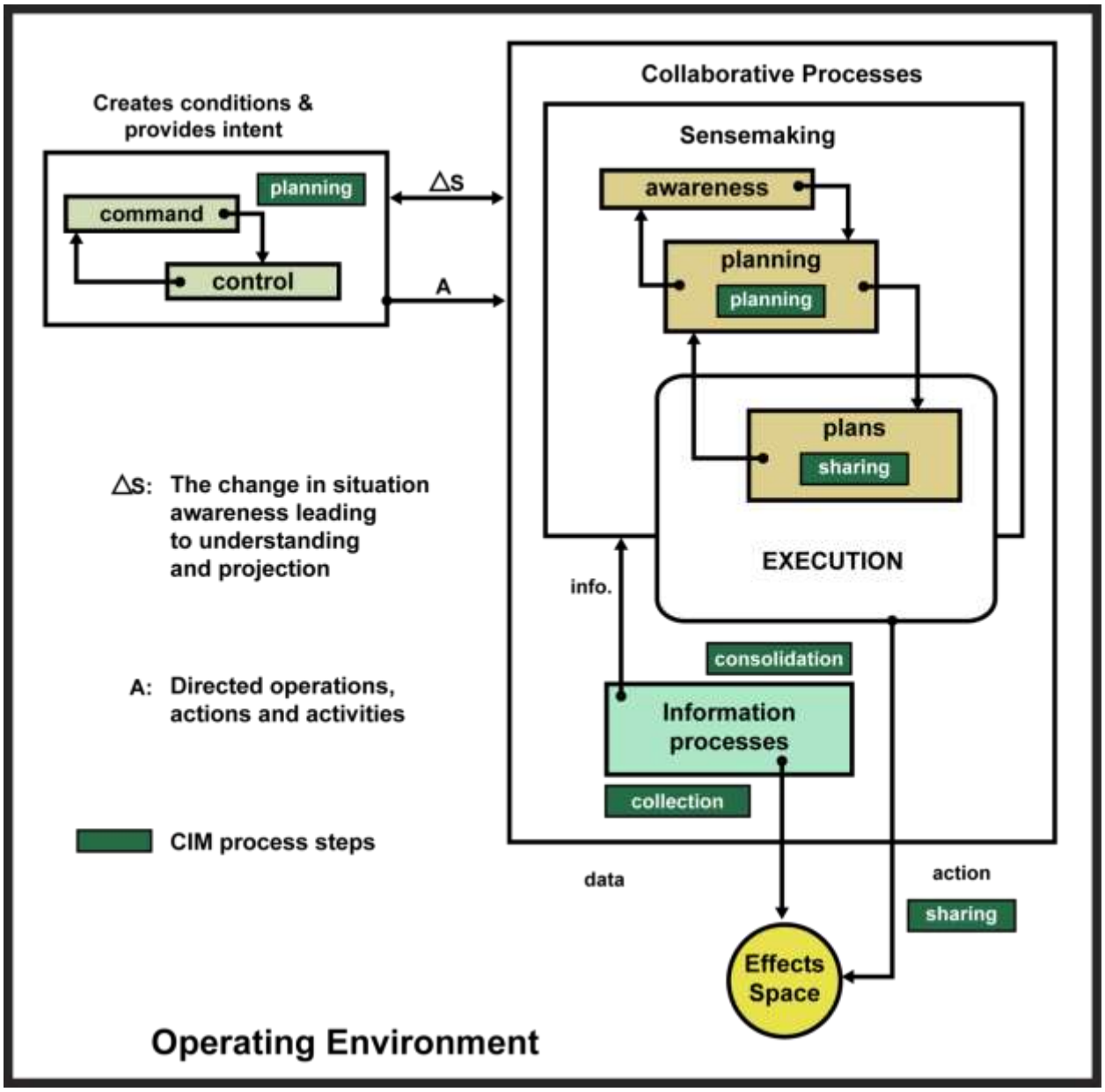

Figure 1-4. Planning in the Context of C2 and Operations

1.2 Joint Civil Information Management Process

The joint civil information management process supports planning and execution by incorporating civil information into the JFC's C2 and decision processes. Without civil information, the JFC operates with incomplete situational awareness, as illustrated in Figures 1-1, 1-2, and 1-3. Figure 1-5, Joint Civil Information Management Process, illustrates the iterative nature of civil information management, where information flows *conditionally* from analysis and production to consolidation, and how the exchange of information from sharing leads to further collection, consolidation and planning. The process steps are:

1. **Planning** develops plans to collect, consolidate and share. The collection plan considers what data and information are necessary. The plan to consolidate informs how the collected data will be organized. The dissemination plan identifies what to share, and with whom.

2. **Collection** provides civil data to support the JFC's civil information requirements through information search, civil reconnaissance and civil engagement.
3. **Consolidation** is the process of collating and processing data to produce civil information to support planning, analysis, and sharing.
4. **Analysis** is **situational assessment**, **sensemaking**, and **projection**. It supports the development of products requested by the joint force command.
5. **Production** organizes analyzed civil information, event logs, status trackers, etc. into products that satisfy requirements.
6. **Sharing:** Pushing, pulling, and populating civil information supports the external and internal exchange of information to increase JFC and stakeholder **situational assessment** and **situational understanding**.

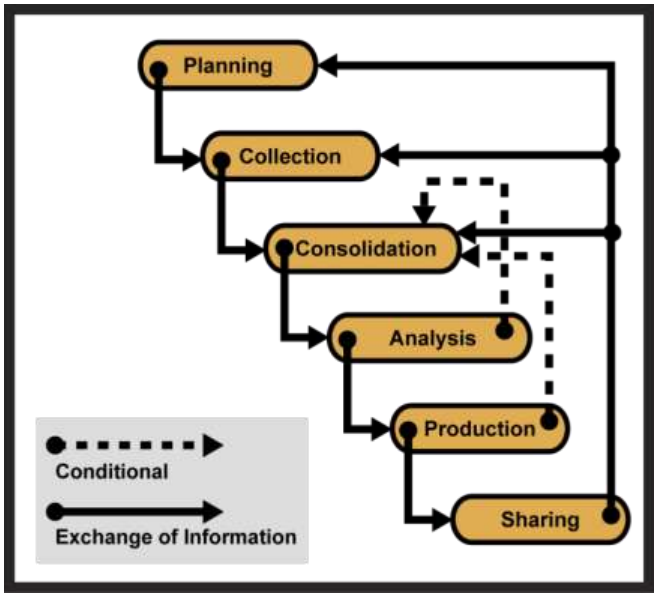

Figure 1-5. Joint Civil Information Management Process

NOTE: ***This Manual focuses specifically on information management tactics, techniques, and procedures for managing civil information. Additional operational and administrative aspects involved with managing civil information fall under the authority of Joint and Service doctrine, and are beyond the scope of this Manual.***

The joint civil information management process is executed at all echelons (tactical through strategic). It is applicable across the military, USG agencies, and other participating partners. The process is collective: each organization integrates *infrastructure (people*, *process*, and *technology)* based on their capabilities and missions.

As a result each step of the process will be emphasized in a different way by echelon and organization. This is demonstrated by a *notional view* of four of the process steps in Table 1-1, Notional Emphasis of Joint Civil Information Management at Each Echelon. The process or a procedure is not restricted to a particular echelon or organization. For example, analysis occurs at the tactical level, but is conducted differently than analysis at other levels just as **situational assessment** is different from **sensemaking** (section 1.1.1).

Table 1-1. Notional Emphasis of Joint Civil Information Management at Each Echelon

Tactical emphasis: • 80% Collection • 5% Consolidation • 5% Analysis • 10% Sharing (mostly with supported commander)	Tactical Echelon elements: • Team/Squad/Platoon • Company/Detachments • Battalion • Brigade
Operational emphasis: • 20% Collection • 30% Consolidation • 30% Analysis • 20% Sharing	Operational Echelon elements: • Brigade/Task force • Component Commands • Corps/Joint Task Force
Strategic emphasis: • 5% Collection • 25% Consolidation • 30% Analysis • 40% Sharing	Strategic Echelon elements: • Combined Joint Task Force • Combatant Command

Figure 1-6, Interactive View of the Joint Civil Information Management Process, illustrates planning, analysis and production using the data and information that are obtained and moved through collection, consolidation and sharing. Essentially, planning, analysis and production *determine what is needed at various levels or echelons of decision making*. Sharing determines what is externally needed by stakeholders.

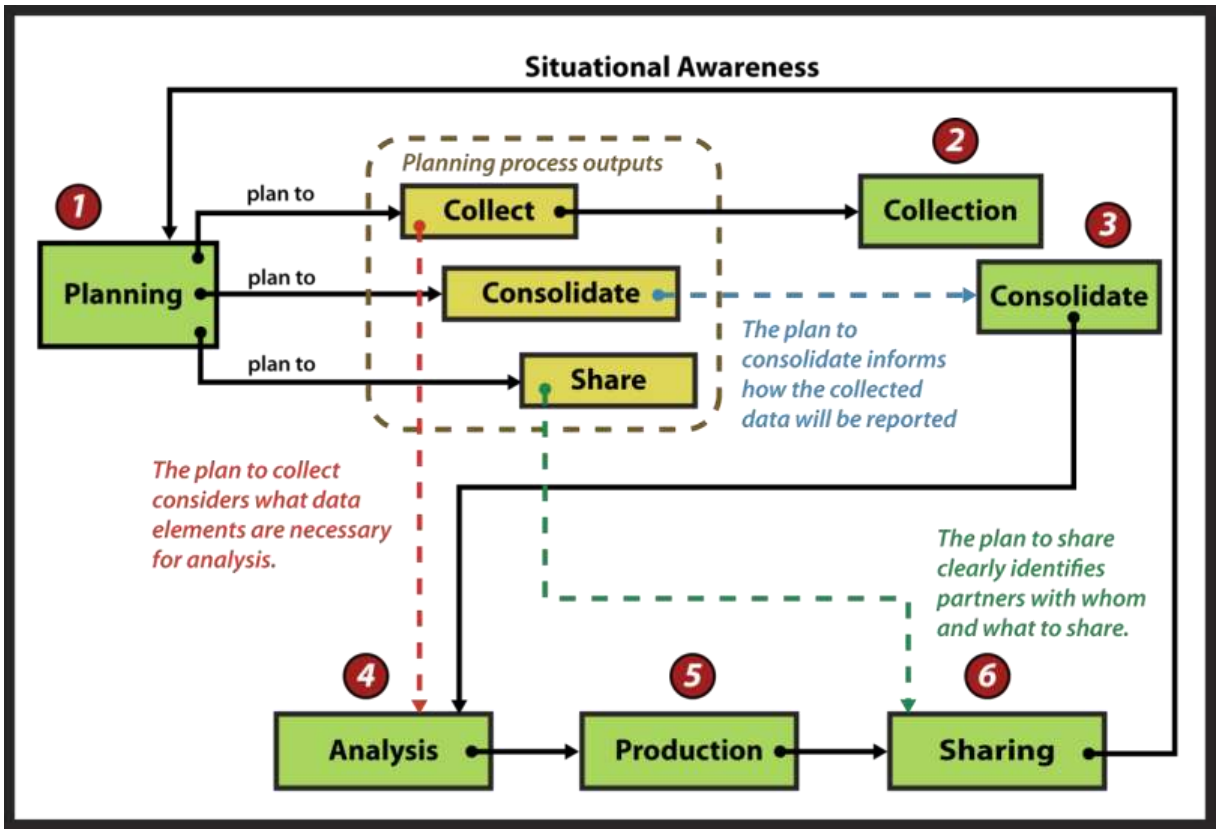

Figure 1-6. Interactive View of the Joint Civil Information Management Process

1.2.1 Joint Civil Information Management Roles

The roles discussed, and the instructions throughout the chapters, are collective. Groups of individuals accomplish the process steps that support collaboration within and outside the JTF. In addition to the role of the JFC, there are three other roles required to execute the CIM process:

1. The **supported unit** is the joint force command and any other supported unit that uses and manages civil information during the course of their duties, including maneuver unit staffs, CMO staff (J9), force enablers (civil affairs teams, military police, surgeons, chaplains, legal officers, engineers, etc) and other elements. This manual provides considerations, procedures, and best practices for the staff of the supported unit to integrate civil information into the planning and execution process.
2. **Joint civil information management coordinators** facilitate the movement of civil information and act as the liaison for staff and managers of civil information. This requires executing content management functions in conjunction with the joint civil information management process to ensure civil information is *visible, accessible, and understandable*[25] between echelons and areas of operation (AO). These tasks are performed by US Army (USA) CIM cells, US Navy (USN) CIM coordinators, US Marines (USMC) task organized to conduct CIM, and all other service members tasked to perform equivalent responsibilities.

NOTE: Chapter 2 provides guidance for organizing a joint civil information management coordinator section, and Annex C describes the activities joint civil information management coordinators execute.

3. **Stakeholders** are any group of individuals who have legitimate interest in, knowledge of, can affect, or are affected by USG operations in the civil environment. They can be military and non-military entities with

information, information requirements or interest in the operating environment, and include, but are not limited to:

- Higher, adjacent, and subordinate units
- Host nation (HN) military and agencies
- Intergovernmental organizations (IGO)
- Indigenous populations & institutions (IPI)
- USG agencies
- Partnering nation military and agencies
- NGOs
- Private sector entities such as business, education, and medical conglomerates.

1.3 Understanding Civil Information

The JFC's **comprehension** of conditions, circumstances, and influences affects the employment of capabilities. C4I systems oriented toward friendly and enemy forces information requirements categories do not generally address civil factors, nor do they include **echelon appropriate**, aggregated, and layered civil information.

1.3.1 Echelon Appropriate Information

Echelon appropriate information defines the different information needs at each echelon of command and decision making. *Visible* and *accessible* information does not contribute to **sensemaking** for every echelon. For example, the JFC uses information to achieve situational understanding of national or regional conditions, and does not benefit from reports developed for battalion level situational awareness. Tactical echelon civil information does not relate to operational and strategic level requirements until it is consolidated and analyzed for those echelons. **Echelon appropriate information** mitigates information overload, by replacing *distracters* with information analyzed to support decision making at the appropriate echelon.[26]

1.3.2 Aggregation

Civil information is aggregated together from separate sources. Aggregation describes bringing together [***fusing***] only the information relevant to a commander's mission or current information requirements to enable quick and accurate decision making. The output of *consolidation, analysis,* and *production* is **echelon appropriate**, *aggregated* information**.** Staffs routinely aggregate friendly and enemy forces information using established C4I infrastructure, however the lack of *civil information architecture* in C4I systems requires staffs to manually nest categorical systems applied at the tactical level, under analytical systems implemented at operational and strategic levels, to achieve situational awareness.

1.3.2.1 Categorical and Analytical Systems

Systems are designed to model the operating environment. These systems are one of two types: categorical or analytical. Implementing these systems enables analysis and planning of the operating environment by organizing information into related groups. The systems listed in Table 1-2, Examples of Categorical and Analytical Systems, facilitate **sensemaking**.

Table 1-2. Examples of Categorical and Analytical Systems

Categorical Systems:	Analytical Systems:
• Mission, enemy, terrain and weather, troops and support available, and time available (METT-T) • District Stability Framework (DSF) • ASCOPE • SWEAT-MSO	• Interagency Conflict Assessment Framework (ICAF) • PMESII • Lines of operation (LOO) • Macroeconomic models

Categorical systems organize information about the operating environment based on *physical characteristics* or *functions* of the components being identified, and are generally more useful at lower echelons. They are comprised of concrete categories like sanitation, water, electric,

academics, transportation, medical, security, and other considerations (SWEAT-MSO), or areas, structures, capabilities, organizations, people, and events (ASCOPE). Categorical systems nest under analytical systems the same way tactical missions nest under operational objectives. Categorical systems generally support tactical planning and analysis of smaller AO.

Analytical systems organize information based on *processes*, *roles*, or *related ideas*, and are the composite of abstract concepts, events, and interactions. They aggregate categorical systems, and often other analytical systems, into a single display to facilitate operational and strategic **situational understanding** and **projection**. The systems approach[27] aggregates analytical systems into the PMESII system of systems, often with the ASCOPE categorical system nested within each PMESII system. This is used as information *architecture* for civil information. Additional examples of analytical systems include agriculture, macroeconomics, political science, and the applied ethics behind human rights protection. For example, agriculture is the composite of interactions between farming, climate, infrastructure, irrigation, and often culture. Joint operation planning identifies effects that link missions to objectives.[28] Staffs plan to influence components of analytical systems to produce effects on the overall system.

1.3.2.2 Layers of Visualization

Tactical level commanders require real-time, granular operational pictures; while JFCs require operational pictures that capture changes in complex and interconnected operating environments.[29] Subordinate operating pictures comprise elements of higher echelon operating pictures. Regardless of echelon, all COPs contain the elements depicted in Figures 1-1, 1-2, and 1-3. Categorical and analytical systems generally provide the information architecture for placement of aggregated echelon appropriate information to develop the COP. When properly ***fused***, civil information informs friendly and enemy forces layers of a COP.

1.3.3 Cognitive Hierarchy

Human **sensemaking** is captured in the cognitive hierarchy model. Cognitive hierarchy is comprised of four information levels illustrated in Figure 1-7, Cognitive Hierarchy: data, information, knowledge and understanding.[30] The cognitive hierarchy describes the underlying process of command, control, and decision making. The four information levels correspond to consolidation, analysis, and production. The result is **situational understanding** leading to echelon appropriate decisions.

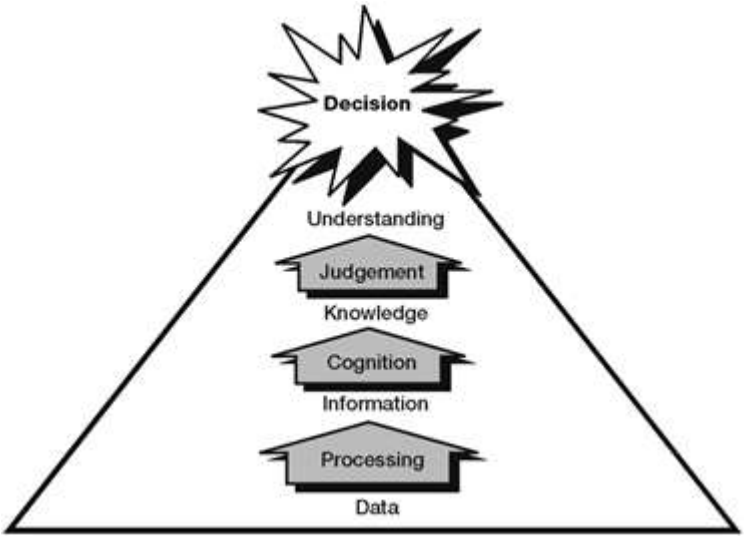

Figure 1-7. Cognitive Hierarchy

1.4 Conclusion

The operating environment is large and complex. Traditionally, military commanders operated in this space focused on enemy and friendly formations. Today, command and control recognizes new technologies, new challenges and the imperative for a capability and means to identify relevant information from the civil environment.

Civil information management is nested within C2 and information management. The need for civil information exchange is on a scale never before experienced by the United States (US) military. This scale can be expressed by comparing the difference between designing a building and urban planning. The former is the discipline of an architect and the latter incorporates many mutually supporting disciplines. This scale requires the appropriate "infrastructure". A city (joint civil information management) is not just a bigger house (Service CIM); it is meaningfully different in both quality and diversity. Like urban planning, joint civil information management is heavily interdependent and requires applicability across echelons, domains and theaters. It provides the necessary operational support to Service CIM, which is scaled for maneuver element execution.

Collecting, consolidating and sharing are formalized to fulfill the decision maker's need to move civil information in order to make operational sense of it. However, infrastructure and training for *civil* information exchange remain incomplete, limiting joint and interagency use. The remaining chapters of this manual will illustrate the joint civil information management process and highlight TTP for effective movement of civil information, ultimately creating a foundation for joint civil information infrastructure and training.

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[1] Joint Publication 6-0, *Joint Communications Systems*, 10 June 2010, page III-28. The collaborative information environment requires infrastructure. This includes information systems, tools, communications and procedures.
[2] Department of Defense Directive (DoDD) 8320.02, *Data Sharing in a Net-Centric Department of Defense*, page 2.
[3] Joint Publication 6-0, *Joint Communications Systems*, 10 June 2010,The procedures must be "based on accepted theory and practice and established to meet joint force needs…The full benefit of these capabilities is realized only with a fourth component – users…"
[4] Joint Publication 6-0, *Joint Communications System*, 10 June 2010, page I-2.

[5] Joint Publication 1, *Doctrine for the Armed Forces of the United States*. Washington: Joint Chiefs of Staff, 20 March 2009, page 18.

[6] There are "major discontinuities between Command and Control concepts and practices taught and practiced today and those of tomorrow." Alberts, David S. & Hayes, Richard E. (2006). *Understanding Command and* Control. Command and Control Research Program Publication Series, Assistant Secretary of Defense, Networks and Information Integration/Chief Information Officer, 2006, page vii.

[7] This definition, by Dr. Mica Endsley, is established and broadly accepted for application across multiple domains. Endsley, M.R. (1995b). *Toward a Theory of Situation Awareness in Dynamic Systems*. Human Factors, 37(1), 32-37.

[8] [Endsley 36]

[9] Major Dostal, Brad C., USA. (2001). *Enhancing Situational Understanding through the Employment of Unmanned Aerial Vehicles.* Center for Army Lessons Learned Newsletter, July 2001, 71.

[10] Endsley, M.R. (1995b). *Toward a Theory of Situation Awareness in Dynamic Systems*. Human Factors, 37(1), 32-37.

[11] Klein, G., Moon, B, & Hoffman, R.R. (2006). *Making Sense of Sensemaking 1: Alternative Perspectives*. IEEE Intelligent Systems Journal, Volume 21 (Issue 4), 70–73.

[12] Endsley, M.R. (1995b). *Toward a Theory of Situation Awareness in Dynamic Systems*. Human Factors, 37(1), 32-37

[13] Joint Publication 2-01.3, *Joint Intelligence Preparation of the Operational Environment*, 16 June 2009, page II-44.

[14] Ibid, page I-3.

[15] Joint Publication 3-0, *Joint Operations*, 17 September 2006: Incorporating Change 2 22 March 2010, page III-12.

[16] Joint Publication 6-0, *Joint Communications Systems*, 10 June 2010, page I-2.

[17] Joint Publication 1-02, *Department of Defense Dictionary of Military and Associated Terms*. Washington, GPO, 12 April 2001 (as amended through 7 May 2002).

[18] Alberts, David S. & Hayes, Richard E. (2006). *Understanding Command and* Control. Command and Control Research Program Publication Series, Assistant Secretary of Defense, Networks and Information Integration/Chief Information Officer, 2006, page 67

[19] ibid page 8

[20] ibid, page 176

[21] *Effective Decision-Making Processes for the Joint Force Commander*, Air Land Sea Bulletin, Air Land Sea Applications (ALSA), Issue 2003-1, March 2003.

[22] Command initially, and control during the course of an endeavor, determines the conditions that shape the sense making process. Alberts, David S. & Hayes, Richard E. (2007). *Planning: Complex Endeavors*. Command and Control Research Program Publication Series, Assistant Secretary of Defense, Networks and Information Integration/Chief Information Officer, April 2007, page 122.

[23] This representation is drawn from the body of research in the CCRP that integrates planning with C2. This figure differs from the original because it focuses on how the joint civil information management process complements C2 and collaborative staff processes to enhance sensemaking and projection during operation planning. Ibid, page 123.

[24] Ibid, page 126.

[25] DoDD 8320.02, *Data Sharing in a Net-Centric Department of Defense*, page 2.

[26] Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*, page 2-3.

[27] Joint Publication 5-0, *Joint Operation Planning*, 26 December 2006, page III-16.

[28] Ibid, page III-12.

[29] Ibid, page III-17.

[30] Field Manual 6-02.85/Marine Corps Reference Publication 3-40.2A/Naval Warfare Publication 3-13.1.16/Air Force Tactics, Techniques, and Procedures (Interim) 3-2.22, *Multi-Service Tactics, Techniques, and Procedures for Joint Task Force Information Management*, page I-6.

CHAPTER 2 ORGANIZATION FOR JOINT CIVIL INFORMATION MANAGEMENT

2.0 Introduction

A joint force must task organize to enable effective C2 and achieve unity of effort. To reach these desired end states, information management must occur. The primary roles in civil information management identified in Chapter 1, Section 1.2.1, are elements in joint forces. These elements consist of the JTF staff, attached and supporting force enabler staffs, and joint civil information management coordinators.

> *"Transforming to a network centric force requires fundamental changes in processes, policy, and culture. Change in these areas will provide the necessary speed, accuracy, and quality of decision-making critical to future success. Beyond battlefield applications, a network centric force can increase efficiency and effectiveness across defense operations, intelligence functions, and business processes by giving all users access to the latest, most relevant and accurate information."*
>
> *National Defense Strategy, March 2005*

2.1 Context

The joint force is comprised of many elements that interact with the civil population and observe civil components of the operating environment. These elements include maneuver units and force enablers such as military police (MP), engineers, chaplain, judge advocate general (JAG), medical service, civil affairs (CA), and military information support operations (MISO). *All elements that use civil information play a role in managing it.*

2.2 Staff Organization for Joint Civil Information Management

The optimum organization to manage civil information consists of staff and force enablers within an established civil information management and C4I infrastructure. The J9 is normally the lead for managing *civil* information. *Regardless of mission or task organization, the requirement to effectively manage civil information is constant*. The responsible staff directorate must identify and work with *all* stakeholders who execute planning, collection, consolidation, analysis, production, or sharing of civil information.

Each directorate in a joint staff has the implied task of managing information within their field. Enablers and special staff manage information within their field: MPs manage civil law enforcement information; the JAG manages civil courts and rule of law information; the surgeon's office manages information about civil medical capabilities; chaplains manage information about the religious and ideological environment; and so forth. Each provides *functional area expertise* when managing information about the civil components of the operating environment.[1]

NOTE: **Staff sections with topical responsibility for a subject, enablers with specialized knowledge, and subject matter experts (SME) are referred to as *functional area specialists* throughout the this Manual.**

The J9 or responsible staff section coordinates moving civil information into the decision making process and provides it to the operations section (J3) for depiction in the COP. They accomplish this through extensive coordination with functional area specialists and other stakeholders, ensuring that any organization that requires civil information manages it effectively. The J9's primary capability to manage civil information is the joint civil information management coordination section. Joint civil information management coordinators can be organized within a civil-military operations center (CMOC), within the J9, or as directed by the joint force commander. CIM is a CA core task, therefore CA forces are best suited to perform joint civil information management. C*ivil information*

management is not solely the task of CA personnel in the CIM section or cell. It is an essential task for all components of a unit.[2]

> "*The goal of common understanding of information and appropriate sharing of the same is achieved through the proper management of personnel, equipment, facilities, and procedures. This management is conducted by a viable information management organization."*
>
> Joint Publication 3-33, *Joint Task Force Headquarters*, 16 February 2007

Managing civil information requires a collaborative information environment consisting of "personnel, equipment, facilities, and procedures"[3], that provides the *people*, *process*, and *technology* to plan, execute, and assess operations. It provides commanders and staffs the capacity to plan and operate with unity of effort by providing the **right information** to the **right people** at the **right time** in an **understandable format**.

2.2.1 Service Approaches to Civil Information Management

The civil information management coordination task fits differently into each Service CA force structure based on mission specialization. Army CIM coordinators are organic to some CA units, while Navy CIM coordinators have a continental United States (CONUS) reach-back capability, and Marines task organize to fulfill CIM coordinator functions within each mission.

USA. Army CIM cells are organic to CA CMOCs at the battalion level and higher. CIM cells are organized the same at all levels and comprised of Soldiers from three military occupational specialties (MOS). The CIM cell consists of:

- 1 x 38A Civil Affairs Officer
- 2 x 25B Information Technology Operator/Analysts
- 1 x 21Y Geospatial Engineer

USN. Navy CIM coordinators have two organizational capabilities. The first is a CONUS-based reach-back resource supporting maritime CA. The second is the communications expert of the five-man maritime CA team being trained and tasked to provide the forward-deployed CIM coordinator capability.

USMC. Currently the Marine Corps has no organic CIM coordinators resident within active or reserve component CA units. They typically task-organize a CMO cell, located within the operations section (S-3 or G3/G9) that includes MOS 0530 CA officers and 0531 CA noncommissioned officers (NCO). Working groups are used by putting a CA Marine with MISO, fires, logistics, engineer, or other appropriate staff representation to conduct civil analysis and COA development.

2.3 The Joint Civil Information Management Coordination Section

Joint civil information management coordinators are typically organized as a section under the J9, or in a CMO cell in J3. They are *managers of information* with limited capability for analyzing the civil environment. Civil *analysis* is accomplished either by CA functional specialty cells (FSC) or functional area specialists. The role of the joint civil information management coordination section is to:

- *Understand* the civil information environment within the organization.
  - Assess how each element of the organization manages civil information.
- *Coordinate* the organization of and access to civil information among stakeholders.
  - Determine whether civil information is available, in usable formats, to consumers.

Joint civil information management coordinators collect civil information, consolidate it into a central information system, and share it with a wide community of stakeholders. These stakeholders can be within the unit; other joint

or combined military organizations; or US and non-US civilian organizations operating in the AO. The joint civil information management coordinators receive or have access to raw and analyzed information in diverse forms from many sources. They interact with people, observing their reporting and information systems to ensure the *visibility*, *accessibility*, and *understandability* of civil information.

Joint civil information management coordinators are the conduit to repositories where civil information is stored, and provide a coordinating mechanism for sharing information among stakeholders. They function as reference librarians who facilitate the handling, retrieval, and distribution of data: not its generation and use. This is accomplished by managing the joint civil information management process and finding appropriate information to best satisfy civil IRs.

The coordinator(s) should have access to all reports and assessments about the civil components of the operating environment from partnering stakeholders, and can assist in outreach to other resources. They ensure that consolidated civil information is available for sharing in usable formats to the entire stakeholder community. To accomplish this, coordinators focus on two major tasks: monitor the unit civil information environment and coordinate civil information organization and access. These tasks consist of the following subtasks:

1. *Monitor the unit civil information environment:*
    - Maintain SA of efforts to manage civil information by military and civil stakeholders.
    - Act as the primary interface between civil data collectors and analysts.
    - Collate information so the staff can provide analyzed civil input to the COP.
    - Ensure that after action reviews are completed and documented.
    - Ensure civil information can be partitioned from military intelligence systems and remain visible and accessible to the staff.
    - Maintain the capability to geo-reference and interface pertinent civil data.
    - Identify procedural shortcomings that impact the quality of available civil information.
    - Help J9 manage civil knowledge products.
    - Build and maintain relationships with stakeholder information managers.
2. *Coordinate civil information organization and access:*
    - Establish a working relationship with the information management officer (IMO) and Communications Directorate (J6).
    - Develop a CIM program to support the information management plan (IMP).
    - Establish a CIM working group with a core team drawn from all staff sections to resolve civil IR.
        - The core team consists of representatives from the intelligence section (J2), J3, and J9.
        - Provide the capability for effective integration of civil information with JTF operations.
        - Provide readily understandable products.
        - Get the right information to the right people at the right time.
    - Analyze new information technology for potential application to joint civil information management.
    - Develop organization and access procedures that enhance search and retrieval.
    - Conduct quality control checks for duplication, *accessibility*, and *understandability*.
    - Advise the JTF on joint civil information management processes and tools.

***NOTE:* For more information about joint civil information management coordinators, refer to Annex C.**

2.3.1 Skills Required in the Joint Civil Information Management Coordination Section

When CA CIM coordinators are not available, the JFC may task organize to internally form a joint civil information management coordination section. The joint civil information management coordination cell must have the ability to *monitor* the civil information environment and *coordinate* civil information organization and access. The optimum skills required in a joint civil information management coordination section are:

- Strong analytical and problem solving skills.
- Basic project management skills.
- Information technology skills:
  - Proficient in Microsoft (MS) Office applications.
  - Network configuration and security.
  - Capacity to plan and coordinate large scale data management.
  - Experience using and programming handheld geographic positioning system (GPS) units and familiarity with the interoperability between hardware and software.
  - Basic understanding of content management in relational databases.
- Excellent verbal and written communication skills required for documentation, training, and reporting.
- Strong geographic information system (GIS) skills.
  - Able to manage GIS databases, conduct GIS assessments, and generate maps.
  - Knowledge of coordinate systems and coordinate transformations.
  - Tailoring GIS solutions based on dialog with individual stakeholders.
  - Familiarity with joint, interagency, and multinational operational terms, graphics and symbols.
- Team-building experience in collaboration and outreach.
- Training the joint civil information management process, and its supporting software and hardware.

NOTE: For more information about geospatial support to operations, refer to JP 3-34, Joint Engineer Operations and JP 2-03, Geospatial Intelligence Support to Joint Operations.

2.3.2 Joint Civil Information Management Coordinator Maxims

Joint civil information management coordinators manage the joint civil information management *process*, not communications architectures, C2 of joint forces, task organizations, or stakeholder activities. The following maxims guide their efforts:

1. There is never enough bandwidth.
2. There will never be a single database.
3. Stakeholders may each have their own database. Identifying points of integration is the key to success.
4. Outside-the-wire warfighters are highly trained and very well resourced: problems receiving civil information from them result from unclear requirements being conveyed to them.
5. Time is precious to Outside-the-wire warfighters: don't waste it trying to fix problems that originate above their level with them.
6. Staff personnel (inside-the-wire) receive less training and have fewer resources to perform staff functions: problems receiving civil information from staff are often caused by poor training and discipline, poorly defined expectations and standards, and insufficient command emphasis.

2.3.3 Relationship to Information Management

Joint civil information management is a component of information management, and both use similar processes. Joint civil information management coordinators work closely with and are subordinate to the joint information management board (JIMB) regarding information management policy and the IMP. The JIMB is responsible for designing and implementing information management solutions for the JTF.[4] Joint civil information management coordinators must facilitate the IMP by conducting civil information management to support the JIMB or IMO.

NOTE: For more information about the JIMB, IMO, and command IMP, refer to JP 3-33, JTF Headquarters (HQ).

2.3.4 Considerations for Organizing Joint Civil Information Management Coordinators in the Staff

The J9 maintains responsibility for managing and sharing civil information, regardless of the availability or disposition of CA forces with a CIM capability. Identifying J9 personnel with information management expertise and tasking them as joint civil information management coordinators for the JTF is the most effective means for executing joint CIM in the absence of organic joint civil information management coordinators in a CA CMOC.

These identified joint civil information management coordinators perform information and content management functions in support of joint staff. They assist the J3 in defining reporting standards, ways, and means; quality checking subordinate reports; and engaging subordinate, adjacent, and supported military units with training and expertise to improve their CMO reporting and management of civil information.

2.4 Joint Civil Information Management Support to Interagency Operations

Joint civil information management supports *all* stakeholders needing information about the civil components of the operating environment. During CMO, such as SSTRO, COIN, IW, and humanitarian assistance/disaster relief (HA/DR), there may be many interagency and other partners either supporting or supported by the joint force depending on the mission. Joint civil information management coordinators must adapt to changing requirements of multiple organizations to provide situational understanding of the civil components of the operating environment.

2.5 Conclusion

This chapter summarized the task organization necessary for executing joint civil information management and the importance of establishing a CIM coordination capability with varying levels of CA force structure. Responsibility to manage civil information should be broadly tasked so that all elements of the JTF are aware that they influence the COP and facilitate the joint intelligence preparation of the operational environment (JIPOE) process. "The goal of CIM is to enhance SA and understanding to achieve decision superiority."[5] *Managing civil information is the responsibility of every warfighter*.

---

[1] Rand Corporation CA Capabilities and Way Forward not yet published

[2] Joint Publication 3-57, *Civil-Military Operations*, 8 July 2008, page B-20.

[3] Joint Publication 3-33, *Joint Task Force Headquarters*, 16 February 2007, page xv.

[4] Ibid, page, IV-2

[5] Joint Publication 3-57, *Civil-Military Operations*, 8 July 2008, page B-20.

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CHAPTER 3 JOINT CIVIL INFORMATION PLANNING

3.0 Introduction

> ***"Plans are nothing; planning is everything."***
> *General of the Army Dwight D. Eisenhower*

Planning is the first step of the joint civil information management process. It is complex and changes based on the nature and phase of warfare and operational requirements. Planning for CMO is more complicated than planning for combat operations.[1] In combat operations direct effects are attainable through performance-based operations such as conduct of offense and defense. Their *effects* are usually clear and expressed in terms like destroy, delay, and deny and can generally be assessed in hours, days and weeks through quantitative measures. Direct effects during CMO are consistent with the effects achieved during combat operations.

During CMO, many desired *effects* are more ambiguous and are described in relative terms like *indirect, cascading, and cumulative*, and they are generally assessed in weeks, months, and years through qualitative measures. Indirect effects are usually assessed by measuring *indicators*.[2] *Indicators* can be nodes and links related to a center of gravity (COG) or desired effect, and are used to assess effects of operations, actions, and activities that cannot be directly measured. Changing focus from direct to indirect effects during shaping and influencing operations can complicate planning, and requires more controlled and effective information management.

The systems perspective[3] is *civil information architecture* that identifies relevant nodes and links in the operating environment. It also enables COA development; targeting; identifying analytical frameworks for analyzing the civil components of the operating environment; development of MOEs and MOPs that link missions to higher level objectives; and definition of mission success. During population-centric warfare, most desired effects in the operating environment are *indirect effects*.[4] Without mature, mission-specific *civil information architecture*, staffs have no systematic methods for assessing whether decisive points and desired *indirect effects* are being achieved. Executing performance-based operations without effects-based planning generally does not achieve broad objectives such as economic development, nor provide a means to identify and mitigate *unintended effects*.

NOTE: "Indirect effects" and effects-based planning are derived from the Principles of Targeting in JP 3-60.

NOTE: Civil information architecture is similar to the intelligence architecture discussed in JP 2-0.

> *During civil-military operations, civil information is an absolute requirement for understanding the operating environment; planning and executing operations; defining termination and transition criteria; and determining mission success.*
>
> *During combat operations, civil information is a secondary input that informs commanders of the presence and status of civilians in the environment and provides guidance for operations, actions and activities.*

Joint forces execute the joint operations planning process (JOPP) and use the joint operations planning and execution system (JOPES) to establish unity of effort among military and non-military stakeholders.[5] This manual does not explore JOPP or JOPES, but identifies how civil information management supplements joint operation planning

A component of joint operation planning is acquiring and exploiting the information necessary to conduct population-centric warfare. SA begins with identifying the objectives of the operation and the phase. Figure 3-1, Emphasis in the Range of Military Operations by Phase and Level of Military Effort[6], depicts the relationship between CMO and the phases of military operations. CMO may occur prior to, during, or after other military actions, regardless of the phase of the operation.[7]

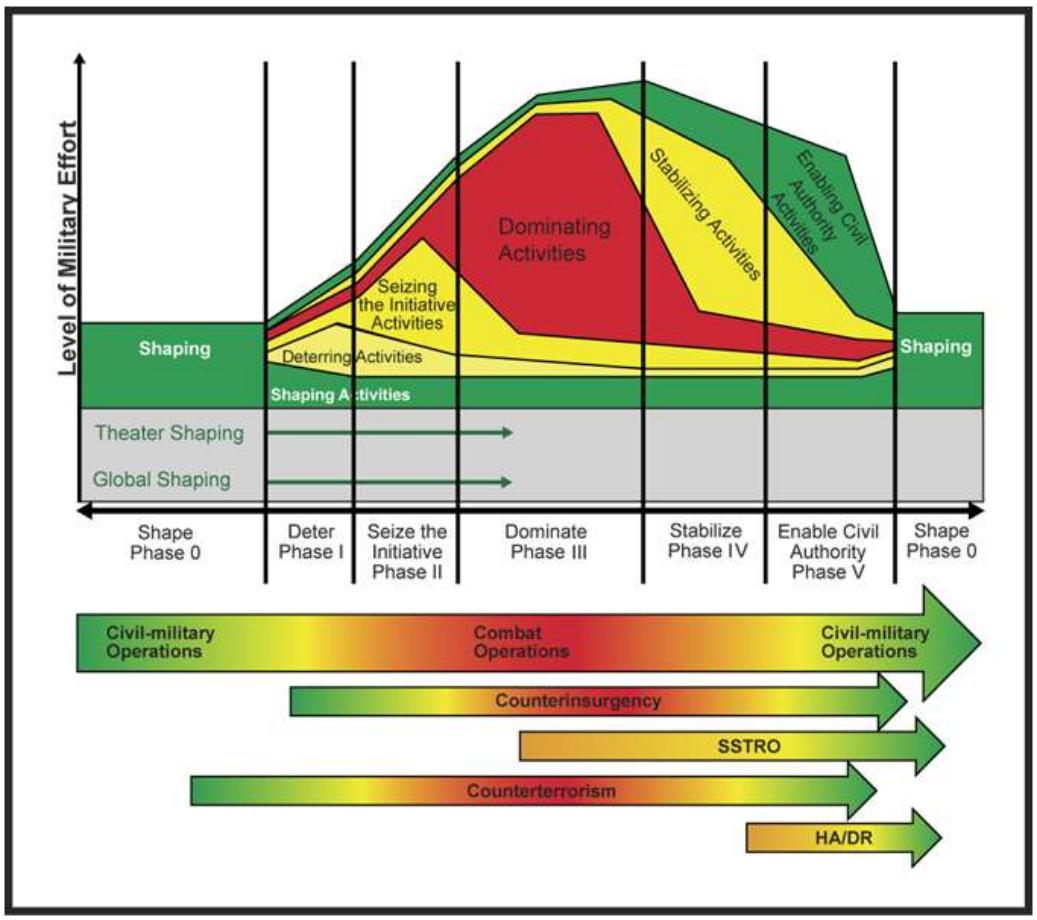

Figure 3-1. Emphasis in the Full Range of Military Operations by Phase and Level of Effort

3.0.1 Key Terms

- **Collection Management** involves the establishment, prioritization, and monitoring of civil information collection requirements and tasking through a civil information collection plan. For more information about collection management refer to JP 2-01.
- **Critical Capability.** A means that is considered a crucial enabler for a center of gravity to function as such and is essential to the accomplishment of the specified or assumed objective(s). (JP 5-0)
- **Critical Requirement.** An essential condition, resource, and means for a critical capability to be fully operational. (JP 5-0)
- **Critical Vulnerability.** An aspect of a critical requirement which is deficient or vulnerable to direct or indirect attack that will create decisive or significant effects. (JP 5-0)
- The **Collection Plan** is the representation in time of a continuous activity that coordinates and integrates the efforts of all collection units and agencies. Information requirements are matched with appropriate collection capabilities and expressed in tasks and requests for information (RFI). Collection planning synchronizes the timing of collection with the operational scheme of maneuver (JP 2-0).
- An **effect** is the physical or behavioral state of a system that results from an action, a set of actions, or another effect. The result, outcome, or consequence of an action. A change to a condition, behavior, or degree of freedom. (JP 3-0)

- **Effects-Based Planning** is used to achieve a desired *indirect effect* on COGs, which cannot be directly engaged, by engaging *critical vulnerabilities* of related nodes and links with all available capabilities to achieve the *effect* with the least risk and expenditure of time and resources.[8]
- An **Indicator** is a variable with characteristics of quality, quantity, and time used to measure, directly or indirectly, changes in a system, and to assess progress made toward related objectives. It also provides a basis for planning.
- **Indirect effects** are the delayed or displaced second, third, and higher-order consequences of actions created through intermediate events or mechanisms. The outcomes may be physical or behavioral in nature. Indirect effects may be difficult to recognize because subtle changes in system behavior are difficult to perceive. Indirect effects have real benefits, but are difficult to assess and measure. (JP 3-60)
- **Information Architecture:** A model depicting complex systems of facts, data, institutions, instructions and the interrelationships among its components. Information architecture is a technical architecture[9] that focuses on key nodes and links in the operating environment, and requires three components:
  - *People:* Personnel who execute a process, including leaders providing resources and training. Also, persons identified as nodes and centers of gravity in the operating environment.
  - *Process:* A course of action intended to achieve a result; procedure. Also, functions of systems, such as economics or governance, which can be identified as links or nodes in the operating environment.
  - *Technology:* Tools, machines and materiel used to enhance or support executing processes. Also, equipment, infrastructure and other *means* used to execute processes at individual, local, regional, national or higher levels that can be identified as links or nodes in the operating environment.
- **Measure of Effectiveness:** A criterion used to assess changes in system behavior, capability, or operating environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect. (JP 5-0)
- **Measure of Performance:** A criterion used to assess friendly actions, which is tied to measuring task accomplishment. (JP 5-0)
- **Line of Operations:** 1. A logical line that connects actions on nodes and decisive points related in time and purpose with an objective(s). 2. A physical line that defines the interior or exterior orientation of the force in relation to the enemy or that connects actions on nodes and decisive points related in time and space to an objective(s). (JP 5-0)

3.1 Context

Planning to manage civil information enhances operational planning by identifying relevant civil IR that must be provided to the staff, stakeholders, and other actors, including functional area specialists. Staffs do not plan to conduct civil information management; they execute it during the course of their duties. There are three joint planning functions enhanced by the joint civil information management planning step:

- Situational Awareness (SA)
- Operations planning
- Event response

3.2 Considerations

Operations, Intelligence, CMO, and functional area specialists (staff) at all levels have mature processes for planning and managing the collection, reporting, and analysis of operational information, such as intelligence

reports and staff estimates, which are extensible to civil information, but there are additional activities necessary to manage civil information. These activities are necessary because the *information architecture*, doctrine, training, and force structure required to support civil information is not as well-developed as the architectures for managing information about friendly and enemy forces. Friendly and enemy forces *information architectures* are embodied in C4I systems under the GCCS infrastructure. No similar infrastructure exists to represent the civil components of the operating environment, so staffs preparing to integrate civil information into planning, **sensemaking**, and decision making will benefit from the following considerations that describe the additional tasks necessary for managing civil information:

3.2.1 Joint Civil Information Management Coordinator Collaboration

A primary consideration for any part of the staff that is planning to manage civil information includes collaboration with the joint civil information management coordinator section. This can occur through civil information management working groups and data sharing working groups that identify deficiencies in the IMP. Joint civil information management coordinators synchronize the flow of information established in the IMP with staff needs for civil information. The IMP contains the commander's dissemination policy (CDP), CCIR and RFI policies and procedures, and the battle rhythm.[10] The CDP identifies routine information products that must be sent to users based on their function and role, and prioritizes information flow within an AO. Joint civil information management coordinators refine and update the IMP in accordance with (IAW) the guidance established in the CDP. This ensures civil information is *visible*, *accessible*, and *understandable* for the staff.

Collaborating with joint civil information management coordinators simplifies planning to manage civil information, because they are force enablers that leverage the civil information management process to ensure civil information is *visible*, *accessible*, and *understandable* to staff and warfighters at all levels. They are a *critical capability* during population-centric warfare for enabling C2 by providing coordinating mechanisms between the elements of the joint force and non-military stakeholders for managing and sharing civil information. Joint CIM coordinators are ***the only personnel in the JTF*** tasked to identify where civil data is stored, who the points of contact (POC) are, and how it is organized. They identify the *people*, *process* and *technology* required to disseminate civil information vertically and horizontally within the JTF in *understandable* forms.

NOTE: For more information about the command IMP, refer to JP 3-33 JTF HQ.

3.2.2 Civil Information Architecture

The second consideration for planning to manage civil information is gaining understanding the operational environment. This is accomplished through the implementation of *civil information architecture*. This *architecture* identifies the components, functions, roles, *critical capabilities*, *critical requirements*, and *critical vulnerabilities* of each PMESII system, and the interrelationship(s) of these factors with other components within the same system, and between other systems. Refining PMESII systems into operation-specific *information architecture* provides clear standards for IRs, *desired effects*, and mission termination criteria.

Commanders are disadvantaged when planning and executing population-centric warfare because they lack robust civil *information architecture.* Chapter 1 described how nesting categorical systems under analytical systems contributes to aggregation of data from tactical reporting into strategic understanding. *Information architectures* structure IRs at each level so that tactical reporting on local conditions is aggregated into strategic understanding. The systems perspective described in JP 2-01.3, and pictured in Figure 3-2, Systems Perspective of the Operating

Environment, highlights how *civil information architecture* facilitates identifying components and interrelationships in each PMESII subsystem.

Civil information architecture can be simple or complex, based on the phase of operation, echelon, and operational requirements. A simple, widely implemented *civil information architecture* is PMESII/ASCOPE. It is effective **tactical** level civil *information architecture*, and should be used tactically to enable populating more mature and detailed, operation-specific *information architectures* at higher levels that identify system-specific components and relationships tailored to the operating environment. Higher level civil *information architecture* is developed from Appendix C, Section B: Typical PMESII Systems and Subsystems, of JP 2-01.3, JIPOE.

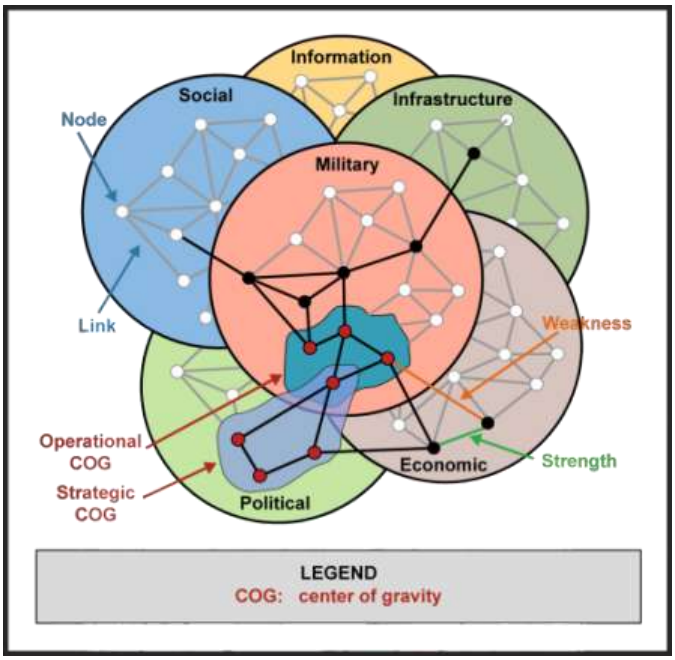

Figure 3-2. Systems Perspective of the Operating Environment

Coordination with functional area specialists and other staff sections is necessary to develop operation-specific civil *information architecture*. Civil *information architectures* incorporating specialized analytical frameworks from functional area specialists enable planners and analysts to identify COGs and *critical capabilities* they can influence to achieve decisive points and desired *effects*.

> ***EXAMPLE:*** *Understanding the Economy of a country entails knowing the economic system at national, regional, provincial, and local or district levels. This may mean assigning responsibility for monitoring relevant aspects or indicators of the economy to the appropriate command echelon. An example of this model may include: JTF monitors national level, task forces monitor provinces, and subordinate units monitor districts. Information requirements at each level are built to identify relationships between farming and agriculture; markets and transportation infrastructure; monetary policy, lending and economic development; etc. Defining components of an economic system provides meaningful tactical collection requirements that build to strategic economic objectives.*

Sensemaking of the operating environment requires *analytical frameworks* to identify COGs and their interrelationships across categorical and analytical systems. Frameworks that facilitate **sensemaking** of civil the components identify ***people***, such as ministry officials, religious leaders, contractors, etc; ***process***, such as political process, economic system, ways of corruption, etc; and ***technology***, such as critical infrastructure, communications networks, and production facilities. These components are nodes and COGs that can be acted upon to exploit or mitigate *critical vulnerabilities* of *critical capabilities*, and maximize civil strengths and opportunities through proper planning to address *critical requirements*. Existing analytic frameworks, like those employed by social scientists, economists, political scientists, civil engineers, and other civil disciplines, should be used to analyze and describe civil conditions during population-centric warfare.[11]

NOTE: ***Annex D for District Stability Framework presents tools and methods for identifying civil conditions.***

3.2.3 Nesting Tactical Missions under Operational and Strategic Objectives

The third consideration for staffs planning to manage civil information is determining how to nest tactical missions under operational/strategic objectives. Staffs nest missions under objectives to synchronize operations and achieve progress along LOOs toward mission success criteria. Synchronizing actions can help attain unity of effort. Methods for assessing achievement of desired *effects* defined during planning must be established. JP 5-0 presents two tools for assessing effects (MOEs and MOPs), and defines the assessment process and the related measures as *relevant, measurable, responsive,* and *resourced*. Figure 3-4, Assessment Levels and Measures, relates MOPs and MOEs to objectives, *effects*, and tasks.

MOEs are a planning and assessment tool for measuring achievement of desired *effects*. Desired *effects* define progress along LOOs, and are usually defined and assessed at the operational level and higher. Desired *effects* nest under LOOs, and a single LOO can have several supporting desired *effects*, such as the LOO: *Establish Effective and Sustainable Economic Development*. There could be MOEs evaluating *effects* for each subsystem of the ASCOPE categorical system.

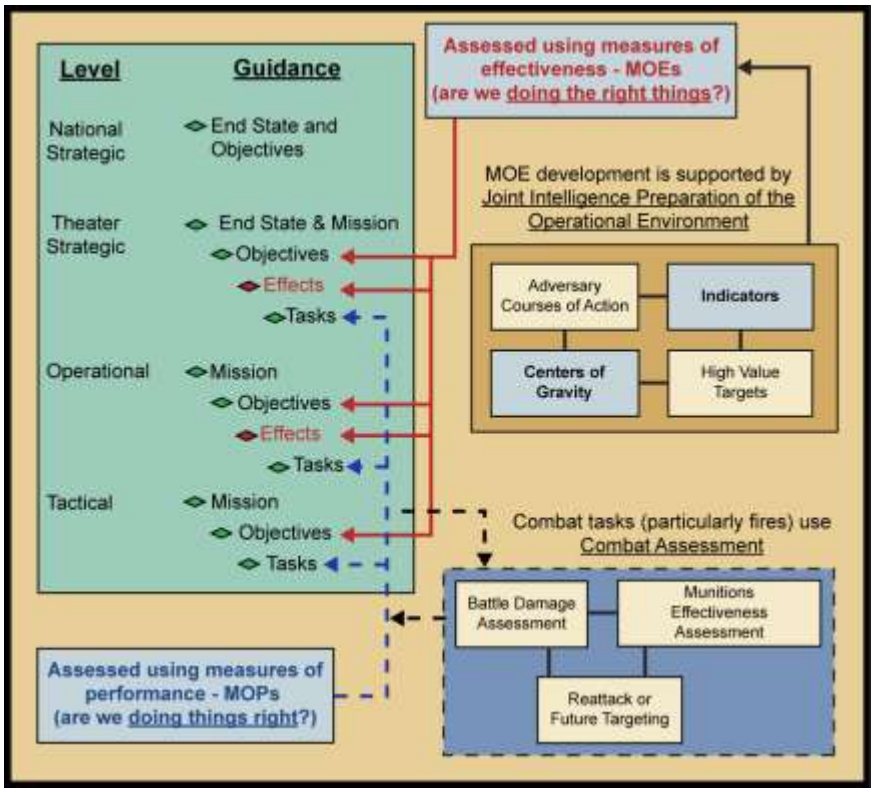

Figure 3-3. Assessment Levels and Measures

MOEs evaluate *operational outcomes* and are developed to identify criteria for determining if desired *effects* are being achieved. MOEs often assess *indicators* to measure progress toward desired *effects*, especially desired *indirect effects* related to non-physical structures such as governance, rule of law, economic development, socio-cultural factors, education and information, and other components of both JIPOE and the PMESII analytical system. MOEs must be specific, measurable, achievable, relevant, and time-bound (SMART)[12], and directly address one or more component(s) of a single *desired effect*:

- **Specific:** Clear and concise statement of the desired *effect*. How do we achieve progress along LOO(s)?
- **Measurable:** Concrete, observable criteria such as cost, quality, quantity, cycle time, and revenue to describe what will be different once the objective is achieved. What are the standards used to determine achievement of the desired *effect*?
- **Achievable:** Feasible for the unit based on organic or supporting capabilities, challenges or obstacles, and available time to accomplish the *effect*. Is the *effect* appropriate in scope for the echelon, resources available, operation, and LOO?

- **Relevant:** Clear guidance directly relating desired *effect* to LOO and mission success criteria. Is the *effect* relevant to the supported LOO?
- **Time-Based:** Timetable for completion. What is the timeframe for achieving the *effect*?

MOEs developed using the SMART system are nested under a LOO and are resourced with time, materiel, training, and knowledge to achieve the effect. Specific, achievable and time-based criteria define how and when desired effects are *resourced*, and make MOEs *responsive* by clearly defining current conditions and desired effects in the operating environment, as well as how to determine if conditions are changing.

MOPs evaluate performance based operations, and are developed during operation planning to identify what tasks achieve conditions in the operating environment identified by MOEs. Every task requires at least one MOP nested under a related MOE. MOPs measure *collective task performance* to determine mission success. MOPs assess task and mission success by determining if the task or mission was action-centered, incremental, measurable, and scheduled (AIMS). AIMS assesses the action executed – and is nested under the "Specific" criteria of a MOE. Supporting tasks that must be successfully executed, resources gathered, criteria for mission and supporting task success, and deadline for completion are all identified and measured using AIMS. AIMS is:

- **Action-Centered:** Identify performance-based operations and tasks required to achieve objectives identified in MOEs. What is the mission – what is being done?
- **Incremental:** Create task lists to clarify order of operations and to measure mission progress. What tasks must be performed to execute the mission (troop leading procedures (TLP), conduct a convoy, conduct area security, conduct an assessment, and so forth) – how is the mission being executed?
- **Measurable:** Reportable, verifiable standards for executing tasks – how to determine if it was done right?
- **Scheduled:** Time to complete the action centered task. When is the mission – what are the time checks and deadlines?

CAUTION:* *AIMS is not a mission-planning tool. Planners use it to link mission performance to desired effects.

Example: A JTF is conducting SSTRO. One of the JTF LOOs is: *Establish Effective and Sustainable Economic Development*. The desired *effects* identified to achieve the JTF's mission termination criteria for that LOO are:

1. Employment level increased
2. Exports increased
3. National business growth
4. Improved lending to businesses
5. Skilled labor growth

The desired *effect* of skilled labor growth is the JFC's main effort because mitigating the lack of skilled HN labor is a *critical requirement* to achieve sustainable economic growth. The JTF assigns its subordinate task forces several objectives to support the JTF main effort:

1. Assess demand for skilled labor
2. Assess vocational training facilities
3. Conduct necessary renovations
4. Implement and transition job placement programs

The JTF MOEs assess whether operations are achieving the *effect* of increasing the availability of skilled labor in the HN.

Subordinate task force MOPs assess whether assessments were properly conducted, renovations meeting *critical requirements* were conducted, and job placement programs were properly implemented and effectively transitioned to the HN.

WARNING:* *Achieving success at all MOPs may not achieve the desired effect because other conditions in the operating environment also influence the availability of skilled labor. Skilled labor growth is an indirect effect that cannot be achieved through operations only addressing labor and the local economy.

Effectively nesting tactical level missions under operational/strategic level objectives requires defining a MOE for each desired *effect* that specifies how COGs and other conditions in the operating environment are influenced to achieve that effect. When requirements for achieving effects are defined, performance based operations are identified to achieve the requirements. MOPs evaluate whether the missions to achieve these requirements are conducted to standard. Figure 3-5, Tactical Mission Linked to LOO through MOP and MOE, depicts a notional operational level LOO with supporting MOEs, MOPs, and a tactical level mission.

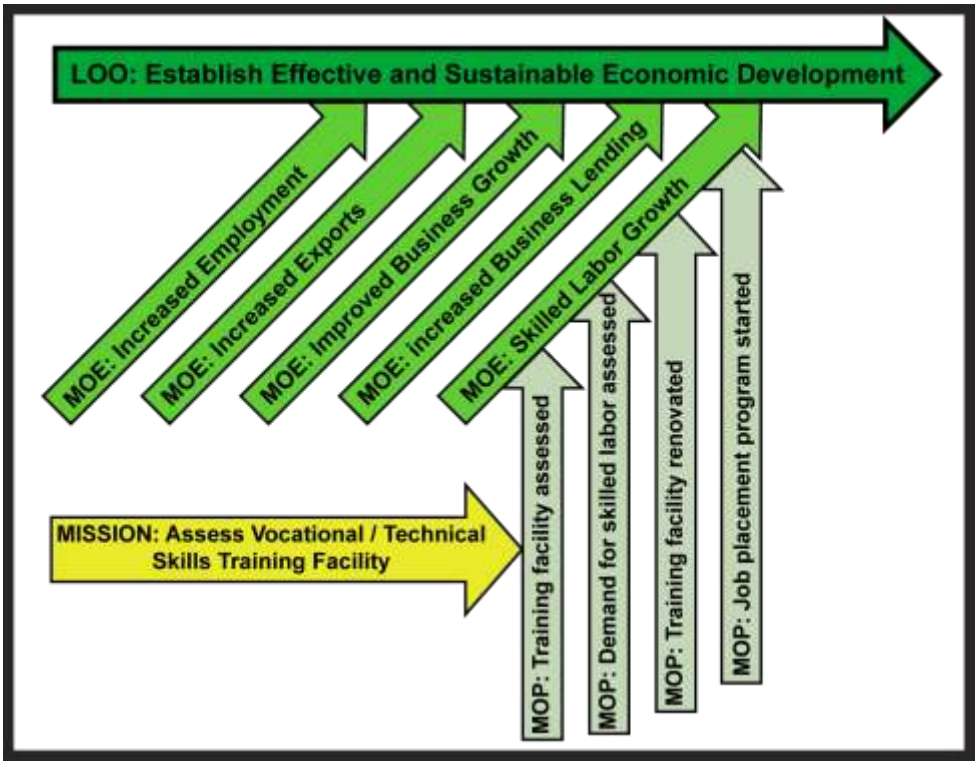

Figure 3-4. Tactical Mission Linked to LOO through MOP and MOE

3.2.4 Interagency Operations

The fourth consideration for planning to manage civil information is the involvement of host and foreign government agencies, IGO, NGO, private volunteer organizations (PVO), IPIs, and USG agencies. National Security Presidential Directive 44, Management of Interagency Efforts Concerning Reconstruction and Stabilization, and Department of Defense Directive (DoDD) 3000.5, Military Support for Stability, Security, Transition, and Reconstruction Operations direct that the Department of State (DoS) will be the lead agency in coordinating reconstruction and stabilization. In some instances, joint forces may have the role of lead agency, and must be prepared for the responsibilities and command climate of working with civilian agencies.

***NOTE:* More detailed information for interagency operations can be found in JP 3-08, Volumes I and II.**

Chapter 4, Collection, and Chapter 8, Sharing, provide considerations, procedures and best practices for collecting and sharing civil information with interagency and other stakeholders. The following considerations can help joint forces planners develop interagency operations, potentially as the lead agency:

1. Command, as it is known in the armed forces, does not exist. Interagency relationships must be established through collaboration and negotiation:

a. Military leaders cannot give orders to inter-agency stakeholders; instead, they participate in consensus-building as one voice among equals.
b. Combining convincing views with a spirit of cooperation increases the chances of acceptance among other agencies.

2. Anticipate the commander devoting attention to host government other foreign government agencies. Keep in mind the role of IGOs, NGOs, and PVOs. The key to success is liaison:
   a. Commanders at all levels must bridge military operations and interagency requirements.
   b. Identifying participating agencies and establish regular liaison early in the operation, particularly during the shaping phase.
   c. Key personnel include:
      - The US Ambassador or Chief of Mission
      - Political advisors (POLAD)
      - Host nation agencies and local civic, economic, and political leaders
      - Cultural advisors
      - Heads of USG agencies
      - Foreign government agencies
      - Heads of IGOs, NGOs, PVOs, etc within the operating environment
3. Agreements must be in writing, such as memoranda of understanding, memoranda of agreement, terms of reference, or administrative procedural agreement, to ensure understanding and avoid confusion.

3.2.5 Planning for Requirements

Planning for requirements begins by defining the product(s) necessary to satisfy the requirement, and then identifies what each step of the joint civil information management process, in reverse order, must yield to support developing the specified product. Planning for requirements identifies the desired end state **(product that satisfies the requirement)**, and what is necessary to achieve it, and occurs in this order:

1. Produce - Identifies the product(s) necessary to satisfy the requirement [the end state].
2. Analyze - Preliminary identification (ID) of analyses required to develop product(s).
   a. Consolidate - Preliminary determination for how to organize data.
3. Collect - Preliminary determination of data required.

Planning for requirements is a key aspect of developing a collection plan because it specifies the information required to provide the JFC SA based on current conditions and objectives. Requirements for products that support situational understanding and decision making drive execution of the joint civil information management process. Knowing what product is required informs what analysis may be required, how data must be consolidated, and data must be collected.

3.3 Planning Procedures

1. Identify USG strategic objectives and higher unit objectives **(what must be *accomplished*)**. Read and understand the Ambassador's Mission Strategic Plan or the USAID Mission's Country Plan and be able to explain and illustrate how your LOOs and objective are nested within or support their plans.
   a. Nature of operation
   b. Phase of operation
2. Understand the operating environment:
   a. Develop baseline (historical events/traditions/cultures/etc) **(what *was*)**
   b. Establish current conditions in ***running estimates*** for the operating environment **(what *is*)**

c. Implement *civil information architecture* that links current conditions to operational objectives through analytical systems, such as PMESII or LOOs. **(what *subjects* to *compare*)**

d. Compare the historical baseline to current conditions in the operating environment using the *civil information architecture* to define gaps between operational objectives and current conditions. **(what must be *accomplished*)**

(1) Identify decisive points and desired *effects*

(2) Define MOEs for each desired *effect*

e. Identify stakeholders:

(1) Mission (2) Core capabilities (institutional purpose)

(3) IRs (4) Information possessed

3. Synchronize *civil information architecture* with conditions and assign priority for collection and analysis:

a. Assess:

(1) Conditions or events IPIs expect (2) Conditions or events IPIs require

(3) Conditions or events IPIs desire

b. Identify strengths, weaknesses, opportunities, and threats (SWOT) of IPI expectations, requirements, and desires compared to operational objectives to determine which conditions:

(1) Facilitate USG and operational objectives **(*strengths*)**

(2) Undermine USG and operational objectives **(*weaknesses*)**

(3) Can be leveraged to achieve or undermine operational objectives **(*opportunities* and *threats*)**

c. Identify IRs:

(1) Gaps between baseline and operational conditions requiring more information

(2) Gaps between current conditions and populations expectations, requirements and desires

(3) Gaps between operational conditions and mission success criteria, using population expectations, requirements and desires to define decisive points, COGs, and desired *effects* that promote progress along LOOs.

d. Map IRs into *civil information architecture:*

(1) Identify key nodes and links

(2) Identify information gaps about key nodes and links requiring more information

4. Develop collection management plan:

a. Plan IRs:

(1) What do we need to know?

(a) Higher unit requirements, operational needs, commander's guidance

(b) Identified information gaps

(c) IPI expected, required, and desired conditions

(2) How are we going to get what we need?

(a) Identify sources and their reliability (b) Identify collection methods and assets

b. Develop a collection plan that establishes priority and sequencing **(MOPs)**:

(a) Priority - order of importance (b) Sequence - when required

c. Synchronize collection plan with IMP:

(2) Where does information need to go and what is it used for?

(3) What classified information guidance must be met?

(4) How does information need to be packaged?

(a) Push (b) Pull

(5) When must the information be received? **(Battle rhythm)**

(6) Leverage with CIM coordinators and other organizations or entities:

(a) Identify stakeholders **(who)** (b) Define civil information grid **(where)**

(c) Define communications plan **(how)** (d) Identify *C4I infrastructure* **(what)**

d. Convert IRs to collection requirements and assign to appropriate collection assets.

5. Implement collection management:

a. Execute collection plan:

(1) Updating ***running estimates***, situational awareness, and understanding of the operating environment based on newly collected information

(2) QA/QC collection:

(a) Determine if collection requirements met (did we get what we wanted?) (**MOP**)

(b) Determine if IRs satisfied (Did we ask for what we need?) (**MOE**)

b. Execute distribution plan:

(1) Staff coordination (2) Liaison

(3) CIM working groups (4) Data sharing working groups

(5) Stakeholder collaboration

c. Consolidate and analyze data collected and compare it to the baseline and operational conditions to update SA and satisfy IRs and gaps by repeating steps 2, b through 5, e of the planning procedures as necessary to maintain relevant, actionable ***running estimates***.

d. Continually adjust collection plan based on newly acquired information and operational objectives

e. Monitor and re-task as appropriate.

3.4 Best Practices

Civil information has at times been undervalued and overlooked in military decision making, but has become a necessity for the diverse set of overseas contingency operations the US now faces. Civil information has become a decisive factor in planning and execution of COIN and AT. Staff must inject relevant, actionable civil information into their commander's decision making process. Developing operating environment-specific *civil information architecture* is a valuable best practice when planning population-centric warfare.

JP 5-0 identifies the elements of joint operations planning, including three broad operational activities, four planning functions and a number of related products that are illustrated in Figure 3-6, Joint Operation Planning Activities, Functions, and Products. When staffs understand the USG strategic end state, the commander's mission, and the SWOT of the operating environment they develop a concept of the operation that links *decisive points* and *desired effects*, through the appropriate components of PMESII subsystem(s) identified in the *civil information architecture,* to LOOs and mission termination criteria.

Providing information about PMESII systems, socio-cultural factors, neutral IPI, and civil components to physical areas is the primary purpose of CIM. Because C4I systems lack frameworks for civil information, staffs leverage their understanding of the operation and use the elements of operational design to develop operating

environment-specific *civil information architecture*. This provides a framework for systematically analyzing conditions and changes in the operating environment. Identifying operating environment-specific *civil information architecture* is critical for managing civil information, and can be accomplished using the following guidelines:

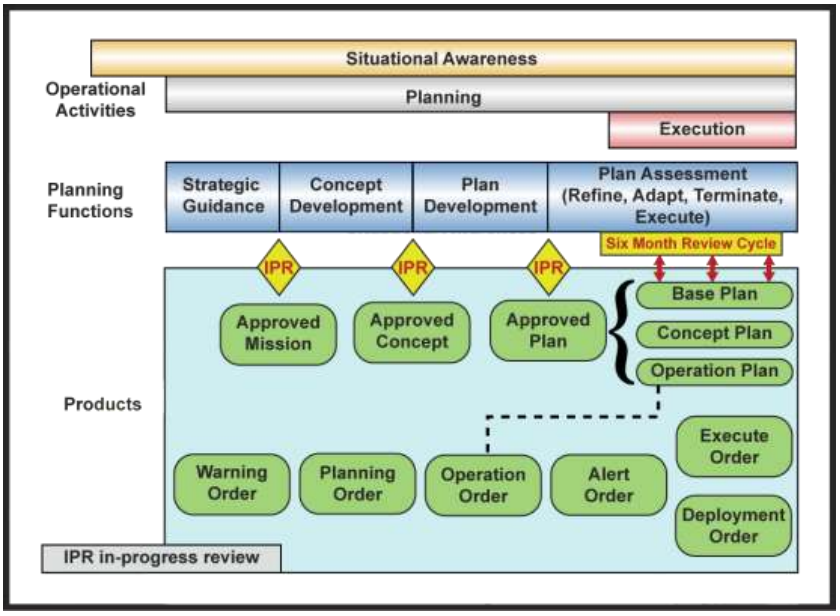

Figure 3-5. Joint Operation Planning Activities, Functions, and Products

1. Reference JP 2-01.3, JIPOE, appendix C, section B, Typical PMESII Systems and Subsystems for the initial structure of *civil information architecture*.
2. Populate the initial structure using the civil baseline of the operating environment that was developed during planning from historical, cultural, political, economic, and other information.
3. Adjust PMESII subsystems so that they appropriately represent the culture, political system, economic system, infrastructure, and information media in the operating environment. This is accomplished using *analytical frameworks* and *technical architecture* to identify relative weight and relationships of subsystem components, both within PMESII systems and across them.
    a. Recommended *analytical frameworks* include techniques, frameworks, data collected, and analyses conducted by civilian political scientists, economists, civil and municipal planners and engineers, and other SMEs who plan and direct civil programs for governments.
    b. *Technical architectures* necessary can be defined by identifying components of analytical frameworks employed to understand the civil components of the operating environment.
4. Populate *civil information architecture* with current conditions based on effects, decisive points, and other military and stakeholder activity in the operating environment.
5. Associate LOOs with related PMESII systems and populate *civil information architecture* with mission success and termination criteria for each LOO.
6. Associate operational requirements with historical and current conditions using the *civil information architecture*.
    a. Identify the people, processes, and technologies that comprise the civil components of the operating environment as links, nodes, and COGs.
    b. Identifying COGs requires understanding conditions while relating operational/strategic objectives to those conditions. The nature and functions of nodes and their interrelationships provide the basis for determining COGs. Knowing COGs and their relationships provide the basis for developing IRs that support planning and targeting, and enable developing systems-oriented event templates that facilitate mission planning and execution.

c. Conduct effects-based planning leveraging targets identified through analytical systems, such as PMESII or LOOs, incorporated into the *civil information architecture*.

These additional best practices facilitate planning to manage civil information:

1. Plan to manage civil information in and around the AO:
   a. Subordinate echelon enabler and maneuver operations should support the commander's objectives.
   b. Stakeholder AOs may not be completely contained within the commander's AO, be flexible in order to support them and maintain a positive, mutually supportive relationship.
2. Know who has information, skill sets, or capabilities and be prepared to broker contact among organizations or people who need them:
   a. Know POCs for every organization that civil information is being shared with.
   b. Share those POCs with organizations or people who need help.
3. Identify all stakeholders requiring information about the civil components of the operating environment.
4. Verify relevance of participant as a stakeholder:
   a. Conduct pre-meeting analysis by researching organizations, charters, press releases, country of origin, cultures, and so forth of identified stakeholders.
   b. Know the overarching strategies of all stakeholders involved.
   c. Identify mutual goals/end states for each stakeholder.
5. Consistently provide concise, analytical, echelon appropriate products that guide decision making.
6. Never miss an opportunity to push civil information to other staff with sufficient time for them to incorporate the information into their planning.
7. Identify available means to communicate, including direct and indirect means, such as a third party.

3.5 Conclusion

Planning to manage civil information is a vital element of staff operations. Historically, operations required commanders to focus on friendly and enemy information. Population centric operations require substantial SA of the people, culture and civil conditions in the operating environment. Developing *civil information architecture* that complements friendly and enemy forces information in C4I systems enables staff to provide accurate and predictive sensemaking of the civil components of the operating environment. Understanding how nodes are interconnected within and between PMESII systems enable commanders to achieve unity of effort and mission success.

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[1] Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*, page 2.
[2] Joint Publication 5-0, *Joint Operation Planning*, 26 December 2006, page III-12.
[3] Joint Publication 2-01.3, *Joint Intelligence Preparation of the Operational Environment*, page II-44.
[4] Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*, page 6.
[5] Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 3100.01A, CJCSI 3122.01 CJCSI 3122.02, CJCSI 3122.03B, JP 3-0 and JP 5-0.
[6] Joint Publication 3-0, *Joint Operations*, 17 September 2006; Incorporating Change 2, 22 March 2010, page IV-26; Joint Publication 5-0, *Joint Operation Planning*, 26 December 2006, page IV-34.
[7] Joint Publication 3-57, *Civil-Military Operations*, 8 July 2008, page GL-6.

[8] Joint Publication 3-60, *Joint Targeting*, 13 April 2007, page I-8.

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[11] Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*, page 15.

[12] Auburn University. (2005). *Supervisor's Performance Management Toolkit*, page 40.

CHAPTER 4 JOINT CIVIL INFORMATION COLLECTION

4.0 Introduction

> *"By the word 'information' we denote all knowledge which we have of the enemy and his country; therefore, in fact, the foundation of all our ideas and actions"*
>
> *Carl Von Clausewitz,*
> *On War*

Collection is the second step in the joint civil information management process, and is essential for achieving *visible*, *accessible*, and *understandable* information.[1] It facilitates data sharing and making informed decisions. For this to occur, collection is executed for a specific topic to fulfill a specific need. A formal collection process ensures required data is defined, gathered, complete, and accurate. Figure 4.1, Collection Process, depicts three collection procedures. Collection requirement taskings and planning sub steps are similar for each procedure. Information search, civil reconnaissance, and civil engagement should be synchronized during planning to provide complete, timely, and accurate civil information to decision makers.

NOTE: ***The term "information" refers to data, knowledge, and understanding unless otherwise specified.***

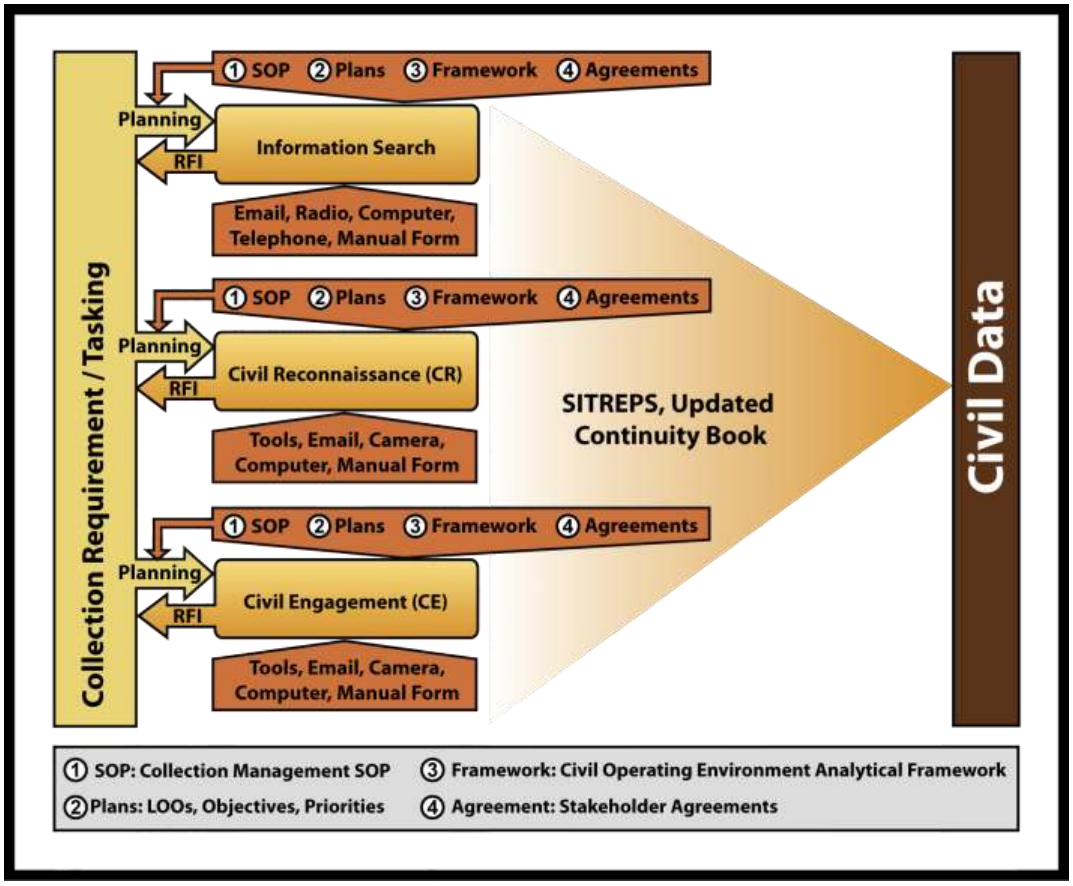

Figure 4-1. Collection Process

1. **Information Search** consists of the collection from the internet, printed media, or other civilian or military sources. This collection type is considered indirect collection and may be used for *data mining*.
2. **Civil Reconnaissance** is planned collection of focused information by direct observation and evaluation of the operating environment.

3. **Civil Engagement** is dialogue or cultural exchange with one or more individuals. It is a participatory interaction, such as key leader engagement (KLE), mass engagement, and surveys between the collecting unit and the people and organizations being engaged.

Information search is civil information collection and can be a very efficient way to satisfy an IR.

Information search helps to determine what civil information needs to be collected through the more resource intensive, and potentially higher risk, direct collection procedures for civil reconnaissance and civil engagement.

Information search is not only pulling data from the searching organization's existing repository of civil data, but also collecting new or updated civil information from *internal and external sources*. This data is required to meet the searching organization's IRs.

4.0.1 Key Terms

The following terms are defined within the context of the joint civil information management process:

- **Data** are observations, cue detection, recognition of civil situational elements, facts and current status identified by a sensor or collector (human, mechanical, or electronic) from the environment or communicated and processed between nodes in any system.
- **Information** is the meaning that humans derive from data. This meaning is the outcome of filtering, fusing, formatting, organizing, collating, correlating, plotting, translating, categorizing, and arranging data to make sense of it. *Information is only information for the individual requirement it is processed to support; for all other purposes it is just facts or data*.

4.1 Context

Planning provides the purpose, direction, and authority for civil data collection to ensure that complete, accurate, timely, and operationally relevant civil data is visible, accessible, and understandable to supported elements, higher headquarters, other USG and DoD agencies, IGOs, and NGOs. Collection cannot be conducted without:

1. **Purpose:** What is the data being collected to support?
2. **Direction:** What civil data is will satisfy the purpose?

***CAUTION:* If a collection tasking lacks clear purpose and direction, refer to the collection plan, or send an RFI to the tasking authority.**

3. **Necessary Authority:** Do collectors possess the required authority to collect data?
   a. Under Title 22[2] authority, the US Embassy regulates official communication with HN representatives
   b. Engagements may require coordination through the POLAD and or the POC within the US Mission

***CAUTION:* If a collection tasking requires engaging HN officials at the operational or strategic level, ensure that authority for the engagement is coordinated through the POLAD with the US Embassy.**

Example: During Operation Iraqi Freedom an RFI was sent down from Corps to MND-N three times to assess the banks in a specific region.

The first and second RFIs did not specify the exact information required. The executing units were left to decipher the requirements, resulting in reports that provided no pertinent information. The information needed was bank usage, such as payroll distribution, and scale based on the dimensions of the bank vaults, to determine which banks had sufficient capacity to accommodate the large cash volume for government payrolls.

The third RFI specifically directed that bank vault dimensions, conditions and security be provided.

Proper **purpose** and **direction** was provided in the third RFI, which resulted in collection that satisfied the RFI. The previous two RFIs lacked **purpose** and **direction,** which exposed US and coalition forces to unnecessary risk from needless missions.

4.2 Information Search

Information search is executed at all levels, but is typically concentrated at the operational level and higher. It is a four-step procedure for collecting information from existing sources, and is represented in Figure 4-2, Information Search Procedures. Sources may be physical or digital and found via the internet or from civilian and military partners. Data can be in the form of reports, assessments, or other products. Additionally, means of conveyance may be varied as depicted in step 1a (3) below. Information search is a crucial part of collection that can provide an efficient way to satisfy IRs and helps to determine what civil data needs to be collected through direct collection.

NOTE: ***As a general rule, data collectors should exhaust all existing sources before conducting direct collection.***

4.2.1 Information Search Considerations

There are several considerations associated with data collected through information search. These are important to collecting complete and accurate civil data. These considerations are:

- **Reliability & Credibility:** Sources of information have varying degrees of reliability while data types have varying degrees of credibility. All data from information searches must be assessed for reliability concerning the source and credibility of the data. Source Reliability and data credibility should be evaluated and documented IAW standards established in the collection plan, or standard operating procedure (SOP), but when standards are not specified, the framework shown in Table 4-1, Source Reliability, and Table 4-2, Data Credibility,[3] can be used.
- **Currency:** Evaluate source data to determine the currency of the data. Physical, social and other civil data identified in information search are subject to change over time. Civil information managers should establish currency guidelines based on the perishable nature of the data.
- **Source Documentation:** All civil data collected through information search must be documented. This enables analysts and other users of the data to go back to the source if necessary. This is particularly important where the reliability of the source or accuracy of the data is uncertain. Techniques for documenting open internet sources can be found in Army Field Manual (FM) 2-22.9, Appendix I.
- **Data Format(s):** Standardized data fields and formats enable more efficient consolidation of data and enables analysts and other stakeholders to effectively correlate and corroborate the data that is consolidated in civil information systems.

4.2.2 Information Search Procedures

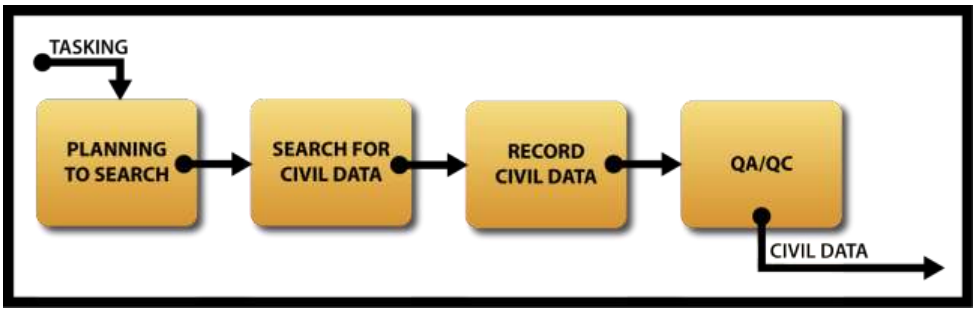

Figure 4-2. Information Search Procedures

Step 1- Planning to Search. The following steps are used to prepare for information search.

a. **Determine data requirements**:

(1) Review tasker and identify data requirements using Figure 4-3, Example Tasker Forms.

(2) Determine the purpose for the data from the tasking. The purpose can provide essential requirements, both specified and implied.

(3) Identify all directed or required media using Figure 4-4, Means of Conveyance.

***CAUTION:* If a collection requirement is not clear, specific enough or the purpose is not included, send an RFI to the tasking authority.**

b. **Determine appropriate collection tools**:

(1) Identify the appropriate civil data collection forms found in Annex B. Form A, is mandatory for all collection requirements.

- More than one form may be required.

(2) Identify the required data fields and their priority on the collection form(s).

(3) Identify and become familiar with the standards, such as the format, for each required data field.

- Verbal directive.
- A specified task in the operations order (OPORD) or fragmentary order (FRAGO).
- A collection matrix that is an outcome of the planning step and is usually conveyed as a list of civil tactical goals and tasks matched to operational objectives.
- Recurring requirements. These include implied requirements such as a CCIR and battle rhythm inputs such as situation reports (SITREP) and update briefs.
- Data shortfalls identified from collection management.

Figure 4-3. Example Tasker Forms

- Photo/Video
- Audio
- Digital Files/Records
- Hard Copy Documents
- Objects and artifacts

Figure 4-4. Means of Conveyance

***NOTE:* The standardized data format specified for each data field is one component of data accuracy. The other component is the accuracy of the data itself.**

***CAUTION:* If an automated collection tool is used, refer to the system's TTP to identify data field and data format requirements. Use the forms in Annex B to complement any system specific shortfalls.**

c. **Identify sources**:

(1) Consider, but do not limit potential sources to the following organizations: US and combined forces, US and partner nation agencies, and NGOs.

(2) Consider, but do not limit sources to the following:

- SITREPS
- Intelligence updates
- Law enforcement reports
- Internet search results
- Staff estimates
- Sectarian reports
- Media reports
- Scholarly literature

(3) Prioritize sources to search.

(4) Task requirements among available personnel.

Table 4-1. Source Reliability

Value	Rating	Description
A	Reliable	*No doubt about the authenticity, trustworthiness or competency of the source. History of complete reliability.*
B	Usually Reliable	*Minor doubts. History of mostly valid data.*
C	Fairly Reliable	*Doubts. Provided reliable data in the past.*
D	Not Usually Reliable	*Significant doubts. Provided valid data in the past.*
E	Unreliable	*Lacks authenticity, trustworthiness, and competency. History of invalid data.*
F	Cannot be Judged	*Insufficient information to evaluate - may or may not be reliable.*

Step 2 - Search sources for required civil data:

a. Determine how to query the source organization:

- Telephone
- Email
- Online Collaboration
- Internet Search
- Liaison

b. Establish standard procedures among partners for repetitive data searches and sharing.

c. Search to satisfy all data fields identified in Step 1b.

d. When required data located, record the source of the data:

(1) *Non-internet sources*, record author, organization, title, publication, date, and retrieval date.

(2) *Internet site sources*, record the author, organization, title, publication or posting date, retrieval date, and uniform resource locator (URL) of the information.

Step 3 - Record civil data:

a. Generate a digital or paper copy of the data collection form.
b. Complete the required fields on the data collection form.
c. Follow the data format standards in the data collection form.
d. Append supporting documents to the data collection form.
e. Maintain classification of civil data at the lowest level authorized. Appropriately marking unclassified data is critical to meet the principle of accessibility.[4]

***NOTE:* Following the data format standards makes data consolidation more efficient.**

Step 4 –QA/QC the recorded data:

a. Verify completeness and accuracy of all available and required civil data collected from the source.
b. Verify all supporting documents are attached to the data collection form.
c. Verify the source is correctly documented.
d. Verify all data is recorded IAW the data formats specified in the data collection form.
e. Verify that data collected fulfills requirements in the collection tasking.

Table 4-2. Data Credibility

Rating Value	Rating	Rating description
1	Confirmed	*Logical, consistent with other relevant data, confirmed by independent sources.*
2	Probably True	*Logical, consistent with other relevant data, but not confirmed.*
3	Possibly True	*Reasonably logical, agrees with some relevant data, but not confirmed.*
4	Doubtfully True	*Not logical but possible, no other data on the subject, and not confirmed.*
5	Improbable	*Not logical, contradicted by other relevant data.*
6	Cannot be Judged	*The validity of the data can not be determined.*

4.2.3 Information Search Best Practices

The following information search best practices are lessons learned derived from deployed units and from input by SMEs:

1. A collection planning best practice is to answer the questions in Table 4-3, Questions for Planning.

Table 4-3. Questions for Planning

Sequence #	*Planning question*	*Search, Collection, Research activity*
1	What do we need to know?	query, question
2	How are we going to collect it?	design
3	Who needs the information and by when?	deliverable
4	How are we going to get it there?	fields, format & distribution

2. Maintain a list of useful and trusted sources. Modify the list as organizations enter and leave the AO. An initial list of unclassified internet sources is provided in Annex A, Quick Reference Guide.
3. Be aware of what types of data are maintained by various mission partners. Develop a sharing strategy or plan with the partnering stakeholders, IAW the procedures in Chapter 8.

***NOTE:* Users must adhere to a SOP for meta-tags, references and naming conventions.**

4. Save complete back-up copies of files and record the location of source material to ensure accessibility.

5. Review and acquire all civil data from the AO when conducting RIP/TOA. Capturing relevant civil data during RIP/TOA ensures continuity of effort that is essential to mission success.

4.3 Civil Reconnaissance

Civil reconnaissance is a four-step procedure that involves the *collection of civil data directly from the operating environment*. It is represented in Figure 4-5, Civil Reconnaissance Procedures, and is the focused, planned, and coordinated observation and evaluation of the civil population and the physical aspects of the operating environment. Civil reconnaissance fills gaps in the collection plan indentified during information search and is conducted concurrently with civil engagements or other operations, actions, and activities. Civil reconnaissance is conducted primarily at the tactical level by forces in direct contact with IPIs.

4.3.1 Civil Reconnaissance Considerations

When conducting civil reconnaissance there are three primary considerations:

1. **Integration:** Multiple assets within the joint force collect data on various aspects of the operating environment. Civil reconnaissance is normally conducted concurrently with civil engagement. Forces conducting civil reconnaissance can include force enablers and functional area specialists. Non-military stakeholder organizations operating in the AO and may be collecting as well. Integration occurs when civil reconnaissance is coordinated with the supported unit staff and other stakeholders. This coordination should include operational details of the *mission*, which aids in de-conflicting available resources, such as transportation and security, and promotes synergy among stakeholders.
2. **Timeliness:** Civil reconnaissance is subject to affects of friendly and threat operations as well as unforeseeable changes in the environment.

NOTE: Planning civil reconnaissance to meet reporting timelines should take into account uncontrolled operational and environmental factors.

3. **Opportunity Collection:** This occurs when friendly forces moving about the operational area come upon aspects of the operating environment that are of interest or fulfill IRs. Be prepared to collect civil data when unplanned collection opportunities occur. Pre-mission information search provides e information about the AO and its people to guide actions when encountering these situations.

4.3.2 Civil Reconnaissance Procedures

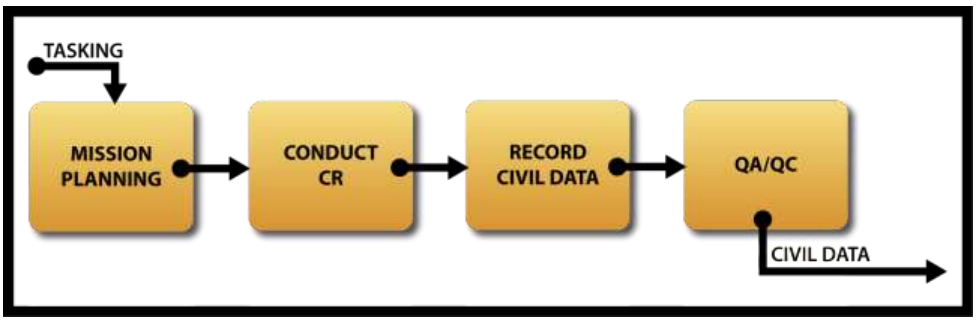

Figure 4-5. Civil Reconnaissance Procedures

Step 1- Mission Planning. The following steps prepare for civil reconnaissance.

a. **Determine the data requirements:**

(1) Review tasker and identify data requirements using Figure 4-3, Example Tasker Forms.

(2) Determine the purpose for the data from the tasking.

(3) Identify all directed media requirements. Examples are in Figure 4-4, Means of Conveyance.

***CAUTION:* If a collection tasking is not clear and does not include purpose, RFI the tasking authority to clarify the purpose for the data. The purpose can provide information to clarify the requirement.**

b. **Determine appropriate collection tools.**

(1) Identify the appropriate civil data collection form in Annex B. One or several forms may be required depending on the scope of the tasking

(2) Gather any other required material and references (e.g. measuring tools).

(3) Identify all required fields on the collection form.

(4) Identify and familiarize yourself with the data standards within each required data field.

***NOTE:* Standardized data formats specified for each data field is one component of data accuracy; the other is accuracy of the data itself.**

***CAUTION:* If an automated collection tool is used, refer to the system TTP to identify data field and format requirements. Use Annex B to compliment any shortfalls.**

TLP Mission Environment

- Social Considerations
- Recent Friendly Actions
- Recent Threat Actions
- Risk Assessment.

TLP Mission Plans

- Routes
- Security
- Communications
- Emergency Procedures

TLP Team Assignments

- Recordings/Transcriptions
- Photographs
- Collection Forms/Automated Tools
- Translation

Figure 4-6. Troop Leading Procedures

c. **Conduct TLP:**

(1) Understand the collection environment using factors in Figure 4-6, TLP Mission Environment.

(2) Plan the mission using Figure 4-6, TLP Mission Plans.

(3) Assign the collection responsibilities within the team using Figure 4-6, TLP Team Assignments.

(4) Rehearse the mission, including data collection, and data handling.

(5) Issue the order.

(6) Conduct pre-combat inspections (PCI)/pre-combat checks (PCC).

Step 2 - Conduct civil reconnaissance for required civil data:

a. Collect data for all data fields identified in STEP 1b, using appropriate collection tools as required.

b. Collect civil information, using directed media requirements, in Figure 4-4, Means of Conveyance.

c. Create opportunities to interact with the local populace. These can be planned future engagements or ad hoc meetings added to this mission. In either case use civil engagement procedures as required.

***WARNING:* Social or technical issues may preclude use of automated collection tools. Be prepared to manually record data.**

Step 3 - Record civil data on data collection forms (usually at close of mission):

a. Prepare a digital or paper copy of the collection form.

b. Complete all required fields on the selected data collection form.

c. Follow the data format standards in the data collection form.

d. Append supporting documents to the data collection form.

e. Maintain classification of civil data at the lowest level authorized.

***NOTE:* Following data format standards makes data consolidation more efficient.**

Step 4 – Perform QA/QC on recorded data:

a. Verify that all available and relevant civil data was collected from the reconnaissance objective.
b. Verify that all recorded data is IAW the data formats in the data collection form.
c. Verify that translations are accurate when possible.
d. Validate data and verify that data collected fulfills requirements in the collection plan.
e. Verify that all supporting documents are appended to the collection form, and ensure compliance with file naming conventions

4.3.3 Civil Reconnaissance Best Practices

The following are best practices for data collection via civil reconnaissance:

a. **Mission Planning:** Answer the questions identified in Table 4-3, Questions for Planning.
b. **Collecting Atmospherics:** When collecting data throughout the reconnaissance route it is important to note abnormalities in social behavior in relation to the local populace. Example: As you enter a village you've been to before you see children leave the area around you. You recognize this is a change from previous missions at this location so it should be noted.
c. **Manually Recording Civil Data:** The advantage of manually recording civil data is that it requires minimal note taking skills and has no requirement for the technical training required for an automated collection tool. Annex B contains 8.5" x 11" versions of the assessment forms that can be utilized during data collection to provide a reference for what to collect and how to record data.

CAUTION: ***Ensure that no classified material is recorded in Annex B forms or leader books.***

d. **Automated Versus Manual Collection:** Automated collection tools are an effective means to record and report civil data. Social considerations, as noted in Step 2, or technical issues may preclude the use of these tools. In those circumstances, use the manual forms in Annex B to initially collect civil data. Input data into the collection/consolidation device when time and conditions permit.

NOTE: ***Ensure that backup power for automated collection tools is added to your list of PCI/PCC.***

e. **Cameras:** A camera needs to be rugged if it is used in a tactical environment. Its use should not draw unwanted attention. In addition to the physical features of the camera, it should have the ability to encode the image data with the date and time. Listed below are recommended camera capabilities:
   (1) A date/time group (DTG) stamp function
   (2) Minimum 10 megapixel resolution
   (3) A flash that can be turned off
   (4) A removable data storage media
   (5) Common battery capabilities
   (6) GPS stamp function

NOTE: ***Understand the capabilities, limitations, and functionality of collection equipment.***

4.4 Civil Engagement

Civil engagement consists of a four-step procedure for *collecting civil data from people about the operating environment*. It is represented in Figure 4-7, Civil Engagement Procedures, and entails direct interaction between the collecting unit and IPIs to collect data about the operating environment. Primary sources for civil engagement are people with knowledge of or influence among the civil population. Civil engagement may be a necessary precursor to other activities in an area, and is primarily conducted at the tactical level by forces in contact with IPIs. In the context of the joint civil information management, the ways to engage the civilian population include:

1. **KLE:** One-on-one or small group interaction. These are normally done with individuals who have a degree of authority or responsibility.

2. **Mass Engagement:** Interaction with a large assembly of people. These range from large meetings, through civil events, to social activities.
3. **Surveys:** A method to interact with any number of people. Surveys enable collection of large amounts of data that may be difficult to acquire by other means.

4.4.1 Civil Engagement Considerations

Civil engagements are a form of direct collection where the collector is acquiring data from meetings between people. Effective communication is essential to maintaining successful dialogue. This will often take place within meetings that may be informal and spontaneous or routine and structured. The considerations for civil reconnaissance apply to civil engagement, but there are additional factors associated with civil engagement:

1. **Social Customs:** Most US military operations are conducted on foreign soil. Consequently, service members must be knowledgeable of IPI customs.

NOTE: ***The actions and activities that convey respect for local customs play a decisive role in the mission.***

2. **Language:** When service members lack the ability to communicate effectively with the local populace, a properly vetted and trained interpreter should be used.

NOTE: ***The proper use and supervision of interpreters is essential.***[5]

3. **Opportunity Collection**: Friendly forces will often have unplanned interactions with IPIs. Be prepared to collect civil data to standard during such unplanned collection opportunities.

WARNING: ***Exercise caution during engagements. Operational security (OPSEC) measures reduce the risk of compromising operations or the safety of military, civilian, and HN partners.***

4.5.2 Civil Engagement Procedures

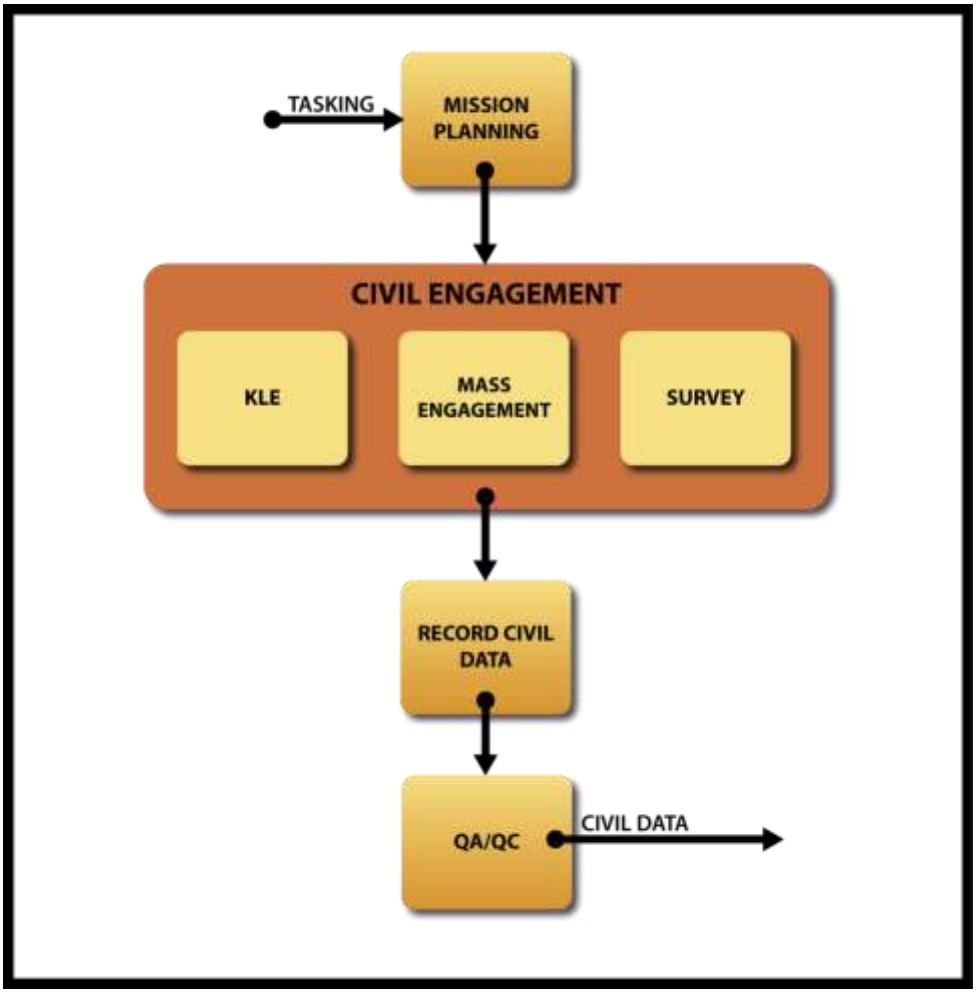

Figure 4-7. Civil Engagement Procedures

Step 1- Mission Planning. The following steps are used to prepare for civil engagements:

a. **Determine data requirements:**

(1) Review tasker and identify data requirements using Figure 4-3, Example Tasker Forms.

(2) Determine the purpose for the data from the tasking.

(3) Identify all directed media requirements using Figure 4-4, Means of Conveyance.

CAUTION: ***If a collection tasking does not define the purpose, send a RFI to the tasking authority.***

b. **Determine appropriate collection tools:**

(1) Gather required material and references.

(2) Identify the appropriate civil data collection form(s) from Annex B. One or several forms may be required depending on the scope of the tasking.

(3) Identify the required data fields and their priority on the collection forms.

(4) Identify and familiarize yourself with the data standards within each required data field.

NOTE: ***Standardized formats specified in the forms is one component of data accuracy. The other is the accuracy of the data itself.***

***CAUTION:* If automated collection tools are used refer to the system TTP to identify data field and data format requirements. Use the forms in Annex B to compliment any system specific shortfalls.**

c. **Conduct TLP:**

(1) Understand the collection environment using Figure 4-6, TLP Mission Environment.

(2) Plan the mission and consider Figure 4-6, TLP Mission Plans.

(3) Assign the collection responsibilities within the team using Figure 4-6, TLP Team Assignments.

(4) Issue the order.

(5) Rehearse the mission, including preparing the translator, data collection, and data handling.

(6) Conduct PCI/PCC.

Step 2 - Conduct civil engagement.

a. Conduct the engagement IAW the appropriate sub-steps:

Step 2a: KLE **Step 2b: Mass Engagement** **Step 2c: Conduct Survey**

b. Create new opportunities to interact with the local civilians.

- Execute civil engagement procedures as required

c. Review relevant stakeholder assessment frameworks for additional collection considerations.[6]

***NOTE:* More than one of these sub-steps can be conducted for the civil engagement.**

***CAUTION:* Carefully manage the amount of recorded data; both audio and video, to ensure that it can be consolidated. Collectors need to prioritize the data and avoid excess information.**

***WARNING:* Social considerations or technical issues may preclude use of automated collection tools. Be prepared to manually record data.**

Step 2a - Conduct a KLE:

(1) Position all data collectors including:

- Photographer
- Recorder/Transcriber(s)
- Interpreter(s)

(2) Establish the meeting objectives with the participants.

(3) Determine the key leader's goals and objectives.

(4) Distribute supporting documents.

(5) Collect civil information. See Figure 4-4, Means of Conveyance.

(6) Arrange to meet other persons with required/related information.

(7) Arrange future meeting with the key leader.

Step 2b - Conduct a mass engagement:

***NOTE:* Mass engagements may require multiple collection tools and personnel to cover the entire event.**

(1) Position all data collectors including:

- Photographer(s)
- Recorder/Transcriber(s)
- Interpreter(s)

(2) Establish objectives with participant(s) when necessary.

(3) Distribute supporting documents.

(4) Set up visual aids.

(5) Interact to collect civil information, using Figure 4.4, Means of Conveyance.

(6) Arrange future mass engagements with selected persons.

Step 2c - Conduct a survey:

***CAUTION:* Surveys are a special form of engagement that requires coordination with human terrain teams, military information support, and civil affairs before administering.**

(1) Position the survey administrators and translators.

(2) Establish the survey objectives with the participants.

(3) Distribute the survey.

(4) Establish the time limit for completing the survey.

(5) Facilitate the completion of the survey by the participants.

(6) Collect additional civil data by interacting with local civilians.

(7) Collect the completed surveys and screen them for completeness.

NOTE: ***Referrals for future engagements may present themselves before, during, or after surveys.***

Step 3 - Record civil data on data collection forms (usually at close of mission):

a. Prepare a digital or paper copy of the collection form.

b. Complete the required fields on the selected data collection form.

c. Translate the data as required.

d. Follow the data format standards on the data collection form.

e. Append supporting documents to the data collection form.

f. Maintain classification of civil data at the lowest level authorized. Appropriately marking unclassified data is critical to meet the principle of accessibility.

NOTE: ***Following the data format standards makes data consolidation more efficient.***

Step 4 –Perform QA/QC on recorded data:

a. Verify that all available, relevant civil data collected from the engagement is complete and accurate.

b. Verify that all recorded data is IAW the data formats specified in the data collection form.

c. Verify that the translations are accurate.

d. Verify that all required ancillary media is appended to the data collection form and ensure compliance with the file naming conventions.

e. Verify that all supporting documents are appended to the data collection form and ensure compliance with the file naming conventions.

f. Verify that data collected fulfills requirements in the collection plan.

NOTE: ***Q/C is the last step in the civil engagement procedure. IF all data requirements are satisfied, continue the CIM process. IF all data requirements are not satisfied, conduct additional collection.***

4.4.3 Civil Engagement Best Practices

The following are the best practices for civil engagement.

1. **Mission Planning:** Answer the questions identified in Table 4-3, Questions for Planning.
2. **Collecting Atmospherics:** Collect as you would for civil reconnaissance see 4.3.3b.
3. **Maintain Purpose:** The following points apply when conducting engagements:
   a. Stay focused on collecting answers that satisfy IRs, not allowing subjects to sidetrack the discussion.
   b. Do not make value judgments.
   c. Be attentive to the individual's intellect and education level. Use clear and concise vocabulary.
   d. Actively listen and display a genuine interest in the individual's ideas and opinions.
   e. Convey sincerity and avoid appearing superficial.
   f. Be attentive to the level of trust between participants.
   g. Select questions in order to bond with the participant(s).

h. Do not promise what cannot be delivered.

4. **Assessing sources:** Assess the reliability of individuals and accuracy of information during engagements to distinguish objective and factual information from inaccurate information. A rating system is provided for collectors and consolidators of civil data in Table 4-1, Source Reliability, and Table 4-2, Data Credibility. The forms in Annex B provide a location to record the assessment of the source.
5. **Use of Interpreters:** Appendix C of *Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations*, provides guidance for selection, training, and use of interpreters.
6. **Event Arrival:** Be highly sensitive to OPSEC and IPI social norms when conducting civil engagement.

4.5 Collection for Project Data

Projects provide a special environment where collection is conducted that affords opportunities to influence the operating environment. This is a C2 activity that entails observation of on-going projects and reporting aspects of project status to commanders and project managers. Civil collectors are often in a position to assist in the task of nominating potential projects and monitoring progress of on-going projects. Project management provides opportunity for access to and influence over a civil population. During collection joint forces should be sensitive to conditions that may be improved by potential projects.

The need for potential projects or information about existing projects may arise during civil reconnaissance or civil engagement. The collector should record information about these projects and what affect the project will likely have or does have on various constituencies. Potential projects may be nominated based on civil information collected. In this context, civil collectors are not managing projects but assisting them by reporting their status. Often times civil data collectors may report on projects outside their organization. Such projects may be under the control or contract of other USG agencies, such as USAID, or multi-national organizations or non-governmental organizations. Providing status reports of these projects to their field offices that are often times dislocated from the project site can help promote greater cooperation and information sharing between the stakeholders.

4.6 Conclusion

Joint civil information collection is accomplished with synchronized information search, civil reconnaissance, and civil engagement. Successful collection occurs when collected data: satisfies the collection plan, collection requirement, or RFI; is reported in a way that facilitates consolidation; enables informed decisions; and can be disclosed to agencies with a requirement to know. Ultimately, accurate collected civil data shapes the success of the subsequent step, consolidation.

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[1] DoDD 8320.02, *Data Sharing in a Net-Centric Department of Defense*, page 2.

[2] Title 22, United States Code, *Foreign Relations and Intercourse*

[3] Joint Publication 2-01, *Joint and National Intelligence Support to Military Operations*, 07 October 2004, page III-35.

[4] Executive Order (EO) 13526, *Classified National Security Information*; EO 13556, *Controlled Unclassified Information*; Department of Defense Instruction (DoDI) 5200.01, *DoD Information Security (INFOSEC) Program and Protection of Sensitive Compartmented Information (SCI)*; DoD 5200.1-PH, *Guide to Marking Classified Documents*; DoD 5200.1-R, *INFOSEC Program*; DoDD 5205.02, DoD *OPSEC Program*; DoD Manual 5205.02-M, *DoD OPSEC Program Manual*; and Directive-Type Memorandum, *Security Classification Marking Instructions*.

[5] Field Manual 3-07.31/Marine Corps Warfighting Publication 3-33.8/Air Force Tactics, Techniques, and Procedures 3-2.40 *Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations*, October 2003, Incorporating Change 1, April 2009.

[6] United Nations High Commissioner for Refugees, *The UNHCR Tool for Participatory Assessment in Operations*, May 2006. http://www.unhcr.org/450e963f2.html

CHAPTER 5 JOINT CIVIL INFORMATION CONSOLIDATION

5.0 Introduction

Consolidation is the third step in the joint civil information management process. The purpose of the step is to organize and filter civil data to process it into civil information. Data consolidation is an integral component of sound data management. Consolidation provides decision-quality information that supports, sharing, analysis and planning. Consolidation is part of the cognitive hierarchy[1] where raw data is progressively transformed into more useful states. Consolidation methods vary based on analytical requirements, information systems, and file structures used. This process, as depicted in Figure 5-1, Consolidation Process, consists of the steps collation and processing. Consolidation is accomplished by collating and processing data into concise groups of relevant information in formats that are *visible*, *accessible* and *understandable*[2]. Although the steps are depicted as sequential, they may be iterative as well.

> *"[International Security Assistance Force] ISAF must develop effective assessment architectures, in concert with civilian partners and home nations, to measure the effects of the strategy, assess progress toward key objectives, and to make necessary adjustments. ISAF must identify and refine appropriate indicators to assess progress, clarifying the difference between operational measures more appropriate to national capitals. Because the mission depends on [Government of the Islamic Republic of Afghanistan] GIRoA, ISAF must also develop clear metrics to assess progress in governance."*
>
> *General Stanley McChrystal, Commander, US Forces, Afghanistan*

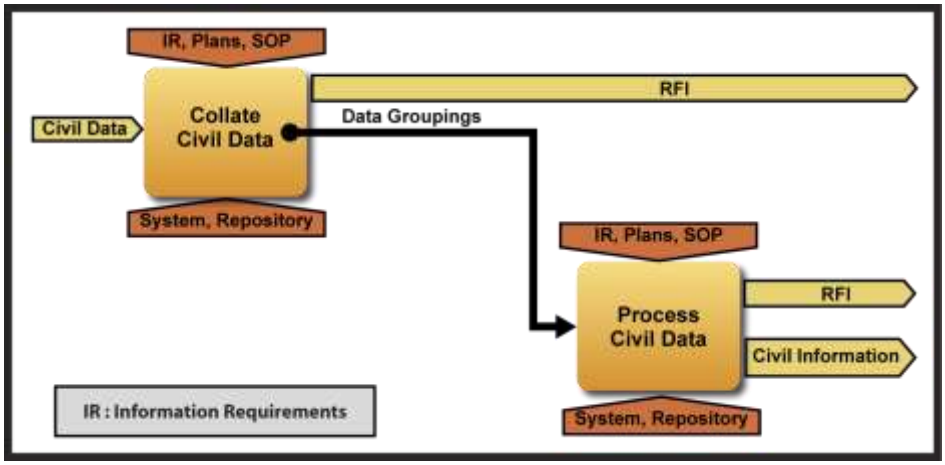

Figure 5-1. Consolidation Process

Collation and processing are defined as follows:

1. **Collation** is the storing and meta-tagging of related data to organize and standardize it into relevant groups for identification or further processing.
2. **Processing** is the reduction and conversion of collated data into specific formats. Processing reduces data by removing obsolete, irrelevant, inaccurate, or incomplete data. It then collapses overlapping and similar data according to meta-tags and analytic requirements. The final step of processing converts data into the formats used for situational assessment and sensemaking[3].

5.0.1 Key Terms

- A **Repository** is a central place where civil information is collected, stored, and maintained in an organized way, usually in computer storage. A repository may be just the aggregation of data itself into some

accessible place of storage or it may imply the ability to search and selectively extract data. Examples of repositories are: (a) database, (b) spreadsheet, (c) electronic or (d) hardcopy file structure

- A **System** is a functional, physical, or behaviorally related group of regularly interacting or interdependent elements that form a unified whole.[4] Systems can be DoD programs of record or engineering, research and development toolsets that provide the capability to store collected civil data using standardized data formats and fields. They consist of hardware and software and are used to perform consolidation via system specific requirements.
- **Meta-tags** are generally defined as "data about data", and are discussed in the DoD Discovery Metadata Specification.[5] In joint civil information management, meta-tags are "information about objects" that is relevant to identifying and organizing those objects to support requirements. Objects include documents, images, and other data. Examples of meta-tags are: author, DTG produced, version number, image resolution, file type, location stored, group name, etc.
- **Relevant information** is what is important to commanders and staffs for the exercise of command and control. It is organized quality civil information needed for SA at the levels described in Chapter 1 section 1.1.1. *Consolidation must focus on relevant data and information in order to makes it visible, understandable and accessible*. Information management categorizes information as:
  - *Specified requirements* are those specifically identified by commanders, such as CCIRs.
  - *Implied requirements* are important elements of information that commanders need but have not requested.
  - *Gaps* are elements of information that commanders need to achieve situational understanding but do not have. Ideally, SA identifies gaps and translates them into IR.
  - *Distracters* are any information that is not relevant to the task at hand that diverts attention away from it. Distracters also contribute to information overload.

5.1 Context

Collating and processing data and information for use requires the integration of people, processes, and technology. While the collation step can be manual or automated, processing is rarely automated. However, some advanced systems can process data into decision quality information for pre-defined analyses.

Effective collation and processing of civil data into decision quality civil information occurs only when direction and purpose are provided. *Direction and purpose are conveyed in mission statements, the collection plan, or mission planning guidance*. These documents identify what is relevant and worthy of collation and processing. Typically, collating and processing data is done to support a single decision. The same data can support multiple decisions but must be processed for each decision separately. For example, data about water treatment capability may enable analysis about either c*apabilities* or a*reas* [in the ASCOPE model]. The category being evaluated will determine how it is consolidated. This implies:

1. Collected data must be stored, meta-tagged, and shared.
2. Data is fully processed only when decision quality information is needed to support SA.

5.2 Collate Civil Data

Collation organizes and structures data for processing into civil information. The collation step may be manual or automated. Collation as depicted in Figure 5-2, Collate Civil Data Procedures, consists of storing, meta-tagging for

identification and organization, and performing QA/QC of civil data. The Collation steps are depicted sequentially, but may be performed iteratively as well.

When an information system is used, it may render collation transparent. When users employ text editors such as MS Word or presentation software such as MS PowerPoint, they must manually save and apply meta-tags to the data. Manual means typically requires substantial user effort to parse the data in the civil data reports/assessments and to apply meta-tags. In contrast, automated information management systems may associate ID meta-tags to data based on user logon, data form used, or DTG data entered.

All civil data received must be stored, meta-tagged and ready for sharing as discussed in Chapter 8. Civil data not required for analysis *should only be stored and meta-tagged with descriptive (identifying) information to distinguish it from other data*. Data should be grouped and processed into information only when a requirement for analysis, planning or sharing is established.

5.2.1 Collate Civil Data Considerations

When collating civil data there are four considerations:

- Focus primarily on collating only the data required or needed to support the unit's activities. Collation of other data should be performed on a time-available basis.
- If an automated method is used for Collation, then ensure that it is appropriate for your needs and sufficient trained personnel are available.
- Establish the meta-tagging requirements before starting collation. Meta-tagging requirements reflect requirements and can be based on any number of criteria, including LOO, coordinates, DTG, ASCOPE, etc.
- Establish data/information storage and filing structure before starting Collation. Storage can be in the form of hard-copy or electronic media, and the filing structure should needs based and support easy access to the data required.

5.2.2 Collate Civil Data Procedures

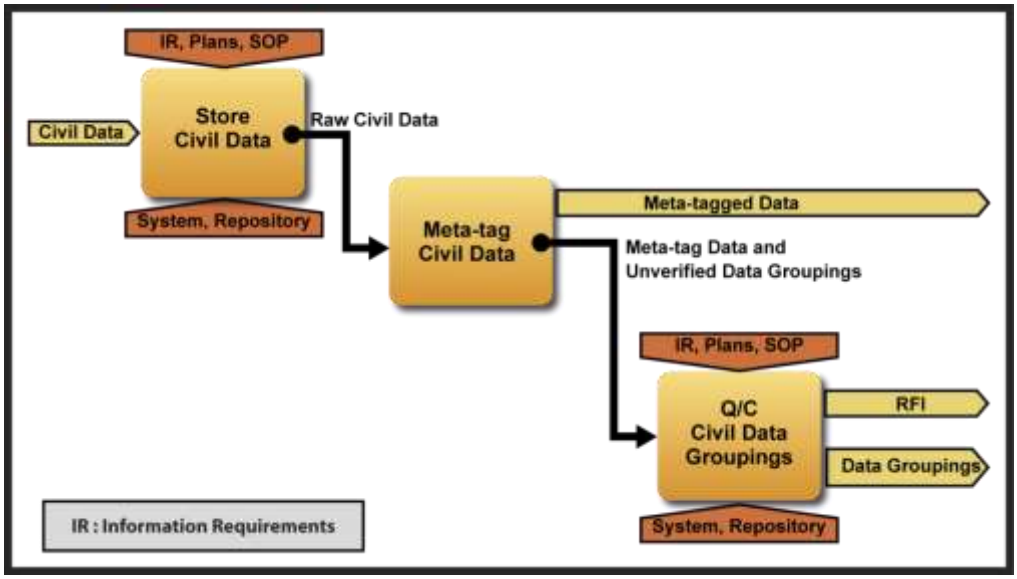

Figure 5-2. Collate Civil Data Procedures

Step 1 - Store Civil Data. Storage is the component of civil information management that places data in an accessible media so that searches and reports can be drawn from it efficiently, such as entering civil data into a system or repository. This step can be executed by technology or by users when they begin consolidation, such as downloading a file from email, or storing collected material on their desktop.

a. Log receipt of civil data

NOTE: ***When using a system, this step is normally automated.***

b. Verify classification and caveats of civil data IAW established standards.[6] Coordinate with the unit security manager for assistance complying with these standards.

c. Store data in the appropriate container. Storage methods include:

(1) Store hardcopy civil data in approved containers for its classification level

(2) All civil data in digital format must be stored on the designated operational network, usually the secret internet protocol router network (SIPRNET).

(3) Unclassified civil data in digital format must be stored on the non-secure internet protocol router network (NIPRNET), in addition to the designated operational network

(a) Copy unclassified data from the NIPRNET to the designated operational network. All unclassified civil data must be available on the designated operational network.

(b) If authorized and applicable, copy unclassified civil data from the designated operational network to NIPRNET IAW established procedures. Ensure compliance with information assurance (IA) and computer network defense (CND) procedures and requirements.

d. Verify 100% of civil data stored

NOTE: ***Use of a standardized format at the collector level facilitates timeliness and completeness.***

CAUTION: ***Ensure data is stored using standard naming conventions when using a file structure.***

Step 2 - Meta-tag Civil Data. Meta-tagging identifies and organizes data for accessibility and visibility, and provides a framework for data search and structured storage. Meta-tagging civil data has two sub-steps.

a. Assign ID meta-tags:

NOTE: ***Meta-tag all civil data.***

(1) When executed by an information system, this task consists of verifying the meta-tags.

(2) When manually executed, the following ID meta-tags are required to clearly identify data:

(a) Classification and Caveats
(b) DTG
(c) Location
(d) Author name, rank, position and unit.
(e) Type of data such as report, white paper, decision brief, and so forth
(f) Superior unit and/or AO

(3) Assign discovery meta-tags. These can be based on subject, key words, and major groups.[7]

b. Prioritize data and assign groupings:

(1) Priority to stated IR and instructions from the tasking.

(2) If new or updated data meets priority criteria, alert the supported unit staff.

(3) Assign groupings. Data groupings are the categorizations of civil data about the operational environment grouped into the topics based on priorities.

CAUTION: ***Assign groupings only in response to a requirement for information to support analysis, planning, or sharing.***

(a) Assign data to groupings and sub-groupings based on directed criteria.

(b) Group and combine newly received data with similar existing data.

(c) Group civil data using frameworks or models. Examples are:

- ASCOPE
- DSF problem areas
- SWEAT-MSO
- PMESII

(4) Group civil data into theater specific, commander and unit frameworks:

(a) LOO which it pertains to
(b) MOE and MOP
(c) Embassy Mission Strategic Plan
(d) USAID Country Plan
(e) Foreign assistance plan
(f) Commander's guidance

(5) Group civil data into unique or ad hoc frameworks required for specialized analytical techniques:

(a) Time-series
(b) Named area of interest (NAI).

(6) Assign sub-grouping meta-tags as necessary or appropriate:

(a) ASCOPE as sub-systems to each PMESII system.

(b) SWEAT-MSO as sub-systems to the appropriate ASCOPE/PMESII system.

(c) MOEs as sub-categories to the appropriate LOOs.

Step 3 - QA/QC civil data groupings. QA/QC is performed to ensure meta-tagged civil data meets established standards. Variances from standards are identified for correction. The end state of this step is grouped civil data that is prepared for processing. QA/QC consists of five sub-steps:

a. Verify that relevant civil data is grouped using required models such as ASCOPE, PMESII, and so forth.

b. Verify that relevant data is accurately grouped within models.

c. Verify that data is properly classified. If over classified, coordinate with the original classification authority (if available), security manager, foreign disclosure officer (FDO), or use established declassification procedures, as explained in Chapter 8 to reduce the classification level.

d. Verify that the staff is notified of any priority data. Priority data is any data that corresponds to CCIR or other information requests related to specific taskings or projects.

e. Verify the completeness of the data.

f. If collated data fails any verifications, re-execute all necessary steps, then send a RFI to the data originator for correction, or to the tasker originator for clarification.

WARNING:* *If verifications fail, make corrections or return the data to its originator for correction.

5.2.3 Collate Civil Data Best Practices

Employing the following best practices will facilitate effective and rapid collation of civil data:

1. When possible, use an information system that executes storage and ID meta-tagging such as network-enabled database. This reduces the manpower necessary to collate data, and also increases data quality by reducing the potential for human error. It also makes data more visible.
2. Collectors should store data and assign ID meta-tags at their level before they submit data.
3. Compare ID meta-tagged data to the collection plan to determine whether collection management is effectively providing relevant data that supports answering IRs.
4. All meta-tag criteria should be provided in writing and communicated extensively among personnel collating the data. *Standardized data is critical to producing decision quality information.* Data groupings can only be standardized if they are explicit and consistently communicated to, and among those personnel assigning the grouping meta-tags.

5. Save the web page by using the "save as" option in the internet browser and the multipurpose internet mail extension hypertext markup language (MHTML) file type which creates a web archive with the ".mht" extension. This creates a complete, stable record of the entire web page. It may be necessary to include the date and time in the file name to ensure a complete citation for the information.
6. Identify intellectual property that an author or an organization which has reserved rights to by copyrighting, trade marking, patenting, or other measures. Some web pages list the points of contact and terms of use information at the bottom of the web page. Organizations should contact their supporting legal office before publishing information containing copyrighted or similarly protected information.

5.3 Process Civil Data

Processing takes data collated to satisfy a requirement and transforms it into civil information. Quality processed civil information is portable, usable, discoverable and easy to analyze. Requirements are necessary to produce relevant civil information. Data cannot be processed without the following information:

1. The subject being analyzed (*such as status of the agriculture sector in a province*).
2. The purpose for analysis (*such as determining agricultural improvement over time or what the key agricultural nodes are of the province*).
3. The type of analysis the civil information will support (*such as time series, link and node, or geospatial*).

NOTE: If any of these requirements not met, send RFI to request originator for clarification.

Processing, as depicted in Figure 5-3, Process Civil Data Procedures, consists of reducing the civil data to minimize duplication and conflicts, converting the civil data into useful formats, and performance of QA/QC to ensure accuracy and applicability. The process steps are shown as sequential, but may be performed iteratively as needed.

5.3.1 Process Civil Data Considerations

When processing civil data there are three primary considerations:

- If an automated method is used for processing, ensure it is appropriate for your needs and sufficiently trained personnel are available. Unlike collation, processing is very difficult to automate, so expect significant manual effort.
- Identify requirement originator to produce echelon appropriate information that satisfies the specified need. Chapter 1 identifies consolidation as a component of producing echelon appropriate information by aggregating available data.
- Identify information format requirements prior to reducing data. The required format may be present in the unprocessed data, which simplifies reducing and converting

5.3.2.1 Aggregation

Understanding the commander's CCIRs, guidance, objectives, and echelon is necessary to aggregate subordinate, existing, and collated data during processing. Reducing data removes distracters by eliminating obsolete, irrelevant, inaccurate, incomplete, conflicting, and duplicated data from the information being produced to satisfy a requirement. Converting data normalizes related data into the units, formats, resolutions, and displays defined by civil data groupings to satisfy a requirement. Removal of distracters facilitates satisfying requirements, and standardizing the format and presentation of data provides relevant information that supports sharing, analysis and planning.[8]

NOTE: Tasks that contribute to aggregation are noted in the following procedures.

5.3.2 Process Civil Data Procedures

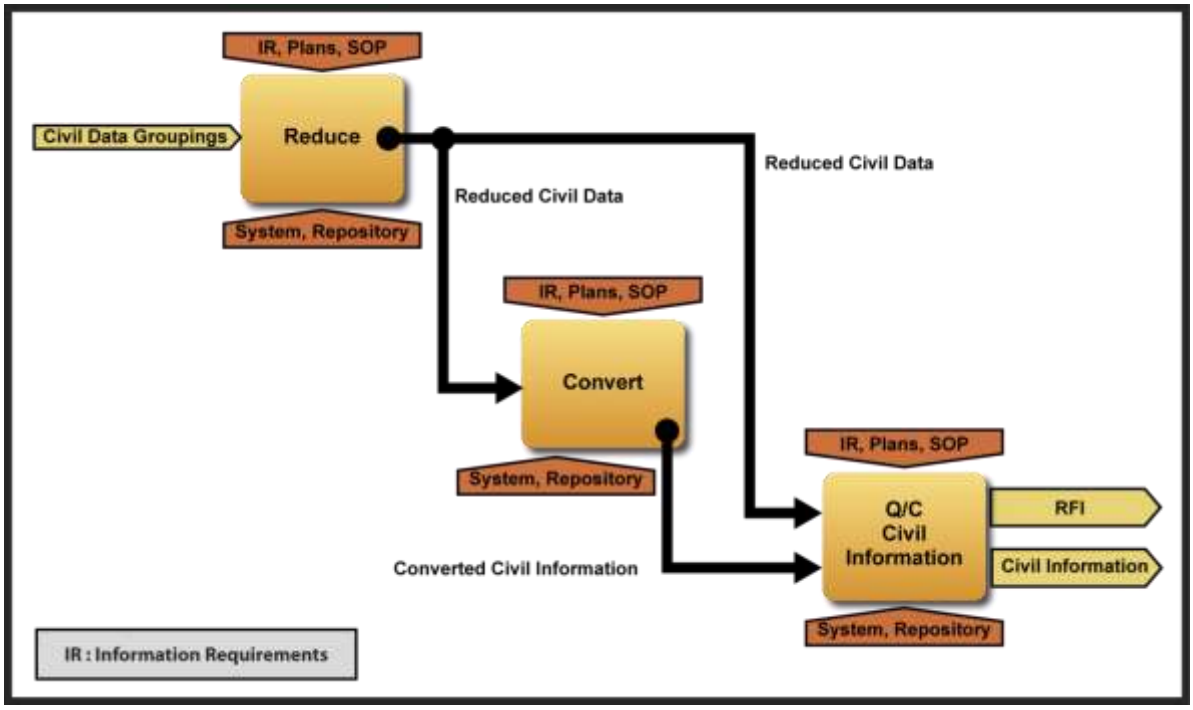

Figure 5-3. Process Civil Data Procedures

Step 1 - Reduce data. Reducing data critically compares data of the same subject and merges the data to produce a single data point. This step helps manage data by eliminating duplicate data, resolving data conflicts, and facilitating subsequent analysis. Care must be taken to maintain accuracy of the data. This step is broken down into the following sub-steps:

a. Compare civil data:

(1) Sort and organize the data based on appropriate grouping and sub-grouping meta-tags.

(2) Determine if data is duplicated. If duplicated, select a single record and archive the duplicate record(s). For example, if a CAT accompanies a veterinarian on a veterinary civil action program (VETCAP); both submit their own report containing duplicate data. Duplicated data should be selected for retention based on the criteria in Figure 5-4, Comparison Criteria.

(3) Identify and resolve data conflicts:

(a) Use ID meta-tags to identify conflicts and justify records using figure 5.4, Comparison Criteria.

(b) If conflicts cannot be reconciled by ID meta-tags, source reliability, or data validity, then exclude the conflicting data.

(c) Document resolution of data conflict.

(4) Archive or remove data that is obsolete, irrelevant, inaccurate, or incomplete.

(5) Collapse data:

(a) Summarize qualitative data by grouping and/or sub-grouping meta-tags.

(b) Execute appropriate functions on data.

(c) Arrange time-series data.

b. Verify completeness:

(1) Review prioritization.

(2) QA/QC data comparison.

NOTE: This step contributes to aggregation.

Step 2 - Convert Data. In joint civil information consolidation, conversion is changing data from the original format to the format required for planning, analysis and sharing. After the required conversions are identified, the appropriate process is executed to accomplish the type of conversion necessary. This step is broken down into three sub-steps:

a. Identify conversions required:

- Unit of measure
- File formats
- Resolution and granularity
- Information display

b. Execute conversions

- Convert unit of measure. Change a value or measurement from one system of units to another. Examples are:
  (a) Latitude/longitude to the military grid reference system (MGRS).
  (b) Miles to kilometers.
  (c) Fahrenheit to centigrade.
- Convert data resolution and change the degree of granularity. Examples are:
  (a) Reducing from a ten-digit grid to a six-digit grid.
  (b) Personal name to a duty position.
- Convert file formats.
  - Change the civil data, stored in a data grouping, from one state or condition to the state or condition required for analysis. Examples are:
    -1- Convert a digital photo to a hard copy printout.
    -2- Convert attributes of a facility in a GIS shape file to a spreadsheet.
    -3- Convert text document to a portable document format (PDF) file.
  - Convert physical (hardcopy) data to digital format. Hardcopy files can be obtained through voice means, like radio, telephonic, and face-to-face.
    -1- If using an information system that supports attachments or a directory and file structure as a repository:
      -a- Scan document as PDF.
      -b- Save PDF file in configured file.
      -c- Save digital files IAW established naming conventions.
      -d- Upload file to an information system as an attachment.
    -2- If using an information system that does not support attachments:
      -a- Manually type and transfer collected data into configured system or repository.

Relevancy: To the IR or tasking.
Recency: More recent is generally better.
Source Expertise and Authority: SMEs usually produce more relevant data.
Location: Common names or generalized locations can be confusing. Verify location in reports. For example, a street name may appear in two reports. Conditions along that street may vary widely thus making both reports worth retaining.
Source Reliability: Source reliability should be measured and documented IAW standards established in the collection plan. When standards are not specified, the framework in Table 4-1 may be used.
Data Credibility: Data validity should be measured and documented IAW standards established in the collection plan. When standards are not specified, the framework in Table 4-2 can be used.
Legitimacy: Data produced by unreliable or biased people or organizations should not be trusted over data produced by reputable people or organizations.

Figure 5-4. Comparison Criteria

-b- See the annexes for details on how to store into a specific system.

-c- Determine when to do periodic backups for all systems, files, and repositories such as a compact disk (CD)/digital video disk (DVD) and hard copies.

- Convert qualitative data to quantitative data:

-1- Organize data into format for easy access and migration to numeric and tabular format

-2- Study data to ensure full understanding to maintain consistency with source material

-3- Develop quantitative categories

-a- Time categories -b- Observations

-c- Comparisons -d- Other appropriate categories

-4- Create an appropriate metric value system to compare to annotations, including descriptions and explanations for each value of the metric, such as in Table 5-1, Sample Metric System.

-5- Assign appropriate metric to data for the current requirements

-a- Use metric, IRs, sub-IRs, and times series to break data down into smaller parts

-b- Small sections of related data are easier to quantify, and make recognizing underlying relationships more accessible.

- Convert to information display:

(a) Convert spreadsheet into graphs, charts, or tables.

(b) Convert into map overlays.

NOTE: This step contributes to aggregation.

c. Store and ID meta-tag civil information generated by reducing and converting civil data. Civil information is 'new data' generated for a specific purpose, such as planning or analysis. This new data must be visible, accessible, and understandable.

Table 5-1. Sample Metric System

Metric	Description	Explanation
5	Superior	Facility operating at 100 percent/Entire population has access to resources at all times
4	Good	Facility operating at 75 percent and meeting or surpassing needs of populace/ Population has access to resources most of the time
3	Fair	Facility operation at or less than 75 and meeting needs of populace/ Population can 'get by' with resources available
2	Poor	Facility is not meeting needs of populace/ Population has a need for or is lacking resources
1	Bad	Facility not operational or barely/ Population has a critical need for resources

Step 3 - QA/QC the civil information. This is a systematic process to verify that the civil information satisfies the IR in the five areas listed:

- Unit of measure.
- Resolution
- File Format
- Information Display
- Completeness and accuracy

WARNING: If the verifications fail, make the necessary corrections.

a. Generate a RFI to correct, clarify, or modify the information and/or requirement.

b. Record the corrected, clarified, or modified information.

5.3.3 Process Civil Data Best Practices

1. Data processing constitutes the 'heavy lifting' in preparation for analysis. Processing standards must be strictly enforced to support his/her decisions.
2. Ensure echelon appropriate information is produced during processing to support effective analysis.
3. When consolidating subordinate reports, ensure thorough, effective processing is executed. This provides the commander and next higher echelon only the necessary data. *Failure to reduce and aggregate subordinate reporting contributes to information overload and degrades C2*.
4. Produce professional-grade civil information during processing.
5. Compare the information produced to support analysis against the collection plan to determine whether additional information is needed, and/or how the collection plan should be refined.

5.4 Project Data during Consolidation

Project tracking is a vital function within the operating environment, and serve as a means to effectively influence the local population. During consolidation, the staff section receives reports on projects from subordinates, and pulls project data from stakeholders to update data about projects at their level. Most project data is numeric, recording costs, hours, measurements, percentages, etc. As such, it is easy to aggregate into useful information.

Project tracking supports the JFC by providing a running record of unit activity. It enables staff to track indicators of civil threat and progress along LOOs; provides historical record of previous work executed in an AO; enables the JFC to evaluate the effectiveness of different methods for influencing the local populace; and mitigates duplication of effort. Effective project information management supports precise project tracking.

5.5 Conclusion

The consolidation step ends with usable civil information that supports specific analysis, the commander's decision making process, and C2. Accurate decision quality information enables analysis, production, and sharing. It is accomplished by collating civil data into data groupings and processing the grouped data into visible, accessible civil information.

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[1] *Joint Civil Information Management User's Manual*, Chapter 1, Section 1.3.3, page 1-18.

[2] Department of Defense Directive 8320.02, *Data Sharing in a Net-Centric Department of Defense*, page 2.

[3] Endsley, repeat of iv Endsley, M.R. (1995b). *Toward a Theory of Situation Awareness in Dynamic Systems*. Human Factors, 37(1), 32-37.

[4] Joint Publication 3-0, *Joint Operations*, 17 September 2006, Incorporating Change 2 22 March 2010, page II-23.

[5] *Department of Defense Discovery Metadata Specification*, Version 3.0, 7 Jan 2010.

[6] EO 13526, *Classified National Security Information*; EO 13556, *Controlled Unclassified Information*; Department of DoDI 5200.01, DoD *INFOSEC and Protection of SCI*; DoD 5200.1-PH, *Guide to Marking Classified Documents*; DoD 5200.1-R, *INFOSEC Program*; DoDD 5205.02, DoD *OPSEC Program*; DoD Manual 5205.02-M, *DoD OPSEC Program Manual*; and Directive-Type Memorandum, *Security Classification Marking Instructions*.

[7] *Department of Defense Discovery Metadata Specification*, Version 3.0, 7 Jan 2010.

[8] Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*, page 2-3.

CHAPTER 6 JOINT CIVIL INFORMATION ANALYSIS

6.0 Introduction

> *"Failure to (analyze)…political, economic, and social bases of instability may result in inadequate responses to the roots causes of the instability and result in the initiation or continuation of conflict."*
>
> JP 3-57

Analysis is the fourth step in the joint civil information management process and provides the "so what" to data that has been consolidated and transformed into information. It provides significance, scope, and meaning to consolidated *information*, converting it into useable *understanding*. **Analysis is the process of breaking a complex topic into its constituent elements to study the nature, function, or meaning of the parts and their relations.** It can only be conducted with processed information, and is executed to generate conclusions for use as the basis of products to satisfy requirements.

Analysis is used to understand key aspects of the operating environment enabling planning, execution and assessment of operations. It provides SA about the structure and function of the components that make up operational conditions which decision makers synthesize with operational requirements, commander's guidance, and USG objectives, to achieve situational understanding. Understanding provides the basis for decision making.

This chapter highlights several analytical methods that can be used to understand the civil components of the operating environment. These methods are provided as a starting point, and should not be considered a definitive list. Training analysts is beyond the scope of the User's Manual, but analytical methods that can for a foundation for analysis of the civil components of the operating environment are presented.

6.0.1 Key Terms.

- **Understanding:** Knowledge of a subject in the context of an objective and situation; or information that has been synthesized and judged to achieve comprehension of its inner relationships and significance with regard to specific conditions. Decision makers gain understanding through synthesis and the application of judgment to knowledge about a specific situation. Situational understanding allows the JFC to anticipate future events and be better prepared to make decisions.
- **Qualitative:** Descriptions or distinctions based on qualities, and distinguishing attribute(s) that define the apparent nature of something, to determine identity or value based on characteristics. Qualitative analysis indicates relative size or magnitude, such as larger, smaller, or equal to another, without specifying the size of any difference. As opposed to *quantitative***.**
- **Quantitative:** A measurement based on quantity or number to determine the amount of some element or compound in numerical values. As opposed to *qualitative***.**

6.1 Context

Analysis is a cyclical process fundamental to acquiring understanding and making decisions. There are numerous analytical methods with many capabilities and for various purposes. Analytical methods are developed to provide understanding of specific subjects, systems, capabilities, or other functions and relationships. They are generally static, and do not change based on the subject being analyzed. Information must be systematically processed into the appropriate information type and format required by a specific method of analysis. For example, time-series analysis, which produces quantitative results, requires numeric information formatted into relevant time periods.

Analysts must be critical thinkers and problem solvers who are familiar with different methods to identify significant nodes and links in the operating environment as COG so that decision points, decisive points, and methods for achieving desired *effects* can be exploited. This is especially the case for analyzing civil information because the *information architecture* and *analytical frameworks* in C4I systems are specialized for enemy and friendly forces, and does not adequately support depicting civil conditions.

6.2 Considerations

Information systems are very effective at preparing data for processing, (and in some highly specialized applications, processing data into information), but are incapable of identifying qualities, examining the nature of the relationship between entities, or determining the operational significance of information. The following considerations facilitate quality analysis of civil information that supports situational understanding and effective decision making:

6.2.1 Civil Information Architecture

Understanding of the operating environment and predictive support for COA development is easier when the environment is described by a consistent system. Having echelon-appropriate, operating environment-specific civil *information architecture* provides the basis for developing in-depth analyses that provide commanders with insight into civil critical capabilities, critical requirements, and critical vulnerabilities affecting operations.

NOTE: Civil information architecture is similar to the intelligence architecture discussed in JP 2-0.

6.2.2 Echelon Appropriate Analysis

This is the concept of analyzing the correct civil information to support specific consumers. It does not necessarily require different analytical methods per echelon. It is accomplished by each echelon aggregating and building on information produced by their subordinate echelons to produce an appropriate view of the operating environment for their level. Aggregation pulls together what is relevant and removes that which is not. All information relevant at the lower reporting levels is not appropriate at higher level. Aggregation filters out information that would be a distracter at the higher echelon.

Tactical commanders, such as company and battalion, require very high granularity described by categorical systems, such as ASCOPE and the DSF, to attain situational understanding. Higher echelons, at the brigade and higher, require less granularity, but more understanding of impacts expressed as SWOT within relevant categories of analytical systems, such as PMESII or ICAF, to attain situational understanding. The J9 section analyzes reports from subordinates to build the civil layers to the COP, just as the operations section analyzes reports from subordinates to build the friendly layer to the COP. Properly reported, analyzed, and aggregated civil information is injected into the civil layer of the COP.

6.3 Analysis Procedures

JIPOE provides a comprehensive assessment of the AO. The analytical techniques in JIPOE are relevant during CMO. The shift in emphasis from enemy-centric or decisive combat operations to population-centric warfare requires a shift in the targets of analysis from the enemy to the civil populace and other IPI. Figure 6-1, Analysis Process, depicts the analysis step of the joint civil information management process with its sub-steps of preparing, identifying what analysis is required, performing the analysis, and examining the data for QA/QC.

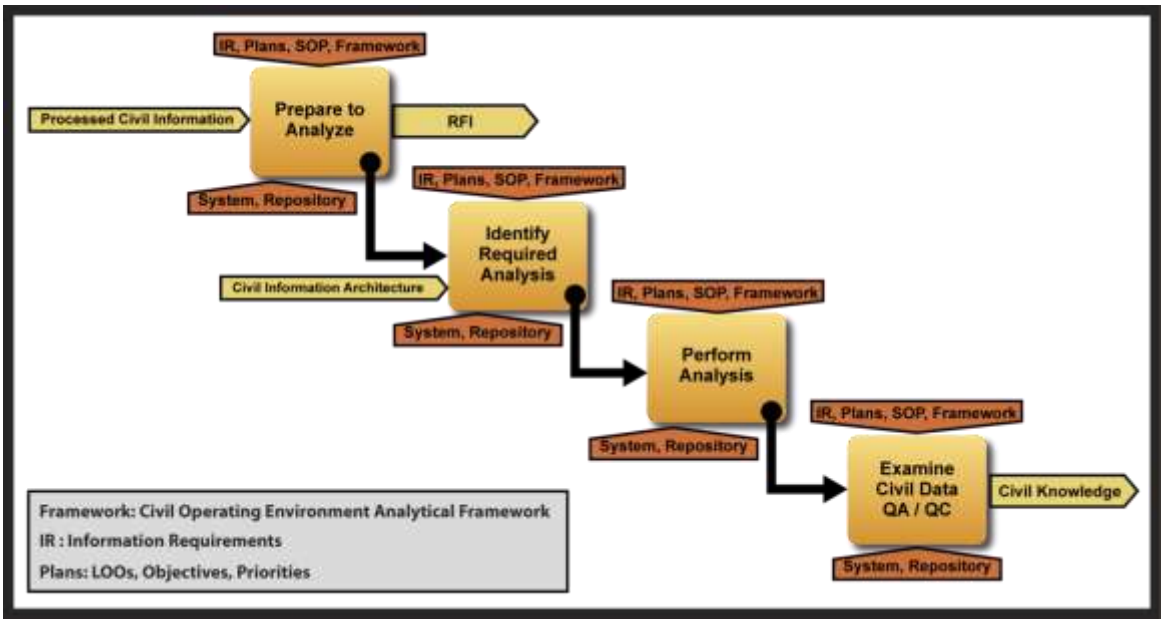

Figure 6-1. Analysis Process

Step 1 - Prepare for Analysis. Analysis is complex, labor intensive, and requires resourcing by commanders. Analysts gain experience through training and consistent exposure to the material they are analyzing. They should be assigned tasks, with sufficient resources, within their fields of expertise. This includes having the right number of personnel, an efficient work schedule, and a suitable work space. Three requirements must be fulfilled to successfully execute analysis tasks:

***WARNING:* When analysis must be provided without all requirements for analysis met, those not met and the limitations of the conclusions must be explicitly stated.**

a. *Dedicated analysts:* Over tasking analysts with multiple extraneous duties rapidly degrades mission performance.

b. *Quality data:* Bad or incomplete data yields unreliable results. Garbage in equates to garbage out.

***CAUTION:* When quality data is not available, but analysis is still required, the limitations of the data and analysis must be explicitly stated.**

(1) *Access to raw data:* Analysts must consistently read, understand and consolidate raw data relevant to their analysis.

(2) *Access to other analytical products:* The work of other analysts is not only useful for guiding and informing an analyst, but also for pointing to relevant sources of raw data, providing useful developmental and background perspectives, and establishing a baseline for comparison.

***WARNING:* Analyzed products are useful for developing SA during the consolidation step, but should not be used as data for further analysis.**

c. *Access to necessary resources.* Good analysis that provides the "So what?", highlights issues and COAs, and provides SA requires:

- Time
- Well-defined metrics
- Processing tools (database, graphing tools, etc)
- Subject area baseline
- Analytical tools tailored to requirements
- IR
- Reliable and credible information
- Consolidated (*collated* and *processed*) data
- Consistent exposure to subject

Step 2 - Identify Required Analytical Approach(es). Different analytical approaches are required for many reasons beginning with the needs of the decision maker and the type of available data. The following types of analysis, though developed for other information requirements, are used to support specific civil information requirements:

- **Assess MOEs and MOPs.** Assessing outcomes is required to understand if operations are advancing conditions toward the mission success criteria identified for the JTF LOOs.
- ***Geospatial analysis*** is a function of geospatial engineering. It is the process of determining the spatial distribution of variables and their relationships and associations. Its purpose is to extract and create new information and encompasses tasks that provide geospatial information and services to enhance awareness, understanding, and effective exploitation of the operating environment across the range of military operations. Geospatial analysis forms the foundation upon which all other information on the operating environment is layered to form the COP. Geospatial engineer units provide strategic, operational and tactical terrain analysis, terrain visualization, digital terrain products, nonstandard or updated map products, and baseline survey data.[1]

***NOTE:* For more information on geospatial engineering, refer to JP 3-34, Joint Engineer Operations.**

- ***Targeting Analysis.*** For purposes of CMO, targeting analysis includes the political, military, economic, and psychological impact on the civil population and how that impacts enemy influence among them. Two analytical methods are the criticality, accessibility, recuperability, vulnerability, effect, recognizability (*CARVER*) targeting technique, and the mission, symbolism, history, accessibility, recognizability, population, and proximity (*MSHARPP*) force protection analysis technique.

  CARVER and MSHARPP can be used to identify targets for civil engagement, civil reconnaissance and other shaping and influencing operations, such as IFO.[2] Analysts focusing on the civil components of the operating environment relate CARVER and MSHARPP categories to elements of the civil information architecture to identify SWOT that can be exploited to achieve desired effects. CARVER combined with the MSHARPP force protection target value analysis method creates an approach to evaluate the environment for the asymmetric threat perspective.

***NOTE:* For more information on CARVER and MSHARPP analyses, see JP 3-05.1, Joint Special Operations Task Force Operations; and JP 3-07.2, Antiterrorism.**

***CAUTION:* When collaborating with non-military stakeholders during HA/DR or SSTRO, sensitivity to the meaning of "targeting" is required, and these approaches should be referred to using less potentially threatening language.**

- ***Stakeholder analysis*** looks at those partners or potential partners operating in and among the civil populace in the AO to predict whether they might support or block USG objectives with regard to the civil populace. This analysis may be conducted at all levels. Stakeholder analysis:
  (1) Identifies people and groups that will influence an operation either positively or negatively.
  (2) Anticipates the kind of influence, positive or negative, these groups will have on an operation.
  (3) Develops strategies to get the most effective support for the operation and reduce any obstacles to successful implementation.

  Operational necessity may require stakeholders be analyzed "on the fly". Partners may enter and exit the AO due to a variety of conditions. New stakeholders need to be analyzed by:

- Legitimacy
- Power
- Urgency
- Influence

There are no hard criteria to assess potential stakeholders. Often J9 may have to rely on first impression until information discovered during dialog with the populace. Demanding circumstances may even require making assumptions about stakeholders.

- ***Systems analysis*** graphically depicts relationships among a set of entities, which may be people, organizations, communities, or computers that are connected in meaningful ways. These entities and relationships, illustrated in Figure 6-2, Systems Analysis Showing Nodes and Links, are links and nodes in *systems* that represent the civil components of the operating environment. Systems analysis maps links, or relationships, and flows between nodes, which are individuals, objects, activities and places, in a specific context or area.

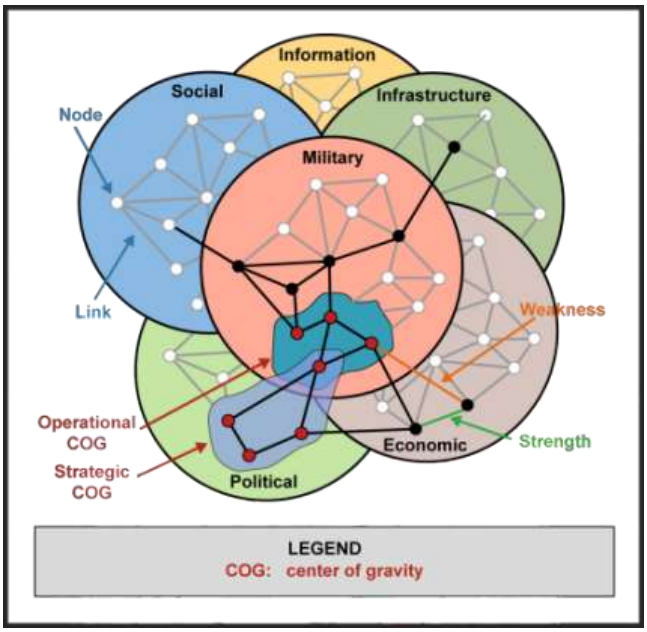

Figure 6-2. Systems Analysis Showing Nodes and

NOTE: For more information on systems analysis and the systems perspective, refer to JP 2-0, Joint Intelligence; JP 2-01.3, JIPOE; and JP 5-0, Joint Operation Planning.

- ***Time-Series Analysis*** identifies patterns and changes in data over time. It is valuable to CMO as most effects in the civil components of the operating environment take weeks or months to become observable. Time-series analysis, including geo-temporal analysis, is most effective when a robust baseline is available for comparison of effects before, during and after operations. It is accomplished with a time-event analysis or trend analysis approach.
- ***Pattern Analysis*** is the process of deducing the principles and procedures that IPIs employ by carefully observing and evaluating patterns in their activities.

NOTE: For further information on pattern analysis, refer to JP 2-01.3, JIPOE.

Step 3 - Perform Analyses

- **Assess MOEs and MOPs.** SMART and AIMS provide guidance for developing MOEs and MOPs. The technique for assessing whether the measures for effect and performance were achieved is to compare the *desired effects* and tasks to situation, task, action and result (STAR)[3]:
  - **Situation:** Identify the operational need. **(what *is*)** The "specific" criterion from SMART identifies the desired *effect* of a MOE, linked to objectives from the relevant LOO. The "action-centered" criterion from AIMS identifies the missions or tasks of a MOP, linked to the "specific" criteria from the relevant MOE.
  - **Task:** Identify the desired *effects* and objectives tasked. **(what we want to accomplish).**

- **Action:** Use the "measurable, achievable, relevant, and time-bound" criteria of the MOE to determine effects achieved by the operations executed. Use the "incremental, measurable, and scheduled" criteria of the MOP to assess how effectively operations were conducted.
- **Result:** Critically compare the effects achieved from operations to the desired *effect* to determine whether the operations were appropriate to achieve the desired effect. **(are we doing the right things?)** Assess the conduct of operations to identify strengths and deficiencies. **(are we doing things right?)**

Assessing MOEs and MOPs using STAR achieves the JP 5-0 standard of *relevant*, *measurable*, *responsive*, *resourced* assessment metrics. The technique puts operations into context *(relevant)*, identifies what needed to be accomplished *(measurable)*, identifies what was done to achieve the desired end state *(resourced)*, and compares the results of the operations to what need to be accomplished *(responsive)*. Assessing MOEs and MOPs provides key feedback for collection management and refining plans to achieve military and USG objectives.

- ***Geospatial Analysis.*** Geospatial analysis is accomplished by three methods; *Geospatial intelligence (GEOINT) preparation of the environment (GPE), Civil terrain analysis,* and *Geo-temporal analysis.* All three of these yield products referenced to precise locations on the earth's surface.

  (1) *GPE*. GPE is an analytic method designed to provide GEOINT support to the JIPOE process, and consists of four steps*:*

  Step 1: *Define the environment:* Gather facts needed to outline the exact location of the mission or area of interest. Physical, political, and ethnic boundaries must be determined. The data might include grid coordinates, latitude and longitude, vectors, altitudes, natural boundaries such as mountain ranges, rivers, and shorelines and so forth. This data serves as the foundation for geospatial products.

  Step 2: *Describe Influences of the environment:* Describe the area defined in Step 1. Identify existing natural conditions, infrastructure, and cultural factors. Consider details that may affect potential operations and routine civilian activities, including weather, vegetation, roads, facilities, population, languages, social, ethnic, religious, and political factors. Layer this information onto the foundation developed in Step 1.

  Step 3: *Asses civil SWOT*: Add data drawn from multiple disciplines onto the foundation and descriptive information layers such as the environment established in the first two steps. This information includes: civilian groups; size and distribution of IPIs; the nature, strength and capabilities of civil governance, economy, infrastructure and media systems; effects of civil SWOT on the mission and objectives. It requires collaboration with USG agencies, NGO, host nation IPIs and other stakeholders, and is greatly enhanced by mature, echelon appropriate and operating environment-specific civil information architecture.

  Step 4: *Develop Analytic Conclusions:* Integrate all information from Steps 1-3 with LOO and objectives related to the civil components of the operating environment to develop analytic conclusions. The emphasis is on developing predictive analysis. The analyst may create models to examine and assess the likely next actions of civil IPIs, the impact of those actions, and the feasibility and impact of countermeasures for civil weaknesses and threats.

***NOTE:* For information on GPE, refer to JP 2-03, Geospatial Intelligence Support to Joint Operations.**

(2) *Civil Terrain Analysis* focuses on those aspects of the operating environment that are not covered in friendly and adversary operational pictures, such as socio-cultural factors; neutral forces; PMESII systems; and physical, cognitive and informational dimensions of IPIs. The secondary focus of civil terrain analysis examines the land, maritime, air and space domains to determine civil SWOT for each domain, and how military operations affect the civil populace. Civil terrain includes transportation systems, terrain features such as surface materials, ground water, natural obstacles, the types and distribution of vegetation, and the configuration of surface drainage. Terrain analysis must always consider the effects of weather as well as changes that may result from military action.

***NOTE:* For more information on terrain analysis, refer to JP 2-01.3, JIPOE and JP 2-03, Geospatial Intelligence Support to Joint Operations.**

(3) *Geo-Temporal Analysis.* Geo-temporal analysis is a hybrid form of geospatial and time-series analysis that represents geospatial changes over time. Geo-temporal analysis is valuable for tracking phenomena such as spread of unemployment, migration of internally displaced persons and refugees, tracking weather and climate effects, changes in political support and sentiment prior to elections, and many more. The process for geo-temporal analysis is to isolate the factors of interest, and produce maps that show how those factors vary from an originating time through the end of the period of interest.

- ***Targeting Analysis.*** These approaches use detailed analysis of civil SWOT in the civil components of the operating environment to weigh application of kinetic or non-kinetic resources, such as IFO, to critical nodes.

(1) *CARVER Target Analysis Method*. The CARVER technique assists in selecting appropriate components when targeting. It is used to assess, validate, and define requirements. CARVER may be used in addition to civil SWOT assessments. CARVER focuses on achieving *desired indirect effects* on COGs identified during planning. CARVER is executed by:

(a) Evaluate each potential target for each CARVER factor.

(b) Enter the numerical value into the matrix

(c) Add the scores for each target.

The totals constitute a prioritized list of targets, with the highest totals considered first for action. Criteria for numbering these categories are based on:

- *Criticality:* Criticality or target value is the primary consideration. It describes how much a target's destruction, denial, disruption, and damage will impair the *adversary's* political, economic, or military operations. Criticality also evaluates how strengths and opportunities in the civil components of the operating environment can be leveraged to exploit previously achieved effects, or to consolidate support for friendly IPIs. In determining criticality, individual targets within a target system must be analyzed with relation to each other. Critical targets may also be selected for surveillance and reconnaissance missions.
- *Accessibility:* A target is accessible when an operational element can reach the target with sufficient resources to accomplish its mission. A target can be accessible even if it requires

the assistance of knowledgeable insiders. This assessment identifies and studies critical paths that the operational element must take to achieve its objectives, and measuring those things that aid or impede access.

- *Recuperability:* Recuperability is measured by how long will it take to replace, repair, or bypass the destruction or damage to the target?
- *Vulnerability:* Vulnerability is when there are means and expertise to successfully attack. When determining the vulnerability of a target, the scale of the component needs to be compared with the capability of the attacking element to destroy, damage, or influence it.
- *Effect:* Effects may be military, political, economic, informational, or psychological. Action only if the desired effects can be achieved. The effect on the populace is viewed in terms of alienation, strengthening the resistance movement, or triggering reprisals against the local populace. Collateral damage must also be weighed against the expected benefit.
- *Recognizability:* A target's recognizability is the degree to which it can be recognized by the threat and intelligence, surveillance, and reconnaissance (ISR) assets under varying conditions. Weather, vegetation, distance, light, and season should be considered.

(2) *MSHARPP Civil Vulnerability Target Value Analysis*. MSHARPP identifies potential threats or targets of opportunity against friendly IPIs, and helps develop or refine operational recommendations. MSHARPP highlights activities that insurgents, terrorists, or hostile IPIs may take to destroy, deny, or delay achieving desired *effects* that achieve HN interests.

This process can be applied from the perspective of the asymmetric threat or the friendly HN IPIs. Results will drive development of operations or focus intelligence functions. The end state is development of actionable information: human targets (hostile or friendly), asymmetric threat activities, or HN OPSEC weaknesses or vulnerabilities. MSHARPP helps analysts identify targets that need additional protection. MSHARPP is applied by:

(a) Analyze each factor to apply a numerical value that represents desirability of attack.

(b) Add the values. The sum indicates highest value targets or most vulnerable to attack.

The MSHARPP tool is used to assess criticality and assesses civil weaknesses and threats. MSHARPP analysis information is compiled using the following:

- *Mission:* Mission focuses on the threat to the situations, activities, capabilities, and resources in the civil components that are vulnerable to attack. The mission components consist of the equipment, information, facilities, operations, or activities that are necessary to achieve or maintain security and stability in the host nation. Assess the component's:
  - *Importance:* The value of the area or assets located in the area.
  - *Effect:* The ramifications of an incident in the area.
  - *Recuperability:* The time required for the function to be restored.
- *Symbolism:* Symbolic significance of target to attacker and population.
- *History:* History of attacks against this type of target.
- *Accessibility:* How accessible the target is to the public.

- *Recognizability:* How well known the target is to the public at large. How easy the value is to recognize without specialized or inside information or explanation of the attack.
- *Population:* How many people are directly affected by the attack? Type of personnel immediately affected by the attack. Think in terms of casualties and perceptions.
- *Proximity:* Whether the target is located near other personnel, facilities, or resources that, because of their intrinsic value or "protected" status and a fear of collateral damage, afford it some form of protection.

- ***Stakeholder Analysis*** is accomplished using these four steps:

Step 1: Identify stakeholders - Develop a stakeholder matrix, similar to the example in Figure 6-3, Stakeholder Matrix, to identify all the people, groups and institutions that can affect or be affected by the operation. Stakeholders generally fall into two general groups:

(3) *Primary stakeholders*: Those affected, either positively (beneficiaries) or negatively, by the operation, usually the host nation and its indigenous populations and institutions.

(4) *Secondary stakeholders*: Intermediaries during the operation, such as NGOs, USG agencies and other participating non-host nation agencies and organizations.

Stakeholder	Interests in operating environment	Assessment of impact	Strategies for obtaining support or reducing resistance

Figure 6-3. Stakeholder Matrix

Step 2: Determine stakeholder interests in operation - In the matrix, identify the stakeholder specific interests and record in the column "Stakeholder interests in the operation", such as:

(1) Benefits to the stakeholder.

(2) Changes that the operation might require the stakeholder to make.

(3) Activities that might cause damage or conflict for the stakeholder.

Step 3: Assess stakeholder impact.

(1) Ask the question: How important is the stakeholder to the success of the operation?

(2) Develop a stakeholder map, similar to the maps in Figure 6-4, Sample Stakeholder Map Formats, that place relevant and participating stakeholders based on their interest in the operation and the level of influence (power) they can exert over its outcome:

(a) *High power, high interest*: These are the stakeholders you must fully engage and make the greatest efforts to satisfy.

(b) *High power, low interest*: Put enough work in with these stakeholders to keep them satisfied, but not so much that they become bored with your message.

(c) *Low power, high interest*: Keep these stakeholders adequately informed, and talk to them to ensure that no major issues are arising. These stakeholders can often be very helpful (or harmful) with the details of your project.

(d) *Low power, low interest*: Monitor these stakeholders; do not engage in excessive communication.

Power \ Interest	*High*	*Low*
High	Keep Satisfied	Manage Closely
Low	Keep Informed	Monitor (low effort)

Interest \ Power	*Formal or Voting*	*Economic*	*Political*
Equity	Private shareholders		
Economic	commercial bank	inland revenue dept	
Influences			consumers institute

Figure 6-4. Sample Stakeholder Map Formats

(3) Consider the:

(a) Role the key stakeholder(s) must play for the operation to be successful, and the likelihood that the stakeholder(s) will play this role.

(b) Likelihood and impact of a stakeholder's negative response to the operation.

(c) Resources stakeholders possess that can influence the operation.

Step 4: Develop strategies- Identify actions that can improve support and reduce opposition from stakeholders. Record your strategies in the last column of the stakeholder matrix.

(1) Identify how to approach each of the stakeholders.

(2) Project the information they require.

(3) Assess stakeholder importance in the operation.

(4) Identify other groups or individuals who may influence the stakeholder to support USG objectives.

- ***Systems analysis.***
  - *Nodal Analysis* is the subset of systems analysis that explores the nature, identity, capabilities and functions of people, organizations, objects and locations and places them in appropriate positions within systems. Nodal analysis focuses strictly on data about individual nodes, and does not explore the interrelationships between nodes. Nodal analysis provides the baseline information and structure necessary to conduct link analysis.

    Critical nodes are called COG, which are a set of characteristics, capabilities, and sources of power from which a system derives its moral or physical strength, freedom of action, and will to act.[4] Once analysts have determined the functional nodes within a network, they can then begin to dissect the system further by breaking down each of the functions into activities which take place within that node. It is not necessary for a network to contain each node listed, but there may also be networks that contain nodes not depicted.
  - *Link analysis* is the process of identifying and analyzing relationships between personnel, contacts, associations, events, activities, organizations, and networks to determine significant links. Analysts use link analysis to determine who is involved, how they are involved, and their significance concerning a particular situation. Links can be one-directional, such as the link between supervisor and employee, or bi-directional, such as the link between business partners.

Link strength must be specified as to whether the link is 'suspected' or 'confirmed'. Some types of link analysis tools include:

- Association matrices
- Link diagrams
- Systems diagrams

- *Functional analysis* is based on the concept that while every action is unique, certain functions must be performed to bring about mission accomplishment. Functional analysis provides a framework for understanding how IPIs will make use of their capabilities to accomplish their goals. Functional analysis is a method for determining likely IPI COAs. Functional analysis is not a step in the JIPOE process; it is an updated thought process for analysts to enhance systems analysis. Understanding the functions, relationships, capabilities, goals and potential COAs of IPIs enables analysts to provide subtle targeting guidance and COAs that leverage indirect effects that minimize the military footprint during CMO. Identifying functions and capabilities of IPIs allows the JFC to get inside of IPI decision loops to anticipate and leverage events in the civil components of the operating environment.
- *Root Cause Analysis* is an empirically-based analytic tool used to perform a comprehensive review of significant events, and is depicted in Figure 6-5, Root Cause Analysis. It includes identification of root and contributory factors, mitigating strategies, and development of action plans along with measures of effectiveness to evaluate the impact of plans. Root cause analysis forms a critical element of CMO, by directing operations at causes of instability and obstacles to objectives. Determining root cause is secondary to the goal of mitigation, but without knowing the root cause, effective mitigation of vulnerabilities cannot be planned or executed. Some root cause analysis techniques are:

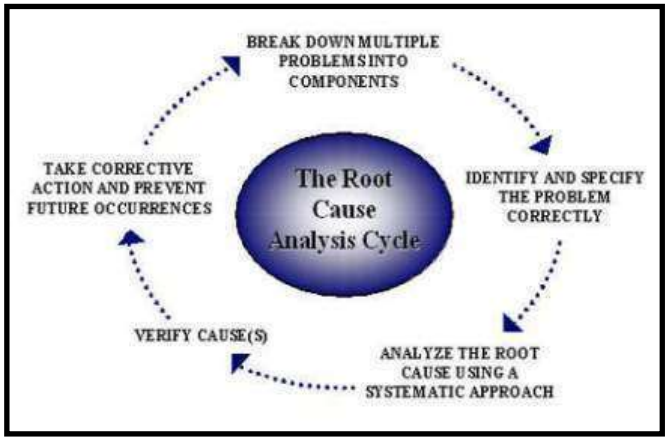

Figure 6-5. Root Cause Analysis

  - *Barrier analysis:* A technique used in process-based analysis based on tracing flows to identify barriers to them, and to identify how and why barriers did, or did not, prevent the flows from achieving their purpose. Flows are any commodity, action, information, or other entity that is exchanged between nodes, usually through links.
  - *Causal factor tree analysis:* A technique based on displaying causal factors in a tree-structure such that cause-effect dependencies are clearly identified.
  - *Change analysis:* A technique often used for accidents. It is based on comparing a situation that does not exhibit the problem to one that does, in order to identify the changes or differences that might explain why the problem occurred.

- *Five Whys*: Ask: "Why?" five times sequentially to determine the underlying cause of an event. The objective is to trace the chain of causality in direct increments from the effect through any contributing factors to a root cause, while avoiding assumptions. The *five whys* technique identifies a process- or behavior-related causes, and is commonly referred to as the Socratic Method and utilized in several arenas such as in law, economics and philosophy.
- *Common cause analysis (CCA) and common modes analysis (CMA)*. CCA and CMA are evolving techniques for complex technical systems to determine if common root causes in hardware, software or highly integrated system interactions may contribute to human error or improper operation of a system. CCA are conducted for, commercial/military aircraft, electrical utility grids, nuclear power plants, automated industrial controls, medical devices, or other safety-critical systems with complex functionality.

The process for performing and documenting root cause analysis is:

(1) Define the problem.
(2) Gather data and/or evidence.
(3) Ask why and identify the true root cause associated with the defined problem.
(4) Identify operations that will mitigate recurrence of the problem.
(5) Identify effective operations that prevent recurrence, are within your control, meet your goals and objectives, and do not cause other problems.
(6) Implement the operations.
(7) Assess the recommended operations to ensure effectiveness and adjust to changes.

The practice of root cause analysis is based on the belief that problems are best solved by to correcting or eliminating root causes, as opposed to merely addressing the immediately obvious symptoms. By directing operations at root causes, it is intended that problem recurrence will be minimized. However, complete prevention of recurrence by a single intervention is not always possible. Thus, root cause analysis is often considered to be an iterative process, and is frequently viewed as a tool of continuous improvement. These general principles apply to performing root cause analysis:

- It is performed as an investigation, with conclusions backed up by documented evidence.
- There is always one true root cause for any given problem; the difficult part is having the stamina to reach it. There are usually several contributing factors to each root cause.
- It must establish a sequence of events or timeline to understand the relationships between contributory factors, the cause, and the problem.
- It can help to transform an old culture that reacts to problems into a new culture that solves problems before they escalate. More importantly it reduces the instances of problems occurring over time.

- ***Time-Series Analysis.*** Time-series analysis identifies patterns and changes in data over time, and valuable to CMO as most effects in the civil components of the operating environment take weeks or months before changes are observable. For example, when MAAWS or projects are used, their effects must be viewed over time through multiple events, such as project nomination, project initiation, and

project completion in order to gauge responses from IPIs. Time-series analysis, including geo-temporal analysis, is the most effective when a robust baseline is available for comparison of effects before, during and after operations. It is accomplished with a time-event analysis or trend analysis approach.

- *Time Event Analysis.* Time event analysis is a method for representing individual or group actions chronologically. It uses symbols to represent events, dates, and the flow of time, symbols and descriptions to enable analysis of a group's activities, transitions, trends and operational patterns in both time and activity. If desired, the event nodes may be color coded to indicate a particular event or type of event to aid in pattern recognition.

***NOTE:* JP 2-01.3, JIPOE provides guidance for conducting time event analysis.**

- *Trend Analysis*. Trend analysis is a continuous analytical process that identifies patterns or societal behaviors in response to enemy and friendly operations over a period of time. Typically, trend analysis is the compilation of several analytical products, reflecting changes in a temporal view, giving analysts a glimpse into the future. Trend analysis often requires the conversion of qualitative data into quantitative data for purposes of visualization and concise presentation.

***NOTE:* Chapter 5 provides procedures to convert qualitative data to quantitative data.**

Trend analysis requires consistent, protracted attention to the subject being tracked, and presents analysts with the ability to link seemingly unrelated events by comparing how they change through time. It is possible to track improvements in national infrastructure, while trending local national perceptions of service to identify distribution problems; the need for public service engagement with the public; or unequal distribution of services through corruption or along tribal, ethnic or sectarian lines. Analysts should use the following procedures as a baseline, after consolidating relevant data into information in quantitative format:

(1) Develop visualizations:
   (a) Organize information into charts or tables according to metric values assigned to data and civil information architecture, or other category of interest.
   (b) Compare information to baseline values and other information tracked in the analysis to determine how much, if any, changes occurred.
   (c) Define observed changes.

(2) Analyze operational and environmental factors affecting observed changes:
   (a) Conduct link, node, systems, geospatial, functional, root cause and/or pattern analyses to identify contributing factors and causes of observed changes.
   (b) Record time-events identified during analyses that correspond with observed changes.

(3) Record analyst's comments: This is an explanation of the analyst's interpretation of the data that explores the issues, decision points, and COAs in depth to provide background, desired effects, and possible outcomes from each issue, decision point, and COA discussed.
   (a) Explanation of metric: This should include what the analyst did during analysis, explain where the information came from, and describe any discrepancies that may be inherent within the analysis.

(b) Cite all sources of raw data and analyzed reports used to establish baseline or develop background information.

- ***Pattern Analysis.*** This technique is used when IPI activities reflect identified and interpreted patterns. Pattern analysis, illustrated in Figure 6-6, Pattern Analysis Plot, is most valuable when facing civil actors whose doctrine is undeveloped or unknown, and it is necessary to create a new SWOT model and templates. Combating insurgency operations is a prime example of a need for pattern analysis.

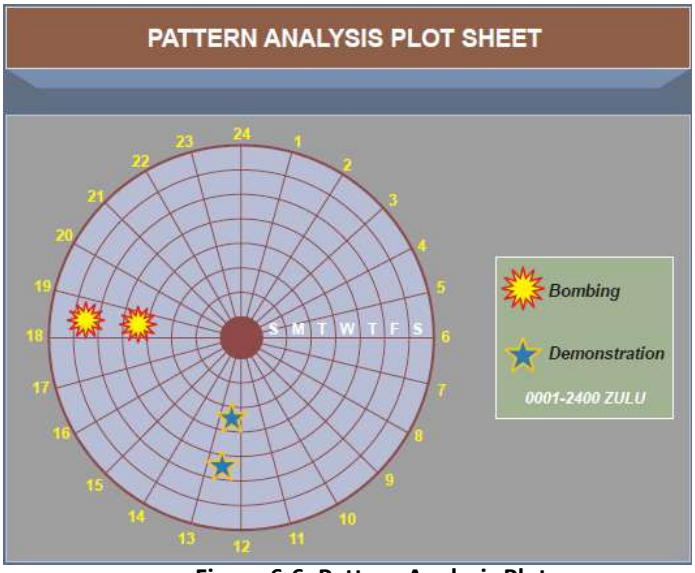

Figure 6-6. Pattern Analysis Plot

Step 4 - QA/QC the Civil Knowledge. This is a systematic process to verify that the civil knowledge produced satisfy the IR.

a. Verify completeness of the analysis
b. Verify accuracy of the analysis
c. Verify that all deficiencies identified in the information analyzed and the analysis conducted.
d. If analyzed information fails any verifications, re-execute all necessary steps, then send a request for information (RFI) to the data originator for correction, or to the tasker originator for clarification
e. Generate a RFI to correct, clarify, or modify the knowledge
f. Consolidate the corrected, clarified, or modified knowledge as new data

6.4 Best Practices

Analysts can optimize their efforts by adopting the following practices:

6.4.1 Maintain Thorough Notes

This enables another analyst to continue the process, if necessary, and provides material that can be used during the production step by preparing a format for sharing the information.

6.4.2 Conduct Multiple Analyses

Systematic application of several analytical techniques is the most effective method for determining changes in the operating environment, and establishing the causes and effects of those changes. Many analytical techniques naturally nest with one another, such as nodal and link analyses, and time event and trend analyses.

6.4.3 Be Predictive

Whatever analytical approaches are used, results that predict outcomes are most useful to a commander when sorting through the civil components of the operating environment. In predictive analysis, the analyst forecasts future events based on previous activities and events. It is not guessing; its basis is the use of common sense and solid analysis through appropriate methods and tools.

Conventional analysis examines, assesses, and compares bits and pieces of raw information and synthesizes findings into a product that usually reflects IPI capabilities and SWOT. Predictive analysis goes further, not just establishing capabilities but determining intentions and probable COAs.

Predictive analysis is a continuous analytical process which determines IPI capabilities, intent, most probable COAs, and reactions to friendly operations. Even with the most sophisticated analytical tools and a wealth of information, it is possible that the prediction will not happen. This is often seen as a failure of the analyst. However, the analyst must be able to present to the commander every possible intention of IPIs along with the capabilities. Performing predictive analysis is required for commanders to make informed decisions.

***NOTE:* For more information about predictive analysis, refer to JP 2-0, Joint Intelligence.**

6.4.4 Maintain Relevancy

The purpose for analysis is to provide the commander with situational understanding. Providing predictive analysis and associating complex relationships to LOOs, provides commanders with the depth of understanding of the operating environment to achieve, maintain, and exploit decision superiority.

6.5 Conclusion

Analysis is complex and difficult. Experienced analysts provide the best capability for understanding the operating environment. Implementing systematic analytical processes and maintaining consistent awareness of events and available information provide the best environment for developing analysts. The baseline analytical techniques covered in this chapter are a tiny subset of the full spectrum of relevant analyses possible.

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[1] Joint Publication 3-34, *Joint Engineer Operations*, 12 February 2007, page IV-27.

[2] *Integrated Financial Operations Commander's Handbook: A Joint Force Guide to Financial Operations*, 2 November 2010.

[3] Auburn University. (2005). *Supervisor's Performance Management Toolkit*, page 49.

[4] Joint Publication 5-0, *Joint Operation Planning*, 26 December 2006, page IV-8.

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CHAPTER 7 JOINT CIVIL INFORMATION PRODUCTION

7.0 Introduction

> ***"Endeavors are all about accomplishing something. Successful accomplishment requires that the individuals, teams and organizations are able to make sense of the situation."***
>
> *Planning Complex Endeavors, April 2007*

Production is the fifth step in the joint civil information management process. The end state for the production step is to deliver products that accurately and completely present the civil components of the operating environment, and enable the JFC to make sense of the environment. Content for the various products is found in numerous formats throughout the staff, and one of the tasks during production is to select the best format with which to present the information. The primary product types used in a staff are *text* (information papers, assessments, area studies), *time series* (timelines, running estimates), *graphic* (charts, graphs, matrices, photos), *geospatial* (shape files and imagery), and composite (combinations of these). These formats come in a variety of digital and non-digital media, such as the Microsoft Office suite of products, e-mail, still and motion picture photography and paper copy. This chapter provides context, considerations, procedures, and best practices for selecting an existing product or creating a new product with which to convey civil information. The chapter also includes three elements of the civil COP and the types of products that can be used to illustrate each of its dimensions.

7.1 Context

Production is executed by staff to fulfill a variety of IRs, one of which is to populate the civil layer of the COP. There are many different types of products the staff may use, and determining which product best satisfies a requirement is based on the nature of the requirement or the preference of the recipient. The staff's first priority is satisfying the JFC's IRs; however, products may be shared with various stakeholders in the OA. In both cases, unit SOPs guide product selection.

7.2 Considerations

Before selecting an existing product or developing a new one, consider the following:

- Who the product is for?
- When the product is needed?
- What is the intended purpose of the product?

Knowing these things helps tailor the product to get the desired result. If the audience is US military only, then use of military terms may be acceptable. If civilians or non-US personnel are viewing the product, the military brevity afforded by abbreviations and acronyms is inappropriate, so it must be clearer even if more lengthy. In any case, the intended audience must be considered in terms of what they will use the information for, their familiarity with the topic, English proficiency, and operations security. Be sure what is being produced is appropriate for whom it is being presented. Military terms such as, targeting, integration, intelligence, and others may be misunderstood by some NGOs and AID agencies. Care should be taken to identify and replace military terms that do not enhance collaboration with stakeholders.

Content selection should be governed by the intent for the product. If the product is to introduce a new concept to the audience, then more detail is required. If it is updating what they already know, then less detail is required. If the product is going to a higher echelon its content must be aggregated to make it appropriate to the intended audience. Aggregation is a theme throughout this TTP so that information overload can be avoided. Format

selection is also governed by the intent for the product. The J9 generally supports two broad categories of production: RFIs and civil input to the COP.

Commanders typically visualize stability and civil support operations along Lines of Operation (LOO). LOO describe the major efforts designed to attain mission success. Figure 7-1, Stability Tasks and Corresponding DoS Sectors, shows the major categories DoS uses to describe the civil environment and which military SSTRO tasks support the DoS sectors. These broad categories of activities are often used as LOO at higher levels. In this example the military SSTRO tasks are neatly linked to the DoS sectors and the viewer can visualize which military capabilities support the other instruments of national power. The most important aspect a product can convey is: *why the information is important to them.*

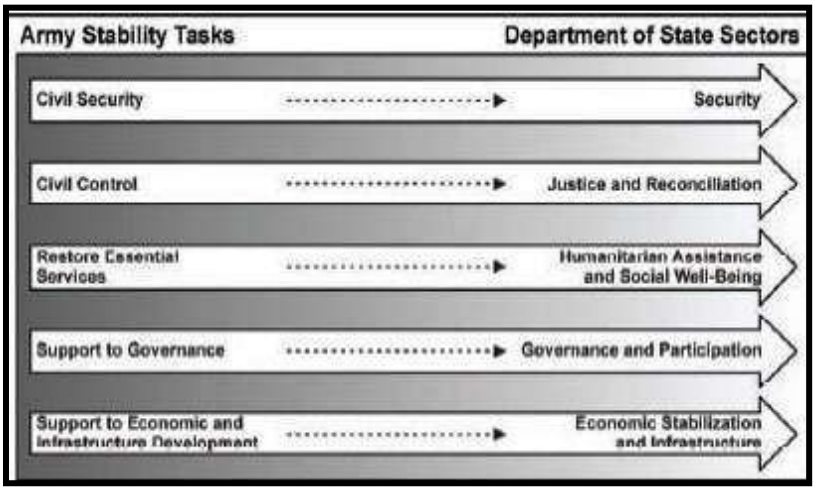

Figure 7-1. Stability Tasks and Corresponding DOS Sectors

7.3 Procedures

Figure 7-2, Production Process Model, depicts the Production step of the joint CIM process. It consists of three steps identifying what product(s) are required to satisfy the requirement, developing those products, and conducting quality assurance and control of the products.

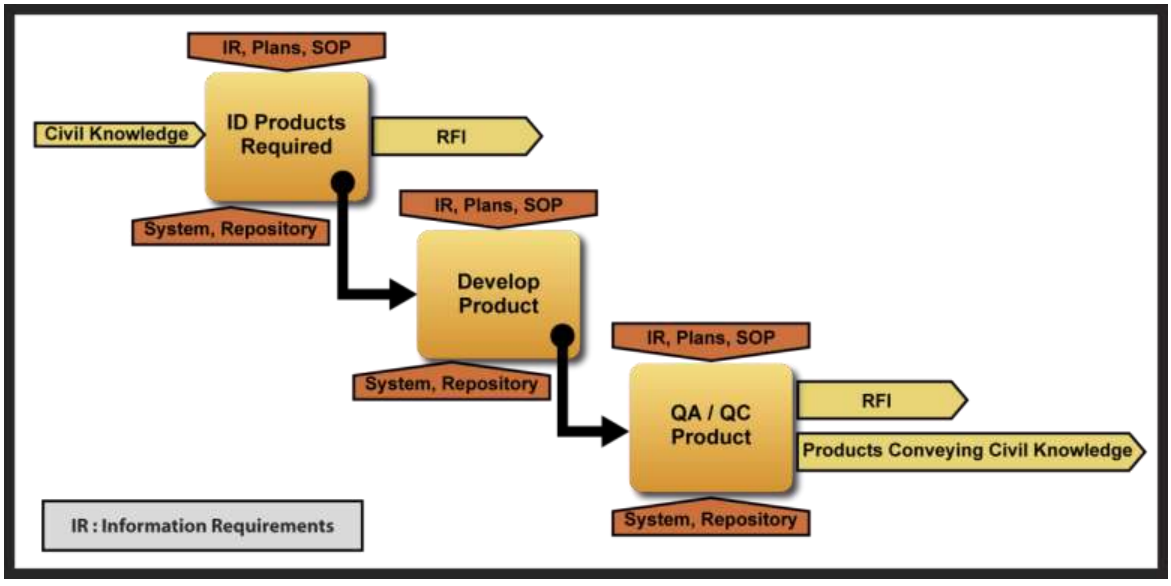

Figure 7-2. Production Process Model

Step 1 - Identify Products Required. Selecting or creating products to best convey civil information can be a challenge. Products presenting civil information fall into 3 categories. All 3 categories support decision making. The categories are:

a. ***IR and RFI response.*** IRs and RFIs are generally tasked by the command group to inform or update the commander on a specific topic or set of topics, often for one-time use. There are numerous product formats to convey SA. The specific format for these products is usually provided in the staff SOP of the supported unit. These product types answer specific questions about focused topics. Selection is based on the commander or consumer's preference, the necessary amount of detail, and time available.

b. ***Populating a COP.*** The civil COP is a graphic display consisting of a base map populated with civil data. It is the most visible product the staff produces about the civil components of the operating environment. Often referred to as the 'green layer' by CMO practitioners or 'grey layer' by the intelligence community, the civil COP helps the commander visualize the environment and aids his decision making process. Civil information is presented in three segments:

- *Sources of conflict and civil vulnerabilities.* This segment depicts organizations or conditions in an area adversely affecting the populace.
- *Civil terrain.* This segment depicts destabilizing factors in each of the PMESII categories and links them to a LOO.
- *Mitigation efforts.* This segment depicts locations and significant activities of key civil stakeholders. Stakeholders can be any organization, USG agency, HN, military or civilian, that is operating in and among the population. Their activities are listed by PMESII categories. This segment can be structured to support projection as described in Chapter 1 section 1.1.1. This is the third level of SA that takes situational understanding forward, projecting what may occur in the near future as a result of mitigating efforts over time. This is sometimes described as a predictive civil COP and it is relevant for all operations and phases of operations.

c. ***Other Products*** provide topical facts or trends as supplemental material to COPs, IRs, and RFIs. These can be stand alone products to reinforce certain responses to IRs or RFIs, or to clarify aspects of the civil environment displayed on the COP. These products may be derived from tools used during analysis with presentation in the COP. Other products generally fall into one of two types during CMO: *products depicting environmental conditions*; and *products depicting civil considerations*.

Step 2 - Develop Product. Product development for any of the categories begins during consolidation when selecting an existing product, and analysis when creating a new product. Existing products are often available in a storage site, such as a civil information database, other file sharing repositories, SharePoint portals, local servers, etc. When replying to a specific RFI, the joint-CIM process is initiated with planning the production requirement, and then collection begins with searching civil information systems to survey what is available on the requested topics. When product(s) that satisfy the production requirement are found during collection, the product(s) are consolidated, and then pushed to the RFI originator. When no existing product(s) satisfy the RFI, then data is collected, consolidated and analyzed to facilitate creating new product(s) to satisfy the RFI. Each of these help to provide SA of analyzed information that can be used to answer the IR.

a. ***IR and RFI response***.

(1) *Quad chart.* This is a method to present information on a person, place, or thing in a compact format. It can be a way to present either talking points or background. The example shown in

Figure 7-3, Quad Chart, is background on a cultural site and lists facts, assumptions, restraints and presents photos.

HTT IZ6: Arch of Kesra

Facts:
- Located on the edge of the Tigris near Salman Pak
- Built between the 2nd and 5th Centuries CE
- Worlds largest vaulted space
- Constructed of unsupported mud bricks
- Was the royal palace for the Parthians and Sassanids
- Much of the complex was destroyed during the 1880 flooding of the Tigris
- The right wing of the complex was destroyed in the 1987 flooding of the Tigris

Assumptions:
- Originally built as part of a Seluecid Palace
- Initially destroyed by the Abbassid Caliph al Mansur
- The majority of the complex lies behind the Arch and has yet to be properly/fully excavated
- May be the "legendary" White Palace that supposedly lies somewhere below modern Salman Pak
- The Arch is cracking under its own weight and in need of immediate repair and conservation

Constraints:
- Currently sits on land that is being occupied by the 35th BDE/9th DIV of the Iraqi Army
- Was the successive capital and ruling palace of at least 2, if not 3, Persian Empires
- Salman Pak, and the surrounding areas, are approximately 85% Sunni
- Any perceived activity that benefits Iran will enflame already raw political, social, economic, and religious cleavages in Salman Pak and Mada'in Qada

Figure 7-3. Quad Chart

(2) *Information paper.* These are usually 1-3 pages and have sufficient detail to give the reader a strong familiarity with the issue. Examples of subjects for which information papers may be appropriate include:

- Reconstruction efforts in a region
- Dominant political issues in a city or province
- Status of a particular infrastructure segment known to be problematic

(3) *Talking points (TP).* These are appropriate for a civil engagement. TP are a list in bullet format of points the commander can refer to for inclusion in his conversation. They are usually formatted with a first person statement backed up with a *few* background sentences. Normally talking points synchronize the message on one page, and are compared to notes from any previous meetings between an individual and any other stakeholder representative.

b. ***Products to Populate the Civil Layer of the COP***. Figure 7-4, Civil Layer of the Common Operating Picture, illustrate the civil component to the COP.

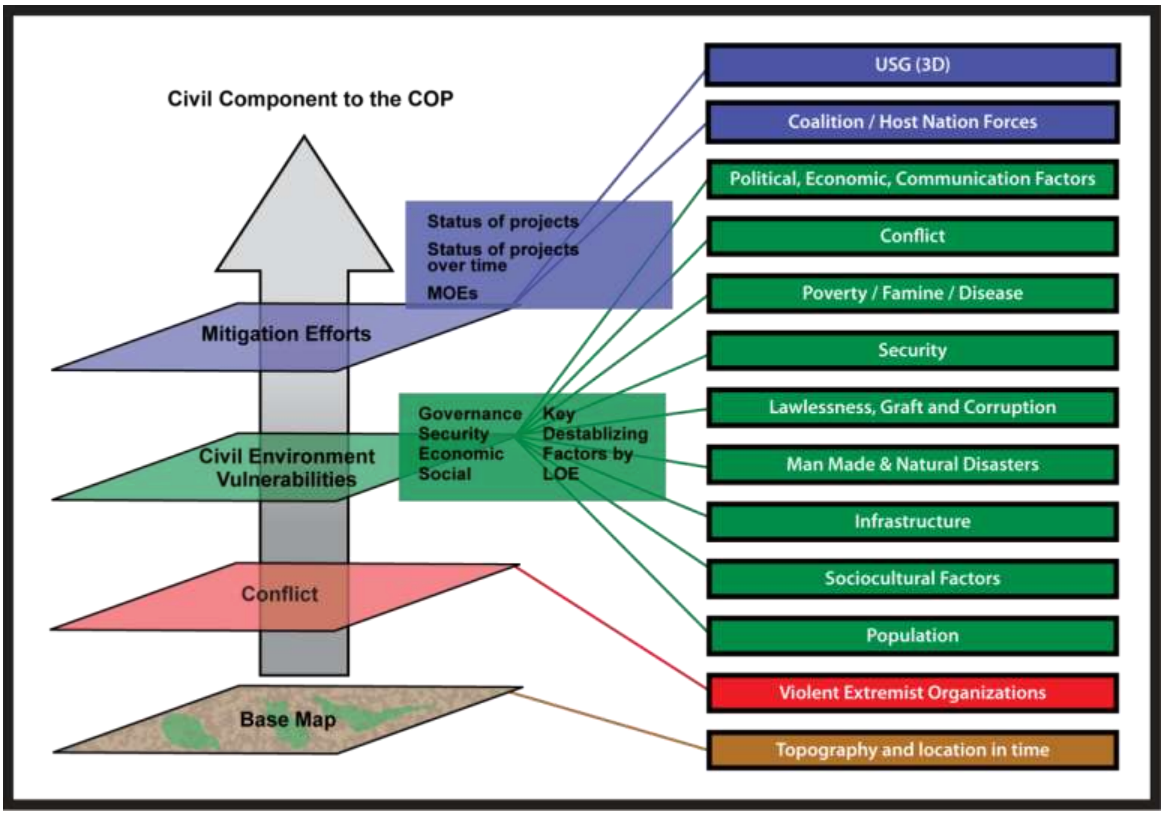

Figure 7-4. Civil Layer of the Common Operating Picture

While distinct in nature, these COP segments are interrelated. When preparing input to the COP, success is selecting the aspects of the civil environment that most influence the JFC's priorities. Linking what is presented in the COP to LOO and associating actions in the civil environment with likely outcomes aids SA and understanding that influence the mission. Additionally, linking to LOO helps avoid overloading the COP with entries for every PMESII and ASCOPE category. It helps focus operations on the sources of conflict, and what operations, actions and activities are occurring to mitigate them. The COP is most informative when layers are correlated to one another. For example: the civil layer depicts degraded housing and utilities infrastructure in a section of a city and the enemy layer shows significant activity (IEDs, ambushes, etc.) in the same section. With this correlation, a commander may decide to apportion effort to repair some of the degraded infrastructure. If some time later, the civil layer shows infrastructure project completions, and the enemy layer shows decline in significant activity, success was attained.

An example of depicting an aspect of the civil terrain is presenting public perceptions of legitimacy. This could be a relevant topic to present in a civil COP. Figure 7-5, Population Support Overlay, depicts the sectors of the populace that are pro-government, anti-government, pro-insurgent, anti-insurgent, uncommitted, and neutral. This overlay can be helpful determining where operations are successful, and where improvement is needed.

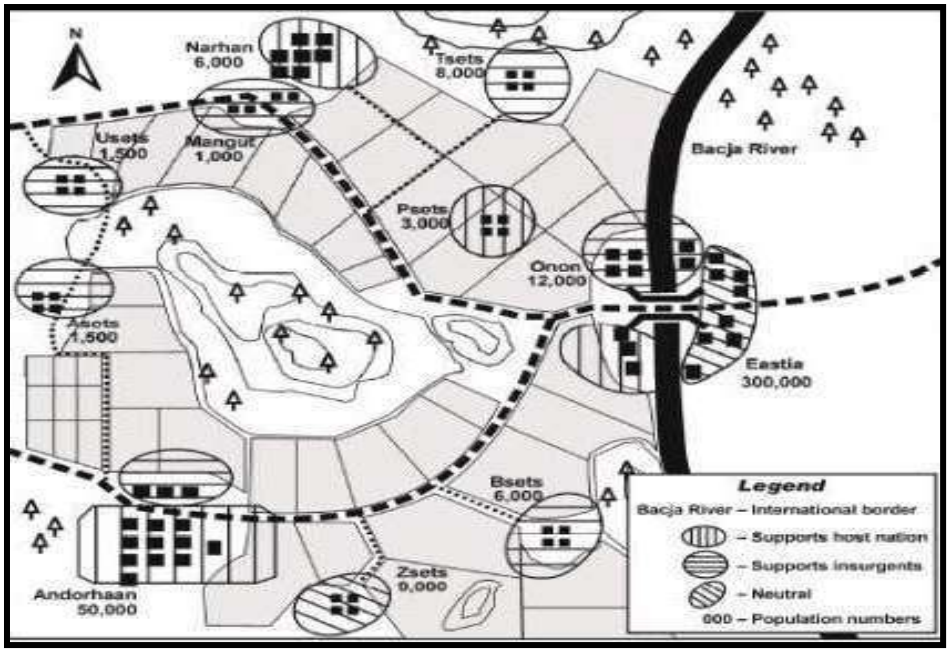

Figure 7-5. Population Support Overlay

Other aspects of civil terrain that are appropriate for a COP are religion, race, and ethnicity issues. Multiple overlays can be displayed together or separately. There are many effective ways to depict civil variables on a map product. Figures 7-5, 7-12, and 7-13 are all variations of shape files that depict socio-demographic information and relative intensity of activity within categories. Shape files use points, lines, and polygons arrayed on imagery to depict an individual or group.

c. ***Other Products***.

(1) *Products depicting environmental conditions.* For example, during the analysis step it is determined that an underlying source of conflict in a particular area was the result of drought and its effect on the availability of food for the local population. The analysts determined that a product to depict this could help decision makers plan to mitigate the effects of drought as a source of conflict. An effects timeline was the product chosen to present this.

Figure 7-6, Drought Effects Trend Timeline, displays the relationship between events (population migration and periods of drought) and user-configurable time intervals (May 2001-2004). This timeline depicts a trend that relates to drought and migration indicating that drought is directly correlated with the migratory pattern of the people. The operational importance or “So what?” is that at certain times of the year, drought will cause the movement of large groups of people. Consequently, staff can begin developing COAs that can mitigate a source of conflict.

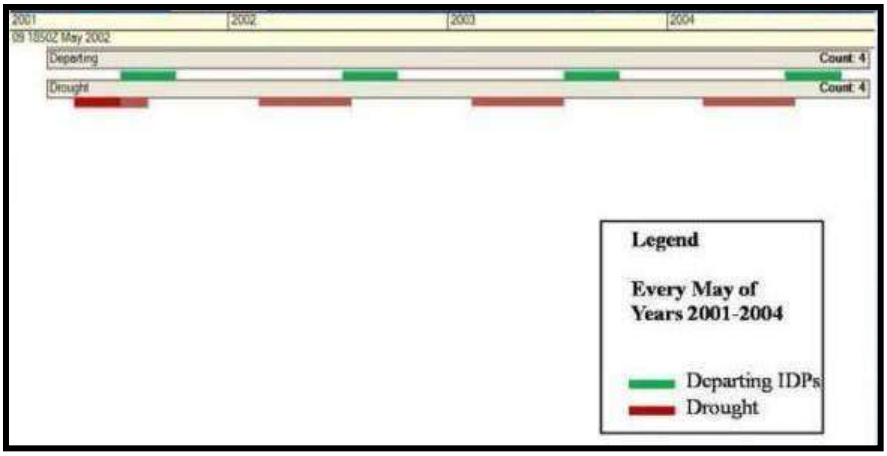

Figure 7-6. Drought Effects Trend Timeline

Figure 7-7, Drought, Famine, Food Distribution, and Foraging Timeline, illustrates another way of presenting patterns, this time among weather, famine, and food data. Although commanders have resources available to react to catastrophic humanitarian needs, those resources are tightly controlled and used only to bridge a time period between the disaster and the time it takes the HN and international organizations to react with food, water, and shelter. Consequently, having products that can depict when and how these patterns influence each other can enhance cooperation among military, governmental agencies, and NGOs in responding to various crises.

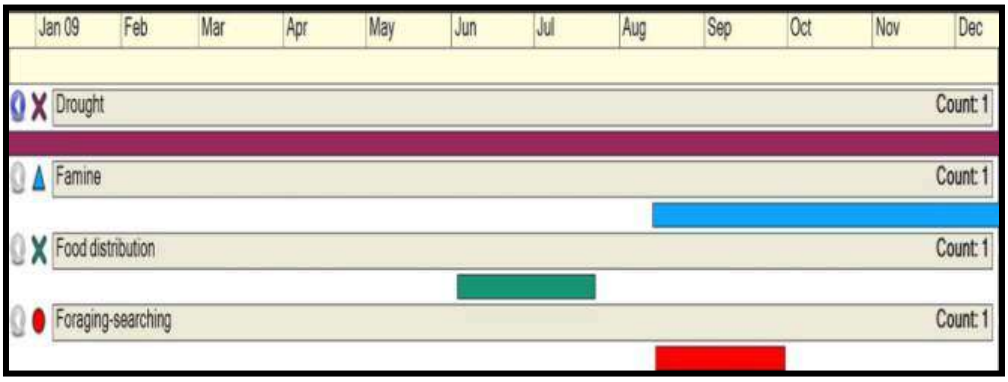

Figure 7-7. Drought, Famine, Food Distribution, and Foraging Timeline

This timeline uses color-coding to depict conditions in a country over a 12-month period. Depicting these relationships helps the commander and stakeholder decision makers visualize conditions and consider planning factors for future operations. Here, the burgundy bar indicates that the effects of drought are constant throughout the year. Blue indicates famine is usually present during the months of August and September. Green represents that food distributions commonly occur in June and July. Red shows foraging and searching activities occur most heavily in the August and September time frame.

***NOTE:* Products that forecast environmental conditions allow commanders, staffs, and their partners to develop necessary COA early, and reduces reaction time to events.**

(2) *Products depicting civil considerations.* Civil considerations are the influence of manmade infrastructure, institutions, and attitudes and activities of civilian leaders and IPI within the OA on

the conduct of military operations. Understanding the relationship between military operations and civilians, culture, and society is critical to conducting the range of military operations. Civil considerations are generally evaluated, analyzed, and addressed by LOOs aimed at PMESII systems.

In the following examples, link diagrams are helpful for visualizing relationships among people, places, and things. Let's assume that during analysis, it was determined that understanding key civil relationships within the top strata of government is necessary to visualize the operating environment. Figure 7-8, Djibouti-Senior Level of Government Link Diagram, is a simple example of a link diagram depicting top members within the Djiboutian government. It provides the viewer with an idea of the structure of the Djiboutian Government and who occupies key positions.

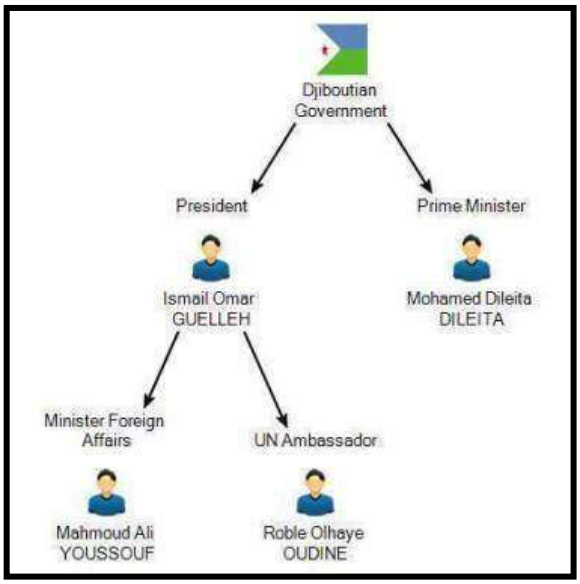

Figure 7-8. Djibouti-Senior Level of Government Link Diagram

Figure 7-9, Interpersonal Relationship Diagram, is a more complex link diagram depicting more complex relationships. It illustrates the interpersonal relationships between members of the same family. Many members of this family yield important information on aspects of their society. Each link may be connected to additional background information, providing the viewer to additional pertinent information for their SA.

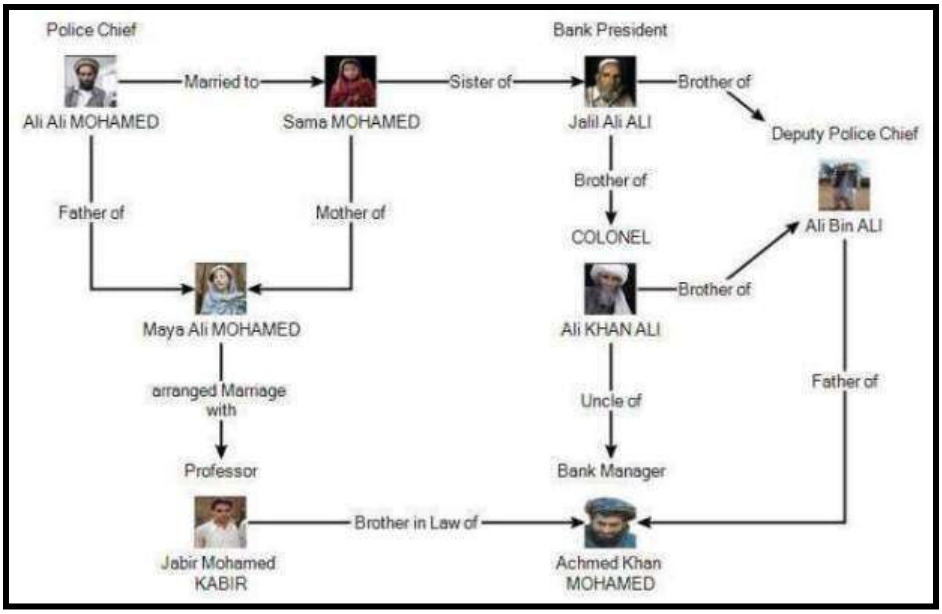

Figure 7-9. Interpersonal Relationship Diagram

Figure 7-10, Association Matrix, portrays the existence of associations, known or suspected, between individuals. Direct connections include such things as face-to-face meetings and confirmed telephonic conversations. Association matrices identify those personalities and associations needing a more in-depth analysis to determine the degree of relationship, contacts, or knowledge between the individuals. The structure of the organization is identified as connections between personalities.

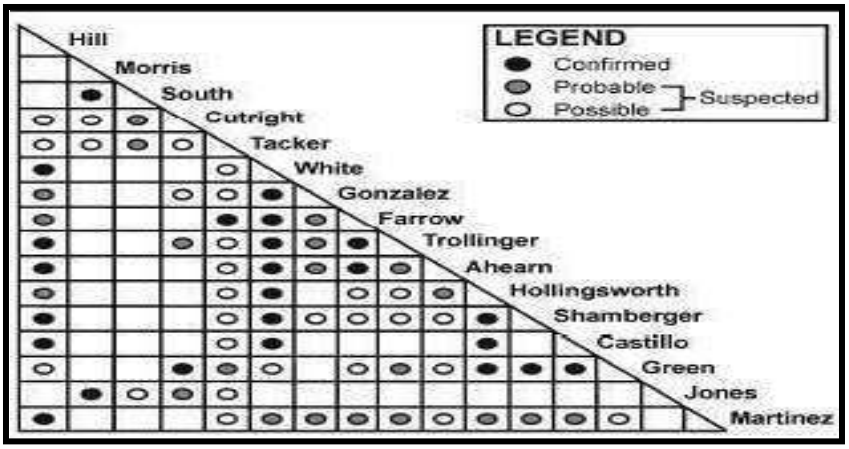

Figure 7-10. Association Matrix

Figure 7-11, Activity Matrix, depicts linkages of people to activities they have been or are involved in. Names are listed on the left and activities along the bottom.

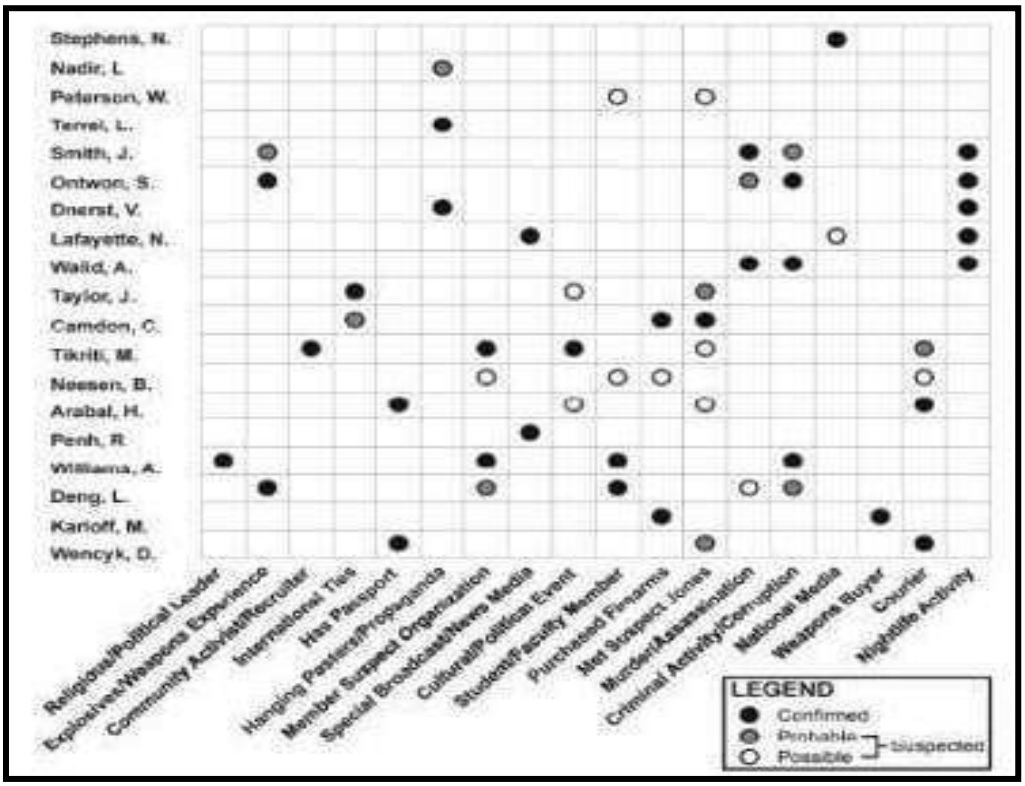

Figure 7-11. Activities Matrix

Another useful product showing civil considerations is a depiction of availability of services to a population. Figure 7-12, Health Care-Access, provides information on the Kandahar Province Healthcare System. Provincial healthcare access is color-coded into five groups, illustrating the percentage of the population that has access to health clinics. Using this product, commanders and their civilian counterparts can ask the following questions:

- What explains the discrepancies concerning access to healthcare?
- What organizations and agencies can be leveraged to increase access to healthcare?
- What would the second and third order effects be for increasing access to healthcare?
- What HN, military, USG agency, and NGO assets can address access to health care?

This product can also be used to establish baseline metrics and assumptions for COA development and establishing MOE. Though much more planning, research, collection, and analysis are necessary to establish a civil baseline and provide answers to these questions, this product is a good example of how an accurate visualization can enhance commander and civilian decision maker planning processes.

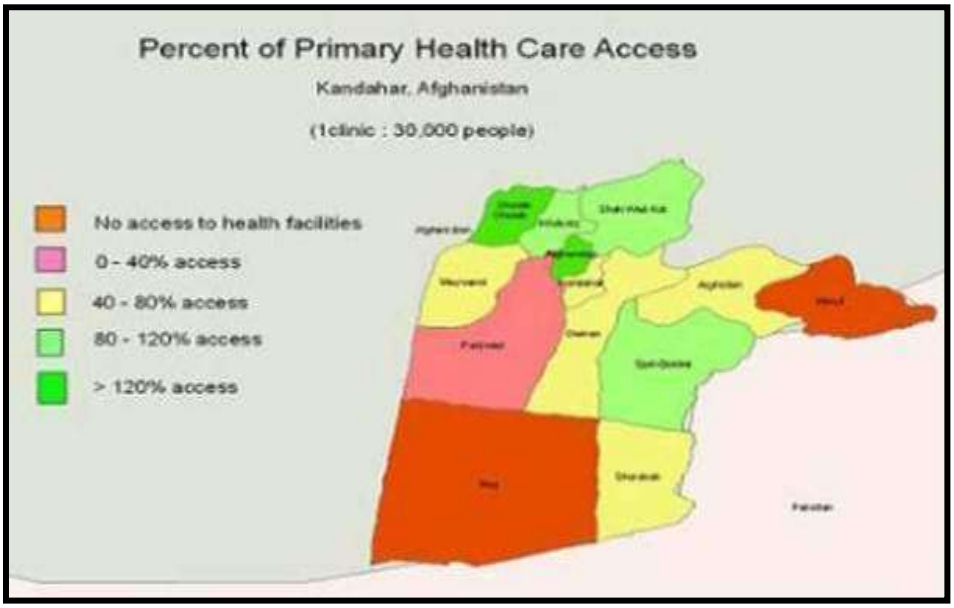

Figure 7-12. Health Care-Access

Figure 7-13, Infrastructure-Wells and Clinics, provides another look at the same area but with a broader perspective on infrastructure. Wells are labeled in green and clinics in orange. This product can be used to form correlations between resources and facilities. It can be used to develop future operations to conduct assessments about the capacity of Kandahar's infrastructure.

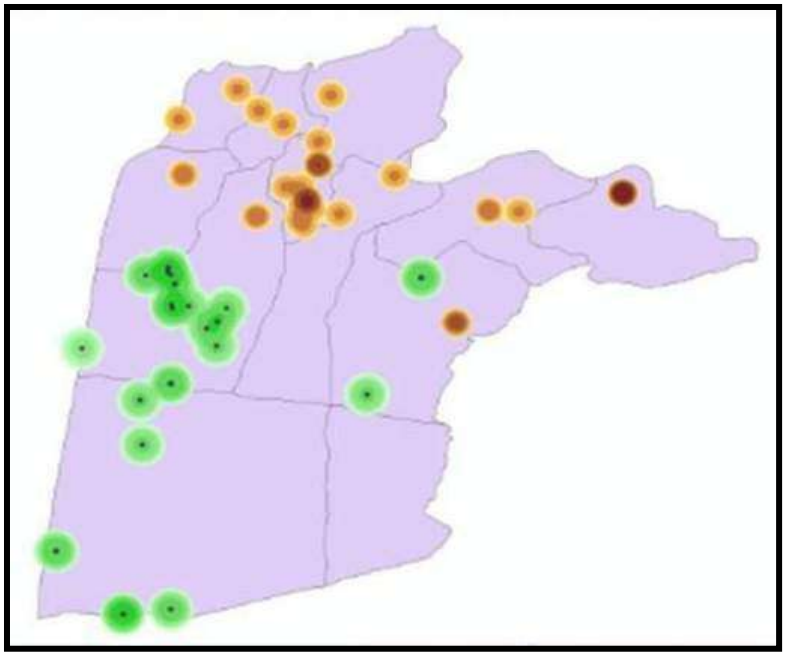

Figure 7-13. Infrastructure-Wells and Clinics

(3) *Mitigation efforts products.* Mitigation efforts are those activities that eliminate or reduce the negative impact of events or conditions. CMO that address these events or conditions include project management, which is a process requiring its own products. Some of these may be appropriate to post to the COP, which includes projects of any unit in the OA. Products depicting projects are built to show their effects relative to a destabilizing event or condition. Variables that provide clarity about projects include:

- Event or condition to mitigate
- Capability to accomplish-local, national, and international resources
- CMO resources to fill gaps
- Capability gaps
- Target population and effect of mitigation on them

Figure 7-14, Project Management Link Diagram, is an example of a product that depicts details about 2 projects. It shows the POC for each project, major resources required for each job and their status, and identifies the 2 required project tracking documents for each project.

NOTE: ***While Excel or other chart formats are commonly used to visualize project status such as dollars spent, number of people employed, etc., link diagrams can also be a valuable tool for presenting this information to decision makers.***

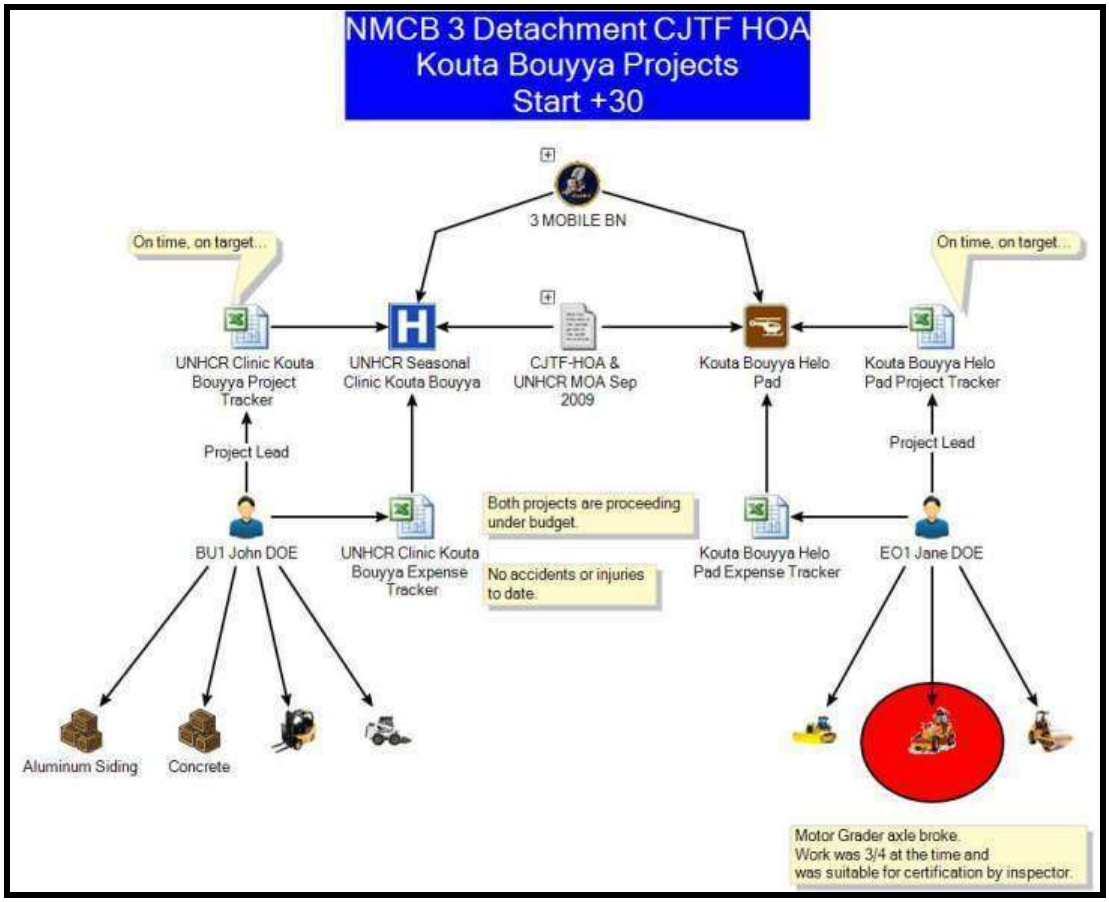

Figure 7-14. Project Management Link Diagram

Step 3 - Quality Assurance and Quality Control. QA/QC is a systematic process to verify that the civil information products satisfy the IR.

a. Ensure the product meets these requirements:

1. Content appropriate
2. Content accurate
3. Message clear
4. Audience appropriate

b. Verify that the product is properly classified. If over classified, coordinate with the original classification authority (if available), security manager, FDO, or use established declassification procedures, as explained in Chapter 8 to reduce the classification level.

***WARNING:* If the IR is not satisfied, make the necessary corrections, or return the data to its originator for correction.**

7.4 Best Practices

Whether selecting an existing product or developing a new one, submit the clearest possible answer to the requirement based on the amount of time available. Perfect can be the enemy of good if it is late to the consumer and no longer satisfies their requirement.

7.4.1 Answering RFIs

The format and standard for answering a civil IR is dictated by the information requested**.** The answer should be based on facts. Any request that asks for conjecture or opinion should acknowledge that the answer is opinion

based on the available facts. A good technique for answering civil IRs is to not only state the facts, but display the facts in graphs or charts that show their relevance.

7.4.2 Common Operating Picture Production

Maintain CMO Assessments, Area Studies, and Running Estimates. These products are resources from which to populate the COP with the most current facts.

- Select topics linked to LOOs
- Identify key nodes in the operating environment
- Define the status of conflict mitigation efforts
- Define key drivers of conflict
- Consider appropriateness of content for audience

7.4.3 Production as a Driver of Planning

Often in the joint-CIM process, multiple steps of the process can occur simultaneously and influence one another. An example for this can be seen in Non Lethal Targeting. Here, a member of the J9 is a member of the targeting board of a supported command. The board manages its own data using an information management process like the CIM process. It shares products, derived from analysis, which were consolidated after they were collected. Products the board produces inform planners of the types of operations that are needed to influence an outcome in the civil environment. These outcomes can include not targeting some sites because of their cultural or religious significance. J9s should always have a representative on these boards to influence future operations. The types of product they routinely generate are:

1. Non-Kinetic Targeting Matrix
2. Protected Target List
3. PMESII Overlays
4. Collection Plan

7.5 Conclusion

The end state for production is products prepared for sharing with multiple audiences that accurately and completely present the civil components of the operating environment, and enable the audience to visualize and understand that environment. The information should be easily understood by the recipient without further discussion.

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CHAPTER 8 JOINT CIVIL INFORMATION SHARING

8.0 Introduction

Sharing is the sixth-step in the joint civil information management process, and is *the delivery or exchange of information between users in a usable form for application to appropriate missions, tasks, and functions*. This chapter provides guidance for sharing civil information between the JTF and non-DoD organizations to improve operational synchronization, collaboration, and common understanding of the civil components of the operating environment. Sharing occurs in three ways:

1. **Push** is the active dissemination of civil information to stakeholders with an explicit or implied requirement for it.
2. **Pull** involves direct electronic access to databases, files, or other repositories by military organizations at all levels[1]; and providing stakeholders similar access to civil information.
3. **Populate** incorporates civil information to a civil COP, expressed as either the civil layer to a COP or a CMO COP, to support organizational requirements.

> *"It's not a technical issue any more. It's really more about culture and the need 'need to share' rather than the 'need to know'."*
>
> *General James Cartwright*
> *USMC Commander, United States Strategic Command*
> *6 April 2005*

Sharing is a coordinating mechanism that promotes unity of effort between stakeholders by continually providing relevant civil information they can use to further the objectives of their organization. Due to this, sharing serves as a force multiplier for the supported unit, permitting the commander to reapportion resources from projects already being executed by other stakeholder organizations and reassign them to other priority projects. Sharing promotes unity of effort among the stakeholder community, reduces duplicative efforts, conserves unit resources, and creates a spirit of cooperation and legitimacy to the various stakeholder boards, bureaus and working groups. The following terms clarify concepts important to sharing:

- **Common Operational Picture:** A display of relevant information shared by more than one command. The COP is the standard reporting and display tool for the full spectrum of any US force engagement and at all levels of exercises, operations, and war[2] .
- **Data Owner**: Data owners are the organizations, elements, or individuals responsible for managing information on behalf of the supported unit, NGO, IGO, PVO, IPI, HN and so forth. Data owners control and are responsible for the disposition and use of their information.

Figure 8-1, Share Civil Information, illustrates the three components (Push, Pull, and Populate) of sharing civil information may be performed in any order, sequentially, or simultaneously, as needed to meet requirements.

NOTE: ***The term "information" generically refers to data, information, knowledge, and understanding.***

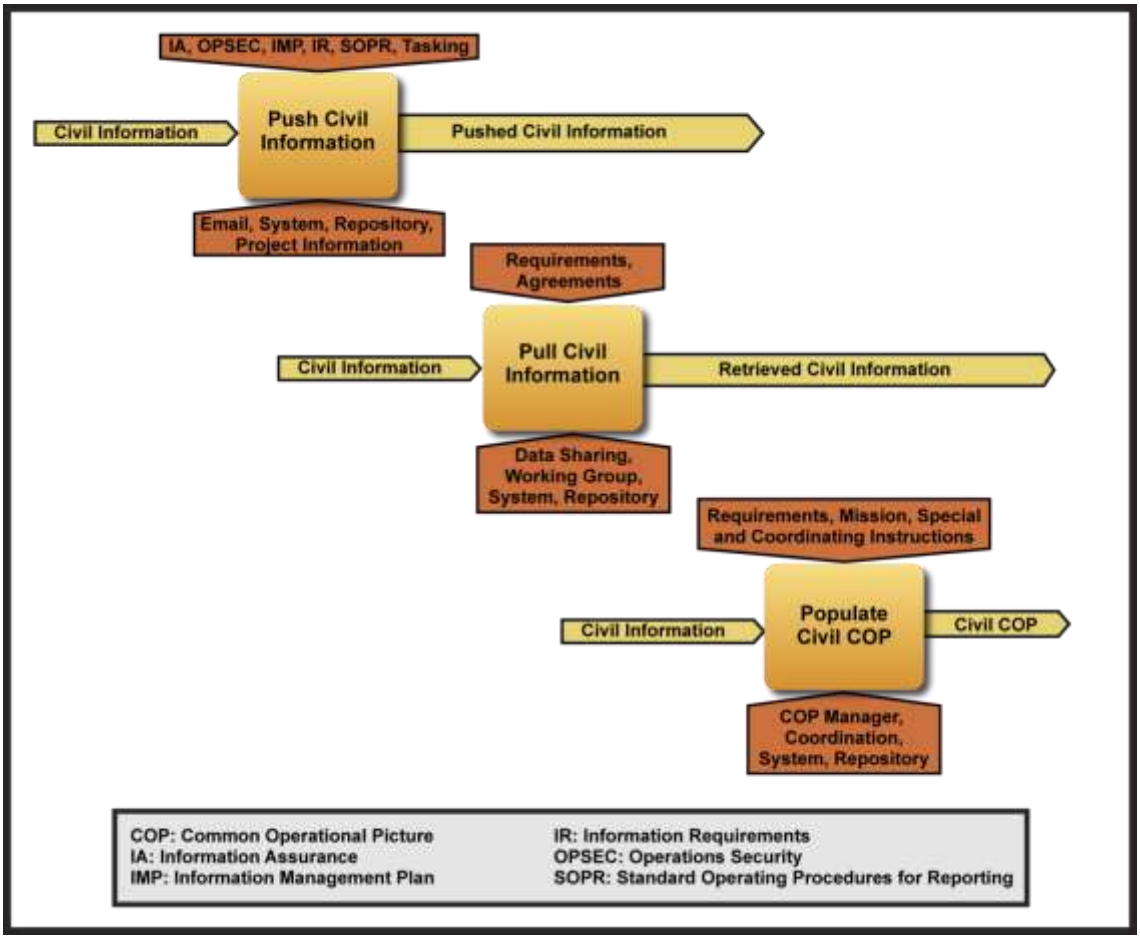

Figure 8-1. Share Civil Information

8.1 Context

Military forces routinely deploy into complex operating environments. Local, international and IGO may be operating simultaneously on similar tasks. These partners bring capabilities not resident in military formations and provide a distinct advantage in delivering those capabilities. Commanders that enable partner capabilities through CMO create force multipliers, complement stakeholder efforts, and achieve their objectives sooner.

8.2 Push Civil Information and Reports

Pushing is actively disseminating information, facts, and data to users for a purpose. It involves identifying relevant civil information to be disseminated and who should receive it based on specified or implied requirements. These requirements are often identified during planning, or developed from changing operational requirements. Pushing can take several forms, such as: interagency collaboration and data sharing or reporting relevant civil information. A pushed knowledge product always satisfies a specific IR for a specific stakeholder identified during planning.

Pushing is accomplished through two distinct methods: push civil information; and report civil data. This section describes considerations and practices applicable to both methods.

- **Push civil information** is active dissemination data from the consolidation or production steps. Information is pushed to support stakeholder requirements when they are authorized to receive it, and requires continual coordination to maintain an awareness of stakeholder IRs, access, and connectivity.

NOTE: ***IRs change due to the dynamic nature of the civil environment. Staffs may not be capable of directly fulfilling all IRs, but can effectively manage expectations by mediating between affected stakeholders***.

- **Reporting** is a recurring military requirement, and an output of the joint civil information management process. It is where one echelon pushes civil information to their higher HQ, or other tasking authority. Reported civil data has been collected, consolidated, analyzed, produced into a report, and pushed in response to a recurring or one-time tasking. Reporting is a two-step procedure that involves transmission of civil data to the tasking authority. Civil data reporting is not operational reporting (e.g. SITREP), although they are normally complementary. Reporting procedure(s) executed are dependent on the reporting organization capabilities. There are four methods for reporting:
  - **Verbally:** In person, telephonic or radio transmission of data
  - **Hard Copy:** Delivery of data in paper, CD/DVD, or removable media
  - **Email:** Transmission of a digital data through an email client or system
  - **Automated Data Entry:** Direct entry of data into the C4I infrastructure

8.2.1 Push Civil Information and Reports Considerations

To determine what civil information to push or report, the following questions should be asked:

1. What is identified in the collection plan as an IR?
2. What data does the reporting organization possess that is not specified as a reporting requirement in the collection plan, but is relevant and should be reported?
3. What data does the reporting organization possess that is specified as a reporting requirement in the collection plan? What are the stakeholder and supported staff IRs?
   a. Perform gap analysis between the collection plan and supporting documents to known IRs and information being shared to identify if the IRs are being met or the collection plan needs updating.
   b. Use the gap analysis to build a new civil information baseline to facilitate the next planning step.
4. What is the importance, relative to existing operations and plans, of specific civil information? For example, “Is this piece of information significant? Is it operationally relevant? Will it make a difference?”
5. Are any tasks or IRs time sensitive? Is there a civil information latest time of value (LTOV) requirement?
6. What are the requirements for periodic updates from staff and stakeholders on the current status of consolidated civil information?
7. What are the supported units or stakeholder “Battle Rhythms”?
8. What information requires authorization from the FDO for release?
   Information will be released IAW DoD[3], service, and command policies.

WARNING: ***The supported command or other unit may not have an FDO on the staff. In this circumstance a FDO may be located at a higher level command, which will require more time to process the disclosure authorization.***

CAUTION: ***Placing unclassified civil data onto SIPRNET immediately decreases its availability to audiences outside of the supported command, and greatly complicates copying the data to unclassified networks.***

The primary method to internally share information is to *report*. For elements and units to report civil data the first consideration is the report model. Current reporting models (i.e. size, activity, location, unit, time, equipment (SALUTE), size, activity, location, time (SALT), 9-line reports, operation summary (OPSUM), etc) do not adequately support population-centric operations because they do not include the civil components of the operating environment. Therefore, the first and primary consideration is the establishment of an AO or unit SOP for

reporting civil data. A SOP for reporting civil information should take into consideration the forms in Annex B. The following are important reporting considerations:

1. **Classification Errors:** Reporting is the step where most information classification and caveat errors occur. Unclassified civil data is often reported using the SIPRNET.
2. **Standardization:** Standard formats increase efficiency and provide greater visibility and accessibility regardless of the means used to report. Enforced reporting discipline enables data aggregation. The collection forms in Annex B facilitate collection and reporting.
3. **System Limitations:** Periodic maintenance, system capacity, and unanticipated requirements combined with different systems in use may require the pushing organization to use various reporting procedure as outlined in section 8.2.2.

8.2.2 Push Civil Information Procedures

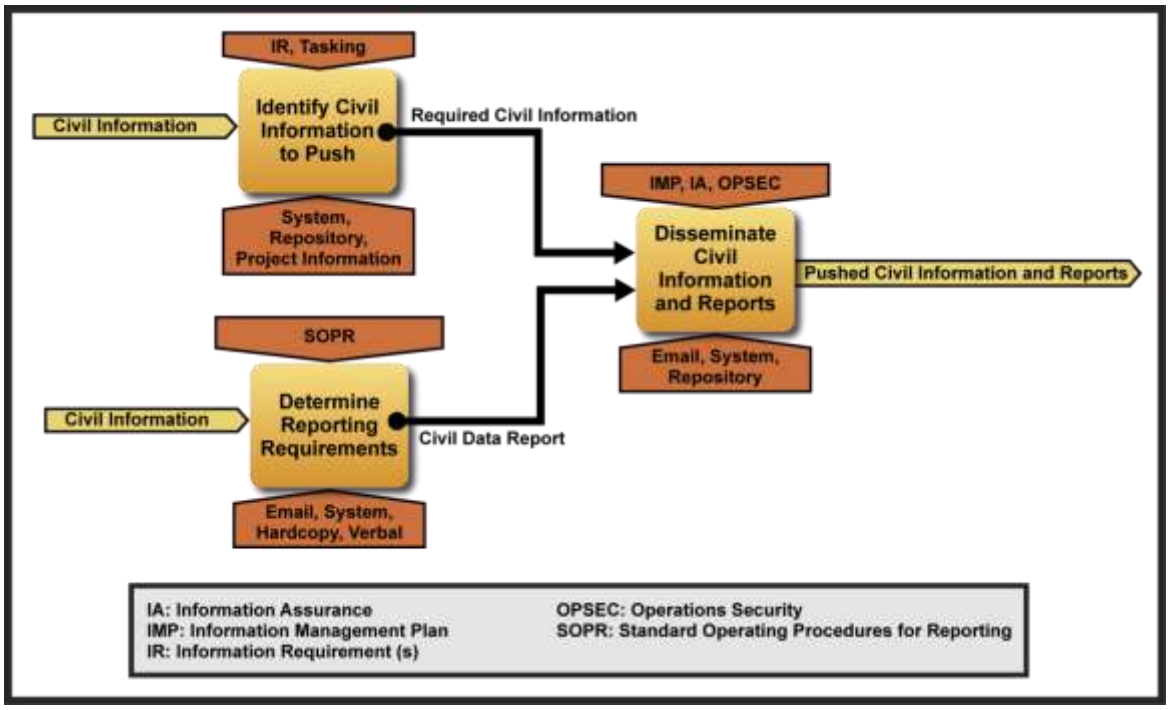

Figure 8-2. Push Civil Information and Reports

Identification and selection of what should be pushed begins with IRs. Figure 8-2, Push Civil Information and Reports, depicts pushing, or "active" dissemination of civil information. It depicts identification of civil information and determines what to push and to whom. It also depicts the tasking and information requirements of pushing while systems, repositories and project information represent the methods used for pushing.

Step 1 – Identify civil information to Push:

a. Identify information managed by the supported unit.
b. Identify data known to be managed by other organizations, military and non-military. Coordinate sharing between requesting and possessing organizations.
c. Identify components using ID meta-tags, as explained in Chapter 5, that complete an IR or tasking:
   (1) Originator
   (2) Classification and caveat specifications

(3) Mechanism for transmission of the civil information

(4) LTOV for the civil information.

(5) Type of information:

(a) Geospatial (b) Briefing

(c) Text (d) Database Output and Excel

(e) Pictures and Video (f) Analytical Product

(6) Required media:

(a) Hardcopy (b) CD/DVD

(c) Digital (d) Verbal/in person

(7) Suspense or DTG specified for delivery. Suspense is when the requester wants the information.

(8) Required or acceptable date range or age of information

(9) Granularity required. Different stakeholders require different levels of detail. A corps staff or an embassy country team may require less detail but a broader range of understanding while a battalion staff or a single USG agency may need more specifics and less background.

NOTE: If you don't already have the information you want to share, refer to Chapter 4, Collection, for guidance.

WARNING: Ensure pushed information does not exceed the classification and caveat level of the recipient.[4]

Step 2 – Disseminate civil information:

a. Comply with all command-specific information assurance requirements.

b. Share civil information IAW mechanisms established with the stakeholder.

c. Maintain a log documenting all actions taken to coordinate the release of civil information, including:

(1) Actions taken

(2) Name, rank, and position of authority authorizing the actions

(3) Name, rank, and position of the person executing the actions

(4) DTG the actions executed

d. Maintain a log of all pushed civil information. The log should include:

(1) Information pushed (2) Means used to push Information

(3) DTG pushed (4) Sending person

(5) Person pushed to (6) DTG receipt delivery confirmation received

CAUTION: Every sharing transaction should have a clear purpose, authorized recipient and mechanisms for verifying validity, non-repudiation and integrity of the data moved.

CAUTION: Maintaining logs safeguards individuals from disciplinary or legal repercussions in cases where information is conveyed to unauthorized recipients.

WARNING: When disseminating products, ensure that the controls for release have been observed and the products are clearly designated with proper classification and caveat markings.

8.2.3 Push Reports Procedures

The most effective means to determine reporting requirements is to fully understand reporting SOPs and the information being reported. Figure 8-2, Push Civil Information and Reports, depicts reporting and dissemination of reports. It illustrates how a stakeholder identifies and disseminates collected civil data.

Reporting civil data is a two-step procedure that involves transmission of civil data to the reporting authority, usually the supported unit or next higher command. Civil data reporting is not operational reporting such as a SITREP or OPSUM, although they are complementary. Standardized data collection promotes accurate and complete conveyance of relevant, usable civil data that supports key decision makers.

Step 1 - Determine reporting requirements:

a. *Determine Tasking Authority:* Identify the person(s) and organization(s) requiring reports.

b. *Determine Reporting Method:* This step is usually pre-determined by theater or operational requirements, command guidance, or mission requirements, but can be executed when forming a primary, alternate, contingency, and emergency (PACE) plan.

c. *Determine Reporting Frequency:* Define suspense times at which the tasking authority expects to receive reports.

***CAUTION:* If timeliness considerations permit, delay reporting the civil data to enable use of a higher priority method.**

Step 2 Push Report. Disseminate reports using appropriate method(s) listed below in order of priority.

Step 2a – Report using civil information system:

a. Conduct data entry IAW unit SOP, TTP, or the system manual.

b. Attach all supporting documents to the report.

***WARNING:* Follow the unit SOP for file naming.**

Step 2b – Report using email:

a. Create an email to report civil data. Include:
   - Priority marker if time sensitive
   - Summary of report and attachments
   - Issues and comments

b. Attach all supporting documents to the email

c. Request a message receipt notification

d. Log and file the receipt notification

Step 2c – Report using hard copy:

This method greatly reduces the visibility and accessibility of data, and increases the possibility of data errors if later transcribed into a system. Procedures for hard copy reporting are dependent on mission variables and operational requirements.

a. Produce copies of all hard copy reports

b. Maintain a log of hard copy reports

c. Determine from the tasking authority which media to use:
   - CD/DVD or other digital media
   - Paper copies

d. Transfer civil data to a CD and other digital media:
   - Label the media IAW unit naming SOP, or use the ID meta-tags from Chapter 5

e. Create photocopy of all completed collection forms and supporting documents
   - Print all digital supporting documents

f. Deliver report to tasking authority

Step 2d –Verbal reporting:

a. Contact the receiving station

b. Provide report using line numbers from the joint form in Appendix B

c. Ensure receiving station reads back report

d. Maintain a log of verbal reports

e. Follow-up immediately with a report using the procedures in Step 2a, 2b, and/or 2c

WARNING: ***Verbal reporting is not used for reporting all types of civil data. Use it only for time sensitive data or as a method of last resort.***

8.2.4 Push Civil Information Best Practices

Pushing civil information is generally straightforward, but there are practices that can help staff sections execute tasks more efficiently and achieve the desired results. Some of these practices are:

1. Forward civil information to the requestor even if the LTOV has passed; there may have been a change in circumstances that allows the civil information to still be of use.
2. Establish a schedule for regular review of available civil information and attend boards and working groups in the supported staff to stay current on what information is available and where it is located.
3. Balance push and pull to meet priority requirements. The more information that is pulled, the less time staff have to produce answers for RFI and IRs.
4. Synchronize the push of civil information with the supported unit's decision-making process.
5. Follow-up with stakeholders after the product has been pushed to determine if the product was useful and further refine how the stakeholders communicate their civil IR.
6. Manage classification and caveat issues. If information needs to be de-classified in order to be released, the data owner and staff officer must coordinate their efforts with the FDO to release the information.

8.2.5 Best Practices to Report Civil Data

Institutional deficiencies for reporting civil data require training collectors to report civil data in a consistent format that incorporates their observations and interpretations of the civil conditions. This format can be a component of a SOP for reporting civil information. Effective communication of observations is the only way for higher echelons to understand the situation in the operating environment. Communicating the tactical collector's interpretation of their observations provides higher echelons a 'feel' for civil conditions. Civil reporters:

1. Implement the following format as a model within directed reporting structures:
   a. *Report ID:*
      (1) ID meta-tags as explained in Chapter 5, Consolidation.
   b. *Observations:* Describe of the observed facts in the civil components of the operating environment:
      (1) Description of the civil components of the operating environment.
      (2) Statement of conditions and actions observed during the mission such as atmospherics.
   c. *Interpretation:* Presentation of the reporter/team/squad's analysis of the facts in terms of their supported commander's mission and guidance:
      (1) Description of the reporter's conclusions about the operating environment.
      (2) Relation of actions to conditions or military operations.
      (3) Intuition, suspicions, or things that "don't feel right".
   d. *Recommendations:* Reporting team/squad recommended COA exploits their ground-level interaction with the populace and the operating environment to develop coordinated follow-on missions that support one or more LOO. Reporters recommend COAs to address civil vulnerabilities.

2. Ensure that reporter observations are not mixed with analysis. Knowing the facts is just as important as knowing what the observer thought about them. Not being able to clearly identify observations and analysis degrades the value of both.
3. Submit reports on time. The information available at the time due is of more value than waiting for more information that may or may not come in.

The single most important practice in reporting civil data is to avoid over-classification of reported material. This facilitates the widest sharing of information to the broadest audience of stakeholders. The following techniques will help ensure that the civil data is marked appropriately for efficient handling in other stages of the joint civil information management process:

1. Apply appropriate classification and caveats to the overall report and all paragraphs of the report.[5]
   a. Mark front and back cover pages with the highest classification level contained in the report.
   b. Mark internal pages with the highest level of classification of that page, not the entire document.
2. Maintain unclassified information on information systems that facilitate pushing to all stakeholders.
3. Reporting conveys observations that impact the supported commander's operational objectives and highlights any CCIR.
4. "Atmospherics," or observations about the environment, are important, and are consistently reported.

CAUTION: ***Classification and caveat is assigned IAW Executive Order (EO) 13526, Classified National Security Information; EO 13556, Controlled Unclassified Information; DoD Instruction (DoDI) 5200.01, DoD Information Security (INFOSEC) Program and Protection of Sensitive Compartmented Information (SCI); DoD 5200.1-PH, Guide to Marking Classified Documents; DoD 5200.1-R, INFOSEC Program; DoDD 5205.02, DoD OPSEC Program; DoD Manual 5205.02-M, DoD OPSEC Program Manual; and Directive-Type Memorandum, Security Classification Marking Instructions.***

8.3 Pulling

Pulling has two aspects: 1) the retrieval of civil information from existing sources; and 2) enabling other stakeholders, both internal and external, to access and obtain civil information from the supported unit. Aspect (1), the actual pulling of civil information, is addressed in Chapter 4, Collection. Aspect (2), enabling stakeholders to pull civil information, is the focus of the remainder of this section. They are described in more detail as follows:

1. **Retrieval from existing sources** is collecting civil information to satisfy requirements and increase SA. When pulling to support requirements, units and staffs are acquiring information in response to taskers, RFI, standing IRs, or to satisfy internal organizational requirements. Pulling enables the supported unit to synchronize and coordinate efforts with non-military stakeholders. Pulling from stakeholders is executed IAW the procedures described in Chapter 4, Section 4.2, Information Search.
2. **Enabling stakeholders to pull from the supported unit** is providing stakeholders access to supported unit information systems so they can independently conduct information searches to satisfy their civil IRs. Enabling stakeholders to pull from the supported unit provides a common understanding of the operating environment. *When enabling stakeholders to pull from the supported unit, there are additional procedures that must be executed.*

8.3.1 Pulling Considerations

Enabling stakeholders to pull from the supported unit requires extensive collaboration with stakeholders to provide them access to the supported unit's civil information. Stakeholders are enabled to pull information so that

the commander can coordinate with them to achieve unity of effort. Extensive coordination with data 'owners', J6, FDO, and stakeholders as members of a community of interest (COI) is necessary. It determines their requirements, data authorized for release, and the methods stakeholders are authorized to use for pulling and enabling others to pull. Additional considerations to facilitate stakeholder visibility and accessibility to supported unit civil information include:

1. Identifying collection plan refinements:
    a. What information does the unit collect that satisfy stakeholder requirements?
    b. What information can the unit collect to assist in satisfying stakeholder requirements?
    c. What information do stakeholders collect that satisfies CCIRs?
    d. What information do stakeholders collect that could be useful to the commander?
2. Identifying stakeholder objectives
3. Consider role, organization, and capabilities of supporting or adjacent CMOCs.

8.3.2 Procedures to Enable Stakeholders to Pull From the Supported Unit

The means to enable stakeholders to pull will vary considerably based on the operational relationship with the stakeholder, the stakeholder's objectives and mission statement, and the technical capabilities the stakeholder has fielded in the operating environment. The procedures provided below offer a framework for enabling stakeholders, irrespective of the means employed, to pull civil information from the supported unit by implementing a COI for sharing civil data[6]:

Step 1 - Obtain authority to operate. A memorandum from the supported unit commander authorizing:

a. Formation of a data sharing working group.
b. Coordination with non-DoD/USG agencies and organizations.
c. Release of information from classified information systems.
d. Release of information to non-DoD/USG agencies and organizations.

Step 2 - Establish data sharing working group:

a. Invite data owners, requesting stakeholders, supported unit representatives, joint civil information management coordinators, and stakeholders that interact with the civil environment
b. Define information owned by each working group member:
    (1) Identify the data each working group member owns.
    (2) Identify storage media, such as database, spreadsheet, hardcopy, etc.
    (3) Define content subject, breadth, depth, location, key words, etc.
c. Define IRs, information of interest, and requested formats for each participating organization:
    (1) Very clearly define data each working group member wants to acquire.
    (2) Identify format for the data exchange, such as text files, database, spreadsheets, etc.
d. Identify gaps between requirements and information owned by stakeholders
e. Identify information authorized for sharing. Request approval to release information satisfying stakeholder IRs from FDO and data owner:
    (1) Identify the clearance level of the stakeholders
    (2) Release information IAW DoD, service, and command policies.
f. Identify procedures and methods for sharing between members of the working group.

g. Develop agreements with stakeholders to authorize sharing and ensure INFOSEC of sensitive information is maintained.

Step 3 - Coordinate with J6, joint civil information management coordinators, data owners, and FDO to ensure designated stakeholders can access information systems as authorized.

NOTE: Procedures and guidance for establishing communities of interests, including data sharing working groups, is provided in Chapters 2-4 of DoD 8320.02-G, Guidance for Implementing Net-Centric Data Sharing.

NOTE: Example desk instructions, charter, information request matrix, and data sharing working group information flow matrix are provided in Annex G.

8.3.3 Pulling Best Practices

Data sharing working groups are a COI that fulfill the Key COI Attributes and Primary Responsibilities of COIs in Table C2.T1 and C2.T2 from DoD 8320.02-G, reproduced in Table 8-1, Community of Interest Key Attributes and Primary Responsibilities.

Table 8-1. Community of Interest Key Attributes and Primary Responsibilities

Key COI Attributes	Primary Responsibilities of COIs
• Formed to meet a specific data sharing mission or fulfill a task • Composed of stakeholders cooperating on behalf of various organizations, with emphasis on cross-Component activities • Members committed to actively sharing information in relation to their mission and/or task objectives • Recognize potential for authorized but unanticipated users and therefore, strive to make their data visible, accessible, and understandable to those inside and outside their community.	• Identify data assets and information sharing capabilities, both operational and developmental, which should conform to the data strategy goals of DoD Chief Information Officer Memorandum, DoD Net-Centric Data Strategy. • Identify approaches to enable those data assets and information sharing capabilities to satisfy data strategy goals and to measure the value to consumers of shared data. • Develop and maintain semantic and structural agreements to ensure that data assets can be understood and used effectively by COI members and unanticipated users. • Register appropriate metadata artifacts for use by the COI members and others. • Extend the DoD Discovery Metadata Specification (DDMS) as required to ensure that COI-specific discovery metadata is understandable for enterprise searches. • Partner with a governing authority, as appropriate, to ensure that COI recommendations are adopted and implemented through programs, processes, systems and organizations.

Enabling stakeholders to pull benefits from establishing a "COI as 'a collaborative group of users who must exchange information in pursuit of their shared goals, interests, missions, or business processes and who therefore must have shared vocabulary for the information they exchange.' COIs are organizing constructs created to assist in implementing net-centric information sharing. Their members are responsible for making information visible, accessible, understandable, and promoting trust – all of which contribute to the data interoperability necessary for effective information sharing."[7]

These additional practices promote maintaining SA between stakeholders participating in COIs:

1. Maintain a running estimate of stakeholder information that satisfies requirements in the collection plan, or that could justify modification of the collection plan.
2. Identify civil information of interest to stakeholders and focus efforts on ensuring it is accessible to them.
3. Maintain awareness of new or updated content with respect to stakeholder needs.
4. Establish a schedule for the regular review of stakeholder civil information by attending boards and working groups.

8.4 Populate the Civil Common Operational Picture

A COP presents information in a form that enables maintaining SA and making effective, consistent, and timely decisions. There are two methods for presenting a civil COP:

- **Civil layer of the COP.** This product may be classified and presents key civil information tied to capabilities of the HN, bi- and multi-lateral agencies, and military forces. The civil layer to the COP is populated with the most current civil information analyzed for how it affects the JFC's battlespace, mission, and current or future operations. It is a tool designed to support accurate and timely military decision making.
- **CMO COP.** This product is unclassified and developed to support non-military organizations or peacetime missions that are not sensitive or are occurring in permissive environments. It provides the status of key events and tasks relevant to current civil operations or objectives tied to capabilities of the HN, bi-and multi-lateral agencies, and military forces. The CMO COP provides the most current civil information to stakeholders in an expedient, easily understandable format.

Both ways are based on the same civil data, but the civil layer of the COP must present the data in a manner that supports the needs of the commander. For example, a JFC requires substantially different information compared with a subordinate component commander. A TF or component command COP is a subordinate operational picture with different information but based on similar data and facts. Individual operational pictures are linked to the higher command's operational picture. Properly aggregated information connected to the missions and objectives of the JFC results in a COP that is tailored to requirements. The JFC's COP grows out of aggregated information from subordinate unit operational pictures.

8.4.1 Populate the Civil Common Operational Picture Considerations

The primary consideration for populating the civil COP is the intended audience. The civil layer to the COP presents the supported commander with key information tied to capabilities of the HN, PVO, IPI, USG agencies, military forces, other relevant participating partners, and civil conditions in the operating environment. The civil layer to the COP is populated with the most current civil information that is analyzed for how it affects the commander's operations, and is a tool designed to support accurate and timely military decision-making.[8]

The CMO COP is an unclassified product derived from the civil layer to the COP, and is developed to support non-military partner missions, and increase synchronization and collaboration between stakeholders in generally permissive environments. It provides the status of key SSTRO, HA/DR, or HN events and activities related to current civil conditions. This product is populated by the J9 in concert with the J2 and J3, considering missions and capabilities of stakeholders operating in the AO. The CMO COP provides current civil information to stakeholders in an expedient, easily understood format.

Regardless of audience or type of COP populated, the J3 manages the commander's COP, and is the tasking and authorizing authority for COP development and input, especially for a civil-military operation COP being disseminated outside of the military. The COP supports decision making by conveying information that contributes to understanding the situation. The J3 is the authority for all COP-related decisions, and provides the direction for populating the COP. Considerations for developing inputs to the civil COP are:

1. Audience:
    a. The civil COP is presented to non-military audiences through a CMO COP, IAW policies for release of information to foreign governments and international organizations.

b. The civil COP is presented to military audiences through a civil layer to the COP.
c. Appropriate classification and caveat levels for audience.

2. Current requirements:
   a. Specific mission, information, or operational requirement depicted in the COP.
   b. A statement of area of interest and commander's intent.
3. Format for the supported unit COP.
4. Information technology capabilities and requirements.

8.4.2 Populate the Civil Common Operational Picture Procedures

Maintaining the supported unit COP is the responsibility of the operations directorate or stakeholder equivalent, so all inputs to the COP must be coordinated through the appropriate joint operations directorate COP manager or equivalent. The procedures for populating a civil COP are:

Step 1 – Identify NAI and adjacent stakeholder AOs.

a. Clarify unclear or poorly communicated requirements.
b. Identify special and coordinating instructions.
c. Identify subordinate AOs intersecting or within the NAI.
d. Identify location of partnering stakeholders in the NAI.

Step 2 – Identify components of the civil information architecture relevant to:

a. Mission, IRs or operational requirements.
b. NAI and desired effects.

Step 3 – Populate the relevant information such as, but not limited to:

a. Information that satisfies CCIRs in the OE
b. Significant civil actions
c. Civil threat assessment
d. Cultural events and sites, as protected locations
e. Relevant friendly force activities include, but are not limited too:
   (1) Project management
   (2) Presence Patrol
   (3) Civil reconnaissance and civil engagement
   (4) Medical Civil Action Programs (MEDCAP)/VETCAPs
   (5) HA/DR

STEP 4 - Submit updated civil COP to the COP manager for integration into the COP.

a. Configure display to present most effective and easy to read visualization.
b. Push civil information that is relevant, but was not specified.

8.4.3 Populate the Civil Common Operational Picture Best Practices

The underlying foundation of a COP is the published standards including data architecture, field descriptions, meta-tags, and clearly defined input and output requirements. The key concept is that data is entered once, properly formatted and tagged, and made available to all entities that need the information and have the appropriate access permissions. Data recorded using these foundations becomes the civil information that populates the COP.

1. The following best practices will assist in population of a civil COP regardless of audience:
   a. Obtain specific purpose and requirement for each request for a civil COP.

b. Integrate relevant stakeholder input to a civil COP.
c. Coordinate with subordinate, adjacent and higher units to automate incorporation of their CMO reporting in the civil COP as appropriate.
d. Coordinate among internal staff using a working group.
e. Maintain updated definitions for all symbols, terms, and acronyms used to depict the civil components of the operating environment in the COP IAW MIL-STD 2525[9]:
(1) Include the POC for stakeholder information and symbols.
(2) Include geo-reference markers
f. Ensure the COP is tailored to link desired effects to the subjects being depicted.

2. The civil COP should depict items that enhance understanding of the operating environment such as:
a. Relation to LOO, CCIR, and current commander guidance.
b. Selected relevant components of the civil information architecture, such as:
(1) Typical PMESII systems and subsystems identified in JP 2-01.3, JIPOE, Appendix C, Section B.
(2) Civil SME functional and analytical frameworks
(3) Analytical and categorical systems, such as PMESII and SWEAT-MSO.
c. Stakeholder capabilities to address civil requirements
d. Critical civil vulnerabilities
e. Civil sentiment to on-going operations
f. Activities significant in the civil components of the operating environment.

8.5 Sharing Project Information

Project details are highly sought after by multiple stakeholders and are a required component for RIP/TOA between military units or in transitioning with host nation and NGO partners at end of mission. Sharing project data with stakeholders greatly enhances relationships and effectiveness. Non-military stakeholders generally do not have a mandate to share or coordinate with the military. Some stakeholders have sensitive and proprietary interests and often have procedures that mirror military classification and caveat requirements. Understanding this and being able to articulate it can mitigate some causes of poor project data sharing. The following are considerations for sharing project data:

1. Project data represents direct efforts to influence and address problems in the operating environment:
a. Project data, such as objectives and goals, planned timeframe, location, project lead (USG, HN, NGO, other), and cost and funding (amount and source) enable generating a complete civil COP.
b. Not all stakeholders maintain detailed records of project data:
(1) Sometimes civil reconnaissance must be executed to acquire more specific information about stakeholder projects.
(2) Stakeholder OPSEC is a consideration.
2. Historical project data provides a longer term view of civilian involvement.
a. Sometimes project data is the only method for coordinating activities due to OPSEC considerations.
b. Project data allows stakeholders to leverage other efforts to accomplish their objectives.

The primary best practice to expedite sharing project data is consolidating unit and subordinate unit project data IAW procedures defined in Chapter 5. Additionally, the following can further expedite sharing project data:

1. Ensure that projects are grouped and meta-tagged as specified by the DDMS or organizational unit SOP.
2. Reduce project data by removing data fields not authorized for release.
    a. Personnel names, costs and funding information, military boundary identifiers, etc. are not generally authorized for dissemination to non-USG stakeholders.
    b. Refer to data sharing agreements, FDO, data owner requirements or command guidance to identify data fields authorized for release.
3. Convert file type to a tab delimited text file, or a spreadsheet, such as MS Excel, IAW the procedures in Chapter 5, Consolidation.
4. Include relevant supporting information in predetermined fields and formats:
    a. Project nomination packet:
        (1) Scope of work.
        (2) Contractor bids.
    b. Monitoring and controlling reports:
        (1) Payment history.
        (2) Inspection reports.

8.6 Conclusion

Sharing is a vital part of the civil information management process. The collected civil data and derived information is useless unless it gets to the people that need it in a timely, accurate, and complete manner. The capability to share information also permits a more efficient use of resources (personnel, time, funding), prevents duplication of effort, and improves overall situation awareness of the AO. However, sharing is also one of the most difficult civil information management steps because it requires considerable direct interaction and communication with people, both internal and external to the organization.

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[1] Joint Publication 2-0, *Joint Intelligence*, 22 June 2007, page I-19; & Joint Publication 2-01, *Joint and National Intelligence Support to Military Operations*, 7 October 2004, page III-51.

[2] CJCSI 3151.01B, *GCCS COP Reporting Requirements*, page 2.

[3] EO 13526, *Classified National Security Information*; EO 13556, *Controlled Unclassified Information*; DoDI 5200.01, *DoD INFOSEC Program and Protection of SCI*; and DoDD 5230.11, *Disclosure of Classified information to Foreign Governments and International Organizations*.

[4] ibid

[5] ibid

[6] *DoD Information Sharing Strategy*; *DoD Net-Centric Data Strategy*; DoDI 8220.02, *Information Communications Technology Capabilities for Support of Stabilization and Reconstruction, Disaster Relief, and Humanitarian and Civic Assistance Operations*; *DoD Information Sharing Implementation Plan*; DoD Directive 3000.5, *Stability Operations*; DoDD 8320.02, *Data Sharing in a Net-Centric Department of Defense*; and DoD 8320.02-G, *Guidance for Implementing Net-Centric Data Sharing*.

[7] DoD 8320.02-G, *Guidance for Implementing Net-Centric Data Sharing*, pages 11.

[8] CJCSI 3151.01B, *GCCS COP Reporting Requirements*, page A-1.

APPENDIX 1 JOINT DATA SHARING WORKING GROUP

1.0 Introduction

The procedures for enabling stakeholders to pull established in Chapter 8 of the User's Manual identify establishing a joint data sharing working group as COI (COI), in accordance with (IAW) Department of Defense 8320.02-G, Guidance for Implementing Net-Centric Data Sharing. Implementing a COI provides an environment where stakeholders can collaborate to identify and resolve issues with sharing. Some potential issues that can prevent effectively sharing between collaborating stakeholders are:

- Unidentified data owner(s) or data owner refusal to release information
- Incompatible information systems
- Unidentified IR
- Unknown points of contact (POC)
- Restrictions on sharing sensitive information or incompatible classification systems
- Poor/no network interconnectivity
- Unknown data storage locations

The Joint Data Sharing Working Group (JDSWG): Data Sharing With the United Nations Assistance Mission In Iraq (UNAMI) desk instructions included below is a redacted copy of the documents that resulted from COI collaboration during Operation Iraqi Freedom to share civil information between the United States military, the Iraq Transition Assistance Office, the Gulf Region Division of the United States Army Corps of Engineers, the United States Embassy, the United States Agency for International Development, and the Coordinator for Economic Transition in Iraq. The JDSWG collaborated for nearly a year before data began being shared IAW the policies outlined in the JDSWG desk instructions.

The Civil Affairs Brigade Civil Information Management (CIM) Cell Officer in Charge chaired the JDWSG, was the primary POC for coordinating working group meetings, and was responsible for consolidating and pushing information requested from the military to UNAMI. The JDSWG desk instructions provide an example of successful COI collaboration facilitating sharing between stakeholders, and can be used as a framework to structure COI collaboration in future data sharing working groups.

1.1 Joint Data Sharing Working Group Data Sharing With The UNAMI

Issue: Draft D for release

Dated:

References:

A. Stakeholder letter dated .

B. DCG/1/8/1/Ops dated .

C. Command FRAGO ##.

Background

1. As part of the responsible drawdown of military operations, the Deputy Special Representative of the Secretary General (D-SRSG) of the United Nations Organization (UN) and the Deputy Commanding General (DCG) of the Multi-National Force in Iraq (MNF-I) have exchanged letters undertaking to share information on Humanitarian, Development and Reconstruction (HDR) activities (References A and B). A joint Data Sharing Working Group (JDSWG) has convened under the authority of Reference C to manage the process of preparing data for transfer, achieving appropriate authorizations and actually conducting handover of information. This paper forms the desk instructions on the processes to be adopted in MNF-I and subordinate commands to carry out transfer of information to and from the UN.

2. The process and arrangements described in this document should not restrict United States government (USG) / UN contact and information sharing at other levels and in other forms. Direct contact at a working level where local information is available and can be shared is to be encouraged. For example, United States Agency for International Development (USAID) and United Nations Assistance Mission for Iraq (UNAMI) will continue to share data in accordance with their existing bilateral agreement. This Instruction provides a framework for the institutional sharing of data at a corporate level.

Management Oversight and Governance

3. The JDSWG Charter is at Annex A. The JDSWG coordinates activity and has sought to maximize data transfer while minimizing bureaucracy and technical overhead. It will provide oversight of the data transfer and provide the forum for resolution of difficulties.

Types of Data

4. UNAMI has identified the types of information of interest and these are at Annex B.

5. In the main, MNF-I HDR information is held in one of two databases Combined Information Data Network Exchange (CIDNE) and Iraq Reconstruction Management System (IRMS). In addition, IRMS contains information on reconstruction projects from other sources such as the Iraq Transition Assistance Office (ITAO) and USAID. Information developed by the Office of Provincial Affairs (OPA) is covered by a separate protocol and process. The following processes have been optimized for these two databases but the principals can be applied to all HDR data generated by MNF-I and the United States Embassy (USEMB) and related organizations.

Requests for Transfer

6. Requests for transfer of data can be initiated from either UNAMI or USG. Requests are processed using the request form at Annex C and the process at Annex D.

Approval for Transfer

7. In order to facilitate transfer the following criteria must be met:

a. Information is Unclassified. Information classified as "For Official Use Only" may be transferred to the UN with the permission of the data owner (normally the originator). The data owner is responsible for determining the classification of the data requested in accordance with their agency's applicable classification guidelines (e.g. the MNF-I Classification Guide).

b. Commercially sensitive information is not to be transferred (normally pricing and contractual information comes into this category although proprietary technical data may also be included) without the express permission of the owner. Pricing and contractual information will not normally be sought.

c. Foreign Disclosure Authorization must be in place from the appropriate Foreign Disclosure Officer.

Process of Transfer

8. Information will be transferred through the United Nations Inter-Agency Information and Analysis Unit (IAU) portal.

Access to Portal

9. Each organization requesting or transferring data will be required to nominate an individual who will access the portal on their behalf. More than one individual may be nominated to cover for absence but numbers should be limited to those requiring routine access using internal management processes. Password applications can be filled in on line and passed electronically to the UN IAU. Prior to access being granted the JDSWG will be consulted to ensure that the request is appropriate. Passwords will require to be renewed every 6 months and will automatically expire after 90 days inactivity.

Data Format

10. Data for upload should be in a standard format that can be read by the recipient. Specialist information may be transferred in other formats providing that the receiving organization is prepared to accept it. Files posted on the portal should be named in the following convention to ensure that all parties can readily identify it:

YYYYMMDD-descriptor of file contents-version-originator

Where:

- "YYYYMMDD" is the date of upload (e.g. 20090601 for 1 June 2009)
- "descriptor of file contents" gives enough information for the reader to understand what is in the document or file
- "version" gives a version number if appropriate to ensure common configuration control
- "originator" states the organization or post uploading the data.

Duration on Portal

11. Once uploaded to the IAU portal, information will be retained for 30 days to allow receiving organizations to download it. After 30 days the information will be removed from the portal by IAU.

Large Data Files

12. Data files > 100MB will need to be transferred to compact disk (CD) or other portable data device in accordance with the appropriate security operating procedures for transfer. Transfer should be noted by the JDSWG.

Records of Data Transferred

13. Each organization uploading or transferring data shall retain a record of the data transferred consisting of the organization requesting the information, the approval granted (reference of letter / email), the file name of the transfer, the name of the operator and the date transferred. The UNAMI IAU on, behalf of the JDSWG will collate a register of all transactions. A register will be held on the portal listing all requests and their status. This will be permanently available so that all requests are visible, including those previously actioned, to all organizations.

Response Times

14. In normal course, organizations will seek to answer requests for data within 30 days. Where this timescale cannot be met, an interim response should be given within 30 days stating the anticipated completion date. The register on the UNAMI portal should be kept updated with the anticipated completion date.

Configuration Control

15. This Instruction will be updated and maintained using configuration control (revision letter and date). It will be posted in portable document format (PDF) format on the UNAMI portal and on the MNF-I shared area (in liaison with MNF-I CJ6 Knowledge Manager). The edition on the UNAMI portal will be considered the master copy.

Point of Contact

16. The points of contact for the JDSWG are:
    a. CJ9. Name of authority
    b. MNC-I. Name of authority
    c. UNAMI. Name of authority

Annexes:

A. Joint Data Sharing Working Group Charter
B. Information Identified for Sharing
C. Data Request Form
D. Data Transfer Process

ANNEX A TO:

DATA SHARING INSTRUCTIONS

DATED XX JUN 09

1.2 Joint Data Sharing Working Group Charter

Objectives

1. To develop the management processes and protocols necessary for sharing information on Humanitarian, Development and Relief (HDR) between the Multi-National Force Iraq (MNF-I), other US Government (USG) agencies and the United Nations Organization Assistance Missions in Iraq (UNAMI).

2. To develop the data handling techniques and formats necessary to achieve paragraph 1.

3. To ensure that the processes and techniques developed are consistent and compliant with appropriate statute and regulation, including but not limited to foreign disclosure rules.

4. To put in place written instructions and processes to allow management of data flows through personnel circulation and transformation of the MNF-I and USG structures as the footprint in Iraq reduces.

Membership

1. CETI (chair)
2. CJ9 (co Chair)
3. UNAMI Information and Analysis Unit
4. Representatives of:
5. MNF-I – CJ5
6. MNF-I - SJA
7. MNC-I – C9
8. MNC-I – KMO
9. MNC-I – CA Brigade
10. MNSTC-I – C3/5
11. MNSTC-I – C7
12. USAID
13. ITAO
14. GRD

Authority

The JDSWG is an enabling and coordinating body. It does not have the authority to task in its own right. Tasking of military force elements will be conducted through the chain of command and USEMB organizations through USEMB structures. Members of the JDSWG are expected to be able to speak on behalf of their organizations and take actions in support of the objectives listed above.

Structure

The JSDWG meets as required. It is anticipated that once data transfer becomes routine the JDSWG will meet less frequently to monitor progress and tackle issues.

ANNEX B TO:

DATA SHARING INSTRUCTIONS

DATED XX JUN 09

1.3 Information Identified for Sharing

Table 1-1. Identified Sources, Types and Details of Information to be Shared by UN

	INFORMATION	
	Source / Type	**Details**
UN (Focal points)	IAU / UN Project Database (3W)	<u>Individual Project detail:</u> Project Location (district / governorate) Project Number, Title, Description, Sector and Type Beneficiary Type and Number Start and End dates <u>Aggregated Project Information:</u> Project list summary (without funding) by governorate / district and/or UN organization Funding by district / governorate (active/closed) Number of projects by district / governorate (active/closed) Summary reports by sector <u>Additional Project detail upon request and agency authorization:</u> Name and Contact information of UN Agency Project Location details Budget and Funding details Name and Contact information of implementer
	IAU / Assessments and Analysis	Vulnerability and Employment assessments and analyses. Associated raw data available upon request and agency authorization. Essential Services: Health, Education, Water, Sanitation, Electricity, Fuel, Food.
	IAU / Geographic Data	Baseline geo-referenced data on essential services Geo-referenced data on vulnerability
	IAU / Surveys and Reports	All UN sponsored reports and, upon request and agency authorization, the associated raw data available

Note 1: Information shared through this exchange by either party will be tagged as "public distribution" and "clearance required". All information tagged as public can be shared with third parties at their request. All other information will require the party in question to clear its dissemination with the party of origin.

Table 1-2. Identified Sources, Types and Details of Information to be Shared by MNF-I

MNF-I	A) MNC-I / Combined Information Data Network Exchange (CIDNE) B) ITAO / Iraq Reconstruction Management System (IRMS)	Geo-referenced Locations / Networks: Health, Education, Water, Sanitation, Electricity, Fuel, Food. Roads, Bridges, Ports and Airports Geo-referenced demographics, facilities, organizations <u>Individual Project detail:</u> Project Location (lat-long where available, district / governorate) Project Number, Title, Description, Sector and Type Beneficiary Type and Number (if available) Start and End dates <u>Aggregated Project Information:</u> Project list summary (without funding) by governorate / district and/or funding agency Funding by district / governorate Number of projects by district / governorate Summary reports by sector <u>Additional Project detail upon request and agency authorization:</u> Name and Contact information of agency Project Location details Budget and Funding details Name and Contact information of implementer
	GRD, BCT, MNC-I / Key Actors in Reconstruction and Development	Geographic Area / Contact Information
	MNF-I, MNC-I, MND, BCT / Essential Services and Infrastructure	Geo-referenced Locations / Networks: Health, Education, Water, Sanitation, Electricity, Fuel, Food. Roads, Bridges, Ports and Airports Monitoring and Assessments
	MNF-I, MNC-I, MND, BCT / Security, Freedom of Movement and Demographics	Displacement and Returns Ethnic / Sect distribution Security Situation and Alert levels
	MNF-I, MNC-I, MND, BCT / Survey data, Assessments	All survey and assessment data available with accompanying reports

Table 1-3. Identified Actors, Locations and Focal Points for Data Sharing

	ACTORS		
	Office / Organizational Section	**Location**	**Focal Point**
UNAMI	United Nations in Iraq (UNAMI/ UNCT)	Baghdad, Various locations	Information Analysis Unit (IAU), UNAMI's Hub Coordinators and Heads of Sub Offices.
MNF-I	Mutli-National Force – Iraq (MNF-I)	Baghdad	CJ9 civil-military affairs
	Multi-National Corps Iraq (MNC-I)	Baghdad	C9, Civil Affairs Brigade IDP officer, C-35-NK, HTRAC
	Multi-National Divisions (MND)	Various Locations	DCG-S, Non-lethal planner, G9, CA Battalions, HTAT
	Brigade Combat Teams (BCT)	Various Locations	S9, Civil Affairs (CA), Embedded PRT (ePRT), and Human Terrain Teams (HTT)
	US Army Corps of Engineers (USACE)	Baghdad, various locations	Gulf Region Division (GRD) Information Units
	Iraq Transition Assistance Office (ITAO)	Baghdad	Information Management Unit

Note 2: This information exchange is be consistent with UN Civil-Military guidelines, which recognize the importance of sharing relevant information with military as well as non-military actors on the ground while also ensuring that exchanges are cognizant of the need for appropriate confidentiality.

1.4 Data Request Form

Table 1-4. Data Request Form

CLASSIFICATION: UNCLASSIFED / CONFIDENTIAL SECRET//REL TO USA, MCFI	**RECEIVED**: *Date RFI was Received*
RFI TRACKING #:	**SUSPENSE:** *Date needed by*

ACTION OFFICE: *Provide the offices that should answer the RFI*
SUBJECT: *Succinct name of the RFI using as few key words*
BACKGROUND: *As much pertinent information as possible. Answer the five "W"s if required. Provide the origin of the RFI*
QUESTIONS: *Please specific as to what information about the subject you wish to gather.* *Q1: (or field 1)* *Q2: (or field 2)* *Q3: (or field 3)*
ATTACHMENTS: *Provide example spreadsheet of fields data fields requesting.* *ATT A:*
REQUESTER: *POC Originating the RFI (Name, Rank, Organization, Phone Number, Email Address)*
ADDITIONAL INSTRUCTIONS: Add any additional comments or information to assist with this RFI, if extension is needed list explanation in this box and send back to the requester.

1.5 Data Transfer Process

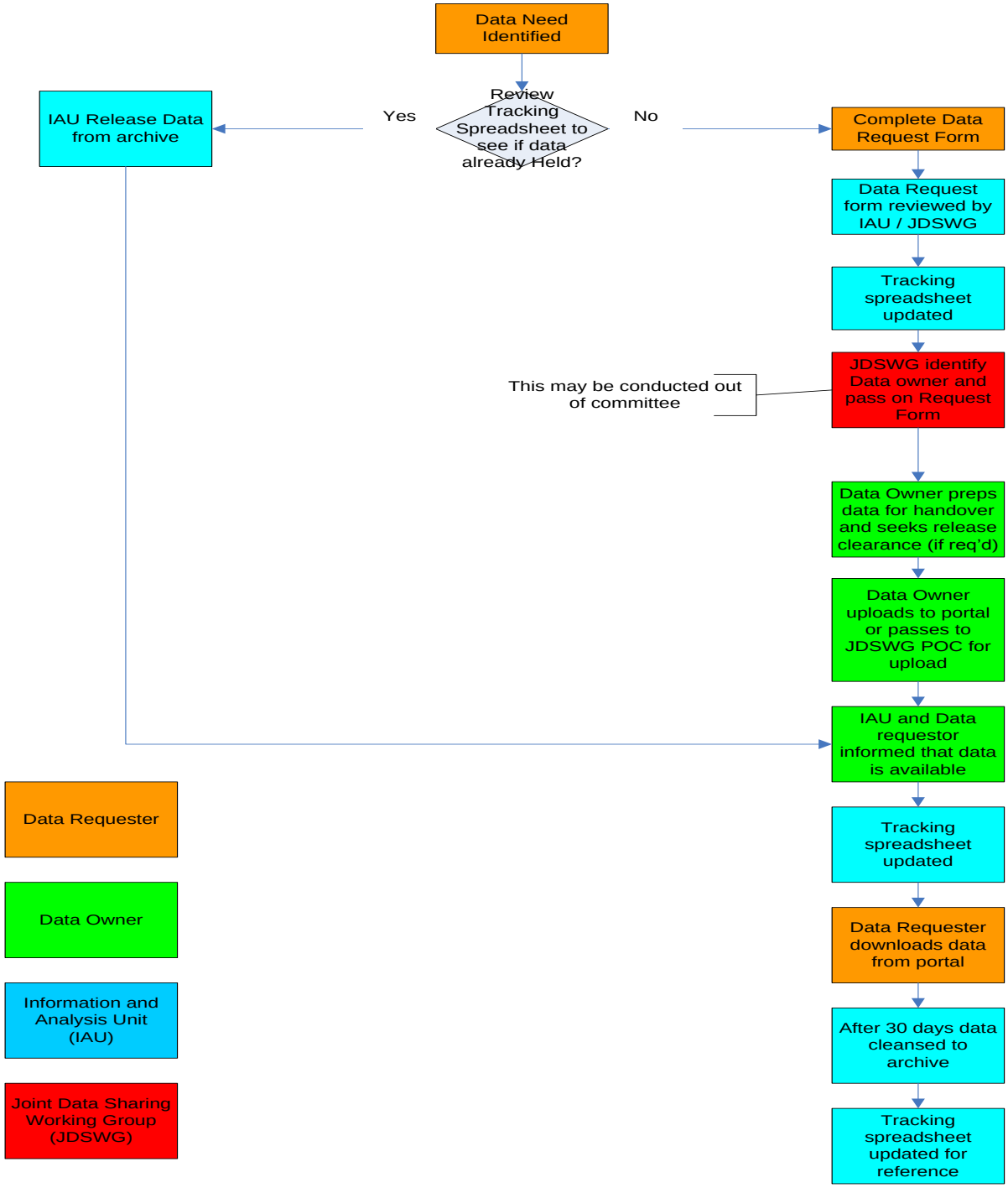

Figure 1-1. Data Transfer Process

APPENDIX 2 REFERENCES

The Joint-CIM User's Manual is based upon the following references:

General

Auburn University. (2005). *Supervisor's Performance Management Toolkit*. http://www.auburn.edu/administration/human_resources/compensation/ccp/supvtool.pdf

Alberts, David S. & Hayes, Richard E. (2006). *Understanding Command and* Control. Command and Control Research Program Publication Series, Assistant Secretary of Defense, Networks and Information Integration/Chief Information Officer, 2006. http://www.dodccrp.org/html4/books_main.html

Alberts, David S. & Hayes, Richard E. (2007). *Planning: Complex Endeavors*. Command and Control Research Program Publication Series, Assistant Secretary of Defense, Networks and Information Integration/Chief Information Officer, April 2007. http://www.dodccrp.org/html4/books_main.html

Elias, Arun A. & Cavana, Robert Y. (Undated). *Stakeholder Analysis for Systems Thinking and Modelling.* School of Business and Public Management, Victoria University of Wellington, New Zealand. http://portals.wi.wur.nl/files/docs/ppme/BobCavana.pdf

Endsley, M.R. (1995). *Toward a Theory of Situation Awareness in Dynamic Systems*. Human Factors, 37(1)

Gallagher, Sean. (2009). *Soldier Notebook Serves as Intelligence Tool.* Defense Systems: Knowledge Networks and Net-enabled Warfare. 2 Apr 2009. http://www.defensesystems.com/Articles/2009/04/08/Soldier-notebook.aspx?Page=2

Klein, G., Moon, B, & Hoffman, R.R. (2006). *Making Sense of Sensemaking 1: Alternative Perspectives*. IEEE Intelligent Systems Journal, Volume 21 (Issue 4), 70–73.

Lawson, Brooke Stearns, Kelly, Terrence K., Parker, Michelle, Colloton, Kimberly & Watkins, Jessica. (2010). *Reconstruction under Fire: Case Studies and Further Analysis of Civil Requirements*. Rand Corporation, National Defense Research Institute. http://www.rand.org/pubs/monographs/2010/RAND_MG870.1.pdf

Major Dostal, Brad C., USA. (2001). *Enhancing Situational Understanding through the Employment of Unmanned Aerial Vehicles.* Center for Army Lessons Learned Newsletter, July 2001, 71.

Major General Flynn, Michael T., USA; Captain Pottinger, Matt, USMC; & Batchelor, Paul D., DIA. (2010). *Voices from the Field: Fixing Intel: A Blueprint for Making Intelligence Relevant in Afghanistan*. Center for a New American Security, January 2010. http://www.cnas.org/files/documents/publications/AfghanIntel_Flynn_Jan2010_code507_voices.pdf

Major Ptak, Steven, USA; Major Webster, Charles R. Jr., USA; & Commander Wilson, Tony W., USN. (2003). *Effective Decision-Making Processes for the Joint Force Commander.* Air Land Sea Bulletin, March 2003. http://www.alsa.mil/documents/alsbs/ALSB%202003-1.pdf

Schmeer, Kammi. 1999. *Guidelines for Conducting a Stakeholder Analysis.* November 1999. Bethesda, MD: Partnerships for Health Reform, Abt Associates Inc. http://www.who.int/entity/management/partnerships/overall/GuidelinesConductingStakeholderAnalysis.pdf

World Health Organization. Undated. *Stakeholder Analysis*. Health Action in Crisis. http://www.who.int/hac/techguidance/training/stakeholder%20analysis%20ppt.pdf

Federal Statutory Laws

The National Security Act of 1947, as amended

The Goldwater-Nichols Department of Defense Reorganization Act of 1986

Title 10, United States Code, Armed Forces, as amended

Title 18, United States Code, Section 1385, Posse Comitatus Act, as amended

Title 22, United States Code, Foreign Relations and Intercourse

Strategic Guidance and Policy

Executive Order 13526, *Classified National Security Information*

Executive Order 13556, *Controlled Unclassified Information*

National Security Presidential Directive 44, *Management of Interagency Efforts Concerning Reconstruction and Stabilization*

Presidential Memorandum, *Designation and Sharing of Controlled Unclassified Information*

Department of Defense Office of the Chief Information Officer, *Department of Defense Information Sharing Strategy*

Department of Defense Publications

Department of Defense Directive 3000.5, *Military Support for Stability, Security, Transition, and Reconstruction (SSTR) Operations*

Department of Defense Directive 4630.05, *Interoperability and Supportability of Information Technology and National Security Systems*

Department of Defense 5000.3-M-4, *Joint Test and Evaluation Procedures Manual*

Department of Defense Directive 5200.27, *Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense*

Department of Defense Instruction 8220.02, *Information and Communications Technology Capabilities for Support of Stabilization and Reconstruction, Disaster Relief, and Humanitarian and Civic Assistance Operations*

Department of Defense Directive 8320.02, *Data Sharing in a Net-Centric Department of Defense*

Department of Defense 8320.02-G, *Guidance for Implementing Net-Centric Data Sharing*

Department of Defense Discovery Metadata Specification, version 3.0

Chairman of the Joint Chiefs of Staff Publications

Chairman of the Joint Chiefs of Staff Instruction 3100.01A, *Joint Strategic Planning System*

Chairman of the Joint Chiefs of Staff Instruction 3122.01, *Joint Operation Planning and Execution System, Volume I: (Planning Policies and Procedures)*

Chairman of the Joint Chiefs of Staff Instruction 3122.02, *Joint Operation Planning and Execution System, Volume III: Crisis Action Time-Phased Force and Deployment Data, Development and Deployment Execution*

Chairman of the Joint Chiefs of Staff Instruction 3122.03B, *Joint Operation Planning and Execution System, Volume II: (Planning Formats)*

Chairman of the Joint Chiefs of Staff Instruction 3150.01A, *Joint Reporting Structure General Instructions*

Chairman of the Joint Chiefs of Staff Instruction 3151.01B, *Global Command and Control System Common Operational Picture Reporting Requirements*

Joint Publications

Joint Publication 1, *Doctrine for the Armed Forces of the United States*

Joint Publication 1-02, *Department of Defense Dictionary of Military and Associated Terms*

Joint Publication 2-0, *Joint Intelligence*

Joint Publication 2-01.3, *Joint Intelligence Preparation of the Operational Environment*

Joint Publication 2-01, *Joint and National Intelligence Support to Military Operations*

Joint Publication 2-03, *Geospatial Intelligence Support to Joint Operations*

Joint Publication 3-0, *Joint Operations*

Joint Publication 3-07.2, *Antiterrorism*

Joint Publication 3-08, *Interagency, Intergovernmental Organization, and Nongovernmental Organization Coordination During Joint Operations, Volumes I and II*

Joint Publication 3-31, *Command and Control for Joint Land Operations*

Joint Publication 3-33, *Joint Task Force Headquarters*

Joint Publication 3-34, *Joint Engineer Operations*

Joint Publication 3-57, *Civil-Military Operations*

Joint Publication 4-10, *Operational Contract Support*

Joint Publication 5-0, *Joint Operation Planning*

Joint Publication 6-0, *Joint Communications System*

Joint Warfighting Center & Joint Concept Development and Experimentation, *Integrated Financial Operations Commander's Handbook: A Joint Force Guide to Financial Operations*

Joint Program Office, *Joint Test and Evaluation Program Handbook, Revision 3*

Joint Program Office, *Joint Test and Evaluation Program Style Guide, Revision 3, Change 1*

Multi-Service Publications

Field Manual 3-07.31/Marine Corps Warfighting Publication 3-33.8/Air Force Tactics, Techniques, and Procedures 3-2.40 *Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations*

Field Manual 6-02.85/Marine Corps Reference Publication 3-40.2A/Navy Warfare Publication 3-13.1.16/Air Force Tactics, Techniques, and Procedures (Interim) 3-2.22, *Multi-Service Tactics, Techniques, and Procedures for Joint Task Force Information Management*

Effective Decision-Making Processes for the Joint Force Commander, Air Land Sea Bulletin, Air Land Sea Applications (ALSA), Issue 2003-1, March 2003

Allied Joint Publication

Counterinsurgency Advisory and Assistance Team, RC-West, Herat, Afghanistan. *The Stability Operations Information Center (SOIC): Comprehensive Understanding for Comprehensive Operations*.

United Nations High Commissioner for Refugees, *The UNHCR Tool for Participatory Assessment in Operations*, http://www.unhcr.org/450e963f2.html

United States Navy Publications

Navy Maritime Civil Affairs Group Concept of Operations

Navy Maritime Civil Affairs Group CIM User Guide v1.5

United States Marine Corps Publications

Marine Corps Warfighting Publication 3-33.1, *Marine Air-Ground Task Force Civil-Military Operations Planning*

Navy Marine Corps 3500.22, *Civil Affairs Training and Readiness Manual*

United States Army Publications

Army Regulation 5-1, *Total Army Quality Management*

Army Regulation 25-1, *Army Knowledge Management and Information Technology*

Field Manual 2-22.3, *Human Intelligence Collector Operations*

Field Manual 3-0, *Operations: Full Spectrum Operations*

Field Manual 3-05.40, *Civil Affairs Operations*

Field Manual 3-05.401, *Civil Affairs Tactics, Techniques, and Procedures*

Field Manual 6-0, *Mission Command: Command and Control of Army Forces*

Field Manual 6-01.1, *Knowledge Management Section*

Training Circular 2-50.5, *Intelligence Officer's Handbook*

Training Circular 2-33.4, *Intelligence Analysis*

Army Doctrine Update, 24 February 2007

ANNEX A QUICK REFERENCE CIM RESOURCE GUIDE AND WEBSITES

The following websites and links are helpful resources when conducting online research in support of virtual civil reconnaissance. This is not an all inclusive list of websites and the user will most likely identify additional websites that will provide specific information regarding their respective AOR. Inclusion of these websites in this publication does not constitute an endorsement; the sites are listed as potential reference tools only. The user is highly encouraged to bookmark these and other websites to provide a ready reference for information.

NOTE: If a copyright is indicated on a photo, graphic, or other material, permission to copy the material must be obtained from the original source.

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A.1 Country Information:

Central Intelligence Agency **World Factbook** provides information on the history, people, government, economy, geography, communications, transportation, military, and transnational issues for 266 world entities.
https://www.cia.gov/library/publications/the-world-factbook/index.html

Department of the Army Intelligence Information Services (DA IIS) has road mapped the Internet by country. These Country Research Pages are provided as a courtesy to the community. Each page contains hyperlinks to Internet websites that are grouped by categories. AKO Password Needed:
https://www.us.army.mil/suite/page/132281 or https://akocomm.us.army.mil/dadpm

International Center for Not-for-Profit Law is the leading source of information on the legal environment for civil society and public participation.
http://www.icnl.org

United States Department of State website serves as a portal of information on U.S. foreign policy and information about the State Department.
http://www.state.gov

World Bank, established in 1944, is headquartered in Washington, D.C. and has more than 10,000 employees in more than 100 offices worldwide. To ensure countries continue to have access to the best global expertise and cutting-edge knowledge, the World Bank Group is revising its programs to assist the poor, as well as its range of financing options, to meet pressing development priorities.
http://www.worldbank.org

A.2 Foreign Language Tools:

Ethnologue Language Name Index lists individual country pages and contains descriptions of all the languages spoken in that country. Many languages are spoken in more than one country and thus have entries listed on more than one country page. To look up all the entries for a particular language, click on the "More Information link"; if it is spoken in multiple countries you will be presented with a country list of those countries.
http://www.ethnologue.com/language_index.asp

Google Language Tools allows you to type a phrase in your own language; Google will find results in other languages and translate them for you to read.
http://www.google.com/language_tools

Yahoo Babel Fish allows you enter up to 150 words and then search the web for translations.
http://babelfish.yahoo.com

Your Dictionary.com indicates that there are 6,800 known languages spoken in the world. 2,261 have writing systems (the others are only spoken) and about 300 are represented by on-line dictionaries.
http://yourdictionary.com/languages.html

A.3 General Reference:

UNICEF is mandated by the United Nations General Assembly to advocate for the protection of children's rights.
http://unicef.org

U.S. Agency for International Development is the government agency providing U.S. economic and humanitarian assistance worldwide.
http://usaid.gov

World Association of Non-Governmental Organizations (WANGO) is an international organization uniting NGOs worldwide in the cause of advancing peace and global well being.
http://www.wango.org

A.4 Imagery and Maps:

Google Earth lets you fly anywhere on Earth to view satellite imagery, maps, terrain, and 3D buildings.
http://earth.google.com/

National Geospatial Intelligence Agency (NGA) NGA develops imagery and map-based intelligence solutions for US national defense, homeland security and safety of navigation.
https://www1.nga.mil/Pages/Default.aspx

University of Texas Libraries website has a collection of online maps and links to other websites that display online maps.
http://www.lib.utexas.edu/maps

A.5 Training:

Civil-Military Operations Training
Key doctrine and principles related to the planning and execution of civil-military operations (CMO), includes an overview of role and purpose of CMO; key CMO planning and coordination considerations; and the organizational roles and responsibilities related to the execution of CMO JP 3-57.
http://www.dtic.mil/doctrine/docnet/courses/operations/cmops.htm

Defense Security Service Academy
DSS courses are intended for use by Department of Defense and other U.S. Government personnel and contractors within the National Industrial Security Program.
http://dssa.dss.mil/seta/seta.html

University of Military Intelligence (UMI) is your online training resource for Military Intelligence. At UMI, we provide web-based training and reference material for Military Intelligence professionals around the globe.
http://www.universityofmilitaryintelligence.army.mil

Air University Research Information Management System
Select Research Links - This is an all-inclusive list of links based on user feedback, affiliations with research organizations and popular request.
https://www.afresearch.org/skins/rims/display.aspx

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ANNEX B CIVIL DATA COLLECTION FORMS

The forms in this annex provide a means to capture civil data in a standardized format to limit the risk of multiple exposures in a hostile environment. Review of these forms prior to conducting an assessment will enhance the efficiency and effectiveness of each of the team members while the assessment is conducted. The forms were created by J-CIM JT from a compilation of questions from CAOS, CIDNE, MAP-HT and the United Nations. Each question was carefully analyzed and chosen for this set of 29 forms. As in the Tactical Handbook, the 29 Forms are categorized by 4 major categories: Building, Transportation, Engagement and Facilities.

B.1 Table of Contents

Each form has its own set of directions at the top of the page that indicate which forms are required for each assessment. The Mandatory Form (Form A) must be completed for each assessment, along with the appropriate form for the type of assessment being conducted. For example, if a CAT is tasked to assess a Fuel Point, they would complete Form A (Mandatory), Form B (Building) and Form G (Fuel Point). Within each block, data requirements are prioritized with the following highlighted backgrounds:

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

These forms can be printed out, and used in the field or used as a manual reporting tool. Additionally, they contain the same questions as depicted in the J-CIM Tactical Handbook V 2.0, dated 30 Apr 2010. This enables clear communication between the CAT and CIM Cell, as both can specifically identify requirements for each tasking. The following page contains a list of MILSTD 2525 Version C Symbology that corresponds to some of the assessments. These symbols should be utilized in a Commander's Operating Picture to give the Commander an accurate AO analysis.

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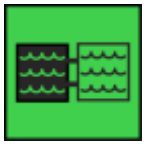
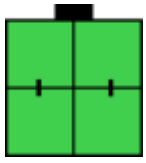
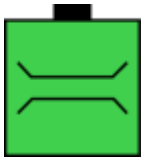
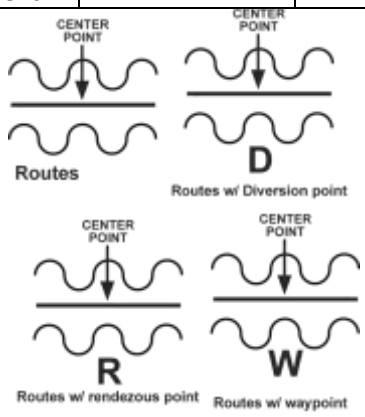
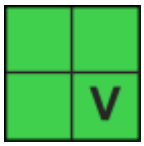
B.2 Symbology

 C. School	 C. Orphanage	 D. Warehouse	 E. Store / Market	 F. Religious Site	 G. Fuel Point
 H. Police Station	 I. Fire Station	 J. Trash Removal	 K. Sewage	 L. Hospital	 N. Bridge
 O. Railway	 P: TCAPF	 Q. NGO	 R. SMEE	 S. KLE	 Leader
 Government Leadership	 T. Civilian	 U. Contractor	 V. Mass Engagement	 W. Fisheries	 X. Ports & Harbors
 Y. Airport	 Air Traffic Control Facility	 Z. Farm	 M. Route Recon		
 AA. Veterinary	 BB. Displaced Persons				

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Assessment Form A: Mandatory

(Complete this form prior to all other forms)

Block 1: Team Information

1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
1.3 Report Title	Text	1.4 Report #	Assigned by unit
1.5 Classification	IAW security classification guide	1.6 Releasibility	IAW security classification guide
1.7 Is this a revisit?	Circle one Yes | No	1.7.1 If yes, when was last visit?	MM/DD/YYYY

White Blocks – Always Collect | Light Grey Blocks – Collect if time permits | Dark Grey – Collect if specifically requested

Block 2: Location / Source Information

2.1 Type of Assessment	Text	2.2 Location / Facility Name	Text

2.2.1 Street Address	2.2.2 Village / City	2.2.3 District / County
Text	Text	Text
2.2.4 Facility Telephone	2.2.5 Facility Website Address (If applicable)	
Numeric	Text	
2.2.6 Latitude	2.2.7 Longitude	2.2.8 MGRS (If not using Lat/Long)
dd°mmss" N/S	dd°mmss" E/W	MGRS, 10-digit

2.3 Facility Manager / POC	Last Name	First Name	Title	
2.3.1 Home Street Address	2.3.2 Home Village / City	2.3.3 Home District / County		
Text	Text	Text		
2.3.4 Home Telephone	Cell Telephone	2.3.5 E-mail		
Numeric	Numeric	Text		
2.4 Source	Last Name	First Name	2.4.1 Title	Text
2.4.2 Gender	Circle one Male | Female		2.4.3 DOB	MM/DD/YYYY
2.4.4 Home Street Address	2.4.5 Home Village / City	2.4.6 Home District / County		
Text	Text	Text		
2.4.7 Home Telephone	Cell Telephone	2.4.8 Home E-mail		
Numeric	Numeric	Text		

2.4.9 Reliability (Circle One)	2.4.10 Accuracy (Circle One)	2.4.11 Cultural Leader Title	Text
(A) Reliable (B) Usually Reliable (C) Fairly Reliable (D) Not Usually Reliable (E) Unreliable (F) Cannot be Judged	(1) Confirmed (2) Probably True (3) Possibly True (4) Doubtfully True (5) Improbable (6) Cannot be Judged	2.4.12 Is Source a Cultural Influence	Circle one Yes | No | Unknown
		2.4.12.1 If yes, how	Text

2.4.13 Employer	Text
2.4.14 Employment Job Position	Text
2.4.15 Are there any NGO's working in the area?	Contact Information

Comments or Additional Information

ENCLOSURES	DISTRIBUTION	Submitted by:
		Name, Rank and Title
		Signature

Assessment Form B: Building

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete form A before completing this form. Complete this form before completing any other building form (Forms C-L). This form contains generic building questions.

White Blocks – Always Collect | **Light Grey Blocks – Collect if time permits** | **Dark Grey – Collect if specifically requested**

Block 3: Building Information

3.1 Primary purpose	Circle one: Hospital | School | Government | Housing	Other – enter information	
3.2 Agency responsible for building	Circle one: Public | Private | Other	Other – enter information	

3.3 Building dimension estimates

3.3.1 Length	Meters	**3.3.2 Width**	Meters	**3.3.3 Height**	Meters

3.4 Building construction material	Circle all that apply: Brick | Masonry | Clay | Concrete | Block | Earth | Metal | Wood	**3.5 Year bldg built**	YYYY

3.6 Annotate Yes/No for the building's utilities

3.6.1 Heating	Circle one: Yes | No	**3.6.2 A/C**	Circle one: Yes | No	**3.6.3 Electricity**	Circle one: Yes | No
3.6.4 Electric hrs / day	Numeric	**3.6.5 B/U Generator**	Circle one: Yes | No	**3.6.6 Potable water**	Circle one: Yes | No
3.6.7 Nonpotable water	Circle one: Yes | No	**3.6.8 Male Latrines**	Numeric	**3.6.9 Female latrines**	Numeric
3.6.10 Sewage	Circle one: Yes | No	**3.6.11 Trapped water or feces on ground?**	Circle one: Yes | No	**3.6.12 Alarm system**	Circle one: Yes | No
3.7 Type of security presence?	Circle one: Good | Fair | Poor | None				

3.8 List communication capabilities

3.8.1 Phone	Circle one: Yes | No	**3.8.2 Internet**	Circle one: Yes | No	**3.8.3 Radio - HF**	Circle one: Yes | No
3.8.4 Radio - VHF	Circle one: Yes | No	**3.8.5 Radio - UHF**	Circle one: Yes | No	**3.8.6 Radio Satellite**	Circle one: Yes | No
3.8.7 PA System / Overhead speakers	Circle one: Yes | No	**3.8.8 PA System - Other**	Text		

(explain)

3.9 Is bldg suitable for shelter protection?	Circle one: Yes | No	**3.10 Is it suitable for shelter protection from indirect fire?**	Circle one: Yes | No
3.11 How many people can the building effectively shelter?	Numeric	**3.12 Is there handicap equipment**	Circle one: Ramp | Elevator | Other
3.13 What key personnel are required to be present when bldg is in use?		Circle one: Owner | Director | Manager | Other | None	

3.14 Number of rooms	Numeric	**3.14.1 Usable square meter (est.)**	Square meters	**3.14.2 Storage cubic meter (est.)**	Cubic meter
3.15 Number of doors	Numeric	**3.15.1 Number of Exterior doors**	Numeric	**3.15.2 Number of Interior doors**	Numeric
3.16 Is there parking?	Circle one: Yes | No	**3.16.1 Parking dimensions**	Square meters		
3.17 Perimeter fence?	Circle one: Yes | No	**3.18 Front gate?**	Circle one: Yes | No		

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form C: School / Orphanage	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Infrastructure

3.1 Type of school	Circle all that apply Public | Private | Religious | Day Care | Primary | Secondary | University | Boarding | Orphanage					Other – Explain
3.2 Schools curriculum	Circle all that apply Trade | Course	Other	**3.3 Is it recognized by the central government?**			Circle one Yes | No
3.4 How many Administration Offices		Numeric	**3.5 Is there a Cafeteria?**			Circle one Yes | No
3.6 Is there a Kitchen?		Circle one Yes | No	**3.6.1 If yes, is the kitchen functional?**			Circle one Yes | No
3.7 Is there a Nurses Office?		Circle one Yes | No	**3.8 Playground?**	Circle one Yes | No	**3.8.1 Is it safe?**	Circle one Yes | No

Block 4: Student / Staff Demographics

4.1 What is the total number of students?	Numeric

4.2 For the following age ranges, please list the number of students per gender.

4.2.1 Males	Numeric	**4.2.2 Females**	Numeric
4.2.1.1 0 to 2 years old	Numeric	**4.2.2.1 0 to 2 years old**	Numeric
4.2.1.2 3 to 5 years old	Numeric	**4.2.2.2 3 to 5 years old**	Numeric
4.2.1.3 6 to 10 years old	Numeric	**4.2.2.3 6 to 10 years old**	Numeric
4.2.1.4 11 to 18 years old	Numeric	**4.2.2.4 11 to 18 years old**	Numeric
4.2.1.5 18 + years old	Numeric	**4.2.2.5 18 + years old**	Numeric

4.3 What is the maximum capacity of children?	Numeric	**4.4 Are there any special needs children?**	Circle one Yes | No
4.4.1 Number of males with mental handicaps	Numeric	**4.4.2 Number of females with mental handicaps**	Numeric
4.4.3 Number of males with physical handicaps	Numeric	**4.4.4 Number of females with physical handicaps**	Numeric
4.5 Number of teachers / caregivers	Numeric	**4.6 Types of other staff members**	Circle all that apply Admin | Janitor | Cook | Nurse | Other
4.7 What type of training has the staff had?	Circle one Formal | Informal	**4.8 Teachers daily pay?**	In local currency
4.9 Where does the staff pay come from?		Circle all that apply **GO | NGO | IO | Private**	

4.10 What are the Teacher / Staff member names? (Use Comments/Additional Block below for additional space)

Last Name	First Name	Title
Last Name	First Name	Title

4.11 What are the religious demographics?				**Christian**	Percentage	**Jewish**	Percentage	**Muslim**	Percentage		
Hindu	Percentage	**Buddhist**	Percentage	**Shinto**	Percentage	**Confusicism**	Percentage	**Other**	Percentage		

4.12 What are the specific religious denominations?	Circle all that apply **Protestant | Catholic | Orthodox | Sunni | Shia | Shaivism**	Other
4.13 Are religious beliefs being practiced?	Circle one Yes | No	

Block 5: Funding / Supplies

5.1 Does the school receive aid?	Circle one Yes | No	**5.2 What type of aid does the school receive?**	Text
5.2.1 Source of Aid	Text		

5.3 What is on the schools requirements list?	5.3.1 Item	Quantity	Item	Quantity

School / Orphanage Assessment Form C Block 5: Continued

5.4 What needs to be repaired / What is needed? (List items below)

5.4.1 Item	Quantity	Condition
Text	Numeric	Text
Text	Numeric	Text
Text	Numeric	Text

5.5 Are you receiving aid for these projects?	Circle one Yes | No	**5.5.1 From whom?**	Text
5.6 What is the estimated repair costs?	Numeric in local currency		

5.7 General school supplies needed (List items below)

5.7.1 Supply	Quantity Required	Priority
Text	Numeric	Numeric
Text	Numeric	Numeric
Text	Numeric	Numeric
Text	Numeric	Numeric

5.8 How many textbooks does the school have? (List items below)

5.8.1 Book	Quantity	Condition
Text	Numeric	Text
Text	Numeric	Text
Text	Numeric	Text
Text	Numeric	Text
Text	Numeric	Text

5.9 What grades are taught at this school?	List grades	**5.10 What days of week is school in session?**	Circle all that apply M | T | W | H | F | S | S
5.11 What months of the year is school closed?		Circle all that apply JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP | OCT | NOV | DEC	

Block 6: Orphanage / Boarding School Questions

6.1 How many beds?	Numeric	**6.2 Are there sleeping quarters?**	Circle one Yes | No	**6.2.1 Separated by gender?**	Circle one Yes | No
6.2.2 Separated by age?	Circle one Yes | No	**6.3 Are there infant milk products?**	Circle one Yes | No		
6.3.1 Is there sufficient quantity?	Circle one Yes | No	**6.3.2 Reliable supply source?**	Circle one Yes | No		

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form D: Warehouse	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 What organizations use the warehouse?	Text				
3.2 Is the building leased?	Circle one Yes | No	**3.3 How much capacity is available?**		Numeric, cubic meters	
3.4 Who is the leasing authority?	Text	**3.5 How much is the monthly lease?**		Numeric, local currency	
3.6 Customs bonded?	Circle one Yes | No	**3.7 List mechanical handling equipment:**	Text		
3.8 What types of pallets are available?	Text	**3.8.1 Number of pallets**	Numeric		
3.8.2 Pallet's condition	Circle all that apply Good | Fair | Poor | Unusable				
3.9 Number of stores/warehouses in the complex:	Numeric	**3.10 Is there a Fuel Depot?**	Circle one Yes | No	If yes, complete Form G	

3.11 Warehouse Details: For each warehouse in the complex, complete 3.11.1-3.11.15
(Use Comments/Additional Block below for additional space)

3.11.1 Length	Meters	**3.11.2 Width**	Meters	**3.11.3 Height**	Meters		
3.11.4 Warehouse type	Circle all that apply Concrete | Container | Tent (portable) | Silo | Open Storage | Other					Other, explain	
3.11.5 Floor composition:	Circle all that apply Concrete | Unimproved Surface | Gravel | Paved | Reinforced | Other					Other, explain	
3.11.6 Can the doors be secured?	Circle one Yes | No	**3.11.7 Door Height**	Meters	**3.11.8 Door Width**	Meters		
3.11.9 Condition of Doors	Circle one Excellent | Good | Poor | Unusable						
3.11.10 What is being stored?	Text						
3.11.11 Temperature control	Circle one Yes | No	**3.11.12 Cold storage**	Circle one Yes | No	**3.11.13 Humidity control**	Circle one Yes | No		
3.11.14 Describe Cleanliness	Circle one Good |Fair | Poor	**3.11.15 Overall Condition**	Circle one Excellent | Good |Fair | Unusable				

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form E: Store / Market	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 Operating Days	Circle all that apply Mon | Tues | Wed | Thur | Fri | Sat | Sun	**3.2 Operating Hours**	HH:mm to HH:mm
3.3 What departments are available?	Circle all that apply Produce | Meats | Dairy | Clothing | Health and Beauty		Other
3.4 Do owners/workers feel safe?	Circle one Yes | No	**3.4.1 If no, explain**	Text
3.5 Owner/manager appear trustworthy?	Circle one Yes | No	**3.5.1 If no, explain**	Text
3.6 Would this store have a greater impact on the community if it were given a micro grant?			Circle one Yes | No

Block 4: Infrastructure

4.1 Is the store/market operational?	Circle one Yes | No	**4.1.1 If no, explain what is needed**	Text

Text

4.2 Total male employees?	Numeric	**4.3 Total female employees?**	Numeric	**4.4 Total people can it provide for?**	Numeric
4.5 Who is the primary consumer?	Circle all that apply Local village | City | District | Retailer | Wholesale distributor			Other	
4.6 Is the store/market seasonal?	Circle one Yes | No	**4.7 Currency accepted**	**Text**		
4.8 Are the prices stable?	Circle one Yes | No	**4.8.1 If not, how do they vary?**	**Text**		
4.9 How is the produce/supplies provided to the store/market?	Circle all that apply Private vendors | Government subsidies | Wholesale | Farms | Other				
4.10 Is there an attached warehouse?	Circle one Yes | No	**4.11 Is there cold storage?**	Circle one Yes | No	**4.12 Are delivery records kept?**	Circle one Yes | No

Block 5: Safety

5.1 What employee personal safety measures are practiced?	Circle all that apply Lifting | Stacking | Cleaning | Cutting equipment | Packaging | Transport | Other
Explain other	
5.2 Which safe food-handling practices are practiced?	Circle all that apply Personal health and hygiene | Cleanliness | Washing | Use of clothing and equipment | Use of utensils | Monitoring "use-by" date | Other
Explain other	

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form F: Arts / Historical / Cultural / Religious

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General / Storage Information

3.1 What is the purpose of this site?	Circle one Monument | Preservation | Recreation | Arts | Music | Theater | Entertainment | Sports	Other – enter information
3.2 List significant organizations or individuals associated with this site	Text	
3.2.1 Government association	Text	
3.2.2 Non-governmental group association	Text	
3.2.3 Important individual association	Last name, First name	

3.3 Is it well defined or well marked?	Circle one Yes | No	**3.4 Does the site serve as a repository for valuable items?**		Circle one Yes | No	
3.4.1 Does POC have itemized inventory list?	Circle one Yes | No	**3.5 Are there light control options?**		Circle one Yes | No	
3.6 Are there humidity control measures?	Circle one Yes | No	**3.7 Capacity of vault storage**		Cubic Meters	
3.8 Are there known threats?	Circle one Yes | No	**3.8.1 If yes, explain**	Text		
3.9 Does the populace, leader or decision maker have an agenda or plans for the site?	Circle one Yes | No	**3.9.1 What are those plans?**	Text		
3.10 Who is responsible for the long term safeguard of objects?	Circle one Public | Private | No one	**3.11 How many visitors weekly?**	Numeric		

Block 4: Historical Sites / Arts & Monument Information

4.1 Is this building an archive?	Circle one Yes | No	**4.1.1 Is there an inventory available?**	Circle one Yes | No
4.2 Is it a historical artifacts repository?	Circle one Yes | No	**4.2.1 Is there an inventory available?**	Circle one Yes | No
4.3 Is a visitors guide/map/flyer available?	Circle one Yes | No	**If yes, obtain a copy**	

Block 5: Cultural Sites

5.1 Is this site a source or point of special or extreme tension or conflict?	Circle one Yes | No	**5.1.1 List source of tension / conflict**	Text
5.2 Has there been a history of violence?	Circle one Yes | No	**5.2.1 What was the cause of violence**	Text

Block 6: Religious Sites

6.1 What religion is serviced by the site?	Circle one Christian | Jewish | Muslim | Hindu | Buddhist | Shinto | Confusicism	Other – enter information
6.1.1 What denominations?	Text	
6.2 Does this site hold the same meaning / symbolism to all persons?	Text	

6.3 Is it charged for care of the dying?	Circle one Yes | No	**6.4 Is it charged for postmortem traditions?**		Circle one Yes | No	
6.5 Is it charged w/family support services?	Circle one Yes | No	**6.6 Does it promote fasting?**		Circle one Yes | No	
6.7 How is the message conveyed?	Circle one TV | Radio | PA Systems | Lecture | Internet | Other			Explain other	
6.8 Is this site a tourist attraction?	Circle one Yes | No	**6.9 Weekly site attendance**	Numeric	**6.9.1 What percentage come to attend the service?**	Numeric

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form G: Fuel Point	**1.1 Assessment Team**	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
	1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	**Light Grey Blocks – Collect if time permits**	**Dark Grey – Collect if specifically requested**

Block 3: Product and Supply

3.1 Resupply Operations

3.2 How is the fuel resupplied?	Circle all that apply On order | By Delivery Schedule | Weekly | Monthly | Other	Explain other
3.3 When is the fuel point resupplied?	Text	
3.4 Where does the fuel come from?	Text	
3.5 What company does the resupply?	Text	
3.6 Number of fuel trucks	Numeric	
3.7 Directions (to get to fuel point from closest main road)	Text	

Block 4: Operations

4.1 List skilled labor technicians	Last Name	First Name	Title
	Last Name	First Name	Title
	Last Name	First Name	Title
4.2 List unskilled labor technicians	Last Name	First Name	Title
	Last Name	First Name	Title

4.3 Are there emergency shut off procedures?	Circle one Yes | No	**4.4 What are the procedures?**	Text
4.5 Are there emergency fire procedures?	Circle one Yes | No		
4.6 Are there emergency security procedures?	Circle one Yes | No	**4.7 Are there emergency medical procedures?**	Circle one Yes | No

Block 5: Fuel

5.1 Complete the table for all fuel types available

(1)	# of Tanks	% Filled	Total Capacity	Tank Condition	Location Above Ground (A) Below ground (B)	Discharge Capacity	Pump: Automatic (A) or Manual (M)
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M
	Numeric	Numeric	Numeric	Circle One Good | Fair | Poor	Circle One A | B	________ L/Min	Circle One A | M

(1) A – Unleaded B – Leaded C – Mogas D – Kerosene E – Diesel F – JP4 G – AVGAS H – Propane I – Crude Oil J - Other

5.2 Are there any pools of fuel on the ground?	Circle one Yes | No	**5.2.1 If yes, how many sq meters of spilled fuel is on the ground?**	Numeric, in square meters

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

FUEL POINT ASSESSMENT FORM G CLASSIFICATION: ____________________ Page ____ of ____

Assessment Form H: Police / Security	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Infrastructure

3.1 Describe security measures that limit access to the facility	Text		
3.2 Does the station have video monitoring of access points?	Circle one Yes | No	**3.3 What is the standoff distance**	Meters
3.4 What is the standoff construction material?	Text	**3.5 Is facility defendable?**	Circle one Yes | No
3.6 Identify exterior vantage points to target interior with indirect fire		Text – Attach a map overlay	
3.7 Does the station have a secure parking area?	Circle one Yes | No	**3.7.1 Parking capacity (secure)**	Numeric
3.8 Does the station have a secure arms room?	Circle one Yes | No		

3.8.1 Type of weapons stored	Amount of weapons stored	3.8.2 Type of ammunition stored	Amount of ammunition stored
Text	Numeric	Text	Numeric
Text	Numeric	Text	Numeric
Text	Numeric	Text	Numeric

3.9 Is there a jail?	Circle one Yes | No	**3.9.1 Prisoner capacity**	Numeric
3.10 Does the station have a sally port?	Circle one Yes | No		

Block 4: Unit Capabilities

4.1 Primary responsibilities	Circle all that apply Law Enforcement | Area Security | Border Control | Other	**4.2 Population of unit's jurisdiction / AO**	Numeric
4.3 Boundaries of jurisdiction	Text and attach map overlay	**4.4 Crisis management plans**	Text and attach copies
4.5 Citizen evacuation routes	Text and attach map overlay	**4.6 Mutual aid agreements**	Circle one Yes | No

4.6.1 Mutual aid agreement title	Mutual aid with other agency
Text	Text
Text	Text
Text	Text
Text	Text
Text	Text

4.7 Role of police in national defense	Text
4.8 Role of police in support of U.S. forces	Text
4.9 Role of police in natural disaster / relief	Text
4.10 Does department maintain criminal records	Circle one Yes | No
4.11 Type of Information Technology	Text
4.12 Crime concerns in local area	Text
4.13 What are the crime fighting strategies?	Text
4.14 What level is department operating at?	Circle one Good | Fair | Poor | Corrupt
4.14.1 Actions needed to bring to 100%	Text

4.15 Does department appear to be adequate in size	Circle one Yes | No	**4.16 Is the police force effective?**	Circle one Yes | No

Police / Security Assessment Form H Continued

Block 5: Personnel

5.1 Chief of Police / Security Force Commander	Title / Last Name	First Name	**5.2 Who does he report to**	Text
5.3 Senior Staff (Command Personnel)	Title / Last Name	First Name	**5.4 Vetted by U.S. forces?**	Circle one Yes | No
	Title / Last Name	First Name		Circle one Yes | No
	Title / Last Name	First Name		Circle one Yes | No

5.5 Total personnel	Numeric	**5.6 Standard uniform**	Describe and attach photo	**5.7 Chain of command**	Attach organization chart

5.8 Manning	**Authorized**	**On-hand**	**Trained**	**ID**	**Salary / Wages**
5.8.1 Investigative Personnel	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric
5.8.2 Administrative Support Personnel	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric
5.8.3 Reserve / Volunteer Personnel	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric
5.8.4 Border Guards	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric
5.8.5 Other Specialty Personnel	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric
5.8.6 Uniformed Personnel	Numeric	Numeric	Numeric	Circle one Yes | No	Numeric

5.9 Percentage of police that have formal training	Percentage	**5.10 Where is training provided?**	Text

Block 6: Equipment

6.1 Police Vehicles	**Quantity**	**2-Way Radio**	**Pictures**
6.2 Marked	Numeric	Circle one Yes | No	Description and attach photos
6.2 Unmarked	Numeric	Circle one Yes | No	Description and attach photos
6.2 Special Purpose	Numeric	Circle one Yes | No	Description and attach photos

6.3 Individual Weapons

6.3.1 Weapon	Text	**Quantity**	Numeric	**Condition**	Circle one Unusable | Poor | Good | Excellent
	Text	**Quantity**	Numeric	**Condition**	Circle one Unusable | Poor | Good | Excellent

6.4 Ammunition

6.4.1 Type	Text	**Quantity**	Numeric		
Type	Text	**Quantity**	Numeric		

6.5 Do police have personal equipment?	Circle one Yes | No	**6.5.1 Type**	Text	**Quantity**	Numeric

6.6 Where does department acquire supplies and equipment

6.6.1 Supply / Equipment	Text	**Source**	Text
	Text		Text
	Text		Text

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form I: Fire Station	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 How is fire alarm initiated?	Circle all that apply: Word of Mouth | Telephone | Electronic (Siren) | Mechanical (Bell) | 911 | Other			Explain other	
3.2 # of Full-time Firefighters	Numeric	**3.3 # of Volunteer Firefighters**	Numeric	**3.4 # of Firefighters available at one time**	Numeric
3.5 Are there sleeping quarters?	Circle one: Yes | No	**3.6 Is there an enforced fire code?**	Circle one: Yes | No		
3.7 Are there established policies?	Circle one: Yes | No	**3.7.1 If yes, collect policies**			

Block 4: Capabilities

4.1 Emergency Medical Capabilities	Circle one: Yes | No	**If Yes, Complete Questions 4.1.1 – 4.1.4**			
4.1.1 # of EMTs	Numeric	**4.1.2 List EMT Equipment**	Text		
4.1.3 # of Paramedics	Numeric	**4.1.4 List Paramedic Equipment**	Text		
4.2 CASEVAC Capabilities	None | Civilian | Ambulance | Air | Other	Explain other			
4.3 Rescue Capabilities	Circle one: Yes | No	**4.3.1 Ladder capability: # of stories (rescue up)**	Numeric		
4.3.2 Mining capability: # of meters deep (rescue down)	Numeric, in meters	**4.3.3 Collapse capability: # of metric tons of material can be moved per day**	Numeric		
4.4 HAZMAT Capabilities	**Complete Questions 4.4.1 – 4.4.3**				
4.4.1 Fuel	Circle one: Yes | No	**4.4.2 Chemical**	Circle one: Yes | No		
4.4.3 Radiological	Circle one: Yes | No	**4.5 Civil Defense System**	Circle one: Yes | No		
4.6 Fire Fighting Capabilities	**Complete Questions 4.6.1 – 4.6.11**				
4.6.1 Highest degree of fire fighting personnel training	Circle all that apply: Untrained | Volunteer | Full-time				
4.6.2 How many personnel can do multiple jobs?	Numeric	**4.6.3 List Fire Fighting Equipment**	Text		
4.6.3.1 Where is equipment from	Circle all that apply: Public | Private | Community	**4.6.4 Personnel Protective Equipment**	Circle one: Yes | No		
4.6.5 Personnel Communication systems	Circle all that apply: AM | FM | Cell | Other | None	**4.6.6 Hand tools**	Circle one: Yes | No		
4.6.7 Able to extinguish routine (single structure) fires	Circle one: Yes | No	**4.6.7.1 Average time to extinguish routine fire**	HH:MM		
4.6.8 What types of fire can the station put out?	Circle all that apply: Routine | High-Rise | Chemical |Forest | Other	Explain other			
4.6.9 Able to contain a fire	Circle one: Yes | No	**4.6.10 Able to create a safe scene for overhaul**	Circle one: Yes | No		
4.6.11 Able to ventilate any gasses or smoke from area/building	Circle one: Yes | No	**4.7 Provides fire safety training to community**	Circle one: Yes | No		
4.8 Do adjacent neighboring fire systems compliment each other?	Circle one: Yes | No	**4.9 Firefighter water sources/Sq Km**	Numeric, in Sq Km		

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

FIRE STATION ASSESSMENT FORM I CLASSIFICATION: _____ Page ____ of ____

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Assessment Form J: Trash Removal

1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 4: General Information

4.1 Is trash collected?	Circle one Yes | No	4.1.1 Public or Private service?	Circle one Public | Private	4.1.2 Where is the landfill?	Lat/Long
4.1.3 What is the trash removal schedule:	Circle all that apply M | T | W | H | F | S | S	4.1.4 Do residents burn their own trash?			Circle one Yes | No
4.1.5 Do residents haul their trash to the landfill?	Circle one Yes | No	4.2 Are there trash piles in the streets?			Circle one Yes | No
4.2.1 How much trash is in the streets?	Cubic Meters	4.3 Height and width of trash:			Cubic Meters
4.4 Is there a recycling program in effect?	Circle one Yes | No	4.5 Are permits required for trash company?			Circle one Yes | No
4.6 Are there established routes?	Circle one Yes | No	4.6.1 If possible get a map of the routes			
4.7 Does trash contain medical waste?	Circle one Yes | No	4.8 Are dead animals collected?			Circle one Yes | No
4.9 Does trash contain valuable items?	Circle one Yes | No	4.10 Is HAZMAT present in trash?			Circle one Yes | No
4.11 Is human waste present in trash?	Circle one Yes | No	4.12 Are containers larger than 5 gallons?			Circle one Yes | No

Block 5: Personnel

5.1 Superintendant / Coordinator	Last Name, First Name, Title	5.2 Who does he report to?	Text
5.3 Total number of employees:	Numeric		

5.3.1	Position	Authorized	On-Hand	ID	Salary / Wages
	Administrative	Numeric	Numeric	Circle one Yes | No	Numeric
	Support	Numeric	Numeric	Circle one Yes | No	Numeric
	Drivers	Numeric	Numeric	Circle one Yes | No	Numeric
	Collectors	Numeric	Numeric	Circle one Yes | No	Numeric

Block 6: Equipment

6.1 List Vehicles:

6.1.1	Type of Vehicle	Authorized	On-Hand	Condition
	Text	Numeric	Numeric	Circle one Unusable | Poor | Good | Excellent
	Text	Numeric	Numeric	Circle one Unusable | Poor | Good | Excellent
	Text	Numeric	Numeric	Circle one Unusable | Poor | Good | Excellent

6.2 List Other Equipment:

6.2.1	Type of Other Equipment	Authorized	On-Hand	Condition
	Text	Numeric	Numeric	Circle one Unusable | Poor | Good | Excellent
	Text	Numeric	Numeric	Circle one Unusable | Poor | Good | Excellent

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form K: Sewage System

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete forms A and B before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 4: Capacity

4.1 Is there a treatment facility?	Circle one Yes | No	**4.2 What type of system?**	Circle applicable choice Open Sewer | Closed Sewer | Treatment Facility | Point Source | Other		Explain other
4.3 What is the design capacity of the system?	Cubic Meters	**4.4 What is the present capacity?**			Numeric, Cubic Meters
4.5 Can the system accommodate additional load generated by displaced refugees?	Circle one Yes | No	**4.6 Is a diagram of the pipelines available?**		Circle one Yes | No	**If Yes, then attach map overlay**
4.7 Are the pipes large enough for a person to use as an access way?	Circle one Yes | No	**If Yes, then attach map overlay**	**4.7.1 If Yes, are access points secure?**		Circle one Yes | No
4.8. Is the sewage burned?	Circle one Yes | No	**4.8.1 If Yes, when is the sewage burned?**			Text
4.8.2 Where is the sewage burned?	Text	**4.9a What are the sources of local drinking water?**			Text
4.9b Is the sewage system able to contaminate local drinking water?	Circle one Yes | No	**4.9.1 If Yes, explain**	Text		

Block 5: Personnel

5.1 Superintendant / Site Coordinator:	Last Name, First Name	**5.2 Who does he report to?**	Text

5.3 Total Number of Personnel

Complete a line for each type

Personnel Type	Number Authorized	Number On-Hand	ID	Salary/Wage
Technicians	Numeric	Numeric	Circle one Yes | No	Numeric
Administrative	Numeric	Numeric	Circle one Yes | No	Numeric

5.4 Chain of Command:	Obtain organization chart, if available	**5.5 Funding Origination:**	Agency

Block 6: Supplies and Equipment

6.2 Is there an inventory of equipment?	Circle one Yes | No	**If Yes, then complete Question 6.1.1**

6.1.1 Equipment List

Complete a line for each Equipment Type

Equipment Type	Quantity On-hand	Condition	Quantity Required	Source
Text	Numeric	Circle One Unusable / Poor / Good / Excellent	Numeric	Numeric
Text	Numeric	Circle One Unusable / Poor / Good / Excellent	Numeric	Numeric
Text	Numeric	Circle One Unusable / Poor / Good / Excellent	Numeric	Numeric

6.2 Is there an inventory of chemical supplies?	Circle one Yes | No	**If Yes, then complete Question 6.2.1**

6.2.1 Chemicals List

Complete a line for each Chemical

Chemical	Quantity On-hand	Quantity Required	Source
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text

6.3 Is there an inventory of parts?	Circle one Yes | No	**If Yes, then complete Question 6.3.1**

6.3.1 Parts List

Complete a line for each Part

Part Type	Quantity On-hand	Quantity Required	Source
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form L: Hospital

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete Forms A and B before completing this form. For the Yes/No questions, please answer whether the hospital provides each specific capability/service.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Type of Hospital/Clinic

3.1 List Hospital level	Circle all that apply Primary | Secondary | Tertiary	Other
3.2 List Area (Sq Km) Hospital services	Circle all that apply Rural | District | Provincial	Other

Block 4: Administration

4.1 Medical Administrative Office	Circle one Yes | No	**4.2 Accounting Office**	Circle one Yes | No	**4.3 Civil Services Ethics Office**	Circle one Yes | No
4.4 Nutrition and Food Office	Circle one Yes | No	**4.5 Secretariat**	Circle one Yes | No	**4.6 Personnel Office**	Circle one Yes | No
4.7 Social Worker Office	Circle one Yes | No	**4.8 Information Management Office**	Circle one Yes | No		

4.9 How are patient records maintained?	Circle all that apply Paper Files | Computer Files On Site | Computer Files Off-Site	Other
4.10 Are religious services offered?	Circle one Yes | No	**If Yes, then complete Question 4.11**
4.11 If Yes, what type of services?	Circle all that apply Christian | Jewish | Muslim | Buddhist | Hindu | Confucianism | Shinto	Other
4.12 Family Planner Provider	Circle one Yes | No	**4.13 HIV/AIDS/STD Counselor** — Circle one Yes | No

Block 5: Logistics

5.1 Medical Supply Warehouse	Circle one Yes | No	**5.2 If Yes, do they have an inventory?**	Circle one Yes | No	**5.2.1 If Yes, get a copy of the inventory.**

5.3 Sterilization Equipment	Circle one Yes | No	**5.4 Back-up Generator** — Circle one Yes | No
5.5 Oxygen Supply	Circle one Yes | No	**5.6 Is the blood storage capability operational?** — Circle one Yes | No

5.6.1 Complete information for each Blood Type

Blood Types	Quantity On-Hand	Rate of Use	Resupply Schedule	Source
A	Liters	Liters/Day	Liters/Day	Text
B				
AB				
O				

5.7 Is there available life saving equipment?	Circle one Yes | No	**If Yes, the complete Question 5.7.1**

5.7.1

Types of Life Saving Equipment	Quantity On-Hand	Quantity Required
Text	Numeric	Numeric
Text	Numeric	Numeric
Text	Numeric	Numeric

5.8 Capacity of Refrigeration capabilities	Cubic Meters

Block 6: Medical Services

In this section, circle whether or not the Hospital provides each specific service/department.

6.1 Internal Medicine (Physicians)	Circle one Yes | No	**6.2 Surgery**	Circle one Yes | No	**6.3 Pediatrics (Children)**	Circle one Yes | No
6.4 Obstetrics (Women during pregnancy)	Circle one Yes | No	**6.5 Nursing Department**	Circle one Yes | No	**6.6 Radiology (X-Ray)**	Circle one Yes | No
6.7 Laboratory Medicine	Circle one Yes | No	**6.8 Pharmacy**	Circle one Yes | No	**6.9 Infection Control**	Circle one Yes | No
6.10 Family Medicine (General care)	Circle one Yes | No	**6.11 Emergency Treatment**	Circle one Yes | No	**6.12 MEDEVAC**	Circle one Yes | No
6.13 CASEVAC	Circle one Yes | No	**6.14 Triage Protocols**	Circle one Yes | No	**6.15 Operation Room**	Circle one Yes | No

Hospital Assessment Form L		Block 6: Continued			
6.16 Dentistry	Circle one Yes | No	**6.17 HAZMAT**	Circle one Yes | No	**6.18 Bio-security**	Circle one Yes | No
6.19 Vaccination	Circle one Yes | No	**6.20 Burn Unit**	Circle one Yes | No	**6.21 Blood Bank**	Circle one Yes | No
6.22 Dermatology (Skin diseases)	Circle one Yes | No	**6.23 Gynecology (Female reproductive system)**	Circle one Yes | No	**6.24 Ophthalmology (Eye doctor)**	Circle one Yes | No
6.25 Rehabilitation	Circle one Yes | No	**6.26 Pathology (Autopsies)**	Circle one Yes | No	**6.27 Neurosurgery (Spinal column)**	Circle one Yes | No
6.28 Plastic Surgery	Circle one Yes | No	**6.29 Cardiac Surgery**	Circle one Yes | No	**6.30 Oncology Dept**	Circle one Yes | No
6.31 Colorectal Surgery (Rectal surgeons)	Circle one Yes | No	**6.32 Physical Therapy**	Circle one Yes | No	**6.33 Intensive Care Unit**	Circle one Yes | No
6.34 Cardiology (Heart & Blood vessels)	Circle one Yes | No	**6.35 Neurology (Nervous system)**	Circle one Yes | No	**6.36 Gastroenterology (Digestive system)**	Circle one Yes | No
6.37 Chest Medicine	Circle one Yes | No	**6.40 Orthopedics (Musculoskeletal system)**	Circle one Yes | No	**6.41 Anesthesiology (pre, post, during surgery)**	Circle one Yes | No
6.43 Isolation Ward	Circle one Yes | No	**6.44 Hyperbaric Chamber**	Circle one Yes | No		

Block 7: Capabilities of Each Medical Service Provided

7.1 What training do the technicians have?	Text
7.2 Is there a recertification process?	Circle one Yes | No

7.3 What is the in-patient capability?

7.3.1 Complete information for each Age Group, broken down by Gender (Male, Female)

Age Groups	Capacity		Daily Volume		Age Groups	Capacity		Daily Volume	
0 - 2	Numeric, M	Numeric, F	Numeric, M	Numeric, F	31 - 40	Numeric, M	Numeric, F	Numeric, M	Numeric, F
3 - 8					41 - 50				
9 - 18					51 - 60				
19 - 30					61 and up				

7.4 What is the out-patient capability?

7.4.1 Complete information for each Age Group, broken down by Gender (Male, Female)

Age Groups	Capacity		Daily Volume		Age Groups	Capacity		Daily Volume	
0 - 2	Numeric, M	Numeric, F	Numeric, M	Numeric, F	31 - 40	Numeric, M	Numeric, F	Numeric, M	Numeric, F
3 - 8					41 - 50				
9 - 18					51 - 60				
19 - 30					61 and up				

7.5 How does the staff feel about hospital security?	Circle One Good | Neutral | Bad
7.6 What are the ten most common reasons for treating a patient here?	1)
	2)
	3)
	4)
	5)
	6)
	7)
	8)
	9)
	10)

Hospital Assessment Form L	Block 7: Continued

7.7 What are the main drugs carried?

7.7.1

Complete one line for each Drug Type

Drug Type	Quantity On-hand	Quantity Required	Source
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text
Text	Numeric	Numeric	Text

7.8 Equipment List

7.8.1

Complete one line for each Equipment Type

Equipment Type	Quantity On-hand	Quantity Required	Conditions
Text	Numeric	Numeric	Excellent | Good | Poor | Unserviceable
Text	Numeric	Numeric	Excellent | Good | Poor | Unserviceable
Text	Numeric	Numeric	Excellent | Good | Poor | Unserviceable
Text	Numeric	Numeric	Excellent | Good | Poor | Unserviceable

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form M: Road / Route Recon

1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete form A before completing this form. **Reference**: Engineer Field Data FM 5-34 Chapter 8 - Roads.

White Blocks – Always Collect | Light Grey Blocks – Collect if time permits | Dark Grey – Collect if specifically requested

Block 3: Road

3.1 Road Width:	Meters	3.2 Road Length:	Meters	3.3 Road Condition:	(circle one) Excellent | Good | Fair | Poor	Other	
3.4 Route Details: Vehicle Count	Numeric	3.4.1 Start Time	HH:MM	3.4.1 Stop Time	HH:MM		

3.5 What is the road classification (Select the applicable type of road)	
3.5.1 Class A Road	Surface of asphalt, concrete or similar continuous material
3.5.2 Class B Road	Construction of aggregated surfaces with beams, ditches or culverts
3.5.3 Class C Road	Dirt, sand or rock that could have been natural or constructed
3.5.4 Class D Road	Not constructed, established over time be vehicle passage
3.5.5 Class 1 Trail	Exclusive to non-motorized / non-mechanical travel, horseback or foot travel
3.5.6 Class 2 Trail	Exclusive to all-terrain vehicles and 4-wheelers

3.6 Complete a line for each overpass	3.6 Location	3.6.1 Height of Clearance	3.6 Location	3.6.1 Height of Clearance
	Lat/Long	Meters	Lat/Long	Meters
	Lat/Long	Meters	Lat/Long	Meters

3.7 Are there any grades over 8%?	Circle One Yes / No	If Yes, complete the table below

Complete a line for each grade over 8%	3.7.1 Georeference Start	3.7.2 Georeference End	3.7.3 Estimated Grade	3.7.4 Length of Graded portion of road
	Lat/Long	Lat/Long	Numeric, in %	Meters
	Lat/Long	Lat/Long	Numeric, in %	Meters

3.8 Are there any bridges?	Circle One Yes / No	If yes, Complete a bridge assessment (N)	3.9 Are there any choke points?	Circle One Yes/No

If yes, complete the table below for all

Complete "Location/ Width" for each choke point	Location	Width	Location	Width	Location	Width
	Lat/Long	Meters	Lat/Long	Meters	Lat/Long	Meters
	Lat/Long	Meters	Lat/Long	Meters	Lat/Long	Meters

3.10 Is there any construction along route?	Circle One Yes / No	If Yes, complete the table below for all projects along route

Complete "Start/End/ Type" for each project	Georeference Start	Geo End	Type	Geo Start	Geo End	Type
	Lat/Long	Lat/Long	Text	Lat/Long	Lat/Long	Text

3.11 Are there any high density areas along route?	Circle One Yes / No	If Yes, complete the table below for all areas

Complete "Start/End" for each area	Georeference Start	Geo End	Geo Start	Geo End	Geo Start	Geo End
	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long
	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long

3.12 Restrictions or detours along route?	Circle One Yes / No	If Yes, complete the table below for all areas; obtain map of detour route

Complete "Start/End" for each detour	Georeference Start	Geo End	Geo Start	Geo End	Geo Start	Geo End
	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long
	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long	Lat/Long

Road / Route Recon Assessment Form M	Block 3: Road Continued					
3.13 Are there any emergency stations along the route?	Circle One Yes / No	**If yes, complete the table below; Option to complete Form L.**				
Complete "Name/Location" for each emergency station	**Name**	**Location**	**Name**	**Location**	**Name**	**Location**
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
3.14 Are there any historical religious sites, along the route?	Circle One Yes / No	**If yes, complete the table below; Option to complete Form F.**				
Complete "Name/Location" for each site	**Name**	**Location**	**Name**	**Location**	**Name**	**Location**
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
3.15 Are there any signs of governance along the route?	Circle One Yes / No	**If yes, complete the table below.**				
Complete "Name/Location" for each sign of governance	**Name**	**Location**	**Name**	**Location**	**Name**	**Location**
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
3.16 Are there any factories along the route?	Circle One Yes / No	**If yes, complete the table below.**				
Complete "Name/Location" for each factory	**Name**	**Location**	**Name**	**Location**	**Name**	**Location**
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
3.17 Are there any gas stations along the route?	Circle One Yes / No	**If yes, complete the table below.**				
Complete "Name/Location" for each gas station	**Name**	**Location**	**Name**	**Location**	**Name**	**Location**
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
	Text	Lat/Long	Text	Lat/Long	Text	Lat/Long
3.18 Is road near bodies of water?	Circle all that apply Ocean | River | Pond | Lake | Stream | Other				Explain other	
3.19 List natural hazards	Text					
3.20 List man-made hazards	Text					
3.21 List freezing / icing hazards	Text					
3.22 List rainfall / snowfall hazards	Text					
3.23 List dry or flooding pattern hazards	Text					

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form N: Bridge	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Form A is page 1 of this report. Complete appropriate blocks for all assessments conducted. Reference: Engineer Field Data FM 5-34 Chapter 7 (Bridging) and Engineer Reconnaissance FM 5-170 Appendix B.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Bridge

3.1 Bridge Width:	Meters	**3.2 Bridge Length:**	Meters	**3.3 Bridge Condition:**	Circle one Excellent | Good | Fair | Poor | Other
3.4 What is Bridged:	Circle one Canyon | Lake | Ravine | Overpass | Other			Explain other	
3.5 Bridge Materials:	Circle one Wood | Metal | Bamboo | Masonry | Other			Explain other	
3.6 Obvious Deformities on Bridge:			Circle one Cracks | Shearing | Missing Structure Items Unstable | Not Square | Sloping in Middle | Other	Explain other	
3.7 Obvious Deformities on Bridge - Road Connection:			Circle one Cracks | Shearing | Missing Structure Items Unstable | Not Square | Gaps | Other	Explain other	
3.8 Capacity of Bridge:	Kilos		**3.9 Is the bridge vital to local Quality of Living?**	Circle one Yes | No	
3.9.1 If yes, explain impact	Text				
3.10 What was the bridge created/used for:	Circle one Vehicle | Pedestrian | Both | Other		Explain other		

3.11 SURVEY: How many vehicles / pedestrians crossed bridge during assessment?

3.11.1 Start Time	HH:mm local	**3.11.2 Stop Time**	HH:mm local
3.11.3 Number of Vehicles:	Numeric	**3.11.4 Number of Pedestrians:**	Numeric

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form O: Railway

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Railway Information

3.1 Type of railway	Circle applicable choice Light | Conventional | High-Speed | Other		Explain other
3.2 Railway assessment start point	MGRS 8-digit Grid	**3.3 Railway assessment end point**	MGRS 8-digit Grid
3.4 Track count along railway	Numeric		
3.5 Train tracking system	Circle applicable choice None | GPS | RFID | Other		Explain other
3.6 Bridges along railway?	Circle one Yes | No	**If Yes, then complete Bridge Assessment (Form N)**	
3.7 Tunnels along railway?	Circle one Yes | No	**If Yes, then complete Question 3.7.1**	

3.7.1 Tunnel List

Complete a line for each Tunnel

Location	Height	Width	Length
MGRS 8-digit Grid	Numeric, Meters	Numeric, Meters	Numeric, Meters

3.8 Oncoming train signal system	Circle one Yes | No	**3.9 Primary construction material:**	❑

Complete Question 3.9.1

3.9.1 Material List

Complete a line for each Material

Material	Purpose
Text	Text
Text	Text
Text	Text
Text	Text

3.10 Track gauge:	Numeric	**3.11 Defects along the railway**	Text

Complete Question 3.11.1

3.11.1 Defect List

Complete a line for each Defect

Defect	Location	Length	Condition
Text	MGRS 8-digit Grid	Numeric, Meters	Circle One Unusable / Average / Good
Text	MGRS 8-digit Grid	Numeric, Meters	Circle One Unusable / Average / Good
Text	MGRS 8-digit Grid	Numeric, Meters	Circle One Unusable / Average / Good
Text	MGRS 8-digit Grid	Numeric, Meters	Circle One Unusable / Average / Good

3.12 Traction System:	Circle one Yes | No	**3.13 Maximum Speed Rates:**	Kilometer per Hour
3.14 Is there a switch stand?	Circle one Yes | No	**3.14.1 If yes, height of switch stand**	Numeric, Meters
3.15 FROG responds to switch stand?	Circle one Yes | No	**3.16 Are there signs of track use?**	Circle one Yes | No
3.17 Gross Trailing Load Quality:	Circle One Good | Fair | Poor	**3.18 Block Distance:**	Numeric, Meters

Block 4: Train Information

4.1 Type of train that uses railway	Circle all applicable choices Cargo | Passenger | Combination | High-Speed | Other	Explain other
4.2 Train height:	Numeric, Meters	

Railway Assessment Form O	Block 4: Continued	
4.3 Train composition ❑		**Complete Question 4.3.1**

4.3.1 Car List **Complete a line for each Car Type**	**Car Type**	**Quantity**	**Condition**
	Engine	Numeric	Circle one Poor | Average | Good
	Passenger	Numeric	Circle one Poor | Average | Good
	Sleeper	Numeric	Circle one Poor | Average | Good
	Dining	Numeric	Circle one Poor | Average | Good
	Bulk	Numeric	Circle one Poor | Average | Good
	Refrigerator	Numeric	Circle one Poor | Average | Good
	Livestock	Numeric	Circle one Poor | Average | Good
	HAZMAT	Numeric	Circle one Poor | Average | Good
	Tanker	Numeric	Circle one Poor | Average | Good
	Flatbed	Numeric	Circle one Poor | Average | Good
	Weapon	Numeric	Circle one Poor | Average | Good
	Other	Numeric	Circle one Poor | Average | Good
	Other	Numeric	Circle one Poor | Average | Good
	Other	Numeric	Circle one Poor | Average | Good

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form P: TCAPF	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Assessment Form A is page 1 of this report. This assessment can be utilized as a stand-alone engagement assessment or with other engagements.

Block 3: Information

3.1 Has there been a population change the last year?	Circle one Yes | No
3.1.1 If yes, why?	

3.2 What are the most important problems the civilian is facing?

Explain

Explain

Explain

3.2.1 Why is this a problem?

Explain

Explain

Explain

3.3 Who does the civilian think can solve this problem?

Explain

Explain

Explain

3.5 Why can this person or organization solve this problem?

Explain

Explain

Explain

3.6 What should be done first to help?

Explain

Explain

Explain

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form Q: NGO	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A before completing this form. Additionally, consider completing form P (TCAPF) during the exchange.

Block 3: Information

3.1 What type of organization is this NGO?	Circle applicable Type International / National
3.2 What is the NGO's Impact Area?	Circle applicable Type Country-Wide / Regional-specific

3.3 What Category of Service is the NGO involved in?

3.4 Description of Services:

3.5 What are the NGO's Affiliations?

3.6 List NGO's Implementing Partners:

3.7 List NGO's Funding Sources:

Information about the NGO's Current Projects

3.8 On-going Projects:	3.8.1 Project type:	3.8.2 Project's location:
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS
Text	Text	MGRS

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form R: Subject Matter Expert Exchange (SMEE)	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit
	Directions: Mandatory Assessment Form is page 1 of this report.			

Complete this forms for any SMEE cooperation, whether for training purposes or on projects. Consider completing Form P (TCAPF) during exchange.

Block 3: Information

3.1 Is this SMEE Enduring or Short Term ?	Circle One Enduring / Short Term			
3.2 Is there any NGO/IGO coordination?	Circle One NGO / IGO* *Option to complete NGO Assessment Form Q			
3.3 Event Type:	Text			
3.4 Groups Targeted:	Text			
3.5 HN Personnel Participating	Numeric	**3.5.1 Type of HN Personnel**	Text	
3.6 Describe the Media's Interest	Text			
3.7 Total Population Impacted by SMEE	Numeric	**3.7.1 # Males Impacted by SMEE**	Numeric	
3.7.2 # Females Impacted by SMEE	Numeric	**3.7.3 # Children Impacted by SMEE**	Numeric	
3.8 What is the Population's Receptiveness toward the SMEE?	Text			
3.9 SMEE's Area of Impact	Numeric, in Sq Km			
3.10 What Topics are/have been trained?				
3.11 List SMEE Organic Resources:				
3.12 List other SMEE Resources:				
3.13 What is the initial assessment?				
3.14 What is the expected Post Assessment/Impact?				
3.15 Are there any considerations for future training?				

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form S: Key Leader Engagement	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Mandatory Assessment Form is page 1 of this report. Complete appropriate blocks for all assessments conducted. This page should be supplemented with the TCAPF Assessment Form, Form P.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3 : Attendance Roster

3.1 List all Attendees Present at Meeting

(1)	Last Name	First Name	Title	Organization
	`			

(1) A – US Civilians B – US Military C – Diplomat D – Key Leader E – HN Military F – Other Military G – NGO H – IGO I - Other

3.7 Personal Security Forces Present?	Circle one Yes | No	If Yes, list by organization	Text
3.8 Meeting Open to Public?	Circle one Yes | No		

Block 4 : KLE Objectives

4.1 List the Desired Effects:

Explain

Explain

4.2 List Supporting Objectives:

Explain

Explain

4.3 List Commitments Desired by U.S.:

Explain

Explain

4.4 List RFI(s) to be Answered:

Explain

Explain

4.5 Identify Key Leader agenda / goals:

Explain

Explain

4.6 Identify Key Leader social network:

4.6.1 Names of Other Key Leaders:

4.6.2 Other Organizations:

KLE Assessment Form S	Block 4: Continued		
4.7 Identify local participation in projects:			
4.8 Identify security improvements:			
Block 5 : Engagement Nuances			
5.1 Did you identify a cooperation level?	Circle one Yes | No	**5.1.1 If yes, explain**	Explain
Explain			
5.2 Did you identify levels of interest?	Circle one Yes | No	**5.1.1 If yes, what did they mention most?**	Explain
Explain			
5.3 What were the cultural nuances?	e.g. drinking tea, small talk		
5.4 What customary practices observed?	e.g. tea, dance, prayer, ceremony		
5.5 Were there gift exchange expectations?	Circle one Yes | No	**5.5.1 If yes, what was presented:**	Explain
5.6 Additional Observations:			
Explain			
Block 6: Outcomes			
6.1 What items were discussed?			
Explain			
Explain			
6.2 Did you achieve your desired effect?	Circle one Yes | No	**If no, explain**	
6.3 Did the KLE have a good outcome?	Circle one Yes | No	**If no, explain**	
6.4 Long term influence potential?	Circle one Yes | No	**If yes, explain**	
6.5 List commitments made by U.S.:			
Explain			
6.6 List commitments made by local leader:			
Explain			
6.7 Recommendations for future KLE with this group:			
Explain			
6.8 List any intelligence considerations:			
Explain			
6.9 What RFI(s) were answered:			
Explain			
6.10 What was the timeline of events?	HH:MM		
Comments or Additional Information			
Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form T: Civilian Engagement	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete form A before completing this form. Consider completing form P (TCAPF) during exchange. This form is intended to assess an informal situation, an "individual field report".

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Biographical Referencing Data

3.1 List all alias names	Last name, First name, Nicknames				
3.2 Height	Meters	**3.3 Weight**	Kilos	**3.4 Education level**	Circle one None | Primary | Secondary | Associate | Baccalaureate | Master |Doctorate
3.5 List spoken languages	Text	**3.6 List understood languages**	Text		
3.7 List handicaps	Text				
3.8 Race	Circle one Mongoloid | Caucasoid | Australoid | Negroid | Capoid	**3.9 Skin Tone**	Circle one Very light | Light | Intermediate light | Intermediate dark | Dark | Very dark | Other		
3.10 Religion	Circle one Christian | Jewish | Muslim | Confucian | Hindu | Shinto | Buddhist	**3.11 What is the person's sect**	Text		
3.12 Social class	Circle one Upper | Upper middle | Lower middle | Working | Poor	**3.13 ID**	Circle one Yes | No	**3.14 Passport**	Circle one Yes | No
3.15 List diseases person may have	Text				
3.16 Biometrics collected	Circle one Yes | No	**3.17 When collected**	MM/DD/YYYY	**3.18 Where collected**	Text
3.19 Own a vehicle?	Circle one Yes | No	**3.19.1 Vehicle Make**	Text	**3.19.2 Vehicle Model**	Text
3.19.3 Vehicle Year	YYYY	**3.19.4 Vehicle Color**	Text	**3.19.5 Vehicle License Plate**	Text
3.20 Criminal record?	Circle one Yes | No	**3.20.1 What was the crime(s)?**		Text	
3.21 Ever been arrested?	Circle one Yes | No	**3.21.1 Why?**	Text	**3.21.2 Who arrested person**	Text
3.21.3 Where arrested?	Text	**3.21.4 Where jailed?**	Text	**3.21.5 Cellmate name(s)**	Text
3.22 Is person a soldier?	Circle one Yes | No	**3.22.1 Unit**	Text	**3.22.2 Rank**	Text
3.22.3 Occupational specialty	Text	**3.22.4 Names of family members who are military soldiers**		Last name, First name	
3.23 Persons favorite pastime	Text				
3.24 On Black, White or Grey list	Circle one Black | Grey | White | None	**3.24.1 If yes, what is the justification**	Text		
3.25 List the locations for the following questions:					
3.25.1 Birth place	Text	**3.25.2 School**	Text	**3.25.3 Religious training**	Text
3.25.4 Job/technical training	Text	**3.25.5 Friends**	Text	**3.25.6 Vacation**	Text
3.25.7 Visited	Text	**3.25.8 Are locations visited reflected in passport with dates**		Circle one Yes | No	
3.25.9 Where does person regularly travel	Circle applicable choices Work | School | Church | Friends | Entertainment | Other	Explain other			
3.25.10 Water source	Text	**3.25.11 Worship**	Text	**3.25.12 Medical care**	Text
3.25.13 Market	Text	**3.25.14 Vehicle maintenance**	Text	**3.25.15 Bank**	Text
3.26 Primary transportation source	Circle one Walk | Bike | Motorbike | POV | Taxi | Bus | Light rail | Other	Explain other			

Block 4: Relationship Information

4.1 Name(s) of spouse(s)	Last name, First name
4.2 Name(s) of children	Last name, First name
4.3 Name of father	Last name, First name

Civilian Engagement Assessment Form T	Block 4: Continued		
4.4 Name of mother	Last name, First name		
4.5 Name(s) of uncle(s)	Last name, First name		
4.6 Name(s) of aunts(s)	Last name, First name		
4.7 Name(s) of cousins(s)	Last name, First name		
4.8 Tribe name	Text	**4.9 Clan name**	Text
4.10 List clubs/sports teams affiliated with	Text		
4.11 List political organization memberships	Text		
4.12 Name(s) of coworkers(s)	Last name, First name		
Last name, First name			
4.13 Name(s) of boss(es)	Last name, First name		
Last name, First name			
4.14 Name(s) of teachers(s) at last school	Last name, First name		
Last name, First name			
4.15 Who would person turn to if in trouble	Last name, First name		
4.16 Who is the most trusted man in persons village	Last name, First name		
4.17 List religious leader	Last name, First name		
4.18 List elder	Last name, First name		
4.19 List clan leader	Last name, First name		
4.20 List tribe leader	Last name, First name		
4.21 List local government rep	Last name, First name		
4.22 List neighbors	Last name, First name		
Last name, First name			

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form U: Contractor	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Contractor Personal Information

3.1 What is the type of contracting business?	Text	
3.2 Has the contractor worked with US/Coalition forces in the past?	Circle one Yes | No	
3.3 Who recommends this contractor?	Last Name, First Name	
3.4 Relationship between contractor and person recommending:	Text	
3.4.1 What languages are understood/spoken?	Text	
Where is the contractor on record as a trusted vendor?	Circle all applicable choices Embassy / PRT / Host Nation / Coalition / None / Other	
3.5 Currency the contractor accepts:	Text	
3.6 Likelihood the contractor is working for or with the insurgency:	Circle One High | Unknown | Low	
3.7 Has the contractor tried to cheat the US/Coalition out of money:	Circle one Yes | No	**If Yes, complete Question 3.7.1**
3.7.1 Explain how?		
3.8 Can the contractor read?	Circle one Yes | No	
3.9 Expectation for the US or Coalition to pay for fuel or for the use of business-owned transportation?	Text	
3.10 Contractor's competitors:	Text	

Block 4: Contractor Past Project Referencing Data

4.1 Who has the contractor provided services to in the past?	Text	
4.2 Past projects the contractor completed: ❑		**Complete Question 4.2.1 & 4.3**

4.2.1 Project List **Complete a line for each Project**	**Project**	**Location**	**Year**	**4.3 Condition of Project**
	Text	Text	YYYY	Circle one Excellent | Good | Fair | Poor
	Text	Text	YYYY	Circle one Excellent | Good | Fair | Poor
	Text	Text	YYYY	Circle one Excellent | Good | Fair | Poor
	Text	Text	YYYY	Circle one Excellent | Good | Fair | Poor

4.4 What are the contractor's costs for supplies?	Text (Supply)	Quantity (Cost)
4.5 Where does the contractor get his labor from?	Text (Location)	Quantity (Cost)
4.6 Where does the contractor get his material from?	Text (Material)	Tex (Location)
4.7 What are the contractor's going rates?	Text (Category of work)	Numeric (Cost)

4.8 Contact information of past customers:	**Last Name**	**First Name**	**Contact Information: Phone #**
	Text	Text	Numeric
	Text	Text	Numeric

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

CONTRACTOR ASSESSMENT FORM U CLASSIFICATION: _____ Page ____ of____

Assessment Form V: Mass Engagement	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 What is the type of mass engagement?	Circle Applicable type Convention | Social Activity | Community Event | Religious | Political	Other
3.2 What was the approximate attendance?	Numeric	

	Organization	Name	Organization	Name
3.3 What key leaders were present? **3.4 What organizations were represented?**	Text	Last Name, First Name	Text	Last Name, First Name
	Text	Last Name, First Name	Text	Last Name, First Name
	Text	Last Name, First Name	Text	Last Name, First Name

3.4.1 Who organized the event?	Last Name, First Name
3.5 What was the purpose of the event?	Text

Block 4: Nuances of the Engagement

4.1 Did you identify a level of cooperation?	Circle one Yes | No	**If Yes, then complete Question 4.1.1**
4.1.1 Explain:		
4.2 Did you identify levels of interest?	Circle one Yes | No	**If Yes, then complete Question 4.2.1**
4.2.1 What did they mention the most?		
4.3 What were the cultural nuances for the gathering/meeting?	Text (e.g., Drinking Tea, Small Talk, etc.)	
4.4 What typical customary practices were conducted during the event?	Text (e.g., Tea Dance, Prayer, Ceremonies, etc.)	

Block 5: Outcome from the Event

5.1 What items were discussed?	Text
5.2 Did the organizer achieve the desired purpose?	Circle one Yes | No
5.3 Did the engagement have a good outcome?	Circle one Yes | No
5.4 Is there a potential for long-term influence?	Circle one Yes | No
5.5 List the commitments made by the US:	Text
5.6 List the commitments made by attendees:	Text
5.7 What are the recommendations for future engagement at this event?	
5.8 Were there any intelligence considerations?	Text

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form W: Fishery/Hatchery	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Infrastructure

3.1 What type of facility?	Circle Applicable type Fishery | Hatchery | Both | Other	**Explain other**
3.2 What is the size of the fishery/hatchery?	Numeric, Square Meters	
3.3 Type of ownership?	Circle Applicable type Commercial | Private | Government | Other	**Explain other**
3.4 What is the existing structure?	Circle Applicable type Maritime Area | Continental Waterway | Building | Other	**Explain other**
3.5 Accessibility of waterways?	Circle Applicable type Easy Access | Difficult Access | Other	**Explain other**
3.6 Are there laws regulating fishery activity?	Circle one Yes | No	**3.6.1 If Yes, then obtain a copy of the laws**
3.7 Are there any exclusive economic zones (EEZ)?	Circle one Yes | No	
3.8 Are boats present at the facility?	Circle one Yes | No	**If Yes, then complete Question 3.8.1**

3.8.1 Vessel List

Complete a line for each Vessel

Type of Vessel	Name of Vessel	Number	Owner	Operability
Text	Text	Numeric	Last Name, First Name	Inoperable | Poor | Good | Excellent
				Inoperable | Poor | Good | Excellent
				Inoperable | Poor | Good | Excellent
				Inoperable | Poor | Good | Excellent

3.9 Who maintains all the necessary boat equipment?	Text (Last Name, First Name)
3.10 Special equipment used:	❑

3.10.1 Equipment List

Complete a line for each type of Equipment

Equipment	Quantity
Text	Numeric

Block 4: Capabilities

4.1 Number of laborers?	Numeric	**4.1.1 What training have they received?**	Circle One Official | Unofficial
4.1.2 How long have they been working here?	Numeric, Years	**4.1.3 What is their monthly salary?**	Numeric, Local Currency

4.2 Types of cultivation?	Text	
4.3 How is product cultivated?	Circle All That Apply Nets | Long-Line | Pots | Other	**Explain other**
4.4 Normal monthly production:	Numeric, Kilos	
4.5 How has the fishing been recently?	Text	
4.6 Average daily harvest:	Numeric, Kilos	**4.7 Cost of the product, per kilo:** Numeric, Local Currency
4.8 How are the fish kept fresh?	Circle All That Apply Ice | Salt | Other	**Explain other**
4.9 Where do the fish get processed?	Circle Applicable Choice On-Site | Off-Site	
4.9.1 Off-site location:	Text	
4.10 Where does the processed product go?	Circle Applicable Choice Factory | Market | Other	**Explain other**
4.11 How are the fish transported?	Circle Applicable Choice Truck | Bike | Hand-Carried | Other	**Explain other**

FISHERY/HATCHERY ASSESSMENT FORM W CLASSIFICATION: _____ Page ____ of ____

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Fishery/Hatchery Assessment Form W	Block 4: Continued		
4.12 What is being done to deter piracy?	Text		
4.13 Is there a piracy problem in the area?	Circle one Yes | No	**If Yes, then complete Question 4.13.1**	
4.13.1 Explain	Text		
4.14 Social situation:	Circle Applicable Choice No Strikes | Discriminatory | Disputes | Other		**Explain other**
4.15 Identify social conflicts if local fishery resources are depleted:	Text		

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form X: Ports and Harbors

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Port/Harbor Information

3.1 Is harbor a fixed installation?	Circle Applicable type Temporary | Permanent | Not Known | Other		Explain other
3.2 Harbor approach channel depth	Numeric	**3.3. Harbor maximum vessel draught**	Numeric
3.4 Harbor maximum vessel length	Numeric	**3.5. Harbor maximum vessel width**	Numeric
3.6 Harbor entrance restrictions	Text		
3.6.1 Ice a natural harbor restriction	Circle one Yes | No	**3.6.2 Swell is a natural harbor restriction**	Circle one Yes | No
3.6.3 Harbor has overhead restrictions	Circle one Yes | No	**3.7 Is pilotage available?**	Circle one Yes | No
3.8 Is pilotage required?	Circle one Yes | No	**3.9 Are tugs available?**	Circle one Yes | No
3.10 Harbor has turning area?	Circle one Yes | No	**3.11 Harbor mean current tidal rate**	Numeric
3.12 Prevailing harbor wind direction	Circle Applicable Choice All | E | E-NE | E-SE | N | NE | N-NE | N-NW | NW | S | SE | S-SE | S-SW | SW | W | W-NW | W-SW		
3.13 Harbor prevailing wind speed	Kilometers / Hour	**3.14 Harbor prevailing wind rate**	Numeric
3.15 Mean neap tide (lowest high tide)	Numeric	**3.16 Mean spring tide**	Numeric
3.17 Tide comments	Text		
3.18 Estimated time of arrival message required	Circle one Yes | No		
3.19 Description of Piers(s)	**Complete Question 3.19.1**		

3.19.1 Pier List **Complete a line for each Pier**	Construction	Condition	Length	Width	Lighting
	Circle one Masonry | Concrete | Lumber | Earthen | Other	Circle one Unusable | Poor | Fair | Good | Excellent	Numeric, Meters	Numeric, Meters	Circle one Yes | No
	Circle one Masonry | Concrete | Lumber | Earthen | Other	Circle one Unusable | Poor | Fair | Good | Excellent	Numeric, Meters	Numeric, Meters	Circle one Yes | No
	Circle one Masonry | Concrete | Lumber | Earthen | Other	Circle one Unusable | Poor | Fair | Good | Excellent	Numeric, Meters	Numeric, Meters	Circle one Yes | No
	Circle one Masonry | Concrete | Lumber | Earthen | Other	Circle one Unusable | Poor | Fair | Good | Excellent	Numeric, Meters	Numeric, Meters	Circle one Yes | No
	Circle one Masonry | Concrete | Lumber | Earthen |Other	Circle one Unusable | Poor | Fair | Good | Excellent	Numeric, Meters	Numeric, Meters	Circle one Yes | No

Block 4: Port/Harbor Capabilities

4.1 Patrolled by security forces	Circle Applicable Type Navy | Coast Guard | Private | NOS | Not Known		Other
4.1.1 POC information of police/security forces chief or leader	Last Name, First Name, Title		
4.1.2 Water, airborne, and land patrols:	Text		
4.1.3 Equipment used to maintain security:	Text		
4.2 Is harbor a port of entry for Customs and Immigration?	Circle one Yes | No		
4.2.1 Is there a Customs Agency representative present?	Circle one Yes | No	**If yes, provide name**	
Last Name, First Name			
4.2.2 Customs Agency SOP being implemented?	Circle one Yes | No		
4.3 Harbor fire-fighting capability	Circle Applicable Type AFLOAT | ASHORE | NOS | Other		Explain other
4.3.1 Can supply fire-fighting capabilities? Circle one Yes | No	**4.3.2 Fresh water available?**		Circle one Yes | No

PORTS AND HARBORS ASSESSMENT FORM X CLASSIFICATION: ___________________ Page ____ of ____

Ports and Harbors Assessment Form X	Block 4: Continued

4.4 Emergency Services:	Complete Question 4.4.1

4.4.1 Emergency Services List Complete a line for each Service	Service	Response Time	Communications
	Fire	HH:MM	Text
	Police	HH:MM	Text
	HAZMAT	HH:MM	Text
	Other	HH:MM	Text
	Other	HH:MM	Text

4.4.3 Harbor supports LASH transport system	Circle one Yes | No	**4.4.4 Lighters are available**	Circle one Yes | No
4.4.5 Harbor has biologically secure facilities	Circle one Yes | No	**4.4.6 Day limit (kg) of net explosive quantity**	Numeric, Kilograms
4.4.7 Harbor night limit (kg) of net explosive quantity	Kilograms	**4.5 Harbor has degaussing capability**	Circle one Yes | No
4.6 Harbor can receive dirty ballast	Circle one Yes | No	**4.7 Passenger handling facilities are available**	Circle one Yes | No
4.7.1 Transit accommodation available	Circle one Yes | No		

4.8 Harbor vehicle handling type	Circle Applicable Type Not Known | NOS | Fixed Span | Floating Span | Movable-link Span	Other
4.9 Harbor refueling location	Circle Location Type MGRS | Lat/Lon | DTG | GZ Designator	Location
4.9.1 Harbor refueling type	Circle Location Type Bunkering-Barge | Fixed | Tanker-Road | Other	Explain other
4.10 Harbor sheltering quality	Circle Choice Excellent | Good | Fair | Poor | Other	Explain other

4.11 Harbor has convoy marshalling facilities	Circle one Yes | No	**4.12 Tanker facilities available**	Circle one Yes | No
4.13 Launch and recovery services	Text		
4.14 Repair and dry dock operations	Circle one Yes | No	**If Yes, complete question 4.14.1**	

4.14.1 Operations Equipment List Complete a line for each piece of Equipment	Equipment	Quantity	Condition
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent

4.15 Cargo handling	Circle one Yes | No	**If Yes, complete question 4.15.1**

4.15.1 Cargo Handling Equipment List Complete a line for each piece of Equipment	Equipment	Quantity	Condition
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent

4.16 Communication Systems Complete a line for each System	Communication System	Quantity	Condition
	Text (Type, Frequencies, etc.) Cellular	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Microwave	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Bridge-to-Bridge Radio	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Radio Aids to Navigation	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Harbor Frequencies	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Military/Rescue Frequencies	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Other	Numeric	Circle One Inoperable | Poor | Good | Excellent

Ports and Harbors Assessment Form X	Block 4: Continued		
4.17 Transportation Systems in the Area **Complete a line for each System**	**Transportation System**	**Quantity**	**Condition**
	Text (Airfields, Road Access, Railways, with Access Points)	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
4.18 Other Equipment **Complete a line for each type of Equipment**	**Equipment Type**	**Quantity**	**Condition**
	Text (SONAR, RADAR, Optics / Low-light Optics, Laser Rangefinder)	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent
	Text	Numeric	Circle One Inoperable | Poor | Good | Excellent

4.19 Local policies, regulations, and restrictions:	Text		
4.20 Legal tariffs, cost, and payments:	Text		
4.20.1 Does illegal taxing occur?	Circle one Yes | No	**4.21 Harbor enclose marine sanctuary**	Circle one Yes | No
4.21.1 National park	Circle one Yes | No	**4.21.2 Ecological restoration**	Circle one Yes | No
4.21.3 Wildlife habitat	Circle one Yes | No	**4.21.4 Tourist attraction**	Circle one Yes | No
4.21.5 Is harbor schedule publically available?	Circle one Yes | No		
4.22 Trash, garbage, sewage issues:	Text		
4.23 Dock of labor work force:	Numeric		

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form Y: Airfield / Airstrip

1.1 Assessment Team	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect | Light Grey Blocks – Collect if time permits | Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 Type of airfield / airstrip	Circle applicable type Military | Commercial | Private | Other	Explain Other
3.2 International civil aviation code	Text	

3.3 Runway information

Length	Width	Narrowest	Composition	Restrictions
Meters	Meters	Meters	Circle one Paved | Packed | NOS | Not known	Months
Meters	Meters	Meters	Circle one Paved | Packed | NOS | Not known	Months
Meters	Meters	Meters	Circle one Paved | Packed | NOS | Not known	Months

3.4 Hours of operation	HH:MM to HH:MM	**3.5 Provides traffic control**	Circle one Yes | No
3.6 Instrument landing system	Circle one Yes | No	**3.7 Visual navigation aid available**	Circle one Yes | No

3.8 Hangar information

Location	Space Available	Height	Condition
MGRS 8-digit Grid	Square Meters	Meters	Scale

3.9 Aircraft parking capacity	Numeric	Type	**3.10 Approach lights operational**	Circle one Yes | No
			3.11 Lights on parking ramp	Circle one Yes | No

3.12 Fuel information

Type	Storage Capacity	On-Hand	Location
Text	Liters	Liters	MGRS 8-digit Grid

3.13 Radar operational	Circle one Yes | No	**3.14 Radar location**	MGRS 8-digit Grid
3.15 Aircraft maintenance capability	Text		
3.16 Location of passenger terminal	MGRS 8-digit Grid	**3.17 Location of weather facility**	MGRS 8-digit Grid
3.18 Location of customs office	MGRS 8-digit Grid	**3.19 Location of immigration office**	MGRS 8-digit Grid

3.20 Cargo handling equipment

Type	Quantity	Condition
Text	Numeric	Circle one Inoperable | Poor | Good | Excellent

3.21 Location of cargo terminal	MGRS 8-digit Grid	**3.22 Loading ramp condition**	Circle one Inoperable | Poor | Good | Excellent

3.23 De-icing equipment	Circle one Yes | No	**3.24 Emergency services**	Circle one Yes | No	**3.25 Fire fighting capabilities**	Circle one Yes | No
3.26 Fire extinguishers present	Circle one Yes | No	**3.27 Crash crews available**	Circle one Yes | No	**3.28 MEDEVAC capabilities**	Circle one Yes | No
3.29 Control tower height	Meters	**3.29.1 Enclosed tower**	Circle one Yes | No	**3.29.2 Tower air conditioned**	Circle one Yes | No
3.29.3 Operational hours per day	HH:MM	**3.30 Ground personnel communications**		Text	

3.31 Equipment needing repair

Type	Repair Required	Priority
Text	Text	Numeric

3.32 Airport power supply

Source	Type	Condition	Hours/Day
Circle one **Government | Commercial | On-site**	Text **Primary | Secondary Tertiary | Other**	Text **Operational | non-operational**	Text

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form Z: Farm	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Information

3.1 What is the principle product?	Circle Applicable Type Dairy | Corn | Wheat | Rice | Vegetable | Fruit | Cattle | Hogs | Chicken	Other
3.2 Who owns the farm?	Circle Applicable Type Government | Commercial | Private | Other	Other

3.3 Farmable/pasture land area	Numeric, Hectares	**3.4 Ground storage area usage**	**Complete Question 3.4.1**

3.4.1 Storage List

Complete a line for each type of Storage

Storage Type	Capacity	Location
Silo	Numeric, Cubic Meters	MGRS, 8-digit Grid
Barn	Numeric, Cubic Meters	MGRS, 8-digit Grid
Warehouse	Numeric, Cubic Meters	MGRS, 8-digit Grid
Tank	Numeric, Cubic Meters	MGRS, 8-digit Grid
Stable	Numeric, Cubic Meters	MGRS, 8-digit Grid
Other	Numeric, Cubic Meters	MGRS, 8-digit Grid

3.5 Is the farm operational?	Circle one Yes | No	**If No, then complete Question 3.5.1**	❑
3.5.1 What is required to make it so?	Text		
3.6 How many people are employed?	Numeric	**3.7 Do the workers feel safe?**	Circle one Yes | No
3.7.1 If 3.7 is No, then Why?	Text		
3.8 Is the farmer part of an association?	Circle one Yes | No		
3.9 How does the farm obtain supplies?	**Complete Question 3.9.1**		

3.9.1 Supply List

Complete a line for each type of Supply

Supply	Source	Quantity	Month
Text	Text	Numeric	Text
Text	Text	Numeric	Text
Text	Text	Numeric	Text
Text	Text	Numeric	Text

3.10 Primary means of transportation to market	Circle Applicable Type Government | Commercial | Private | Other	**Explain other**
3.11 List primary water source	Text	
3.11.1 List secondary water source	Text	
3.11.2 List other water sources	Text	
3.12 List on-hand farm equipment	**Complete Question 3.12.1**	

3.12.1 Equipment List

Complete a line for each type of Equipment

Equipment Type	Quantity	Condition
Text	Numeric	Circle One: Non-operational | Operational - Needs Minor Repair | Fully Operational
Text	Numeric	Circle One: Non-operational | Operational - Needs Minor Repair | Fully Operational
Text	Numeric	Circle One: Non-operational | Operational - Needs Minor Repair | Fully Operational
Text	Numeric	Circle One: Non-operational | Operational - Needs Minor Repair | Fully Operational
Text	Numeric	Circle One: Non-operational | Operational - Needs Minor Repair | Fully Operational

3.13 List farm's outside assistance	**Complete Question 3.13.1**

Farm Assessment Form Z	Block 3: Continued		
3.13.1 Outside Assistance List **Complete a line for each type of Assistance**	**What Assistance**	**Source of Assistance**	**Amount of Assistance**
	Circle applicable type Financial, Labor , Agency/Organization	Circle applicable type: Government | NGO | Commercial | Private | Other	Numeric
	Circle applicable type Financial, Labor , Agency/Organization	Circle applicable type: Government | NGO | Commercial | Private | Other	Numeric
	Circle applicable type Financial, Labor , Agency/Organization	Circle applicable type: Government | NGO | Commercial | Private | Other	Numeric

Block 4: Produce

4.1 Primary sources of fertilizer	**Complete Question 4.1.1**

4.1.1 Fertilizer List **Complete a line for each type of Fertilizer**	**Type of Fertilizer**	**Source of Fertilizer**	**Quantity On-Hand**	**Cost**
	Text	Text	Numeric, Kilos	Numeric, Dollars
	Text	Text	Numeric, Kilos	Numeric, Dollars
	Text	Text	Numeric, Kilos	Numeric, Dollars

4.2 List chemical and pesticides used	**Complete Question 4.2.1**

4.2.1 Chemical & Pesticide List **Complete a line for each type of Chemical/Pesticide**	**Type of Chemical/Pesticide**	**Source of Chemical/Pesticide**	**Quantity On-Hand**	**Cost**
	Text	Text	Numeric, Kilos/Liters	Numeric, Dollars
	Text	Text	Numeric, Kilos/Liters	Numeric, Dollars
	Text	Text	Numeric, Kilos/Liters	Numeric, Dollars

4.3 HAZMAT control measures:	**Text**
4.4 Bio-security measures used:	**Text**

4.5 Is the farm seasonal?	Circle one Yes/No	**4.6 Is crop rotation practiced?**	Circle one Yes/No	**4.7 Is soil conservation practiced?**	Circle one Yes/No

Block 5: Livestock

5.1 Any disease concerns?	Circle one Yes/No	**If Yes, then complete Question 5.1.1** ❑

5.1.1 Disease Concerns List **Complete a line for each Disease Concern**	**Disease Concern**	**Mitigation**	**Priority**
	Text	Text	Numeric
	Text	Text	Numeric
	Text	Text	Numeric
	Text	Text	Numeric

5.2 Is there an animal health program?	Circle one Yes/No	**If Yes, then complete Question 5.2.1** ❑

5.1.1 Animal Health Programs List **Complete a line for each Program**	**Program**	**Source**	**Funding**
	Text	Text	Numeric, Dollars
	Text	Text	Numeric, Dollars
	Text	Text	Numeric, Dollars

5.3 Is pasture rotation practiced?	Circle one Yes/No	**5.4 What livestock products are produced?**	**Text**
5.5 Describe disposal of animal waste:		**Text**	

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form AA: Veterinary

1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Veterinarian Capabilities

3.1 Who provides the majority of animal care?	Text		
3.1.1 Where is the veterinary care received?	Text		
3.1.2 Has an animal census been conducted for this country?	Circle one Yes | No	3.2 Who conducted census	Text
3.2.1 When was it done?	MM/YYYY	3.2.2 Is census data available?	Circle one Yes | No

3.3 List the current animal health programs and initiatives.

Program	Sponsor	Status	Followed
Text	Text	Text	Circle one Yes | No
Text	Text	Text	Circle one Yes | No
Text	Text	Text	Circle one Yes | No

3.4 What are the limiting factors

Factor	Why Limiting	Mitigation
Text	Text	Text

3.5 List national veterinary laboratory	Text	3.6 Is wildlife conservation a national priority?	Circle one Yes | No
3.7 Is wildlife a major reason for tourism?	Circle one Yes | No	3.8 De-worm: Season / Month	Text
		3.8.1 Name of vaccine / anti-parasitic	Text
3.9 Ecto-parasitic: Season / Month	Text	3.9.1 Name of vaccine / anti-parasitic	Text
3.10 What is the animal and animal product market?		Text	

3.11 List the top five (5) animal products for this country.

Text
1)
Text
2)
Text
3)
Text
4)
Text
5)

3.12 Are animals inspected at slaughter?	Circle one Yes | No		
3.14 Are disease outbreaks readily reported to OIE?	Circle one Yes | No	3.15 Are there quarantine procedures for animals ENTERING the country	Circle one Yes | No
3.16 Are there quarantine procedures for animals LEAVING the country?	Circle one Yes | No	3.17 Can the Ministry of Agriculture put a farm or area under quarantine?	Circle one Yes | No

3.13 List national surveillance programs.

For What Diseases?	Program Coordinator
Text	Text
Text	Text

Block 4: Vet Support Income

Position	Last Name	First Name
4.1 MoA Director of Livestock / Veterinary Services:		
4.2 USAID Agriculture / Economics POC:		
4.3 USAID Veterinary / Livestock Specialist:		
4.4 USDA – APHIS – IS Representative:		
4.5 List active veterinary programs	Text	

Veterinary Assessment Form AA	Block 4: Continued				
4.5.1 Programs POC:	Last Name	First Name			
4.6 Describe "Other" that run active veterinary programs:	Text				
4.7 Are there any NGOs working in the area providing veterinary support?	Text				
4.7.1 NGO POC:	Last Name	First Name			
4.8 Are there programs / projects being conducted by USAID or USDA	Circle one Yes | No				
4.8.1 Program	Text	Sponsor	Circle one USAID | USDA | Other	Explain Other	

Block 5: Vet Support Income

5.1 Does the country have accreditation procedure?	Circle one Yes | No	5.2 How many are accredited by other countries?	Numeric

5.3 Veterinary Schools	School Name	Location	Accreditation
	Text	MGRS 8-digit Grid	Text
	Text	MGRS 8-digit Grid	Text

5.4 Are veterinarians required to obtain a license to practice?	Circle one Yes | No	5.5 Is continuing education mandatory for license renewal?	Circle one Yes | No
5.5.1 Is this enforced?	Circle one Yes | No	5.5.2 Is it readily available in country?	Circle one Yes | No

5.6 Who provides continuing education?	School Name	Location	Accreditation
	Text	MGRS 8-digit Grid	Text
	Text	MGRS 8-digit Grid	Text

5.7 Agriculture, Veterinary, Farm Associations?	Association	Function	POC
	Text	Text	Last Name, First Name
	Text	Text	Last Name, First Name

5.8 Which three (3) countries educate the majority of the veterinarians?	Text 1)		
	Text 2)		
	Text 3)		
5.9 Who pays for the education of veterinarians outside the country	Text	5.10 Number of veterinarian schools	Numeric

Block 6: Domesticated Animals

6.1 Are corrals or pans available?	Circle one Yes | No	6.2 Are chutes available?	Circle one Yes | No
6.3 Are chutes temporary or permanent?	Circle one Temporary | Permanent		

6.4 List Domesticated Animals Present:

6.4.1 Land Animals	Land Animals	Number	Primary Use	Secondary Use	Birthing Season
	Text	Text	Text	Text	MM
6.4.2 Aquatic Animals	Aquatic Animals	Number	Primary Use	Secondary Use	Birthing Season
	Text	Text	Text	Text	MM
6.4.3 Winged Animals	Winged Animals	Number	Primary Use	Secondary Use	Birthing Season
	Text	Text	Text	Text	MM

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form BB: Dislocated Civilian / Humanitarian Assistance	**1.1 Assessment Team**	Team Name	**1.2 Date of Assessment**	MM/DD/YYYY
	1.3 Report Title	Text	**1.4 Report #**	Assigned by unit

Directions: Complete Form A before completing this form.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: General Camp Information

3.1 Is this an enduring or short-term camp?	Circle one Yes | No	**3.2 List all NGO/GO coordination:**	Text (Option to complete NGO Assessment)
3.3 Total population impacted	Numeric	**3.4 Number of Males**	Numeric
3.6 Number of Females	Numeric	**3.7 Number of Children**	Numeric
3.8 Number of households within population	Numeric	**3.9 Group(s) targeted**	Text
3.10 Area impacted	Numeric, Sq Km	**3.11 Distance between DC-camp and displaced area**	Numeric, Km

3.12 Are the IDPs organized with representatives?	Circle one Yes | No	**If Yes, then complete Questions 3.12.1 and 3.12.2**	
3.12.1 List top 3 priorities that have been expressed	**1)**		
	2)		
	3)		
3.12.2 List how representatives convey messages	Circle Applicable Type Word of Mouth | Town Hall Meetings | Other	Explain other	
3.12.3 Population's receptiveness	Text		
3.13 Media interest	Circle one Yes | No	**3.14 Does Admin maintain population records?**	Circle one Yes | No
3.16 Does Admin maintain support received records?	Circle one Yes | No	**3.17 Is there reliable system for safe food distribution**	Circle one Yes | No
3.18 Is there a medical facility at site?	Circle one Yes | No	* Option to complete Hospital/Clinic Assessment, Form L	
3.18.1 Describe medical capabilities	Text		
3.19 Is there a religious center?	Circle one Yes | No	**3.20 Are there camp security forces?**	Circle one Yes | No
3.21 Is there a camp detention facility?	Circle one Yes | No		
3.22 What is the accessibility to major roads?	Text		
3.23 Describe human waste management practices	Text		
3.24 Describe personal hygiene practices	Text		
3.25 List laundry cleaning capabilities	Text		

Block 4: Availability/Needs

4.1 List details about the following Supplies/Needs:

Supply/Need	Type	Qty Available	Qty Needed	Donated By
4.1.1 Food	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.2 Water	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text

DC/HA Assessment Form BB	Block 4: Continued			
Supply/Need	**Type**	**Qty Available**	**Qty Needed**	**Donated By**
4.1.3 Clothing	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.4 Shelter	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.4.1 Cots	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.5 Medical	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.6 Financial Aid	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.7 Education	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
4.1.8 Other	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text
	Text	Numeric	Numeric	Text

Comments or Additional Information

Submitted by:	Name, Rank, Title	Signature	Date

Assessment Form CC: Village	1.1 Assessment Team	Team Name	1.2 Date of Assessment	MM/DD/YYYY
	1.3 Report Title	Text	1.4 Report #	Assigned by unit

Directions: Complete Form A (General Information) before completing this form. For a Hamlet, complete Level 1 questions only. For a Village, complete Level 1-3 questions. For a Town, complete Level 1-3 questions. For a Urban Area, complete Level 1-4 questions. For a City, complete Level 1-5 questions and only if more than 1 urban area is being assessed.

White Blocks – Always Collect	Light Grey Blocks – Collect if time permits	Dark Grey – Collect if specifically requested

Block 3: Mandatory Information

HAMLET	LEVEL 1 VILLAGE ASSESSMENT		
3.1 Population	Numeric	3.1.1 Area, in Sq Km	Numeric
3.1.2 Dwelling building material	Text, Construction Material		
3.1.3 Residents reaction to U.S.	Circle Applicable Choice Hostile | Friendly | Neutral | Unknown		Other
3.1.4 Occupied	Circle Applicable Choice Yes | No | Unknown		Other

VILLAGE	LEVEL 2 VILLAGE ASSESSMENT
3.2 What is the highest legal authority?	Circle Applicable Type Religious | Law Enforcement | Tribal | Elected | Appointed Local | Appointed Non-Local
3.2.1 Village leader	Last Name, First Name, Title, Contact Information

Capabilities

3.2.2 Education: (Rate Capability as Full, Normal, Below, None, or Unknown)			
3.2.2.1 Primary	Capability Rating	3.2.2.2 Secondary	Capability Rating
3.2.2.3 Trade	Capability Rating	3.2.2.4 Higher	Capability Rating
3.2.3 Distributed Power:			
3.2.3.1 Primary	Select Type Renewable | Gas | Coal | Other	3.2.3.2 Hours per Day	Numeric
3.2.4 Religion: (Rate Capability as Full, Normal, Below, None, or Unknown)			
3.2.4.1 Places of worship	Capability Rating	3.2.4.2 Education	Capability Rating
3.2.5 Library: (Rate Capability as Full, Normal, Below, None, or Unknown)			Capability Rating
3.2.6 Medical: (Rate Capability as Full, Normal, Below, None, or Unknown)			Capability Rating
3.2.7 Local Potable Water: (Rate Capability as Full, Normal, Below, None, or Unknown)			Capability Rating
3.2.8 Police: (Rate Capability as Full, Normal, Below, None, or Unknown)			Capability Rating
3.2.9 Fire Department: (Rate Capability as Full, Normal, Below, None, or Unknown)			Capability Rating
3.2.10 Media: (Rate Capability as Yes, No, or Unknown)			
3.2.10.1 Newspaper	Capability Rating	3.2.10.2 Internet	Capability Rating
3.2.10.3 TV	Capability Rating	3.2.10.4 Radio	Capability Rating
3.2.11 Telecommunications: (Rate Capability as Always, Usually, Sometimes, Rarely, Never, None, or Unknown)			
3.2.11.1 Cell Phone Signal	Capability Rating	3.2.11.2 Land Line Phone	Capability Rating
3.2.11.3 Cable Internet	Capability Rating		
3.2.12 Economics: (Rate Capability as Always, Usually, Sometimes, Rarely, Never, None, or Unknown)			
3.2.12.1 Provide local goods	Capability Rating	3.2.12.2 Provide delivered goods	Capability Rating

TOWN	LEVEL 3 VILLAGE ASSESSMENT		
3.3 Areas covered	Description of Town Area Covered		
Bounding Coordinates (Note Here the Type of Coordinates Used):			
3.3.1 Northwest (NW)	Coordinates	3.3.2 Northeast (NE)	Coordinates

Village Assessment Form CC	Block 3: Continued		
3.3.3 Southwest (SW)	Coordinates	**3.3.4 Southeast (SE)**	Coordinates
Bounding Features			
3.3.5 North	Text	**3.3.6 South**	Text
3.3.7 East	Text	**3.3.8 West**	Text
3.3.9 Associated Infrastructure: (Rate Capability as Yes, No, or Unknown; except for Question 3.3.9.k which requires text input)			
3.3.9.a Shallow water docking	Capability Rating	**3.3.9.b Port / Harbor**	Capability Rating
3.3.9.c Railway	Capability Rating	**3.3.9.d Air cargo**	Capability Rating
3.3.9.e Air transit	Capability Rating	**3.3.9.f Trucking**	Capability Rating
3.3.9.g Military basing	Capability Rating	**3.3.9.h Monetary exchange**	Capability Rating
3.3.9.i Universities	Capability Rating	**3.3.9.j Highways / Interstates**	Capability Rating
3.3.9.k NGOs	Text		
URBANIZED AREA	**LEVEL 4 VILLAGE ASSESSMENT**		
3.4 Name of suburb or dominant facility	Text (e.g., Downtown, Hoover Dam)		
3.4.1 Zoning or predominant structures	Circle all Applicable Choices Residential | Industrial | Commercial | Retail | Commercial Business | Utility		
3.4.2 Specific purpose of area survey	Circle Applicable Choice PRC | SCA | NA | FHA | Other		
Capabilities			
3.4.3 Engineering:			
3.4.3.1 Construction equipment	Text	**3.4.3.2 Foundation**	Circle One Pile | Slab | Other
3.4.4 Transmission:			
3.4.4.1 RF (Media Channels)	Range, Km	**3.4.4.2 Bandwidth (Internet, Satellite)**	Mb/Sec
3.4.5 Power			Sq Km
3.4.6 Maintenance: (Rate Capability as NA, Unit, Direct, General, Depot, or Above)			
3.4.6.1 Wheeled	Capability Rating	**3.4.6.2 Water craft**	Capability Rating
3.4.6.3 Communications	Capability Rating		
3.4.7 Storage:			
3.4.7.1 Warehouse space	Numeric, x $10m^3$ (e.g. 3 = $30 m^3$)	**3.4.7.2 Climate controlled warehouse space**	Numeric, x $10m^3$ (e.g. 3 = $30 m^3$)
3.4.8 Infrastructure:			
3.4.8.1 Paved surfaces max load	Number of Axles	**3.4.8.2 Lowest load class bridges**	Number of Tons
CITY	**LEVEL 5 VILLAGE ASSESSMENT**		
3.5 Local Government POC	Last Name, First Name, Title		
3.5.1 Dept of State action required, e.g., accompanied visit, official gathering			Circle One Yes | No
3.5.2 Dept of State action type			Text
3.5.3 Has senior military leader engaged (Bde Cdr or higher meeting w/city leadership)			Circle One Yes | No | Never | Unknown
3.5.1 Has senior civilian leader engaged Consulate or Diplomatic Attaché			Circle One Yes | No | Never | Unknown
Comments or Additional Information			
Submitted by:	Name, Rank, Title	Signature	Date

VILLAGE ASSESSMENT FORM CC CLASSIFICATION: _____ Page ____ of ____

ANNEX C JOINT CIVIL INFORMATION MANAGEMENT COORDINATOR MANUAL

C.0 Introduction

Joint civil information management (CIM), depicted in Figure C-1, Joint CIM Cycle, supports situational awareness of the civil environment. It is applicable to the full range of military operations, particularly civil-military operations (CMO), and was derived from the experiences of special operations and general purpose forces. Injecting *visible*, *accessible*, and *understandable*[1] civil information into command, control, communications, computers and intelligence (C4I) systems to enable command and control (C2) requires an information management organization.[2] *The joint CIM coordinator is the primary mechanism for establishing an information management organization for civil information.*

Figure C-1. Joint CIM Cycle

NOTE: The term "information" refers to data, knowledge, and understanding.

Joint CIM coordinators enable C2 by linking C4I ***physical networks*** the Joint Communications Directorate (J6) manages to the ***logical networks*** of command and interpersonal relationships, procedures, and functional organizations within the JTF and between stakeholders. They are *action officers* who ensure civil information is *visible*, *accessible*, and *understandable* and are the *reference librarians* for the JTF "library" of civil information. Joint CIM coordinators are SMEs for ***how to access*** information about the civil environment. Analysis of the civil environment is accomplished by functional area specialists residing throughout the staff. Joint CIM coordinators are typically organized under the Joint CMO Director (J9) or the CMO cell in the Joint Operations (J3) directorate. This Manual defines roles, responsibilities, tactics, techniques and procedures (TTP) for joint CIM coordinators as *managers of information.* Joint CIM coordinators *manage civil information* using the joint CIM and content management processes. The joint CIM process is described in chapter one and explained in chapters three through eight of the Joint CIM User's Manual. Content management is comprised of two complementary processes:

- ***Monitoring the civil information environment*** by evaluating the roles and responsibilities of *people* managing civil information within the JTF, the *process* they execute, and the structure and interoperability of *physical networks* [*technology*].
- ***Coordinating civil information organization and access*** by evaluating *metadata* policies, *evolutionary life-cycle* management, and the capabilities of *data producers* and *data consumers* to share civil information.

NOTE: Staff sections with topical responsibility for a subject, enablers with specialized knowledge, and subject matter experts (SME) are referred to as functional area specialists.

NOTE: Chapter 2 of the Joint CIM User's Manual describes the organization, functions, and required skills for joint CIM coordinators.

Joint CIM coordinators are the **only personnel in the JTF** who know *where* civil data is stored, *who* the POCs are, and *how* it is organized. The information management plan (IMP) and civil information architecture provide coordinators structure in mapping *people*, *process* and *technology*; thereby allowing civil information to be passed vertically and horizontally in an understandable form. Joint CIM coordinators also provide the J9 and stakeholders

with geospatial support.[3] They have the capability of producing maps from consolidated or analyzed inputs and specific guidance using the geospatial analysis techniques discussed in Chapter 6 of the Joint CIM User's Manual.

C.0.1 Key Terms

Joint CIM coordinators are the SMEs for joint CIM, and are fluent with key terms from the User's Manual. These additional key terms are important for joint CIM coordinators:

- **Codification** is an approach for capturing solutions in written documents, such as standard operating procedures (SOP) or TTP.
- **Community of Interest** is an informal working group (WG), team, or community formed out of a common interest in a subject, event, action, or purpose. Also called COI.
- **Content management** is how digital and non-digital content is managed throughout the joint CIM process. It has two interdependent activities that must be synchronized: *monitoring the civil information environment* and *coordinating civil information organization and access*. Effective content management provides users with immediate and secure access to information.
- **Evolutionary life cycle** describes the creation, posting, dissemination, and archiving of knowledge. A typical life cycle includes: product development, placing knowledge so people can find it, disseminating it to those who need it, archiving it for future reference, and destroying or removing obsolete products.
- **Knowledge** is information analyzed to provide meaning and value. Knowledge is applied to support decision making with information evaluated for operational implications. Joint CIM coordinators focus on transferring *tacit knowledge* into *explicit knowledge* by employing *codification* and *personalization*:
  - *Explicit knowledge* is documented rules, limits, and precise meanings that can be stored and organized by digital (computer files) or non-digital (paper) media. It is easily collected, stored, and disseminated using information systems. Examples of explicit knowledge are field manuals, SOP, training materials, and operation orders.
  - *Tacit knowledge* is gained through study, experience, and human interaction acquired from experience, training, and networks of acquaintances. It resides in the mind. Examples are intuition or being able to understand and focus on critical factors in a complex situation.
- **Knowledge transfer** is communication of knowledge from one person or group to another. It includes knowledge from internal and external sources exchanged in-person or through communications media.
- **Personalization** is the approach of developing social networks (informal, teams, and communities) to link people with knowledge, and sharing knowledge through interaction, such as team-peer assists, training, mentoring and supervision.
- **Taxonomy** is a defined hierarchy of categories in a tree-like structure of subject-specific terminology that defines how categories relate to one another. Taxonomy provides a conceptual framework for discussion, analysis, or information retrieval.

C.1 Context

Joint CIM is a subset of information management and staffs use it to populate C4I systems with *civil* information. The process establishes procedures and standards for enhancing decisions with relevant, actionable civil information. The J9 is normally the lead for managing *civil* information, and must identify and work with *all* stakeholders that manage civil information. The J9 coordinates with the J3 and Intelligence (J2) directorates to

inject relevant civil information into the decision making process and common operating picture (COP). Joint CIM coordinators work closely with the J9 and other staff including the information management officer (IMO) and the J6 to manage the process IAW the IMP.[4] The joint CIM process provides a framework for providing the right information to planners and decision makers in a timely manner.

***NOTE:* For more information about the IMP, refer to JP 3-33 Joint Task Force (JTF) Headquarters (HQ).**

C.2 Considerations

Joint CIM coordinators ensure that the joint CIM process is effectively executed so that sharing occurs among stakeholders. They provide oversight of civil reporting, coordinate information sharing between stakeholders, and develop *training*, *materiel*, or *knowledge* solutions. They use the maxims in Figure C-2, to address deficiencies in the process. Several considerations impact execution of the process.

1. There is never enough bandwidth.
2. There will never be a single database.
3. Stakeholders may each have their own database. Identifying points of integration is the key to success.
4. Outside-the-wire warfighters are highly trained and very well resourced: problems receiving civil information from them result from unclear requirements being conveyed to them.
5. Time is precious to Outside-the-wire warfighters: don't waste it trying to fix problems that originate higher at their level.
6. Staff personnel (inside-the-wire) receive less training and have fewer resources to perform staff functions: problems receiving civil information from staff are often caused by poor training and discipline, poorly defined expectations and standards, and insufficient command emphasis.

Figure C-1. Joint CIM Coordinator

Relationship with the Supported Staff. An important aspect of joint CIM is maintaining a close relationship with the J6 and IMO. The J6 maintains and controls C4I networks. The Chief of Staff appoints the IMO, who manages the IMP. Joint CIM coordinators work closely with the J6 to implement civil information repositories, stakeholder access and requirements, and to attain effective information flow. They leverage the J6 and the IMP as a coordinating mechanism to manage the *logical* and *interpersonal networks* that determine how *physical* C4I networks store and transmit civil data. Two aspects of coordination with the staff need close attention to implement and support joint CIM: *network administration* and *staff relationships*.

a. *Network administration.* C4I network environments must be tightly controlled. Every application suite and hardware configuration must be thoroughly vetted prior to installation. Administrative privileges are only assigned to qualified J6 personnel maintaining the unit C4I architecture. Joint CIM coordinators are ***never*** assigned administrative privileges. Developing or installing civil information repositories or systems is ***always*** coordinated through the J6.

b. *Staff relationships.* Equally important as the J6 and IMO are relationships with the command group and staff of the supported unit. Positive, supportive relationships with this team are imperative for managing civil information. CIM coordinators must interact with staff to ensure civil information is *positioned properly*, *mobile*, *accessible*, *aggregated*, and *interoperable*, by analyzing the structure and flow of information within the supported unit and among stakeholders.

Information Flow Strategy.[5] Optimum information flow requires speed and clarity of transfer without creating fragmented information. The IMP conveys responsibilities and provides instructions for managing information. Joint CIM coordinators work within, and provide refinements to, the IMP so decision makers have *accessible* and *understandable* information when they need it. Effective information flow requires information to be:

- **Positioned properly.** Information requirements can be predictable. Positioning the required information at anticipated points of need speeds the flow and reduces demands on C4I systems.
- **Mobile.** Information flow must immediately adapt to support the vertical and horizontal movement of information as conditions change.
- **Accessible.** All levels of command must be able to pull the information they need to support mission planning and execution. If possible, maintain information in such a manner that required users may pull by automated means.
- **Aggregated.** Aggregation is an output of the joint CIM process that provides echelon appropriate information to successively higher command echelons by removing information not relevant to the consolidating echelon. For example, a subordinate command may need to track engagements with ministry level personnel. The higher task force may only need to track engagements with the minister of the agency, but also needs to know the outcome, not the details, from subordinate engagements.
- **Interoperable.** C4I systems within joint, subordinate, and supporting HQs must be interoperable.

Echelon Appropriate Information supports the different information needs at each echelon of command and decision making. *Echelon appropriate information* mitigates *information overload*, by replacing *distracters* with information analyzed to support decision making at the decision maker's level. Attaining echelon appropriate civil information has four key elements: *connection*, *collaboration*, *content*, and *context*:

a. **Connection** provides people with structure and networks—both technical and interpersonal—that facilitate communication. Knowledge is social, people seek it from those they know and trust before querying or accessing databases. Seeking knowledge from other people leads to collaboration. *Interpersonal network* describes relationships between members of a community of interest (COI).

b. **Collaboration** is interaction among people who are developing knowledge. It can be in person or online using collaborative environments. Collaboration facilitates *knowledge transfer*.

c. **Content** is the information or knowledge being transferred. Many *media* are available to store and transfer content. Some content can be transferred directly from the media to a user. Other content, such as tacit knowledge, requires interaction between people to be transferred effectively. *Digital information* is *content*. Digital describes the *media* in which the *content* is recorded and by which it is transferred.

d. **Context**, for joint CIM purposes, is relevance of civil information to operational conditions and objectives of the echelon using the information. During aggregation, context shifts from the subordinate commander's perspective to what is relevant to the higher commander.

C.2.1 Principles of Joint Civil Information Management

These principles represent the most important factors affecting the conduct of effective joint CIM:

Information is a Command Resource. Information is a resource "owned" by the JFC. It is created or derived by individuals within the organization but ultimately, the JFC is accountable for his information. Thinking in terms of "my report" or "my correspondence" sometimes leads to data being filed or stored where only "I" can find them. If we think of information as "the JFC's report or correspondence" we would ask ourselves "who should have access to this?" and "how do I make sure that it is *accessible*?"

a. *Make information visible*. Configure repositories so that approved users have easy access.

(1) Create and maintain data catalogs that are searchable with user-friendly applications.[6]

(2) Conduct a data inventory to identify and prioritize data that supports the mission.

b. *Make information accessible.* Balance accessibility with security. Generally, civil information is unclassified public and open source data which should be maintained on unclassified networks. Assign identification (ID) and grouping meta-tags to all data. Refer to the Department of Defense (DoD) Discovery Metadata Specification (DDMS) and User's Manual, Chapter 5, Consolidation, for a description of meta-tagging.

c. *Make information understandable*. Use taxonomies for shared civil information that make sense.

d. *Make information reliable*. The repository should provide secure storage while allowing access by authorized users with a user name and password.

Personal Responsibility. Everyone is responsible for effectively managing information they create or use. The JFC "owns" the information and holds it under his authority, but responsibility for how this information is managed and used on a day-to-day basis lies with individuals.

1. *Compliance with Requirements.* Information management complies with operational security (OPSEC), information assurance (IA), data protection, Freedom of Information Act, computer network defense (CND) and the commander's dissemination policy (CDP).
2. *Information accessibility. M*ak*e information accessible* to others, except where there is a specific and agreed reason not to. When deciding what to do with information-ask "is there a reason why I should restrict this?" rather than "why should I let anyone see it?"
3. *Retaining records*. Retain details of all decisions made by or on behalf of the JFC. It is critical that records of decisions and actions are complete and accurate as commanders and staff must be able to provide a full history of them.
4. *Ensuring Information is Accurate and Relevant*. Staffs have the responsibility to create and maintain information in a way that is appropriate for its intended purpose. Information must be reliable and trusted so it provides users confidence that decisions are based on current, accurate information.

Joint CIM is a Social Activity. Joint CIM requires strong *interpersonal networks* and collaboration. Without them, no technology can satisfy the requirement.

1. *Connect People with Expertise*. Knowledge creation depends on *knowledge transfer* from those with expertise. Joint CIM focuses on transferring *tacit knowledge* through collaboration. It makes stored *explicit knowledge* more *visible* and *accessible*.
2. *Promote Trust and Mutual Understanding*. Fundamentals of C2 include encouraging trust and mutual understanding. Joint CIM builds interpersonal networks and facilitates mutual trust.
3. *Be Responsive to Warfighters*. Provide secure web-enabled access to users. Allow people to search, discover, and retrieve data no matter where the repositories are. Develop processes to match user needs. Categorizing objects helps do this.
    a. Establish metrics to track user behavior, identify trends, and improve service quality. Develop means to monitor how and to what extent knowledge is being transferred (for example, hits on a site, feedback, and participation in discussions).
    b. Provide feedback mechanisms that involve users in improving the IMP. Techniques include periodic surveys, feedback forms, after action reviews, and engaging stakeholders directly.

Integrate Knowledge. Joint CIM affects the entire organization. Enabling civil information integration and improving collaboration breaks down stovepipes and leads to situational understanding. It employs standard processes and best practices that enhance effectiveness and decision making.

1. *Exploit tacit knowledge*. Information captured in digital form, on paper, and in pictures generally tells "what" and "why," but not "how." Joint CIM facilitates transferring the "how" in the form of *tacit knowledge* that resides in individuals. It includes experience, learned nuances, and subtleties. Mental agility, effective responses to crises, and the ability to adapt to change are all forms of *tacit knowledge*. This knowledge comes from people not technology.
2. *Focus on Sharing Knowledge*. Knowledge shared is power derived from improved organizational effectiveness, operational processes, and informed decision making.
3. *Support data interoperability*. Standardize formats for knowledge products. This supports searches and *understanding* by multiple users at different echelons. Reports on a particular topic should maintain similar data structure as it is aggregated up the various levels.

C.3 Procedures

Joint CIM coordinators use the joint CIM and content management processes to manage civil information. Content management nests under the joint CIM process, as illustrated in Figure C-3 Joint CIM Process and Content Management Process, and supports monitoring and evaluating execution of CIM. Joint CIM coordinators execute the joint CIM and content management processes focusing on the *structure, flow, visibility, and accessibility* of information. Staff, functional area specialists, and users of civil information focus on *understanding* information.

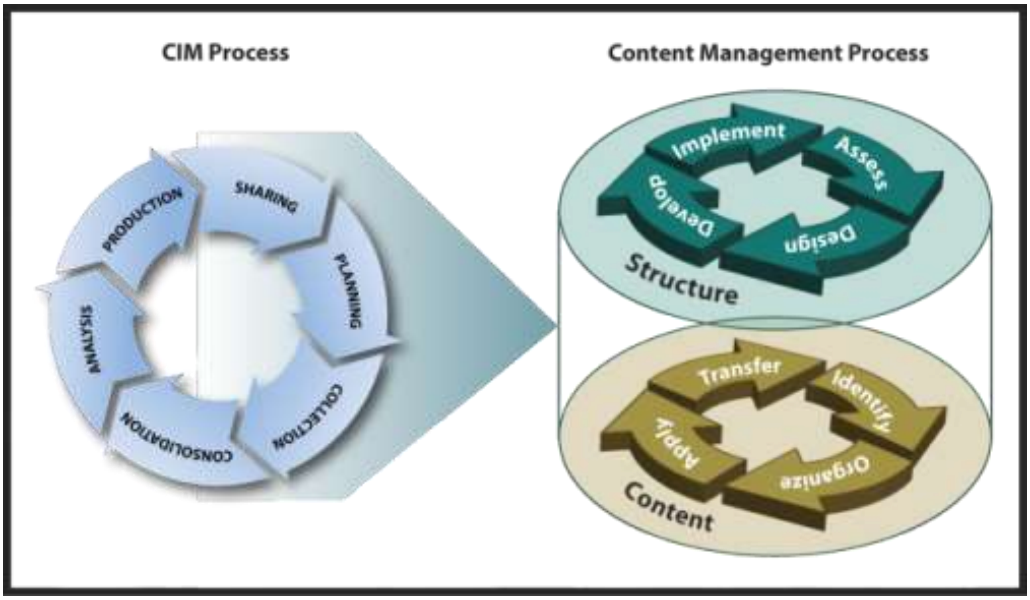

Figure C-1. Joint CIM Process and Content Management Process

C.3.1 Monitor the civil information environment

Monitoring the civil information environment requires joint CIM coordinators to engage with civil data owners, producers, consumers, and C4I system managers at all levels in the JTF. Joint CIM coordinators monitor it to evaluate the roles and responsibilities of *people* managing civil information in the JTF, the *process* they execute, and the structure and interoperability of JTF *physical networks* [*technology*]. They use it to define deficiencies in

CIM and implement *training*, *materiel*, and *knowledge* solutions that provide the skills, equipment, and guidance necessary to effectively manage civil information. *Monitoring the civil information environment* is a four-step process consisting of: assess, design, develop, and implement.

1. **Assess** the unit's civil information needs and identify unit capabilities, performance and requirements. This requires analysis of reporting, technical systems, and civil information organization and access. The objectives of assessing the unit's civil information needs are to:
    - Identify problems in data sharing, analysis, reporting, communication, storage, retrieval or any other step or component of joint CIM.
    - Determine if deficiencies require *training*, *materiel* or *knowledge* solutions.

    a. *Civil reporting auditing*. This examines how reports are created, organized, and transferred. It identifies who uses report content and how to make that information available to them, consistent with security requirements.
        (1) Review incoming unit and subordinate civil reporting to determine if content is in required formats, whether analysis has been correctly applied and annotated, and that the structure of the reports conforms to the standards in place.
        (2) Evaluate appropriateness of reporting period to determine its effectiveness for the echelon and operational tempo. Look at costs versus benefits of reporting in terms of best use of time.

    b. *Technical systems assessment*. This provides operational and functional analysis of C4I systems supporting joint CIM and must be coordinated with the J6.
        (1) Analyze the reporting system to maximize data flow and availability.
        (2) Evaluate joint CIM requirements for new information systems before they are given to the J6 for validation and connection to C4I networks.
        (3) Coordinate with the J6 to meet user and stakeholder requirements, while ensuring the confidentiality, integrity and availability of technical networks are not jeopardized.

    c. *Organization and Access Assessment*. Organizing and accessing information are activities for managing digital and nondigital content.
        (1) Assess *metadata*, data *evolutionary life-cycle*, and *archiving* policies.
        (2) Assess capabilities of *data producers* and *data consumers*.
        (3) Determine most effective method and tools needed to successfully plan, collect, consolidate, analyze, produce, and share civil information.
        (4) Maintain information currency through *version control* and *evolutionary life cycle management*.
        (5) Archive older files in designated and *accessible* locations.

2. **Design** solutions to resolve deficiencies and enhance joint CIM within the JTF HQ.

    a. *Solutions to problems must*:
        (1) Be relevant to current or projected operations.
        (2) Provide specific, measurable, achievable, realistic, and time-bound (SMART) goals.
        (3) Implement action-centered, incremental, measurable, and scheduled (AIMS) tasks.
        (4) Evaluate task performance by situation, task, action, and result (STAR).
        (5) Specify where support can be obtained.

    b. *Leverage information systems to develop effective, efficient, and user-friendly solutions.*

(1) Thorough coordination with the J6 is required to leverage information systems.

(2) Network-enabled relational databases are highly effective information systems for consolidating civil information. These database systems are equipped with tools to facilitate analysis, but may not be designed to support aggregation of tactical data to support operational or strategic levels.

3. **Develop** solutions for stakeholders derived from the assessment and design steps. Coordinate with the receiving unit, IMO, and J6 during this step.

   a. *Implement knowledge networks.*

      (1) Help users to rapidly share TTPs; observations, insights, lessons, and knowledge products.

      (2) Utilize the C4I infrastructure established by the J6 to connect functional area specialists and enable individual and organizational learning.

   b. *Enable COIs.* COIs are groups of people sharing common concerns, problems, or professional interests. Assist these communities in sharing information, insights and advice.

      (1) Facilitate communities to create tools, standards, and publications.

      (2) Support development and communication of knowledge.

      (3) Manage and moderate communication capabilities for COIs.

      (4) Support sharing between COIs.

      (5) Link expertise rapidly to solve specific problems.

4. **Implement** solutions and integrate them into the unit C2 system. Solutions include continuous improvement by adjusting to new requirements, training, coaching, collaborative assistance and team-peer assistance.

   a. *Obtain feedback to monitor and assist implementation.*

      (1) Meet to help a leader or unit that requests assistance.

      (2) Members share their knowledge with those who request help.

   b. *Coordinate with staff as necessary to ensure compliance and minimal impact to existing operations.*

      (1) Recommend operational changes.

      (2) Prepare an action list to track progress.

   c. *Execute training or development plan.*

      (1) Target a specific technical or operational challenge.

      (2) Identify possible approaches that have proven effective.

      (3) Promote sharing of knowledge between the team and the assisted unit.

   d. *Perform team-peer assistance*. This involves passing knowledge and insight from people outside the unit to unit members via virtual or in person meetings. Mobile training teams (MTT) are a form of team-peer assistance.

      (1) Develop strong networks within the assisted unit staff and between the assisted staff and assisting team members.

      (2) Clearly articulate to the assisting team the problem and the objective of the assistance visit. Be prepared to reframe both during the visit. Give the assisting team context via briefing material.

      (3) Assemble an assisting team tailored to the objectives of the assistance. Consider inviting people who have diverse skills and experience, and offer options and new approaches. Invite people from other disciplines and organizations.

(4) Improve the assistance process by asking participants to consider what they have learned and will apply from the event.

C.3.2 Coordinate Civil Information Organization and Access

Coordinating civil information organization and access is the process of organizing information and knowledge products for use, storage, and transfer. It is making content more readily *accessible* for collaborative knowledge creation. Joint CIM coordinators execute it to evaluate *metadata* policies, data *evolutionary life-cycle* management, and the capabilities of *data producers* and *data consumers* to share civil information by ensuring collaboration and data interoperability. They use it to define data sharing requirements and agreements, metadata policies, network privileges, and data management policies necessary for the movement of civil information within the JTF and between stakeholders. Implementing organization and access involves the following four tasks: identify, apply, organize, and transfer.

1. **Identify** civil information, *metadata* policies, data *evolutionary life-cycle management*, and archiving procedures, as well as the capabilities of *data producers* and *data consumers*. Proper organization and access facilitates collaboration by broadening data *visibility*, making it easier to share.
    a. *Archiving procedures* provide guidance for moving outdated and irrelevant data from active status to an inactive status, based on rules and policies.
    b. *Metadata policies* provide guidance for required and recommended meta-tags based on data subject, type, use, and other information. The DDMS guides the process with enterprise standards.[7]
    c. *Evolutionary life-cycle management* describes the changes, versions, and uses of a product from its creation until its latest time of value (LTOV) when it is *archived* or destroyed.
        (1) *Version control* is managing access to the versions of content to control information quality.
    d. *Collaboration* is the basis for unity of effort and information sharing. Identifying *data consumers* and *data producers* and their interrelated requirements and products is critical.
        (1) *Enable sharing* between *data producers* and *data consumers*, through collaboration, data sharing requirements and agreements, metadata and data management policies, and network privileges.
2. **Organize civil information.** Create policies and procedures for *archiving*, *meta-tagging*, *evolutionary life-cycle management*, and *collaboration* that satisfy requirement for civil data at the JTF HQ.
3. **Apply policies, procedures, and agreements.** Coordinate implementing data organization methods with receiving stakeholders to satisfy stakeholder and JTF requirements, and ensure they satisfy the stakeholder objectives.
4. **Transfer information.** Transferring information is pushing information to designated recipients in the IMP, and answering IRs, requests for information (RFI), and monitoring and assisting stakeholder sharing.

C.3.3 Execution

Content management procedures can span multiple steps of the joint CIM process, or occur in a single step. Joint CIM coordinators execute content management to initiate and enhance joint CIM in the following manner:

1. **Collect** to understand the civil information environment:
    - *Assess* reporting, C4I networks, civil information organization and accessibility, and the roles and responsibilities of people in the JTF and stakeholder communities.

- *Identify* civil information, *metadata* policies, data *evolutionary life-cycle* management, and archiving procedures, as well as the capabilities of *data producers* and *data consumers*.

2. **Consolidate** and **Analyze** to define solutions for deficiencies that satisfy requirements:
   - *Design* solutions that satisfy JTF HQ requirements.
   - *Organize metadata* policies, data *evolutionary life-cycle* management, and the capabilities of *data producers* and *data consumers* to satisfy JTF HQ requirements.
3. **Analyze** and **Produce** to coordinate solutions with receiving units to satisfy their requirements:
   - *Develop* the solutions with the receiving organization to ensure they are appropriate and achievable.
   - *Apply* the identified data organization methods with receiving stakeholders.
4. **Share** to monitor and assist execution of joint CIM:
   - *Implement* solutions with receiving stakeholders, and monitor and assist performance.
   - *Transfer* civil information to consumers IAW operational needs, the IMP, policies, and agreements.

The joint CIM and content management processes provide a framework for supporting units with civil information. Staying focused on managing civil information and avoiding non-mission-related activities is essential. Executing the joint CIM process in conjunction with content management requires that joint CIM coordinators focus on:

1. Collecting information about the physical C4I networks civil information is shared over.
2. Assessing *logical networks* connecting the C4I networks civil information is shared over.
3. Analyzing execution of joint CIM in the JTF:
   a. *Identify root causes*: Deficiencies usually fall into one of three types: *training*, *materiel*, or *knowledge*.
      (1) *Knowledge* deficiencies occur in *people* who need training, guidance, or achievable standards.
      (2) *Training* deficiencies occur in the *process* being executed.
      (3) *Materiel* deficiencies occur in the *technology* being leveraged.

   ***NOTE:* Root cause analysis is described in Chapter 6 of the Joint CIM User's Manual.**

   b. *Design solutions to root causes*: Effective methods for mitigating deficiencies identified are to provide *training*, *materiel*, and *knowledge* solutions; enforce discipline; and leverage command emphasis.
4. Identify if civil information is consolidated to support aggregation and echelon appropriate analysis.
5. Determine the structure of reporting channels and the reports being transmitted over them.
6. Develop SOPs, TTPs, Programs of Instruction (POIs), and other knowledge products for deficiencies.
7. Train subordinate, adjacent, higher, and interagency stakeholders how to:
   a. Interface with military civil information systems.
   b. Submit effective reports into military civil information systems.
   c. Pull relevant information from military civil information systems.
   d. Establish connectivity between stakeholders and the supported command.
   e. Aggregate civil information to better support their commander.
8. Coordinate with IMO, J6 and J9 to ensure joint CIM is a priority and is resourced with effective information technology (IT) systems and sufficient manpower.
9. Implement effective reporting, analysis, and aggregation techniques that provide relevant, accurate, and *understandable* civil information.

C.3.4 Joint CIM Coordinator Techniques

Joint CIM coordinators executing the content management process employ two techniques to enable joint CIM, illustrated in Figure C-4, Range of Joint CIM Coordinator Techniques. These techniques form a continuum from *codification* to *personalization*, and support civil information creation and transfer. Joint CIM coordinators give priority to one over the other based on the situation.

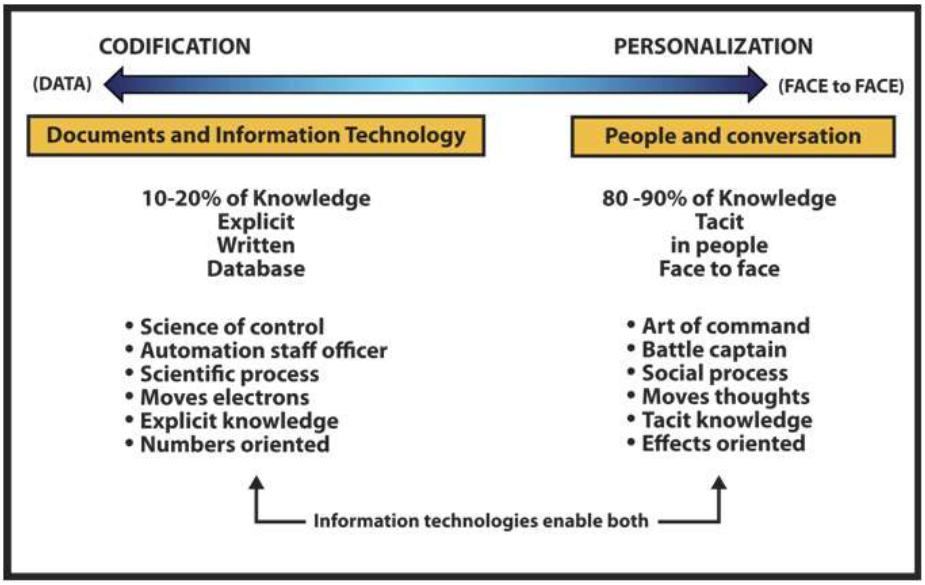

Figure C-2. Range of Joint CIM Coordinator Techniques

Codification. Codification focuses on finding knowledge products like manuals, TTP, SOP, best practices, and lessons learned, then add value by using technology to *connect people with expertise* to enhance organizing, applying, and transferring civil information. Codification leverages *people*, *process*, and *technology* to make content more mobile, *accessible*, and interoperable. Codification is more appropriate when:

- Products, such as doctrinal publications, exist.
- Requirements for civil information recur. SOPs, TTPs and similar products address these situations.
- The explicit knowledge required for different projects falls into similar categories. Training packages and products like operations orders address these situations.
- Standardized products, such as infrastructure data, are required.
- The explicit knowledge required is easily codified, such as with facility capabilities and requirements.

Personalization. Personalization focuses on developing COIs to connect people with knowledge. Personalization shares *tacit knowledge* through interaction and is more appropriate when situations:

- Require innovation, such as adapting to changes in the political environment.
- Include unfamiliar problems that do not have a clear solution at the outset.
- Require knowledge that applies across different types of problems, such as cultural awareness.
- Require highly customized civil information to meet particular needs, such as coordinating activities between rival tribes in an austere environment.
- Require knowledge not easily codified, such as expertise and experience.

Coordinator techniques developed for specific situations use varying degrees of *codification* and *personalization*. The receiving organization's needs, operational conditions, and operational goals determine the mix of the strategies to use. During protracted missions with high personnel turnover, joint CIM coordinators use *codification* and *personalization* to convey *tacit knowledge* from experience to *explicit knowledge* in after action reports (AAR), continuity books, and relief in place (RIP)/transition of authority (TOA) checklists.

C.4 Planning

Joint CIM coordinator planning consists of understanding the supported unit information environment. Obtaining the supported command information architecture and IMP along with early coordination with the supported J9, J6, IMO, and other key stakeholders is the starting point for establishing critical relationships. This should be accomplished as a pre-deployment task to reduce the time to reach full operating capability.

The IMP is the equivalent of the operations order (OPORD) for joint CIM coordinators. They use it to understand the information environment, both within and outside the JTF HQ, and to begin mission analysis to identify requirements for managing civil information.[8] The information necessary for conducting mission analysis is provided under the following areas of the IMP[9]:

1. Introduction
2. JTF Information Management Organization
3. Commander's dissemination policy (CDP)
4. IRs and General Procedures
5. Digital Rules of Protocol
6. Battle Rhythm
7. IA/CND
8. Information System Tools and Procedures
9. System Recovery Procedures
10. Non-DoD Information Management Integration Guidelines or Checklists

Joint CIM coordinators also identify JTF civil information systems and functional area specialists. They obtain task organization structures and policies, and compare them with the IMP and CDP. Joint CIM coordinators write a concept of operations (CONOP) for CIM based on the IMP and other information they gather, and submit it as a supporting plan to the CMO annex of the OPORD.

***NOTE:* When part of a CA CMOC, joint CIM coordinators have existing relationships with the CMOC staff, and provide input to the CA unit IMP. The CMOC chief provides support, guidance, and advocacy for the coordinators.**

C.5 Collection

Joint CIM coordinators primarily collect information about the civil information environment through engagements with staff elements, including subordinate commands and stakeholder staffs. Information searches for information about command information systems, especially network-enabled database systems, supplement these engagements. When collecting information about the civil information environment the purpose is not to rate or evaluate the performance of warfighters, staff, supporting elements, or subordinate commands. Records of engagements and information searches are partitioned away from operational information to prevent collection on friendly forces, IAW USG[10] policy.

***WARNING:* Information about JTF personnel, coalition forces, or organizations and stakeholders is not authorized for entry into defense information systems that could inject those personnel into targeting processes. DO NOT COLLECT ON FRIENDLY FORCES! Generating point of contact (POC) lists and similar products for internal use, such as continuity books, is permissible.**

C.5.1 Assess and Identify

Coordinators assess the civil information environment against the requirements established in the IMP and their determination of who requires what civil information. Joint CIM coordinators identify civil data repositories and systems, and what types of information, as well as what file types and formats, are in use. At the same time, they identify and establish contact with *data owners*, *data producers*, and *data consumers* to define requirements and establish a civil information flow matrix to visualize where civil information originates, and where it is needed. Understanding what civil information is being requested, received, and produced at each subordinate echelon is vital to *coordinate civil information organization and access*.

Assess Joint CIM. Investigating how tactical units execute the joint CIM process is the most effective starting point for looking at how joint CIM is being executed in the JTF. Civil information flow can be viewed as a 'value chain' beginning with 'outside the wire' tactical warfighters and ending with the JFC. Once the flow of civil information from the tactical level has been assessed, joint CIM coordinators begin assessing echelons sequentially up the value chain, identifying deficiencies and best practices in analysis, reporting, and management of civil information.

a. *Gaps between the IMP CDP and execution of joint CIM.* Joint CIM falls under the IMP as a sub-set of information management. Joint CIM coordinators integrate with the IMO and J6 to support and refine the IMP. They also provide a coordinating mechanism between warfighters managing civil information and functional area specialists who require it. The following actions enable joint CIM coordinators to identify where civil information is stored, but potentially not available to the JFC:
   (1) Evaluate application of ID meta-tags
   (2) Evaluate reporting chain and related IRs
   (3) Identify stovepipes
   (4) Identify information fratricide and flow barriers

b. *Cross-staff/joint force enabler coordination.* The J9 is usually task organized into sections to address civil areas of key importance. In addition to J9 staff, functional area specialists collect, consolidate and analyze civil data during the course of their duties. Joint CIM coordinators leverage functional area specialists to provide appropriately consolidated and analyzed civil information.

One method to monitor the civil information environment is to identify those parties that manage civil information and ensure they incorporate relevant civil information from other staff directorates and force enablers into their consolidation and analysis processes. This function requires identifying the JTF elements that manage civil information during the course of their duties, and knowing what civil information they manage.

Assess Civil Information Reporting. Assessing reporting procedures and priorities requires a thorough understanding of IRs from the JTF down to civil data collectors, and the processes reporters and tasking authorities currently employ. Effective reporting requires civil data collectors to report in operationally relevant language. Civil data collectors ***must*** know their supported commander's CCIRs, MOEs, LOOs, and stated intent, and link their reports directly and clearly to them. The following steps outline a procedure for civil report auditing:

(1) *Query the civil information system.* Units should report into the civil information system with unique, identifiable names that fall into a logical structure, preferably IAW their task organization. Use the procedures for information search in Chapter 4 of the Joint CIM User's Manual to conduct the search.

(2) *Evaluation metrics.* The information search results should be evaluated against explicit metrics. Develop a *report audit spreadsheet* template with fields similar to the following:

- Report type. Identifies type of report submitted.
- Overall evaluation. Rates how well reports achieve structural reporting requirements of the civil information system, and the accessibility of report content to the intended audience(s).
- Mission/event date. Provides the date the mission or event being reported about occurred.
- Date submitted. Provides the date the report was submitted in the civil information system.
- Bottom line up front. Evaluates whether an appropriate summary was provided, if appropriate.
- Missions conducted. Evaluates whether mission(s) conducted are identified in the report.
- Observations. Evaluates whether reporter observations are present and separate from interpretations and recommendations.
- Interpretations. Evaluates whether the report provides analysis of observations.
- Recommendations. Describes whether the report includes recommended future operations.
- Report content appropriate to report type. Evaluates whether the reporter used the right report type. If the wrong type is used, identify which type should have been used and why.
- Associated appropriate reports. Evaluates whether associations to other relevant reports are established in the civil information system.
- Related Reports. Identifies what reports should be associated.
- Media attached. Evaluates whether appropriate supporting media is attached to the report.
- Comments. Used for evaluator to explain how the report can be made better.
- Report links. Contains a link to the report being evaluated.

(3) *Count reports.* Mark the number of reports published by each unit in the appropriate category. The spreadsheet template should be designed to automatically total report counts together for each unit and add the totals for all units together for an overall total.

(4) *Organize the report audit spreadsheet.* In the *search results spreadsheet*, copy all the reports and paste them into the *report audit spreadsheet* in separate worksheets for each unit being audited. Copy and paste new reports from the *search results spreadsheet* into the worksheet for the corresponding unit.

(a) To evaluate a unit's reporting over an extended time period, grade one report per report type per unit per day. Reports that do not include civil information should not be evaluated.

(b) For a weekly reporting audit product, each report type for each unit needs at least 3 evaluations for meaningful analysis. It may be necessary to evaluate additional reports from previous days. Annotate reporting consistency for each unit.

(5) *Evaluate reports.* To evaluate a report, fill in the information in the given fields for that report under the unit's section in the scorecard. If a field does not apply to a specific report type, enter "n/a". A sample evaluation metric are provided in Table C-1.

(6) *Saving.* Save *report audit spreadsheet*, and when final product is complete, save with the date range of reports contained in the file name.

Table C-1. Sample Evaluation Criteria

5	Superior	Provides all possible info/access
4	Good	Provides more than enough info/access to be useable
3	Fair	Provides enough info/access to be useable
2	Poor	Provides less than enough info/access to be completely useful
1	Bad	Is not useable or accessible

Assess C4I Systems. Net-centric warfare is highly complex and easily disrupted. Joint CIM coordinators assess network configurations to properly support the J6 with relevant feedback about C4I systems. The following potential problem areas can degrade effective execution of joint CIM:

- Network configuration:
  - Network trusts
  - Network traffic routing
  - Enabled/disabled network ports
- Collection systems/capabilities
- Connectivity
  - Satellite
  - Line of sight
  - Wired infrastructure
- Bandwidth

Example: During Operation Iraqi Freedom, when a brigade rotated into theater its Commander assessed his requirements and re-allocated resources to support his updated concept of the operation. When changes to the brigade tactical network were implemented, not only were network communications across Iraq Joint Operations Area impacted, but units under that brigade lost access to network resources above the brigade, to include internet protocol telephone communication.

This breakdown in communications resulted in a unit being unable to access the theater-mandated reporting tool, and becoming unable to identify unsafe areas of operation. Being unable to identify areas known to be hostile, that unit traveled to those areas, and was attacked. That unit was able to establish contact with a JTF asset, who began sending PowerPoint slides to the affected unit so they could conduct effective JIPOE and mission planning.

Other impacts were that JTF network resources fielded to the new brigade's tactical network were inaccessible from the JTF strategic network. These assets could not be updated with current information about the Iraq Joint Operational Area, and required personnel to travel to the network assets and manually upgrade them.

The network communications breakdown was not caused from Command or warfighter failures. It was caused by no clear standards for network interoperability in the JTF. The Joint CIM coordinators on ground during the breakdown participated in identifying the deficiency, but not being J6 staff, they were not involved in remedying the issue.

1. *Network Configuration .*Situations may occur where accessing content on network resources located hundreds of miles away is faster than accessing the same content on resources located on the same base. Tracing packet routes often indicates that data is travelling IAW unit task organizations, rather than taking the most efficient route. Networks configured to follow task organization, instead of most efficient data paths, create barriers to sharing information within the JTF. Often, network traffic between two collocated units from different commands will have to travel up the sending unit's chain of command, through JTF servers, then down the receiving unit's chain of command.
2. *IA/CND.* Units implement network security differently, IAW DoD IA and CND policies. It is not uncommon for units to deny network trusts to higher echelons. DoD has not established clear guidance for interoperability between tactical networks, or tactical and strategic networks. Joint CIM coordinators must be aware of this deficiency in their assessment of the civil information environment.
3. *Local civil information systems interoperability and data cross-population*. Identify, locate, and assess all local civil data repositories, institutionalized civil information systems, and equivalent efforts. Knowing where civil data is located in the AO, and how to access it, is a critical responsibility of joint CIM coordinators. No robust civil information architecture exists, like to the manning, procedures, and equipment provided for intelligence architecture. Joint CIM coordinators fill this gap by identifying civil information systems, coordinating access to them and ensuring they are interoperable and cross-populate with other civil information systems.
4. *Stakeholder technical systems assessment.* Two primary barriers exist between JTF civil information systems and sharing data with stakeholders: policies and information system access. Methods for sharing IAW policies are addressed in Chapter 8 and by implementing data sharing WGs. Information system access should be addressed only after specific IRs have been clearly identified and approved for transfer.

Attempting to broker data transfer between the J6 and stakeholders without knowing what is to be transferred and without authorization can alienate joint CIM coordinators from the J6 personnel they must coordinate most extensively with. Assessing stakeholder technical systems is difficult because joint CIM coordinators may not be provided necessary information about the relevant systems, and are not authorized to configure non-DoD information systems to interface with DoD information systems. Joint CIM coordinators should focus on assessing methods for transferring data between stakeholders.

Assess Organization and Access. Information managers implement policies and guidance to support *their* commander or director. Joint CIM coordinators are the JFC's civil information managers, who are tasked to ensure subordinates support the JFC with relevant, actionable civil information. Understanding stakeholder content management policies is necessary for supporting the JFC. Data fields and meta-tags must be matched between information systems to enable compatible transfers. Archiving systems, application interfaces, web services policies, data models, and meta-tagging taxonomies can all present barriers to sharing usable civil information. Determining the information system requirements for stakeholders and the JTF to ingest information into their respective information systems must also be accomplished. Joint CIM coordinators work closely with the J6 to ensure IA and CND policies are met. Assessing stakeholder civil information organization and access mitigates the risk of information overload by providing tools to convert files to compatible formats, associate related data fields between databases, and coordinate policies for connecting web services.

Identify Network Architectures. Network architectures are comprised of two components:

- **Physical networks** are IT assets, such as switches; routers; computers; scanners; and printers that are used to store, organize, process, or transmit data. The J6 maintains and controls physical networks.
- **Logical networks** are COI and information systems that connect independent physical networks. Logical networks can include physical networks, but require *people* executing *processes* to pass information between those physical networks. Joint CIM coordinators can influence the configuration of physical networks, but can directly establish and optimize most logical networks.
  (1) *Civil information systems.* Identifying civil information systems is a vital step in civil information organization and access. Civil information can be stored anywhere, and anything could be relevant. Identifying the physical and logical networks of civil information systems is a critical task for joint CIM coordinators. These three areas require emphasis when identifying civil information systems:
    (1) Archiving policies and practices
    (2) Meta-tagging policies and practices
    (3) Selection criteria and procedures
  (2) *Identify civil information visibility and accessibility*. Civil information not being reported up the chain of command or stored in civil information systems represent snapshots of the operating environment at particular points in time, and can be used by analysts as reference material. These products aggregate together numerous sources of information and their operational relevance to provide valuable insight for planning, and can include:
    - Storyboards
    - Briefing slides
    - Talking points
    - White papers
    - Decision briefs
    - Other analytical products

Identify Civil Data Owners. Civil data owners are *data producers*, and *data consumers*, and can be staff directorates, force enablers, functional area specialists, subordinate commands, stakeholders operating in the AO, HN agencies, or IPIs. Not all data owners will be willing to share information.

1. *Civil Data Consumers.* Decision makers and analysts are civil data consumers. They require relevant, actionable, and reliable information from credible sources. Consumers within the JTF should be identified in the IMP, while external consumers should be identified and engaged by joint CIM coordinators.

CAUTION: Cross-check within the JTF prior to approaching stakeholders to prevent misunderstandings and damaging an ongoing relationship between the JTF and a non-military stakeholder.

2. *Data sharing WG*. Data sharing WGs, are the most effective method for identifying the civil data owners and the location and format of civil information.

NOTE: Data sharing WGs should be established after CIM WGs have been developed for data sharing and problem resolution within the JTF and supporting USG elements.

3. *Functional area specialists.* Functional area specialists have *tacit knowledge* that is not easily codified and transferred. Surgeons, Chaplains, Judge Advocate General, and other functional area specialists such as economic development, rule of law, or infrastructure sections require specialized information that is difficult to obtain. Often information vital for functional area specialists is technical and not recognized as important by warfighters, so is not recorded or reported. The *explicit knowledge* of tactical warfighters about the civil environment must be transferred to functional area specialists.
4. *Existing and potential COI.* Joint CIM coordinators enjoy the benefit of stand-off from the civil information environment, so may be able to anticipate the need for functional area specialist assistance. Being proactive in this area provides joint CIM coordinators the opportunity to enhance their own value added and that of the functional area specialists by designing modular, 'plug and play' COI.

C.6 Consolidate and Analyze

Joint CIM coordinators consolidate information to support the JFC, J9 and other staff, data owners, and functional area specialists. They monitor consolidation between echelons in the JTF in the form of aggregation. Staffs synthesize information about the operating environment, including information their subordinate commands report, to produce their commander's COP. Synthesis of information *between* command echelons describes the aggregation output of the joint CIM process, where echelon appropriate information is provided to support higher commanders. .Joint CIM coordinators also consolidate civil data IAW the procedures in User's Manual Chapter 5, in response to RFIs and to assist analysts.

CAUTION: Joint CIM coordinators' primary duty is to ensure civil information is moving up the chain of command to the JFC. Joint CIM coordinators can consolidate civil information to support analysts, but it is not their primary mission. Analyzing the civil components of the operating environment is beyond the capabilities of joint CIM coordinators, because it requires additional effort, skills and dedicated manpower to accomplish.

C.6.1 Design and Organize

Joint CIM coordinators design solutions that satisfy requirements, mitigate deficiencies identified during assessment, and bridge gaps between what information is flowing up the chain of command and what information is needed. Effective solutions can be complex and require extensive coordination with multiple staff directorates, subordinate task forces and/or component commands. Sometimes deficiencies can be corrected with a phone call or email. Joint CIM coordinators focus on developing and implementing standardized procedures and policies to

support the JFC with civil information. Organizing civil information so that it is understandable and echelon appropriate is a primary concern. *The JFC's guidance in the CDP is used to inform information management practices and provides the legitimacy and authority necessary to provide guidance to subordinates.*

Design Joint CIM Program. A joint CIM program defines requirements, roles, responsibilities, mechanisms, and standards for civil information at every level, from the JFC down to squad/teams. The joint CIM program mirrors, as closely as possible, how the JTF HQ and subordinate echelons manage civil information. It is an analytical tool that links key positions to key tasks that satisfy the JFC's IRs. Once the JTF HQ joint CIM program has been outlined, it is expanded to include subordinate echelons and force enablers down to the squad/team level.

NOTE: A sample joint CIM program for CA forces attached to a JTF is provided in Appendix A of this Annex.

The IMP and CDP provide structure for the joint CIM program to link gaps between execution of joint CIM to the IMP, while identifying refinements in the IMP for unanticipated civil IRs and consumers. The joint CIM program provides joint CIM coordinators a technical architecture for the JTF civil information environment. Designing an effective JTF joint CIM program has four critical considerations:

1. The IMP and CDP:
    a. The IMP provides the structure for the joint CIM program by identifying nodes in the JTF who are directed to receive specific civil information.
    b. The CDP specifies how information is to be directed, by identifying the relationships between nodes directed to send and receive civil information.
2. The JFC's CCIRs:
    a. Knowing the formats and types of information that satisfy the JFC's CCIRs.
    b. Squad-level tactical reports only provide insight and examples, never the high-level analytical products that are the minimum requirement for a JFC to plan and execute operations.
3. The activities and procedures of each echelon below the JFC:
    a. A program that refines and "lifts and shifts" requirements, instead of adding new requirements, is more effective.
    b. Refining activities already being executed dramatically reduces resource requirements and time-to-implement.
4. Subordinate IRs and the formats and types of information that satisfy them.
    a. Engage with JTF and subordinate staffs to understand the existing requirements and objectives for civil information at each command.
    b. Conduct information searches and additional engagements to determine the activities and procedures used to manage civil information.
    c. Assess the resources provided at each level for managing civil information.

This process identifies the *ends*, *ways* and *means* used to managing civil information at each level, from the JTF to the squad/team level. Once the existing civil information environment has been assessed, strengths and weaknesses at each level can be identified. Synchronizing the requirements of higher echelons with the existing activities and capabilities of their direct subordinates is achieved by:

1. Defining the relationship between requirements and objectives for civil information at each echelon.

2. Identifying what direct subordinates **are doing**, and what they **need to be doing**, to support higher commanders with civil information.
3. Designing SOPs, TTPs, POIs, and other products that synchronize subordinate echelon current activities with higher civil IRs.
    a. Products that refine and "lift and shift" requirements are developed when subordinate activities do not provide echelon appropriate civil information
    b. Reinforce communication, and emphasize the requirement for reporting echelon appropriate information

Once joint CIM coordinators have designed a JTF joint CIM program, it is possible to:

1. Recommend appropriate changes to the IMP and CDP.
2. Establish theater training, information, and reporting requirements for civil information.
3. Provide training, materiel and knowledge solutions appropriate to the needs of their AO:
    a. Codify strengths in best practices, lessons learned and AARs.
    b. Develop and disseminate SOPs, TTPs and other knowledge products that enable warfighters to accomplish their information management duties more effectively at their level.
    c. Implement training POIs that address skills-based weaknesses in execution of CIM.
    d. Coordinate development of operational needs statements for critical equipment requirements.
4. Implement and chair a joint CIM WG, IAW the procedures for establishing a data sharing WG in Chapter 8 of the Joint CIM User's Manual, DODD 8320.02, and Section C.7.1 of this Annex, which brings together representatives of the JTF staff, subordinate component commanders, and other military and USG stakeholders to implement a unified joint CIM process; synchronize horizontal and vertical collaboration; build a collaborative network of joint CIM coordinators; and vet civil information systems change requirements.
    - Identify and develop data dissemination platforms and mechanisms to allow sharing of information with friendly forces, HN, IPIs, PVOs, NGOs, and IGOs.

Design Solutions for Deficiencies. Gaps between JTF joint CIM execution and the IMP may be due to oversights or errors in the IMP. Solutions to gaps streamline the civil information environment and leverage COI. Most warfighters want to support the JFC, and highlighting gaps between information the JFC has specified as important and what information is being provided to the JFC are generally simple to remedy.

1. *Training*. Most appropriate for skills or process driven deficiencies. Training solutions use *codification* and *personalization* to transfer *tacit knowledge* to warfighters. There are four training methods:
    (1) Centralized training
    (2) Remote training with a MTT
    (3) Computer-based training (CBT)
    (4) Decentralized training: train the trainer

    Whichever method is selected, facilities, training aids and a training plan must be incorporated into the design to provide effective training. Training development requires:
    a. Clearly identify causes of the deficiency and design a POI to mitigate them:
    b. Define Task, Conditions, and Standards for the POI.
    c. Define Terminal Learning Objectives and Enabling Learning Objectives for each Task defined.

d. Design practical exercises and/or hands-on modules. Design measures of performance (see Chapter 3 of the Joint CIM User's Manual) for POI tasks by evaluating situation, task, action, result (STAR).

2. *Materiel*. Most appropriate for IT and equipment deficiencies. Materiel solutions provide enhanced technology support for execution of joint CIM.
   a. Clearly identify shortfalls in equipment or supplies
   b. Determine whether shortfalls are organizational or unmet operational needs:
      (1) Identify supply chain relevant to need
      (2) Coordinate with appropriate authorities to design solution
   c. Identify whether deficiency is caused by network configuration, user interface, or connectivity

   CAUTION: ***Be mindful of chain of command and "lanes". Informal coordination and discussing shortfalls in terms of managing civil information may mitigate damaging interpersonal relationships, but coaching the unit with the shortfall and following up with the appropriate CMOC cell and/or JTF Joint Staff Directorate is usually the safest, most efficient approach.***

3. *Knowledge*. Most appropriate when standards, doctrine, manuals, or other written guidance is undeveloped or immature. Knowledge solutions provide policies and business practices that enhance execution of joint CIM.
   a. Clearly identify the knowledge shortfall:
      (a) Is it skill driven?
      (b) Is it procedure driven?
      (c) Does it require special expertise?
   b. Design knowledge product:
      (a) For skill driven deficiencies, develop training
      (b) For procedure driven deficiencies, design SOPs, TTPs, Best Practices
      (c) For functional area specialist expertise design COI

4. When civil information is important to operations, but not identified as a CCIR, coordinate with the J9, J2, and J3 to clearly define and explain the requirement and have it nominated for a CCIR. Synchronize the IMP with civil IRs by facilitating coordination between the J9, J3, J2, and J6.

5. Refer to lessons learned, best practices, AARs, continuity books, appropriate doctrine, functional area specialists, user guides, and equipment manuals for resources when designing solutions to deficiencies in execution of joint CIM. Designing solutions can require extensive *codification* of best practices, feedback, functional area specialist interviews,

Example: During Operation Iraqi Freedom, tactical reporters and superior staff elements refused to use the theater mandated reporting tool, resulting in a deficiency of all types of civil data for the JFC. Joint CIM coordinators evaluated the reporting tool, interviewed reporters and staff elements, and engaged the reporting tool vendor to identify causes of the deficiency. After three months of research, interviews and coordination, the causes of the deficiency were identified as: 1) low bandwidth; 2) poor user interface; 3) lack of training; and 4) poor command emphasis.

Joint CIM coordinators are unable to directly address bandwidth constraints, but did establish the requirement with the reporting tool program manager for the system to use existing bandwidth more effectively. Joint CIM coordinators identified that users were extremely dissatisfied with the interface of the reporting tool, so recommended to the vendor that they conduct a *human factors evaluation* of the system, and related how airliners had crashed due to poor *human factors design*.

Also, users were not trained during mobilization, or in theater, for how to use the reporting tool. The joint CIM coordinators developed comprehensive training and provided it to units arriving in theater, and disseminated training materials and SOPs/TTPs to units already in theater. The training demonstrated how effective civil reporting through the reporting tool provided commanders with information they otherwise would not receive, and demonstrated how to leverage the reporting tool to achieve command emphasis from the supported unit.

or research. *Personalization* provides solutions by fostering COIs between functional area specialists and warfighters.

Organize Meta-Tagging Specification(s). Network enabled databases apply ID meta-tags during report submission. However, attachments, external files and content managed through different civil information systems may not have ID or grouping meta-tags. Joint CIM coordinators will establish taxonomy to identify necessary meta-tags and standards for application IAW DDMS.

NOTE: Information about meta-tags is in the DDMS and Chapter 5 of the Joint CIM User's Manual.

a. *Meta-tag civil information repositories and data owner and functional area specialist POCs.* Establish a 'network map' of JTF and stakeholder repositories, functional area specialists, data owners, and functional area specialists as a structure to identify where civil information is stored, by who, and where consumers are located. The 'network map' is a composite of the physical and logical networks used for managing civil information. The civil data network map should include POCs, URLs and/or physical locations at a minimum, but ideally will have robust meta-tags to facilitate *visibility* and *accessibility*.

Organize Aggregation. During CMO, standard military reporting procedures are inadequate, as discussed in Chapter 8 of the User's Manual. Sometimes warfighters "copy and paste" complete subordinate reports as their report. This practice is a major contributor to *information overload* and obscures CCIR satisfied in the report, fails to execute analysis to support the commander, and fails to present operational relevance of the reported content.

1. Train warfighters to support *echelon appropriate* analysis and reporting to mitigate *information overload*. Operational level personnel who receive tactical data easily become overwhelmed with the volume of data that has no relevance to their operational focus. The task of consolidating *tactical* level data for analysis is impossible at the operational level. Leveraging civil information architecture to facilitate aggregation enables user-definable, near-real-time COPs to commanders at all levels.
2. Leverage the *observations*, *interpretations* and *recommendations* framework provided in Chapter 8 of the Joint CIM User's Manual, to explain the strengths, opportunities, weaknesses, how it supports the commander's mission and intent, assumptions, and threats (SO WHAT). SO WHAT is a derivation of SWOT analysis for identifying the relevance of a report. SO WHAT is not a report format. It is a memory aid for emphasizing civil SWOT and potential operational impacts of a report. Decision makers need to know the "So what?" of information presented to them. Proper civil reporting identifies decision points and the operational impact of the activities reported.

C.7 Analyze and Produce

Joint CIM coordinators are responsible for producing *training*, *materiel* and *knowledge* solutions to deficiencies in joint CIM, as well as policies and agreements that standardize organization of civil information and enable military and non-military stakeholders to access civil information. The most effective method for producing relevant training that standardizes and synchronizes execution of joint CIM is to first produce a joint CIM program that captures the current status for how civil information is managed at all levels. This program enables joint CIM coordinators to identify systemic deficiencies for which they can begin collecting the information, AARs, best practices and lessons learned to implement training to mitigate deficiencies.

Producing relevant solutions that address the causes of deficiencies in execution of joint CIM requires comparing the results of root cause analysis and report auditing against joint CIM program, IMP and the CDP. This comparison

highlights procedural and information flow differences, and provides joint CIM coordinators with SA of what is going wrong to develop solutions.

C.7.1 Develop and Apply

Once the details of a problem and appropriate solution(s) have been identified, joint CIM coordinators develop products to mitigate them. SOPs, TTPs, best practices, POIs, and lessons learned combined with functional area specialist interviews provide the basis for solutions to deficiencies. Extensive research and coordination may also be required. Solutions are tailored to the organization with the deficiency.

Civil information accessibility is enhanced by standardized organization and procedures from planning through sharing. Joint CIM coordinators are the enabling capability tasked with achieving this requirement. Identifying and organizing civil information provides the policies and procedures necessary for effectively managing civil information. Joint CIM coordinators assist units apply those recommendations by offering insights into JFC CCIR and information priority policies in the CDP, and by linking the importance of civil information to survivability and mission success during population-centric warfare.

Develop Training, SOPs, and TTPs for Skills and Knowledge Driven Deficiencies. Training and knowledge solutions address deficiencies in managing civil information that are caused by inadequate skills and guidance. Training increases the skill level of warfighters managing civil information, and SOPs, TTPs, and other knowledge products improve the process they execute.

a. Effective training and knowledge solutions are concise and simple. Training should not exceed 30-45 minutes before hands-on activities are incorporated. SOPs should be clear and only as lengthy as necessary to establish policy. TTPs should be short and use a 'by-the-numbers' approach. TTPs should be no more than five to ten MS PowerPoint slides, or three to four pages in MS Word. Knowledge products should be short and to the point.
    (1) Understanding the audience and causes for deficiencies in joint CIM execution provides bounds for developing solutions to mitigate civil information shortfalls. Ways and means for mitigating shortfalls must be matched to the audience and underlying, root cause(s) of the deficiency. Training or knowledge solutions for tactical skills deficiency will be dramatically different from SOPs/TTPs for operational process deficiencies.
    (2) Trainers must understand their audience because field grade officers and senior NCOs have considerably more experience and education, as well as vastly different requirements, than company grade officers and junior NCOs. When providing training or knowledge solutions to functional area specialists, they must be tailored to the audience, as well as technically and conceptually accurate.
b. Deficiencies in civil information flow, *visibility* and/or *accessibility* are caused by underlying factors. Effectively mitigating the deficiency requires identifying the root cause and developing training or knowledge solutions that addresses the cause, not the symptoms.
c. Deficiencies in joint CIM and deviations from the IMP often result from training deficiencies, or lack of awareness of the policies. These two causes for civil information not flowing up the chain of command to support the JFC are simple to mitigate. A more difficult cause to mitigate is poor command emphasis. Often civil information satisfying JFC CCIRs does not get reported because it is not recognized as

important, or commanders see little value added from civil information and don't prioritize information about the civil components of the operating environment.

***Develop IT Solutions for Materiel Driven Deficiencies*.** IT solutions are the most time consuming deficiencies for joint CIM coordinators to develop and implement. Extensive coordination between the J6 and the S6 of the echelon with the deficiency is required, but all solutions must be thoroughly vetted, and receive approval before being connected to any DoD C4I network.

a. Joint CIM coordinators consider that remote bases with poor connectivity and data rates for their external connection often have gigabit networks inside the base. Distributed network architectures and seamless disconnected operation are requirements at the tactical level. Coordination between communications SMEs, units, vendors and program managers will often be necessary to improve data rates for warfighters.
   (1) Bandwidth is not an issue joint CIM coordinators are able to mitigate. Remote bases in austere environments may have a satellite uplink providing connectivity. The data rate on this single, shared connection can be slow when used by a single user, but because entire bases often share this single connection, the data rate for each user is generally dramatically slower.
   (2) Traditional 'hub and spoke' network architectures are ineffectual in austere tactical environments with poor connectivity and data rates. Joint CIM coordinators are unable to address the type of network architecture implemented. The usage of available bandwidth can be influenced by implementing data compression, local caching, local file servers, remote query and function processing, and other methods that reduce network usage and improve data rates.

Example: TiGR resides on a "distributed database application, using a network of laptop-based servers deployed throughout the area of operations", instead of a traditional 'hub and spoke' architecture.

"TiGR was not designed to perform a full-blown synchronization across the network. Instead, TiGR servers perform a constant background synchronization of metadata — catalogs of where information can be found — along with text-based data and thumbnails of pictures, pointing back to where the data sits. When someone requests a large piece of data, such as a video, uncompressed picture, or PowerPoint presentation, from a remote server, the information is pulled across the network and stored at each server it crosses, caching it for access by other users later."

The distributed database design is effective for tactical users, where traditional 'hub and spoke' designs fail.

Soldier Notebook Serves as Intelligence Tool
Defense Systems
Knowledge Networks and Net-enabled Warfare
02 Apr 2009

b. Obsolete or missing equipment. Most civil information is UNCLASSIFIED. However, civil data collectors and analysts at the tactical level usually do not have adequate NIPRNET and/or SIPRNET equipment and connectivity. Also, joint CIM coordinators may find situations where units have been tasked with CMO, but not appropriately resourced to accomplish the mission.
c. To mitigate these deficiencies, identify the unit, section, cell or organization with the materiel deficiency, and who is responsible for supporting them. Then initiate coordination between their higher HQ, the element with the deficiency, and relevant supporting organization.
   WARNING: Clearly elaborate the joint CIM coordinator role of supporting the JFC with civil information. Never render directives or orders. Ask, inform, provide guidance and motivation. No one appreciates someone from outside of their organization pointing out flaws in their operations.

Develop COIs. During CMO, there are numerous NGOs, IGOs, IPIs, PVOs and host nation agencies operating in the AO. Joint CIM coordinators establish mutually supportive relationships with the major actors in the operating

environment. Often organizations, such as the United Nations (UN), World Health Organization (WHO), World Food Program (WFP) and other large humanitarian and political organizations function as umbrella organizations that provide funding and support to smaller agencies. Establishing relationships with larger, well-known organizations potentially enables exchange of information with much larger consortiums of actors, while insulating the JTF and stakeholder community from the appearance of complicity. Joint CIM coordinators:

a. *Develop CIM WG*. CIM WGs are data sharing WGs for internal staff coordination, and can be used as the core team for data sharing WGs coordinating with non-military and/or non-USG stakeholders. Organizing and resourcing CIM WGs at subordinate and adjacent echelons enables:
   - Cross-staff/joint force enabler coordination and consolidation of civil information
   - Consolidating stakeholder data into JTF reporting, analysis, and decision cycles

   Developing CIM WGs must be coordinated with the receiving unit. Organizational structures vary by unit mission and operational requirements, so a standard participant list will rarely address the scope of potential military civil information stakeholders. However, the following list provides a starting point to inform developing a participant list and sending invitations to stakeholders:

   a. J/S3; J/S2 staffs
   b. J/S9 staffs
   c. COIs in the AO
   d. Functional area specialists
   e. Subordinate CIM WGs
   f. Lower CIM coordinators
   g. Engineers
   h. Surgeon's Office
   i. IMO and J/S6 staffs
   j. JAG

   CAUTION: ***Do not invite HN, IPIs, or other local national personnel. Discussing how to collect, analyze and disseminate information about people in their presence can be threatening and offensive.***

   NOTE: ***Contractors, USG agencies and other organizations authorized access to JTF information systems, especially classified systems, should be included in CIM WGs.***

   (1) Implementing CIM WGs at the JTF HQ and subordinate units with CIM coordinators facilitates the *interpersonal relationships* between staff sections and JTF organizations necessary for sharing civil data with external organizations. Additionally, having a network of coordinating CIM WGs provides an effective problem solving engine for obstacles to sharing that are not apparent at the JTF level, such as FDO approval or technical systems deficiencies. CIM WGs form the core participants in data sharing WGs at each echelon.

   (2) CIM WGs interact with higher, adjacent and subordinate staffs, boards, cells, WGs, and committees in their supported command. Leveraging online collaborative capabilities, such as video teleconference (VTC), Adobe Connect or conference calls facilitates real-time collaboration and coordination.

   (3) The process for establishing a CIM WG is the same as for establishing a data sharing WG identified Chapter 8. Two notable differences are that no non-JTF organizations should be invited to CIM WGs, and joint CIM coordinators must obtain authorization from the IMO to gather recommendations for changes to the IMP based on issues identified by the CIM WG. Table C2.T3, Summary Descriptions of COI Roles[11] from DoD 8320.02, *Guidance for Implementing Net-Centric Data sharing*, establishes the requirement for CIM WGs as COI established for the purpose of sharing data within the DoD, and defines roles and responsibilities for COI members.

   (4) *Data sharing agreements and requirements*. Joint CIM coordinators collaborate and network with data owners and stakeholders to implement data sharing agreements that provide all parties with

information that satisfies their requirements. Data sharing and CIM WGs are powerful tools for accomplishing this objective, but joint CIM coordinators must establish personal relationships and rapport with stakeholders within, and external to, the JTF.

(1) Joint CIM is a social and interpersonal activity (*Joint CIM coordinator Principle 3*).

(2) Insurmountable obstacles or intractable people are often solved after meeting in-person.

(3) Cultivating positive and mutually supportive relationships with JTF and stakeholder personnel is the most effective method for implementing sharing agreements and satisfying requirements.

(5) *Sharing timelines and goals*. Joint CIM coordinators develop timelines and goals for sharing within the JTF and between the JTF and stakeholders. The IMP provides a basis for developing goals, but should not limit information that is shared between organizations. Optimal timelines for implementing effective sharing policies, conducting required training, providing materiel and knowledge solution support, and monitoring and evaluating must be sensitive to, but not defined by IRs.

(1) Goals should be developed using the SMART-AIMS-STAR framework identified in Chapter 3 of the Joint CIM User's Manual.

(2) Identifying goals and timelines establishes MOEs and MOPs for sharing civil information, and links them to JTF objectives.

(6) *Data sharing WG*. An effective method for enabling stakeholders and the JTF to pull civil data from each other is to develop a data sharing WG. Joint CIM coordinators establish and leverage CIM WGs prior to developing data sharing WGs. Systematically sharing civil data with stakeholders is impossible if the JTF lacks consistent internal policies for sharing civil data. CIM WGs are the tool for coordinating consistent internal sharing, as well as for developing a comprehensive understanding of JTF civil information systems, data owners, and scope of civil information possessed.

Develop Civil Information Reporting Requirements. Joint CIM coordinators understand the C4I structure and capabilities of civil data collectors, as well as civil data requirements at all levels of the JTF. Coordinating with civil data collectors to develop reporting policies based in their current methods and that do not add additional responsibilities is the foundation for effective civil information reporting. Collaboration with civil data collectors' chain of command both manages expectations and enables effective execution of CIM.

a. *Training higher expectations.* Training the higher HQs of civil data collectors to expect reports in the language of their supported unit and to focus on that unit's operational objectives and IRs facilitates freedom of movement and mutual trust. Additionally, this practice results in relevant, actionable civil information being injected into the decision cycles of commanders.

b. *Civil information is reported through J3-J9 channels.* A common complaint of civil data collectors is that they are directed not to report civil information through their operations staff reporting channel, and not to report outside of their operations staff reporting channel. This situation chokes off civil information, whether or not it satisfies higher CCIR, and is a gross violation of the duty to report. Joint CIM coordinators must identify units with such policies and either coordinate with them to establish appropriate civil information reporting chains, or coordinate with JTF staff to mitigate the situation.

c. *Reporting feedback mechanisms.* To complement civil report auditing, joint CIM coordinators should implement feedback mechanisms. The mechanisms must be two-directional. Joint CIM coordinators should develop procedures that enable subordinates to provide responses to report audit results.

Subordinates must be provided with audit results, not only so they know what they must do to improve, but also so they can provide feedback. A situation where civil data reporting suffers is when civil data collectors are ordered not to include civil data in their report to Operations staff, and to only provide reports to their supported Operations staff. Receiving the results of their report audits and being provided with the ability to respond can bring this situation to light, so it can be brought into compliance with the IMP.

Apply Standards and Procedures for Civil Information System Interoperability. Often staffs will implement a local repository for civil information to meet operational demands. While these efforts may meet immediate requirements, they contribute to 'stovepiping' and degrade the flow of civil information to the JFC. The IMP provides objectives and an operational framework for joint CIM coordinators, as well as a base-map for interoperability requirements. The IMP is fluid, and can be updated to incorporate additional information or requirements as they are identified. Therefore, developing standards for civil information system interoperability may require first modifying the IMP to include local CIM solutions, unanticipated IRs or new stakeholders. Developing procedures that facilitate civil information system interoperability should incorporate feedback from executing personnel to improve acceptance and generate a sense of ownership.

a. *Apply Archiving and Meta-Tagging Policies IAW Agreements.* Archives for data that appears to be past its LTOV provide an important capability for when historical information is required, or situations arise that demonstrate that existing information is still of value. Effective *archiving*, *meta-tagging* and *selecting* policies, which are standardized throughout the AO, synchronize the availability of such information. Ensuring civil information system interoperability provides the redundancy necessary for effective bandwidth usage and data protection.

b. *Coordinate ingestion of stovepiped civil information into the JTF civil information system.* Any time joint CIM coordinators encounter a local civil information repository or system, they will arrange to have the data ingested into the JTF civil information system. This makes data *visible*, *accessible*, and *understandable*, while maintaining the original version. The desired end-state joint CIM is an integrated civil information system with full access to echelon appropriate information at all levels.

c. *Consolidate Stakeholder Data into JTF Reporting and Decision Cycles.* Civil data collectors often interact with stakeholders operating in the AO. Joint CIM coordinators ensure that policies and training are provided so that information collected from non-military stakeholders is consolidated into JTF reporting and analysis cycles. Not only does the JFC have a critical need to know what non-military stakeholders are operating in the AO, but also to know their specific activities and avenues for establishing coordination and synchronization to achieve unity of effort.

Apply Evolutionary Life-Cycle Policies. Version control is an important component of managing civil information. Often several versions of files will be available, without DTG, author, or source information. Joint CIM coordinators mitigate this by implementing version control policies.

C.8 Sharing

Sharing is the end joint CIM coordinators strive to achieve. Making raw and analyzed civil information available to the widest audience of stakeholders is the mission for joint CIM coordinators. All joint CIM coordinator activities emphasize sharing. As civil information sharing SMEs, joint CIM coordinators provide joint CIM training to JTF

personnel and stakeholders to enable them to manage civil information independently. Building interpersonal and logical networks that interconnect the various JTF and stakeholder physical networks complements joint CIM training by enabling stakeholders to share information.

> *"The barriers to maximizing available intelligence are surprisingly few. The deficit of data needed by high-level analysts does not arise from a lack of reporting in the field. There are literally terabytes of unclassified and classified information typed up at the grassroots level. Nor, remarkably, is the often-assumed unwillingness to share information the core of the problem. On the contrary, military officers and civilians working with ISAF allies, and even many NGOs, are eager to exchange information. True, there are severe technological hurdles, such as the lack of a common database and digital network available to all partners, but they are not insurmountable.*
>
> *The most salient problems are attitudinal, cultural, and human."*
>
> *MG Michael T. Flynn*
> Deputy Chief of Staff, Intelligence (CJ2), for the International Security Assistance Force in Afghanistan

C.8.1 Implement and Transfer

Implementing solutions to deficiencies in joint CIM not only requires providing *training*, *materiel* and *knowledge* solutions to elements with the deficiency, and coordinating between their supporting organizations, command and the JTF, but also requires providing ongoing support. Joint CIM coordinators assume a mentorship or helpdesk role with the receiving unit. However, an important function they must also execute is performing oversight and providing feedback to subordinate units.

During the sharing step of the joint CIM process, joint CIM coordinators focus on directing relevant, actionable, echelon appropriate civil information to specified recipients. Coordinating with COI that provide additional information and analytical capability enables the JFC to push and populate better information more quickly than the adversary. Transferring content requires joint CIM coordinators to maintain familiarity with the supported unit standing IRs, battle rhythm, CCIR, LOOs and commander's guidance so they can effectively push information to appropriate recipients. Comparing the IMP to standing civil IRs provides a basis for updating the IMP to incorporate civil information.

Provide Training. Training can be provided by functional area specialists, 'train the trainer' procedures with the element's personnel, or joint CIM coordinators. Ideally, personnel providing training should be a SME, one of the primary training developers, or a qualified instructor or trainer. When a MTT is conducting remote training they must transport all required materials, or coordinate with the receiving element for them be provided. If centralized training is being provided, accommodations, facilities, maps, and other necessary training materials must be provided when participants arrive. When CBT training is utilized, connectivity between the elements receiving training must be verified, and also must be consistent and fast enough for the training to be smooth and not unduly time consuming or disjointed.

Share SOPs and TTPs. Sharing knowledge solutions is relatively simple. Identifying POCs for all organizations requesting or requiring solutions and email them. SOPs and TTPs can also be provided for reference in training packages. Always refer to SOPs and TTPs being disseminated as a baseline for the receiving element to adapt to their operations as appropriate. Joint CIM

Provide Feedback to IT Solutions. Joint CIM coordinators will rarely develop or implement IT solutions alone. However, they have a vital role as a feedback mechanism for IT solutions. Often, minor changes and hot fixes will be required to finalize IT solutions, and joint CIM coordinators are the coordinating mechanism to provide coherent feedback to the organization implementing them.

a. *Enable User-Feedback to Facilitate Civil Information System Interoperability and Improvements*. Joint CIM coordinators function as the single point of contact between users and information system managers to ensure continuity, clarity and accountability. Enabling feedback helps joint CIM coordinators maintain SA of issues and problems, and can independently begin designing solutions to propose to information system managers. Additionally, joint CIM coordinators may begin to function as a first-line helpdesk to improve response time and increase acceptance and use of civil information systems.
b. *Manage and assist COI*. Stay in contact with functional area specialist-warfighter networks and COI. Be available to provide immediate support for problems or concerns that arise. Ensure that relationships are mutually beneficial.

Monitor and Assist CIM WGs. Ideally, joint CIM coordinators will chair the CIM WG at the JTF HQ, but this is not necessary. Joint CIM coordinators ***must*** be active in the CIM WG to act as a coordinating mechanism. When chairing the CIM WG, joint CIM coordinators can leverage the knowledge, experience and requirements of other members to assess problems, design and develop solutions and ensure the implemented solutions are interoperable.

Coordinate Dual J3-J9 Section Reporting (Preferred) or Equivalent. Functional area specialists require consistent, reliable, and credible civil information for their expertise to benefit the JTF. Operations staffs are generally not concerned with civil data and atmospherics. Functional area specialists, such as CA and MISO, are non-mission capable without civil data and atmospherics. All staffs must ensure their commander is aware of civil conditions (SWOT) before reporting higher. Implementing a dual J3-J9 reporting chain ensures civil data is injected into a commander's decision cycle, and sent to civil functional area specialists so they can analyze it.

Transfer Civil Information to Stakeholders IAW JTF IMP, Data Sharing Agreements and Stakeholder Requirements. Joint CIM coordinators support the IMP. One responsibility inherent in that role is ensuring that stakeholders and JTF elements specified in the IMP for information dissemination or with standing IRs receive the information in a timely manner. Joint CIM coordinators fulfill this responsibility in two ways:

a. Ensuring that IRs and the IMP are known to JTF staff and subordinate elements
b. Actively pushing civil information to designated recipients IAW the push procedures in Chapter 8 of the Joint CIM User's Manual

C.9 Best Practices

Joint CIM and its coordinators are an enabling capability to the JTF. Proper joint CIM enables C2 and conveys vital information about the AO not included in friendly or adversary layers of the COP. The following best practices enable joint CIM coordinators to function as force multipliers by enhancing joint CIM:

Provide Value Added. The civil component of the operating environment is complicated, difficult to influence, and highly opaque for analysts and planners. Civil information is fragmented across time and location, making situational understanding difficult to attain. Joint CIM coordinators' role as the single element in the AO focused on providing *visible*, *accessible*, and *understandable* information about the civil components of the operating environment to consumers is easily misunderstood. Gaining trust, and command emphasis on systematically reporting, analyzing and sharing civil information is a difficult and delicate process.

a. Providing excellent customer service is more effective for gaining trust than providing excellent support. Commanders and leaders understand that their subordinates do not always have all the answers, but they demand due diligence to get the answers. Becoming a 'go to' section requires developing *COI* and providing responsive support for all requests. The following practices will assist joint CIM coordinators to become the 'go to' section for support and information for the civil components of the operating environment:
   (1) Support requests whether or not they fall under the scope of your duties.
   (2) Consistently follow up with contacts, requestors and other customers.
   (3) Listen and pay attention to people.
   (4) Always fulfill your obligations.
   (5) Provide or offer support to functional area specialists and other members of *COI*.
   (6) Maintain a positive demeanor and proper bearing and respect – under all circumstances.
   (7) Be flexible by focusing on achieving desired results instead of on issues and obstacles.

b. Behind customer service, quality workmanship and a strong work ethic is the next most critical requirement for providing value added. No one is expected to succeed at every task. Everyone is expected to put forth the extra effort to achieve success at every task. Consistently demonstrating willingness to meet expectations and provide support generally earns high esteem.

c. Provide professional products that are responsive to customer requirements. Anticipate needs and actively push information to appropriate recipients. Joint CIM coordinators will never be capable of knowing everything about the civil components of the operating environment. They are capable of knowing how to get relevant information; who can provide analytical answers; and how to provide both to the JFC and stakeholders.

Support COIs. COIs are the building blocks for effectively managing civil information between echelons and various stakeholders.

- Support virtual communities by sponsoring chat, email, and online forums.
- Enable COIs by connecting stakeholders and JTF sections with similar objectives.
- Joint CIM coordinators actively seek functional area specialists either within the AO or functioning as a reachback capability. Be prepared to offer them support and always follow through with all commitments made to functional area specialists.
- Develop COIs between JTF personnel and functional area specialists by forwarding questions from JTF personnel to a functional area specialist, and ask for their assistance. Never disseminate a functional area specialist's contact information without explicit permission from them. The desired end state is for networks of functional area specialists and JTF personnel to be strong enough that joint CIM coordinators do not need to be consistently involved to coordinate assistance.

Leverage the Chain of Command. Joint CIM coordinators are information managers for the J9, and are subordinate to the JTF IMO and J6 through the IMP and the CDP. They do not possess tasking authority and do not define or enforce reporting requirements in JTF, adjacent, or subordinate unit. Constant communication of requirements, deficiencies, solutions and challenges with the J9 and/or CMOC chief facilitates timely enhancements to joint CIM.

Maintain Information Quality. The JTF requires a continuous flow of quality civil information. The goal of joint CIM is to ensure that this information gets to the right place on time and in a form that is quickly useable by its recipients. Quality information meets the criteria listed in Tables 4-1 and 4-2 in Chapter 4 of the User's Manual.

C.10 Conclusion

Joint CIM coordinators execute a broad range of functions that enhance C2. They help ensure JTF C4I systems are responsive, dependable, interoperable, and enable information management. Coordinators oversee processes that provide SA, and support timely decision making. Coordination between staff, subordinate units, and non-military stakeholders requires interpersonal skills and the ability to creatively address challenges. Monitoring the civil information environment requires technical skills and operational experience. Coordinating civil information organization and access requires data management, networking, and interpersonal savvy. Managing civil information requires dedicated people to ensure that complete and accurate civil information is available.

Information architectures about friendly and enemy forces are supported by staffs and the global command and control (GCCS) suite. *No comparable infrastructure exists for civil information*. Joint CIM coordinators ensure civil information is provided to support decision making. Coordinators evaluate technical networks and COI to mitigate information shortfalls, organize civil information ensuring it is discoverable and usable, and coordinate access to civil information systems. The joint CIM coordinator's value added is providing analysts and functional area specialists with relevant information about the civil operating environment.

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[1] DoDD 8320.02, *Data Sharing in a Net-Centric Department of Defense*, page 2.
[2] Joint Publication 3-33, *Joint Task Force Headquarters*, 16 February 2007, page IV-1.
[3] Joint Publication 3-34, *Joint Engineer Operations*, 12 February 2007.
[4] Joint Publication 3-33, *Joint Task Force Headquarters*, 16 February 2007, page IV-1.
[5] Ibid, page D-1.
[6] Department of Defense Discovery Metadata Specification, Version 3.0, 7 January 2010.
[7] Ibid.
[8] Joint Publication 5-0, *Joint Operation Planning*, 26 December 2006, page III-20.
[9] Joint Publication 3-33, *Joint Task Force Headquarters*, 16 February 2007, page D-2.
[10] DoDD 5200.27, *Acquisition of Information Concerning Persons and Organizations not Affiliated with the DoD*, 7 January 1980.
[11] DoD 8320.02, *Guidance for Implementing Net-Centric Data Sharing*, page 12-14.

APPENDIX 1 TO ANNEX C SAMPLE JOINT CIVIL INFORMATION MANAGEMENT PROGRAM

C.1.0 Introduction

The joint civil information management (CIM) program reflects the information requirements (IR) and flow within a command. It represents the practices, requirements, and products in use at the time it is developed, as well as capturing the requirements of the Joint Force Commander (JFC). The purpose for developing the joint CIM program is to understand the gaps between how information is being managed, and what information the JFC requires for situational awareness and decision making. The joint CIM program links requirements to operations, so that decision makers are supported with appropriate information with the least impact to unit operations.

Requirements and guidance for the joint CIM program are provided by the information management plan (IMP) and commander's dissemination policy (CDP). Development always begins at the JTF or higher level, and proceeds down to tactical level forces. Identifying higher level requirements follows the principles of operational design by defining the desired end state and objectives before apportioning resources or identifying tactical level requirements. Observation and recording of the activities, reporting cycles, battle rhythms, and IR of each commander from the JFC to the squad/team level is required.

The sample joint CIM program below was developed by a Civil Affairs (CA) Brigade CIM Cell Noncommissioned Officer in Charge supporting a Corps during Operation Iraqi Freedom. It identifies the activities of different sections of CA units from brigade down to the CA team level, and links those activities to the IRs of their supported commanders. This joint CIM program was used as the benchmark document to:

1. Develop training provided to over 600 United States military and interagency personnel
2. Provide standard operating procedures (SOP) and tactics, techniques, and procedures (TTP) provided to units throughout Iraq
3. Coordinate updates to the command, control, communications, computers, and intelligence (C4I) architecture to improve reporting and analysis at all levels
4. Develop a user-definable, near-real-time common operational picture (COP) for forces from the supported Corps to the squad/team level in Iraq.

The sample joint CIM program below is separated by level of war in Tables C-A-1 through C-A-3 for presentation purposes. It should be read as a single display that links tactical level activities to operational level IRs and objectives. It provides a framework for developing joint CIM programs for any theater or operation, regardless of the level joint CIM coordinators where joint CIM coordinators are operating.

Table C-1-1. Tactical Level Joint Civil Information Management Program

Echelon	Report To	Report Type	Actions Conducted	Report Formats	Report Content
Civil Affairs (CA) Team	CA Company Civil-Military Operations Center (CMOC); Supported Battalion (BN) Civil-Military Operations (CMO) Officer (S9)	Daily civil affairs summary (CASUM)	Civil engagement	Record situation report (SITREP)	Civil significant actions (SIGACT)
			Presence patrol		Compare civil SIGACTs to supported BN commander's critical information requirements (CCIR)/lines of operation (LOO) - report overlaps
			Direct support		Evaluate mission success/results
			Quality assure/ quality check (QA/QC)		Record CA team leader's feelings/observations about mission/target(s)
			Assessments	Specify Next 24/48	CA team leader's recommended follow-on missions/Courses of Action (COA)
			Civil environment Atmospherics	Report tips; changes in people, distributions (pricing, accessibility to services and goods), etc	Report any information gathered from civil environment
Civil-Military Support Element (CMSE)	CA Company CMOC Supported Agency	Daily CASUM	Supported agency actions	Report of changes or new developments to CA company for inclusion in maneuver command common operational picture (COP)	All CMSE activity must be supportable & maintained on UNCLASSIFIED systems and networks
			Projects		
			Engagement		
			Civil environment Atmospherics	Report any information that is received from civil environment	
CA Company CMOC	CA BN CMOC; Supported Brigade Combat Team (BCT) S9	Daily CASUM	Team daily CASUMs	Roll-up subordinate Teams' last 24 & next 24/48	
				Roll-up civil environment Information	
		Weekly CASUM	Analysis of last 7 Daily CASUMs	Specify civil information trends	
				Notate civil SIGACTS	Develop geospatial and temporal civil SIGACT trends
				Compare civil SIGACTs to BCT CCIRs and civil information trends	Report overlap and trends to supported BCT & CA BN
				Evaluate Mission results against measures of performance (MOP)/measures of effectiveness (MOE)	MOPs are action-centered, incremental, measureable, and scheduled (AIMS); MOEs are specific, measureable, achievable, relevant, and time-bound (SMART); they are evaluated by situation, task, action, and result (STAR)
				Exchange civil information with CMSE	Specify civil information requirements (IR) to CA BN
				Recommend team follow-on missions	
				Record status of area of operations (AO)	Compare previous mission results to MOPs/MOEs
					Evaluate how well missions are achieving BCT LOOs
					Recommend future operations (FUOPS) to support BCT LOOs
Functional Specialty Cell (FSC)	CA Company CMOC	By demand; weekly	Functional area assessments		Generalist expertise in public health, public works, & public safety
			Requested products	Provide functional specialty analysis of civil environment data	

Table C-1-2. Tactical Level to Low Operational Level Joint Civil Information Management Progaram

Echelon	Report To	Report Type	Actions Conducted	Report Formats	Report Content
CA BN CMOC	CA Brigade (BDE) CMOC; Supported Division (DIV) Deputy Chief of Staff for CMO (G9)	Weekly CASUM	Weekly CASUM	Roll-up subordinate companies' last/next week	
			Weekly company CASUMs	Specify civil information trends	
				Notate civil SIGACTs	Develop geospatial and temporal civil SIGACT trends
				Compare civil SIGACTS to DIV CCIRs and civil information trends	Report overlap and trends to supported BCT & CA BDE
				Evaluate companies' MOEs/MOPs against BCT LOOs	
				Recommend companies' areas of focus along MOEs/MOPs	
		Monthly CASUM	Analysis of last 4 weekly CASUMs	Assess civil environment	Analyze geospatial/temporal civil SIGACT trends with DIV CCIRs and civil information trends
					Identify underlying civil movements impacting CMO
				Evaluate progress along BCT LOOs against DIV LOOs	
				Record status of AOR	Compare company evaluation to DIV LOOs
					Evaluate how well company actions are achieving DIV LOOs
					Recommend FUOPS to support DIV LOOs
FSC	CA BN CMOC	By demand; Weekly	Functional area assessments		
			Requested Products	Provide functional specialty analysis of civil environment data	
Civil Liaison Team (CLT)	CA BN CMOC	Daily CASUM	Engagement	Record SITREP	Notate civil SIGACTS
			Presence patrol		Compare civil SIGACTS to BCT CCIRs /LOOs - report overlaps
			Direct support		Evaluate mission success/results
			QA/QC		Record CA team leader's feelings/observations about mission/target(s)
			Assessments	Specify next 24/48	CA team leader's recommended follow-on missions/COAs
			Civil environment Atmospherics	Report tips; changes in people, distributions (pricing, accessibility to services and goods), etc	Report any information gathered from civil environment
CA Planning Team (CAPT)	CA BN CMOC	Reconstruction	CA tactical/operational planning & coordination	Plan, coordinate, & enable tactical and operational stabilization and reconstruction	
		Synchronization	CA operations (CAO), CMO, & stakeholder plans	Synchronize CAO with CMO and stakeholder plans	

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Table C-1-3. Operational Level Joint Civil Information Management Program

Echelon	Report To	Report Type	Actions Conducted	Report Formats	Report Content
CA BDE CMOC	Corps Combined Director for CMO (C9)	Weekly CASUM	Weekly BN CASUMs	Notate civil SIGACTS	Develop geospatial and temporal civil SIGACT trends
				Compare civil SIGACTS to DIV CCIRs and civil information trends	Report overlap and trends to supported Corps
				Evaluate progress along DIV LOOs against Corps LOOs	
				Specify civil information trends	
				Recommend CA BNs area of focus along LOOs	
		Monthly CASUM	Analysis of BN monthly CASUM	Assess civil environment	Analyze geospatial/temporal civil SIGACT trends with Corps CCIRs and civil information trends
					Identify underlying Civil movements impacting CMO
				Evaluate progress along Corps LOOs/LOEs	
				Record status of AOR	Compare CA BN evaluation to Corps LOOs/LOEs
					Evaluate how well CA BN actions are achieving Corps LOOs
					Recommend FUOPS to support Corps LOOs
FSC	CA BDE CMOC	By Demand; Weekly	Functional area assessments		
			Requested products	Provide Functional Specialty analysis of civil environment data	
CLT	CA BDE CMOC	Daily CASUM	Engagement	Record SITREP	Notate civil SIGACTs
			Presence patrol		Compare civil SIGACTS to Corps CCIRs/LOOs - report overlaps
			Direct support		Evaluate mission success/results
			QA/QC		Record CA team leader's feelings/observations about mission/target(s)
			Assessments	Specify next 24/48	CA team leader's recommended follow-on missions/COAs
			Civil operating environment Atmospherics	Report tips; changes in people, distributions (pricing, accessibility to services and goods), etc	Report any information gathered from civil environment
CAPT	CA BDE CMOC	Reconstruction	CA operational planning & coordination	Plan, coordinate, & enable operational stabilization and reconstruction	
		Synchronization	CAO, CMO, and stakeholder plans	Synchronize CAO with CMO, and stakeholder plans	

7

ANNEX D SUMMARY OF THE DISTRICT STABILITY FRAMEWORK

D.0 Introduction

District Stability Framework (DSF) is a common interagency and effects based program management framework that encourages unity of effort. DSF is a four step iterative process providing an assessment, planning, and evaluation framework, developed through civil-military cooperation, for application in COIN, crisis, conflict, and post-conflict environments. Designed at USAID it is a logical process which drives program design at whatever level it is employed. It can be applied at the village, district and provincial levels.

Managing civil information is critical for successfully leveraging the capabilities of the DSF. Joint CIM enables planning, executing, and assessing operations by providing relevant, actionable civil information to decision makers. The DSF is a planning and execution framework focused on identifying and mitigating the causes of civil instability. Joint CIM supports the DSF by providing practitioners with civil information necessary to gain situational awareness, conduct analysis, design activities, and monitor and evaluate the outputs.

Joint CIM supporting the DSF is a use-case for joint CIM enabling operations. Regardless of the agency or organization implementing the DSF, the role and execution of joint CIM is the same: to ensure civil information is *visible*, *accessible*, and *understandable* for planners and key decision makers. Managing civil information to support situational awareness of the civil components of the operating environment is a common task across civil-military operations and the DSF.

D.1 District Stability Framework Overview

The District Stability Framework (DSF) is an analysis and program management process specifically designed to help practitioners improve stability in a local area. The framework encourages unity of effort by providing field implementers from various organizations with a common framework to:

- Understand the environment from a stability-focused perspective
- Maintain focus on the local population and their perceptions
- Identify the root causes (sources) of instability in a specific local area
- Design activities that specifically address the identified sources of instability
- Monitor and evaluate activity outputs and impacts, as well as changes in overall stability

DSF has been successfully employed by US and Coalition military and civilian personnel in Iraq, Afghanistan, and the Horn of Africa. The framework has four basic steps. Ideally, all relevant agencies and organizations in the area are included in the entire process, organized into a comprehensive Stability Working Group (SWG):

1. **Situational Awareness:** DSF requires population-centric and stability-oriented situational awareness. The SWG achieves this by examining the area of operations (AO) from four perspectives: the operational environment; the cultural environment, the stability and instability dynamics, and local perceptions.
2. **Analysis:** The SWG applies the information gathered in the first step using a specifically-designed analytical process to identify and prioritize the sources of instability (SOIs) in a given local area.
3. **Design:** Next, the SWG develops activities that diminish the SOIs identified during the analysis phase. The process begins by brainstorming potential stabilization activities, then filtering and refining the proposed activities against a series of stabilization fundamentals, design principles, and prioritization criteria.
4. **Monitoring & Evaluation:** Finally, DSF implementers measure their effort and achievements on three levels: Output (which measures activity completion), Impact (which measures the effects achieved by individual activities), and Overall Stability (which measures broad stability conditions and trends). The lessons learned from this step feed adjustment and development of future stabilization activities.

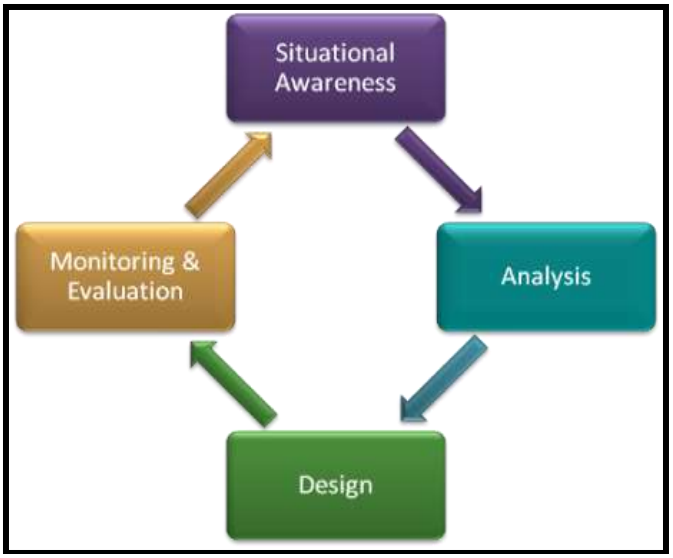

Figure D-1. DSF Implementation Methodology

D.2 Situational Awareness

DSF uses four different "lenses" to examines the local environment and achieve a comprehensive understanding of stability conditions and the factors that underlie them:

1. Operational Environment: DSF uses two acronyms as checklists for identifying key information about the operational environment: PMESII (Political/Governance, Military/Security, Economic, Social, Infrastructure, and Information) identifies operational variables in the local area, while ASCOPE (Areas, Structures, Capabilities, Organizations, People, and Events) focuses on civil considerations. Significantly, DSF practitioners not only identify a list of facts about the operational environment, but more importantly also the relevance of those facts to their stabilization mission. For example, they don't just identify that the local government is hampered by corruption, but also that they may have to work around and marginalize corrupt officials in order to be effective.
2. Cultural Environment: DSF looks at seven categories of cultural information – identifying the major cultural groups, their interests, important cultural characteristics, traditional mechanisms of resolving conflicts, traditional authorities, current conditions that may be undermining traditional mechanisms and authorities, and how spoilers use these factors to their advantage.
3. Stability/Instability Dynamics: DSF identifies potential sources of stability and instability, as seen from an outsiders' perspective. Sources of stability include resiliencies in the society (institutions and mechanisms that help the society function peacefully), events that present a window of opportunity to enhance stability, and key actors (individuals) who are helping to enhance stability. Sources of instability are composed of local grievances, events that present a window of vulnerability in which stability may be undermined, and key actors (individuals) who are fomenting instability.
4. Local Perceptions: Doctrine says that the population is the center of gravity in a Counter-Insurgency (COIN) – a truth that is no less applicable to other types of Stability Operations. Because instability is a matter of perspective, understanding the local population's perceptions is a critical factor in any effort to improve stability. DSF is particularly focused on identifying the population's priority grievances – i.e. the issues about which a significant percentage of the population is concerned or upset. DSF identifies local perceptions using several possible tools, including population surveys, focus groups, key leader engagements, polling conducted by external organizations, etc.

One methodology for collecting local perceptions is the Tactical Conflict Survey (TCS) – a simple, four-question survey that can be easily utilized by military units while on patrol, civilian agency implementing partners, and host nation (HN) government and security forces. Each question is followed up by asking "why" to ensure full understanding of the interviewee's perspective. The four questions are:

1. Has the number of people in the village changed in the last year?
2. What are the most important problems facing the village?
3. Who do you believe can solve your problems?
4. What should be done first to help the village?

In addition to the four survey questions, collectors also document some contextual information that will facilitate further analysis. This includes the location and characteristics of the interviewee, including occupation, ethnicity/tribe, age, and gender.

The answers to these questions are then entered into a simple database or spreadsheet using drop-down menus to "bin" the survey answers into standardized categories. By turning this qualitative information into quantitative data, the SWG can then create charts and graphs that make the local perceptions data quickly and easily understandable. A pie chart, for example, represents a snapshot in time, while a line graph can be used to track changes in public opinion over time. An example of these graphs, created for each neighborhood of a provincial capital in Afghanistan, is shown in Figure D-2, DSF Local Perceptions Data by Neighborhood, below.

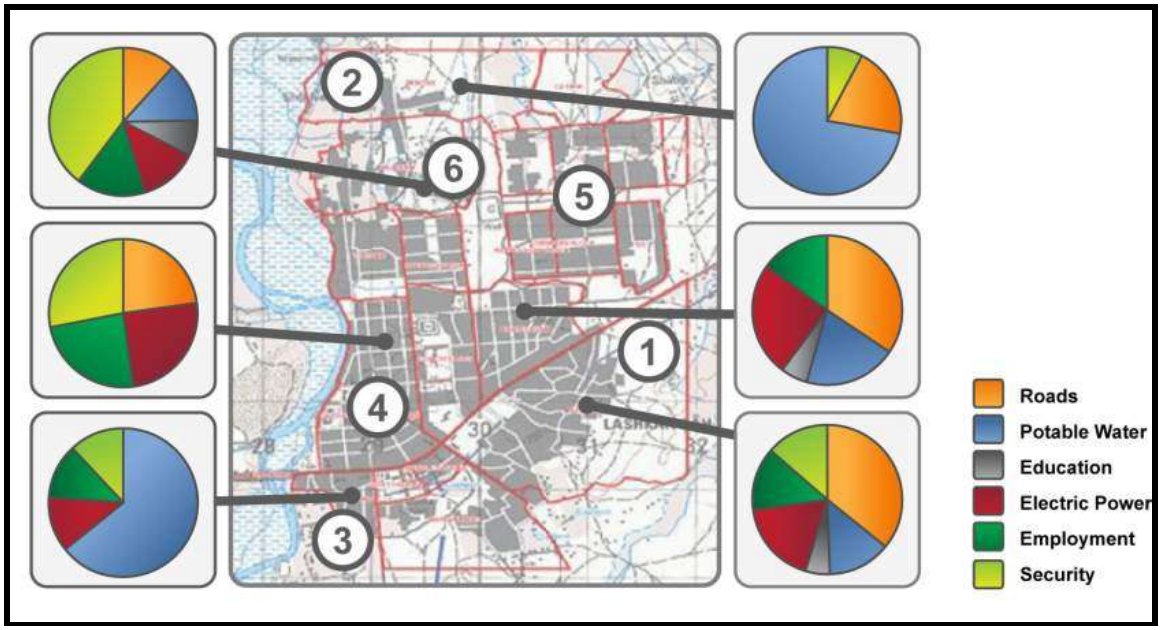

Figure D-2. DSF Local Perceptions Data by Neighborhood

D.3 Analysis

After collecting information to gain situational awareness, SWGs analyze this data to identify the sources of instability and to define an objective and impact indicators that will measure progress in addressing each one. The primary tool used to identify sources of instability is the SOI Analysis Matrix (see Figure D-6,, DSF Toolkit, located in the next section). This matrix is at the heart of DSF's "targeting" process. The first three Situational Analysis lenses typically result in a long list of potential problems and grievances that *could* be driving instability in an area. As the first column of the SOI Analysis Matrix indicates, all of these problems may be regarded as "needs." In the three subsequent steps, however, this matrix helps to whittle this list down to a limited number of core SOIs:

1. The first step is to use the fourth Situational Analysis lens, local perceptions, to identify *which* problems local people really care about – i.e. their Priority Grievances. When using the Tactical Conflict Survey, this can be as simple as selecting each grievance that polls as a priority for, 10% or more of the population.
2. The purpose of a Stability Operation is not simply to fulfill every wish of the local population, but specifically to create a more stable environment. To further narrow its focus, therefore, the SWG next applies the three SOI criteria – i.e. does the priority grievance:
   a. decrease support for the government (based on what *locals* actually expect of *their* government)
   b. increase support for anti-government elements (which usually occurs when spoilers are seen as helping to solve the priority grievance), or

c. undermine the normal functioning of society (where the emphasis must be on local norms; for example, if people have never had electricity, the continued lack of electricity can hardly be regarded as undermining the normal functioning of society)

3. Just meeting one of the three SOI criteria is sufficient for a priority grievance to be regarded as a source of instability. The more criteria an SOI meets, however, the higher priority it may be given.
4. Finally, the SOI Analysis Matrix distinguishes between SOIs that are Symptoms versus those that are Causes. If an SOI is a Symptom, then addressing one or more of the other SOIs may be expected to fix the symptom as well. If an SOI is a Cause, then addressing other SOIs will have little or no positive effect on it. A Cause SOI must be addressed independently because it is a problem in its own right. SWGs should focus on addressing the causes of instability, not symptoms.

After identifying a discrete number of Cause SOIs, stability working groups fill out a Tactical Stability Matrix (TSM) for each one. The TSM is a key DSF tool that helps further analyze and (subsequently) design activities to address each significant SOI. The TSM consists of nine columns. The first six columns are included in the Analysis process, while the final three are regarded as part of the Design phase. An example of a TSM is included in Table 1. The columns in the TSM are filled out by identifying:

1. The targeted Source of Instability
2. The local population's perceptions of the SOI (Perceived Causes)
3. The Systemic Causes of the SOI (i.e. other "root causes" of which the general populace may be unaware)
4. An Objective (a succinct goal statement or end state that will address the SOI)
5. Impact indicators - a.k.a. measures of effectiveness or MOEs (changes in the environment that would indicate progress toward achieving the objective
6. Impact indicator data sources (where information on the impact indicators can be obtained)
7. Stabilization Activities to be conducted
8. Output indicators – a.k.a. measures of performance or MOPs (metrics related to each activity that indicate progress toward activity completion)
9. Output indicator data sources (where information on the output indicators can be obtained)

D.4 Design

Once the causes, objective and impact indicators for each SOI have been identified, the next step is to determine what stabilization activities should actually be implemented. This process starts by brainstorming possible activities, then putting those ideas through a series of filters to eliminate poor options and refine/improve others. The first filter consists of three questions knows as the Stability Fundamentals:

Does each activity:

1. Decrease support for Anti-Government Elements?
2. Increase support for the government?
3. Increase institutional and societal capability and capacity?

Any proposed activity that does not meet at least one of these criteria should be eliminated. Activities that meet more than one of these criteria are preferred and may be prioritized.

Proposed activities that survive this first filter should then be refined using the seven Design Principles. To the extent possible, practitioners should design or modify each activity such that it:

1. Ensures sustainability by the local government or institutions
2. Considers the trade-offs between short-term and long-term impacts
3. Strengthens governmental accountability and transparency
4. Leverages/supports other government agencies, intergovernmental organization, non-governmental organizations, and HN programs
5. Fits the local political and cultural context
6. Facilitates local ownership
7. Provides flexibility

Table D-1. Example Tactical Stability Matrix

		Analysis				Design		
Source of Instability	**Causes (Perception)**	**Causes (Systemic)**	**Objective**	**Impact Indicators**	**Impact Indicator Data Sources**	**Activities**	**Output Indicators**	**Output Indicator Data Sources**
Lack of Water	We need more wells We need more drinking water We need water for our crops	Tribal competition prevents people cooperating to dig wells or irrigation Culture of dependency limits people's willingness to dig wells or irrigation Water table could be dropping (investigate) Karezes may be clogged up (investigate) Public wells are too far from some people's homes Flood irrigation is inefficient and adds	GIRoA helps increase availability of drinking water and expand amount of land under irrigation	Fewer people citing water as their primary concern Support for government goes up More land under irrigation Higher crop yields More local food for sale in bazaar Households spend less time fetching	DSF surveys Patrol reports Interviews with local households, farmers, shopkeepers Key leader engagements	Drip irrigation systems Clean karezes Organize communities to dig own wells Build water cisterns Build check dams Involve MRRD to establish Community Development Councils (CDCs)	# of drip irrigation systems operational # operational karezes # wells dug by local communities # water cisterns constructed # check dams built # CDCs established	Patrol reports Direct observation Sub-governor reports Ag Dept reports Interviews with local communities Contractor reports MRRD reports

After this, SWGs flesh out the details of their proposed stabilization activities; as they do so, new information may come to light that requires them modify their proposed activities and potentially return to previous steps of the design process. Next, SWGs screen each proposed activity against their available resources. Finally, activities for which the necessary resources are available (or can be obtained) should be prioritized based on their anticipated impact in addressing the targeted SOI. This completes Column 7 of the Tactical Stability Matrix.

Once the appropriate activities are identified, SWGs complete the TSM by identifying output indicators (measures of performance) and output indicator data sources that will enable them to determine whether an activity is proceeding as planned and, ultimately, when it has been completed.

Lastly in the design phase, SWGs use the Synchronization Matrix (Figure 9 in the next section) to synchronize and prioritize identified activities by establishing logical a sequence for the activities, coordinate the activities along the lines of operation, and assign activities and tasks to specific organizations.

D.5 Monitoring & Evaluation

The final step in DSF, Evaluation, takes place during and after the implementation of stabilization activities. Evaluation is conducted on three levels. The first two have already been identified as part of the TSM.

1. Output Indicators (a.k.a. MOP) simply track implementation of an activity. They answer the question, "Is the activity progressing?" and in the long run, "Is the activity complete?" Examples of output indicators might be the number of miles of road paved, or number of police trained. Output Indicators are monitored during the implementation of an activity, until it is completed.
2. Impact Indicators (a.k.a. MOE) measure the effect that an activity achieved. They answer the question, "Did the activity have the intended effect?" Examples might be decreased travel time (for a road project), or decreased criminal activity (for a police training activity). They are generally evaluated only after an activity is completed.
3. Overall Stability, which takes into account the stabilization impact of ALL of the activities a unit has conducted over a period of several weeks or months. It asks, "Is stability increasing or decreasing?" Measuring the change in overall stability is a key component of the DSF process. By identifying and measuring a common basket of stability-focused indicators, it is possible to track the change in stability for a given district. When aggregated, they can provide a measurement of overall changes in stability over time for a given district.

Suggested indicators for tracking Overall Stability include:

1. District Government Recognition (Government legitimacy in the eyes of the population)
2. Local-on-local violence
3. Economic activity
4. Host nation security force presence
5. Population freedom of movement
6. Local perceptions of their government
7. Local perceptions of security conditions

As each of these three levels of monitoring and evaluation occurs, SWGs should identify lessons that can help them improve future stabilization activities, or sustain successful ones. For example, implementers may learn that certain external factors prevented their program from being success. Subsequent efforts may need to address these external factors first, or take a completely different approach to addressing the SOIs.

D.6 Conclusion

DSF is specifically designed to help overcome many of the challenges to successful stability operations:

1. DSF keeps SWGs focused on the center of gravity for Counter-Insurgency and Stability Operations – the population and its perceptions.
2. DSF provides a common operating picture for both military and civilian agencies. By making the population's perspective the focal point, these organizations can focus their varied resources and expertise on a single, agreed set of priorities.
3. DSF helps prioritize our activities – based on their importance to the local populace and their relevance to our over-arching mission of stabilizing the area.

4. DSF enhances continuity between units. DSF data can be easily passed along from one unit to the next – establishing a clear baseline for the problems identified, the steps taken to address those problems, and the impact those activities achieved.
5. DSF empowers implementers at the tactical level by giving them hard data that can be used as a basis for decision-making at their level and for influencing decisions at higher levels.
6. The DSF framework forces us to identify both Measures of Performance and Measures of Effect for our activities – rather than the all-too-common pattern of tracking only the former.
7. By tracking indicators of Overall Stability, DSF help us determine whether we are actually making progress toward stabilizing the environment.
8. By identifying the issues that matter most to the population, DSF helps identify information operations themes that actually resonate with the population.
9. For further information on DSF, DSF materials, or questions contact the USAID Office of Military affairs:

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APPENDIX 1 TO ANNEX D DISTRICT STABILITY FRAMEWORK TOOL KIT

D.1.0 Introduction

The District Stability Framework (DSF) tool kit on the following pages assists units in implementing the DSF methodology. It consists of the:

1. ASCOPE/PMESII matrix
2. Cultural Matrix
3. Factors of Instability/Stability Matrix
4. Tactical Conflict Survey (TCS) Collection Planner
5. Sources of Instability (SOI) Matrix
6. Tactical Stability Matrix (TSM)
7. Activity Design Matrix
8. Synchronization Matrix
9. Monitoring & Evaluation (M&E) Matrix
10. Overall Stability Index

This tool kit is the basis for a successful assessment program. A successful program will only exist if units conduct proper analysis and effective design, followed up by rapid implementation with comprehensive monitoring and continuous evaluation. Units that only employ the TCS hoping it is a "silver bullet" will do more harm than good.

D.1.1 ASCOPE-PMESII Matrix

One model for describing the operational environment is areas, structures, capabilities, organizations, people, and events (ASCOPE)-political, military, economic, social, infrastructure, information (PMESII), illustrated in Figure D-1-1, ASCOPE-PMESII Matrix. Each letter stands for an aspect of the operational environment. The six ASCOPE areas of civil considerations are used to inform the six PMESII operational variables.

ASCOPE-PMESII

Description		Factors	Relevance
Political/Governance: Political actors, agendas, government capability and capacity	ASCOPE	Key elements of the formal, informal, and shadow systems of government which significantly influence the local population	Why is a factor relevant to the local population? How does it affect stability?
Military/Security: Capabilities in the AO (equipment, mission, resource constraints)	ASCOPE	Key elements that could influence the security situation	Why is a factor relevant to the local population? How does it affect stability?
Economic: Trade, development, finance, institutional capabilities, geography, regulation	ASCOPE	Key elements that influence economic activity in the area	Why is a factor relevant to the local population? How does it affect stability?
Social: Demographics, migration trends, urbanization, living standards, literacy/education level, etc.	ASCOPE	Key elements that describe or could influence traditional social dynamics in an area	Why is a factor relevant to the local population? How does it affect stability?
Infrastructure: Basic facilities, services and installations	ASCOPE	Effects on the physical infrastructure: sewage, water, electricity, educational facilities, health facilities, and transportation	Why is a factor relevant to the local population? How does it affect stability?
Information: Means of communication, media, telecommunications, word of mouth	ASCOPE	Key elements that facilitate the transfer of information to and among the local population	Why is a factor relevant to the local population? How does it affect stability?

Figure D-1-1. ASCOPE/PMESII Matrix

- ASCOPE-PMESII is population-focused not enemy-focused, in contrast to a traditional area assessment

- ASCOPE-PMESII organizes and examines strategic and operational factors for relevance to local stability

D.1.2 Cultural Matrix

The cultural environment is the second aspect of DSF situational awareness (SA). This awareness starts with a thorough understanding of the organization, history and interests of local groups. In depth knowledge of cultural factors is essential to the development of stability-focused SA. In particular, understanding how traditional conflict resolution mechanisms function or how stabilizing or destabilizing actors can leverage these factors for negative and positive effects is critical. Six key factors to analyze, illustrated in Figure D-1-2, include:

- Major cultural groups and their interests
- Traditional conflict resolution mechanisms
- Disruptions to traditional authorities
- Cultural codes, traditions, and values
- Traditional authorities
- Ways destabilizing elements take advantage of these factors

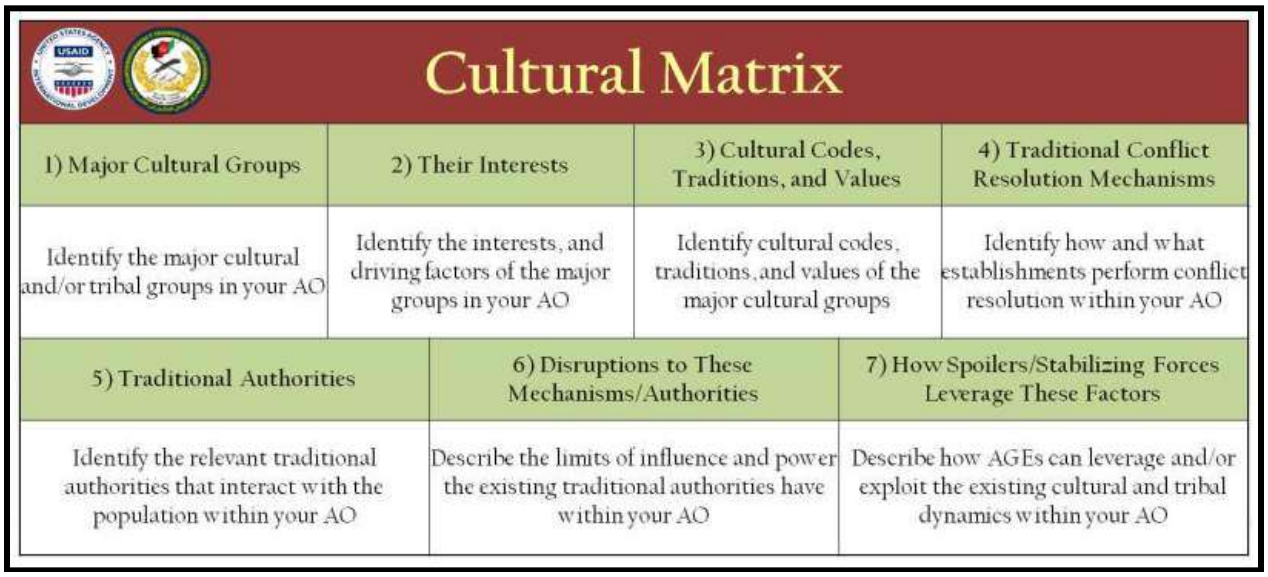


Figure D-1-2. Cultural Matrix

D.1.3 Factors of Stability/Instability

The factors of stability/instability, depicted in Figure D-1-3, Factors of Instability/Stability Matrix, make up the third lens for SA. It focuses specifically on the factors that typically work together to create or prevent instability. Stability occurs when the stability factors "outweigh" the instability factors.

D.1.3.1 Instability Factors

There are three factors of instability to consider:

- ***Community grievances.*** Grievances occur when people feel that their needs are not being met and/or their interests are not being defended
- ***Events*** with the potential to be destabilizing (windows of vulnerability)
- ***Actors*** with the means and motivations to exploit grievances and windows of vulnerability

Although there can be many grievances, they do not all necessarily foster instability unless key actors with both the motivation and the means to translate these grievances into widespread instability emerge. Windows of

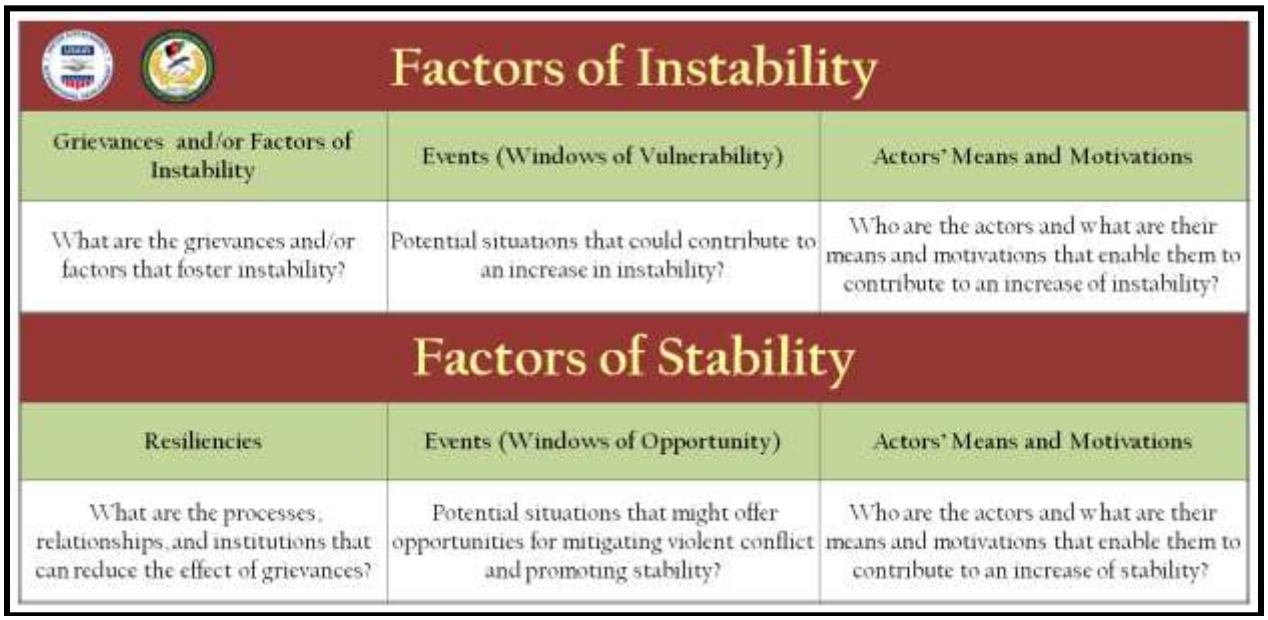
vulnerability are often precipitated by a specific event that key actors can capitalize on – for example, the death of a key leader, an economic crisis, or a natural disaster.

D.1.3.2 Stability Factors

Counter-balancing the factors of instability are the three stability factors:

- ***Resiliencies***, which are the processes, relationships, and institutions that enable the society to peacefully solve its own problems and meet its own needs
- ***Events*** with the potential to mitigate conflict and foster stability (windows of opportunity)
- ***Actors*** with the means and motivations to foster stability

Most events are fundamentally neutral. That is, the same event may become an opportunity for the environment to become more or less stable, depending on how it plays out. Elections are a good example. If an election plays out peacefully and legitimately, it can help strengthen the political system and mitigate violence. If an election is violent and corrupt, however, it can highlight government ineffectiveness and undermine the legitimacy of the people/parties elected. Stability Working Groups identify upcoming events so that, to the extent possible, they can shape the events to become windows of opportunity for stability to improve, rather than for instability to grow.



Factors of Instability		
Grievances and/or Factors of Instability	Events (Windows of Vulnerability)	Actors' Means and Motivations
What are the grievances and/or factors that foster instability?	Potential situations that could contribute to an increase in instability?	Who are the actors and what are their means and motivations that enable them to contribute to an increase of instability?
Factors of Stability		
Resiliencies	Events (Windows of Opportunity)	Actors' Means and Motivations
What are the processes, relationships, and institutions that can reduce the effect of grievances?	Potential situations that might offer opportunities for mitigating violent conflict and promoting stability?	Who are the actors and what are their means and motivations that enable them to contribute to an increase of stability?

Figure D-1-3. Factors of Instability/Stability Matrix

D.1.4 Collection Planning

The Collection Planner is a tool utilized to help collectors understand the issues at hand and how those issues will impact on the Collector to do his or her job. When completing the first two parts, units will identify the specific issues that are of importance for each block to keep in consideration when planning for collection. More importantly than the issues are the specific relevance each of those factors has on a unit's ability to COLLECT – not overall relevance, just relevance to the unit's requirement to collect/gather local information. The planner has three parts: operational; cultural; and survey considerations.

1. ***Operational.*** Operational Considerations, provided in Table D-1-1, TCS Collection Planner: Operational Considerations, simply help the collector understand the area in which he or she is operating.

2. ***Cultural.*** The matrix in Table D-1-2, TCS Collection Planner: Cultural Considerations, allows collectors to pinpoint most of the cultural elements they need to consider prior to surveying the population. The first two considerations help identify which groups need to be engaged and when it is appropriate to do so. All of these elements combined will give SOPs to collectors, allowing for a standardized, seamless survey process.
    a. Considerations 3-5 tell you how you need to engage locals and what different elements you need to consider how to be respectful and avoid causing a "diplomatic incident".
    b. Considerations 6-7 help you engage the locals by putting yourself at their level both during engagements and when planning for them.
3. ***Survey.*** Units need to operationalize the survey process, using Table D-1-3, TCS Collection Planner: TCS Considerations. If this is not done properly, it becomes everyone's task. And when it's everyone's task, it's no one's task and the collection process collapses. So this is simple, it's the 5Ws and the H of the plan.
    a. ASK: Who will you give the Tactical Conflict Survey, illustrated in Table D-1-4? Identify targeted population segments: number, occupation, gender, tribe.
    b. ASK: How many people? Sets goal for the number of DSF conversations, 2-3 DSF interviews per patrol? This depends on the population of the area. The goal is to survey 0.1% of the population per month in areas with 20,000+ inhabitants. In smaller areas, you want to probe a minimum of 20 people per month in order for your data to be relevant.
    c. ASK: How often will you survey them? (overhead). You want to have the monthly 0.1% or 20+ every month. Make sure you do not send all of your patrols to collect on the same day as you risk alienating people. Instead, trickle your collection over the span of the month. You want to make sure to target the same segments, not the same people, every month in roughly equivalent numbers.
    d. ASK: Who will conduct the surveys? (overhead). People who are:
        (1) Mature
        (2) Good interpersonal skills
        (3) Culturally aware
        (4) Skillful in use of interpreter
        (5) Name sub-units from their organization (CA, MISO, ETTs/PMTs, etc.)

Table D-1-1. TCS Collection Planner: Operational Considerations

Operational Considerations	Factors	Relevance for Collectors
1. How are govt officials and security forces viewed? (Collectors will be associated with govt)		
2. What is the security situation for locals? (Affects willingness to speak with collectors)		
3. Infrastructure? (Affects patrol time and the location of the population)		

89 **Table D-1-2. TCS Collection Planner: Cultural Considerations**

Cultural Considerations	Factors	Relevance for Collectors
1. What are the major groups and where are they located? (Segmentation)		
2. Daily and seasonal routines? (Identify appropriate times and places to speak with locals)		
3. Cultural prohibitions? (Don't offend locals)		
4. Cultural obligations? (How do locals interact with themselves and outsiders)		
5. Societal Hierarchy? (Whom should you engage first and how will you identify them)		
6. **Common courtesies and greetings** (Appropriate greetings suggest you understand and value the local culture)		
7. **Time Orientation?** (Affects patrol time and appointments)		

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Table D-1-3. TCS Collection Planner: TCS Considerations

Survey Considerations	
1. **Whom will you engage?** (Hint: Identify and segment the major groups)	
2. Survey Parameters (How many people do you want to survey and how frequently?)	
3. **Choosing Collectors** (Who will conduct the surveys?)	

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Table D-1-4. Tactical Conflict Survey

Critical Information **- Complete ALL Parts**			
Date		**Location (Grid)**	
Subject Name		**Province / State**	
Subject Gender	☐ Male ☐ Female	**District / County**	
Occupation		**Village / Neighborhood**	
Ethnicity/Tribe		**Population**	
Age *(Check 1)*	☐ "Fighting age" ☐ Old (gray hair)	**Interviewer Name & Unit**	

Question 1: Has the number of people in the village changed in the last year? *(Check 1)*

Increased		Decreased		No Change		Don't Know		No Comment	
	(Go to 1a)		*(Go to 1a)*						

Question 1a: Reason for change in population?

Question 2: What is the most important problem facing the village?

Response to WHY

Question 3: Who do you believe can solve your problems?

Response to WHY

Question 4: What should be done first to help the village? *(1 Answer Only)*

Response to WHY

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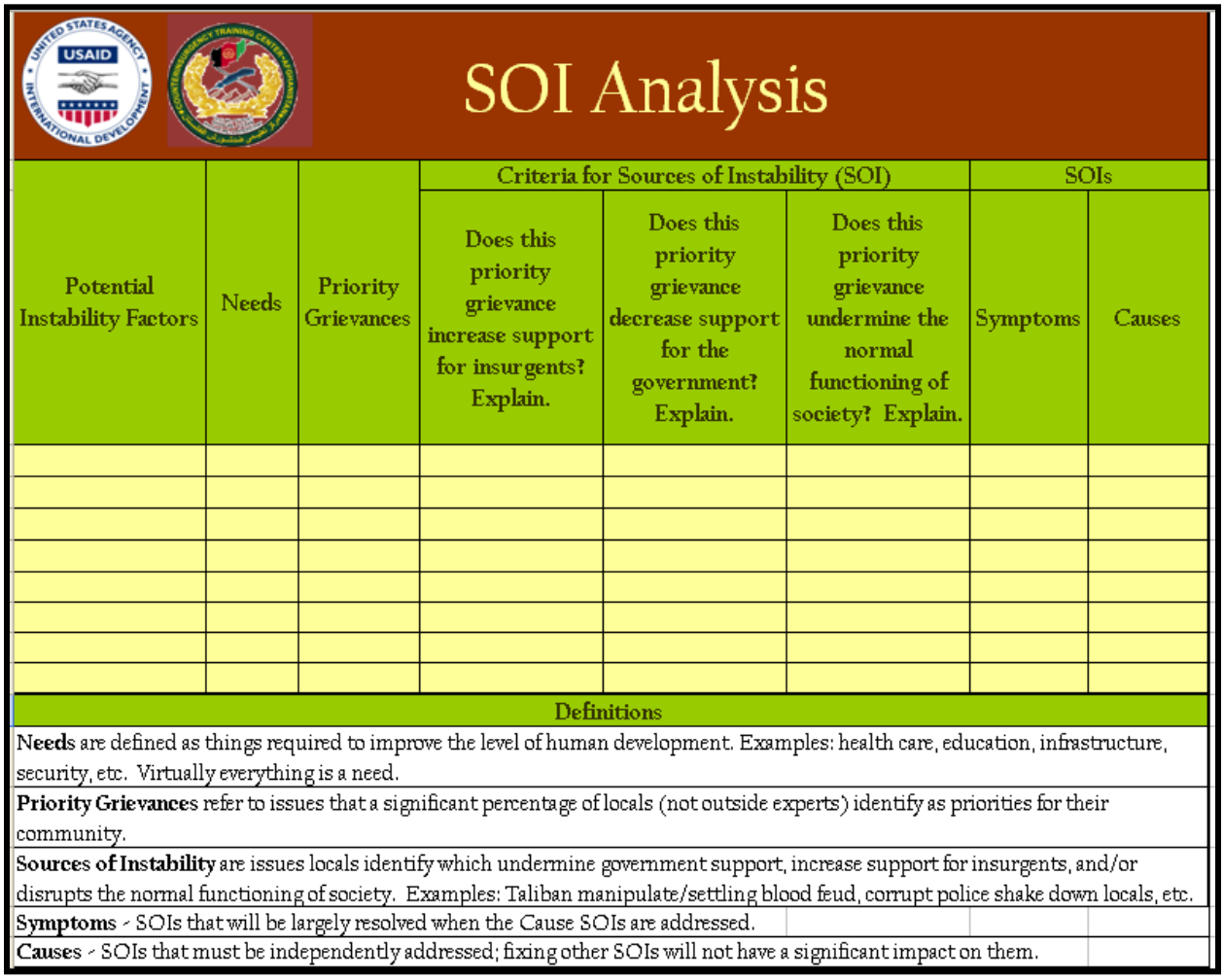
D.1.5 Sources of Instability Matrix

Acknowledged problems in a community are not necessarily underlying sources of instability. Effective stability programming relies on careful assessment of potential SOIs against the Stability Criteria:

1. Does the potential instability factor increase support for Anti-Government Elements?
2. Does the potential instability factor decrease support for the government?
3. Does the potential instability factor undermine the normal functioning of society?

The SOI Analysis tool, illustrated in Figure D-1-4, Sources of Instability Analysis Matrix, takes factors of instability identified during SA and applies the 3 Stability Criteria. Not all priority grievances are destabilizing.



SOI Analysis

Potential Instability Factors	Needs	Priority Grievances	Criteria for Sources of Instability (SOI)			SOIs	
			Does this priority grievance increase support for insurgents? Explain.	Does this priority grievance decrease support for the government? Explain.	Does this priority grievance undermine the normal functioning of society? Explain.	Symptoms	Causes

Definitions
Needs are defined as things required to improve the level of human development. Examples: health care, education, infrastructure, security, etc. Virtually everything is a need.
Priority Grievances refer to issues that a significant percentage of locals (not outside experts) identify as priorities for their community.
Sources of Instability are issues locals identify which undermine government support, increase support for insurgents, and/or disrupts the normal functioning of society. Examples: Taliban manipulate/settling blood feud, corrupt police shake down locals, etc.
Symptoms - SOIs that will be largely resolved when the Cause SOIs are addressed.
Causes - SOIs that must be independently addressed; fixing other SOIs will not have a significant impact on them.

Figure D-1-4. Sources of Instability Analysis Matrix

D.1.6 Tactical Stability Matrix

The TSM, illustrated in Figure D-1-5, Tactical Stability Matrix (Analysis and Design), is used during the design phase to identify potential activities addressing the objective and systemic causes, as well as to identify output indicators and data sources to monitor those activities.

D.1.6.1 Design Components of the Tactical Stability Matrix:

- ***Source of Instability*** – Brief description of the problem or issue, often just a couple of words, as identified through analysis of available operational, cultural, tribal, and local perception data on an area.
- ***Cause (Perception)*** – The perceived cause of a source of instability (i.e. priority grievances commonly cited by the local population).
- ***Cause (Systemic)*** – The root causes of the problem that relate to the perceived causes. To identify systemic causes, ask yourself what circumstances led to community perceptions? What circumstances allow the problem to continue? What conditions prevent the problem from being fixed?
- ***Objective*** – A statement of the conditions that will diminish the identified SOI. Often it is simply the opposite of the source of instability and its associated conditions. Keep in mind the 3 Stability Criteria when developing the objective statement.
- ***Impact Indicators*** – Also called "Measures of Effect," impact indicators measure the effectiveness of your activities against the predetermined objective and systemic causes. To identify impact indicators, ask: How will I know if the objective has been achieved?

Example: If "police abuse" is the source of instability, impact indicators might include:

- Increased popular support for the police
- Population provides more actionable intelligence to the police
- Police presence in previously no-go areas

Tactical Stability Matrix

Analysis						Design		
Source of Instability	**Causes – Perceived**	**Causes – Systemic**	**Objective**	**Impact Indicators**	**Impact Data Sources**	**Activities**	**Output Indicators**	**Output Data Sources**
Taken from SOI Analysis	Perception data contributing to SOI (i.e. priority grievances commonly cited by the local population)	The root causes of the SOI that relate to the perceived causes	A statement of the conditions that will diminish the identified SOI	Also called "Measures of Effect," impact indicators measure the effectiveness of your activities against the predetermined objective and systemic cause	Methods to obtain the information identified in your impact indicators	The things you will do to mitigate the systemic causes of instability and achieve the identified objective	Also called "Measures of Performance," output indicators determine whether an activity has been implemented	Methods to obtain the information identified in your output indicators

Figure D-1-5. Tactical Stability Matrix (Analysis and Design)

D.1.6.2 Analysis Components of the Tactical Stability Matrix:

- ***Impact Data Sources*** – Methods to obtain the information identified in your impact indicators.
- ***Activities*** – Things you do to mitigate systemic causes of instability and achieve identified objectives.
- ***Output Indicators*** – Also called "Measures of Performance," output indicators determine whether an activity has been completed. To identify output indicators, ask yourself: How can I confirm that the proposed activity is progressing as planned or has been completed?
  - # of projects completed
  - # of police trained

- # of road miles completed
- # of dollars spent

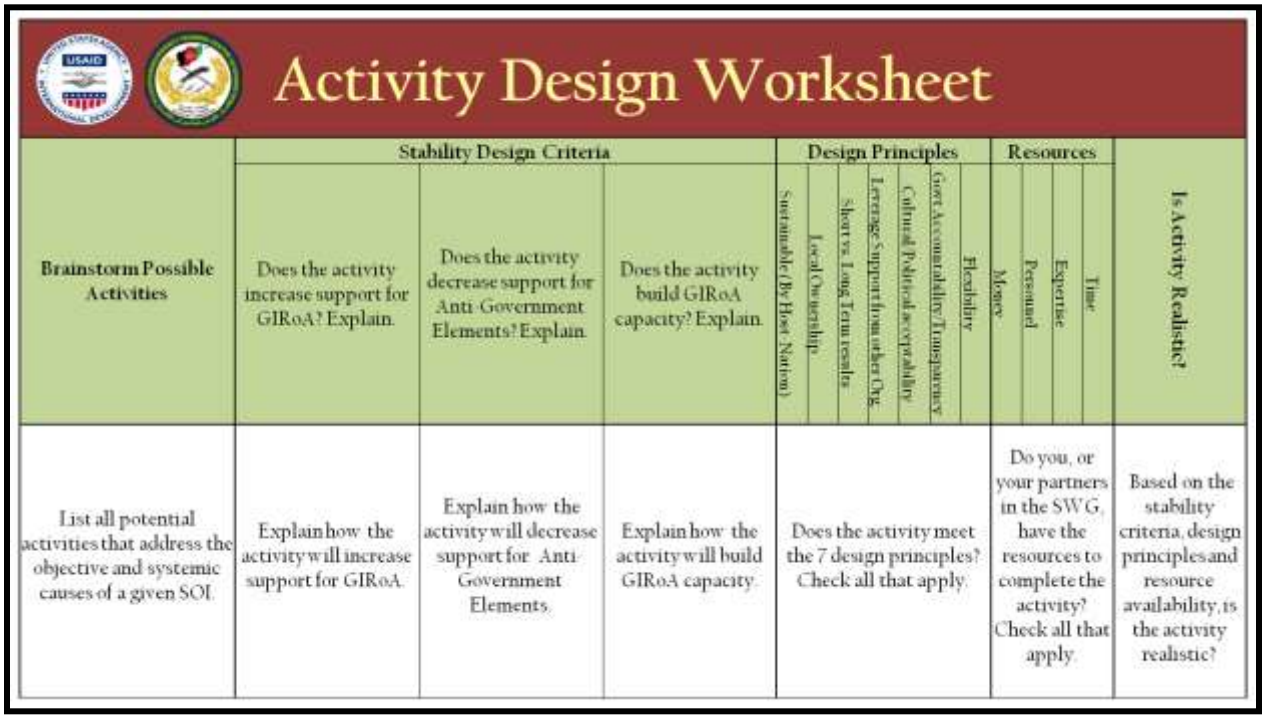
Example: If "police training" were an activity, an output indicator would be the # of police trained.

- ***Output Data Sources*** – Methods to obtain the information identified in your output indicators.

D.1.7 Activity Design Worksheet

The Activity Design Worksheet, illustrated in Figure D-1-6, Activity Design Worksheet, is a tool to assist with filtering activities against the stability criteria, design principles and resource availability. It should be used while completing the TSM.

1. ***Stability Criteria: "Does the activity…"***
   a. Increase support for GIRoA?
   b. Decrease support for Anti-Government Elements (AGEs)?
   c. Increase institutional and societal capacity and capability?
2. ***Design Principles: "Is the activity…"***
   a. Sustainable by the local government and/or local institutions?
   b. Promoting local ownership putting local institutions in the lead?
   c. Fostering long-term vs. short-term results?
   d. Leveraging support from other organizations?
   e. Politically and culturally appropriate?
   f. Strengthening accountability and transparency?
   g. Flexible?
3. ***Resource Availability: "Do you have the required…"***
   a. Money?
   b. Personnel?
   c. Expertise?
   d. Time?



Activity Design Worksheet

Brainstorm Possible Activities	Stability Design Criteria			Design Principles							Resources				Is Activity Realistic?
	Does the activity increase support for GIRoA? Explain.	Does the activity decrease support for Anti-Government Elements? Explain.	Does the activity build GIRoA capacity? Explain.	Sustainable (By Host Nation)	Local Ownership	Short vs. Long Term results	Leverage Support from other Org.	Cultural/Political acceptability	Govt Accountability/Transparency	Flexibility	Money	Personnel	Expertise	Time	
List all potential activities that address the objective and systemic causes of a given SOI.	Explain how the activity will increase support for GIRoA.	Explain how the activity will decrease support for Anti-Government Elements.	Explain how the activity will build GIRoA capacity.	Does the activity meet the 7 design principles? Check all that apply.							Do you, or your partners in the SWG, have the resources to complete the activity? Check all that apply.				Based on the stability criteria, design principles and resource availability, is the activity realistic?

Figure D-1-6. Activity Design Worksheet

D.1.8 Synchronization Matrix

When designing and implementing activities, it is critical to coordinate with other actors working in the same district. The Synchronization Matrix, illustrated in Figure D-1-7, Synchronization Matrix, helps actors in a Stability Working Group with the following:

- Plan a logical sequence for activities
- Address multiple causes of instability
- Coordinate along multiple lines of operation
- Maximize impact and minimize effort/cost

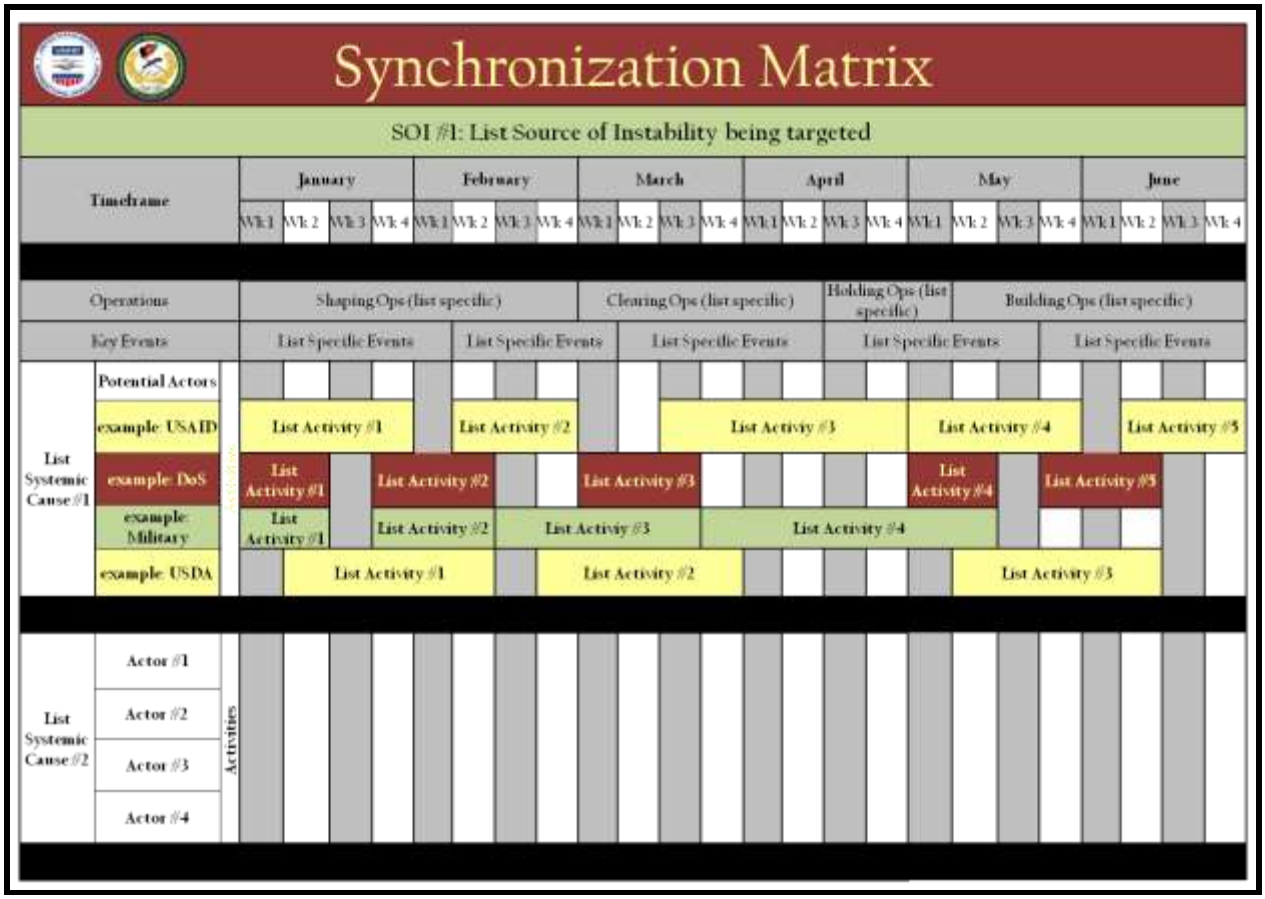


Figure D-1-7. Synchronization Matrix

D.1.9 Monitoring and Evaluation Matrix

The M&E Matrix, illustrated in Figure D-1-8, M&E Matrix, is a program management and reporting tool that measures activity output and impact. It tracks progress against a baseline to assess the impact activities are having. The M&E Matrix focuses on the first two levels of M&E.

1. ***Level 1, activity output***, focuses on:
    a. Have your activities been completed?
    b. Are your activities being implemented successfully?
    c. Are there external factors affecting the implementation of your activities?
    d. Are your indicators measuring the appropriate outputs? If not, should you identify new indicators?
    e. Are your data sources providing the correct indicator data? If not, do you need new data sources?
2. ***Level 2, impact***, focuses on:
    a. Are you seeing the intended impact/change in your environment?

b. Does this change represent progress towards the objective and a diminishment of a root cause?
c. How are external factors influencing and/or causing the changes you are observing?
d. Are the activities contributing to the expected impact and the overall objective?
e. Are your indicators measuring the impact appropriately? If not, consider adopting new indicators.
f. Are your sources providing the correct indicators? If not, consider adopting new sources and/or means to collect.

M&E Matrix

SOI	Activity	Measure of Performance		Measure of Effect				Obj
		Output Indicator Data	Output Data Sources	Impact Inficator	Baseline	Change	Impact Data Sources	
Taken from the TSM	Taken from the TSM	Data for Output Indicators identified on the TSM	Taken from the TSM	Taken from the TSM	Baseline Data for Impact Indicator identified on the TSM	Change in Baseline Data	Taken from the TSM	Taken from the TSM

Figure D-1-8. Monitoring & Evaluation Matrix

D.1.10 Overall Stability Index

Measuring the change in overall stability is a key component of the DSF process, and the third level of M&E. By measuring a common basket of stability-focused indicators, illustrated in Figure D-1-9, it is possible to track the change in stability for a given district. Seven recommended overall stability indicators are listed below; however, they can be modified as needed for adaptation to a specific operating environment. The overall stability indicators are not linked to activities. When aggregated, they can provide a measurement of overall changes in stability over time for a given district. The seven indicators were selected to provide a picture of what life is like in a district and how it is changing for the local population.

1. District Government Recognition
2. Local-on-local violence
3. Economic activity
4. Host nation security force presence
5. Population freedom of movement
6. Local perceptions of their government
7. Local perceptions of security conditions

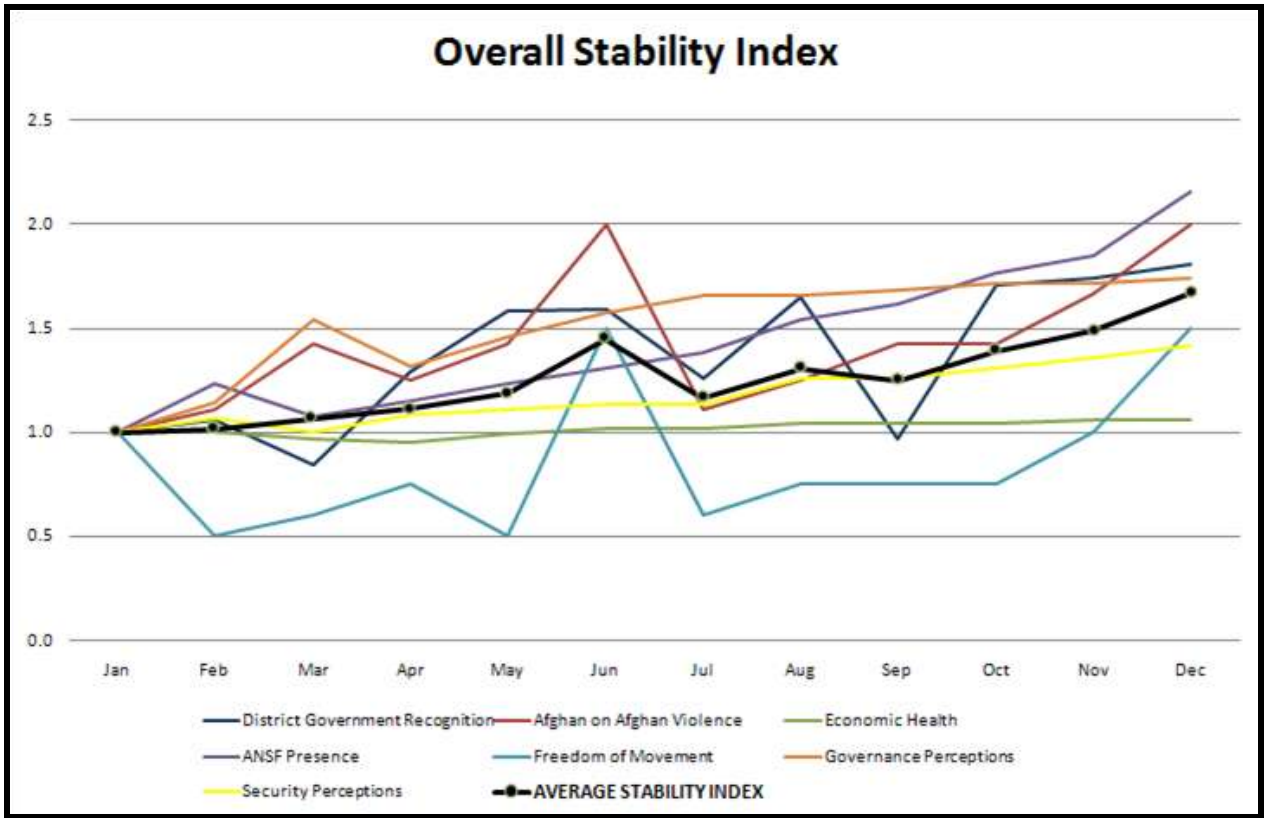


Figure D-1-9. Overall Stability Index

For further information on DSF, DSF materials, or questions contact the USAID Office of Military affairs:

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ANNEX E RELIEF IN PLACE/TRANSITION OF AUTHORITY CHECKLIST

E.0 Relief in Place/Transfer of Authority

Relief in place (RIP)/transfer of authority (TOA)-*An operation, by direction of higher authority, where all or part of a unit is replaced in an area by the incoming unit. The mission and the assigned area of operations of the outgoing elements are transferred to the incoming unit. The incoming unit continues operations as ordered.*

- Transferring an operation or task to other forces or organizations requires detailed, coordinated, and synchronized planning.
- The incoming element should initiate in-person coordination to assume the mission from the outgoing unit, agency, or the country team.
- When conducting the RIP/TOA, it is critical to review all existing civil data and all relevant area of operations (AO) information prior to the transfer of authority.
- The incoming unit should receive a copy of all civil information files and databases used by the outgoing unit or agency.

Planners should identify the following items:

- Define the desired end state; for example, continuity of current operations or modification of current operations to some other format.
- Identify the organizational structure required to perform the operation or task.
- Identify and match components within the incoming organization that are the same or similar in nature to components within the unit being replaced.
- Identify equipment and facilities required to perform the operation or task, and who will provide them.
- Prepare the appropriate property-control documentation if transferring equipment or facilities.
- Create timelines that provide enough overlap between the outgoing and incoming organizations.
- Determine the criteria that will dictate when the incoming organization will assume control of the activity or task; for example, a target date, task standard, or level of understanding.
- Orient the incoming organization to the area, including an introduction to all the influential persons of both military and civilian organizations remaining in the area.
- Orient the incoming organization to the operation or task. Include exchanging procedures, routine and recurring events, and other information critical to the conduct of the activity or task in the orientation. Demonstrate the activity or task, if possible.
- Supervise the incoming organization in performing the operation or task. The outgoing organization retains control of the operation or task during this process, providing critiques and guidance, as needed.
- Identification of interdependency and interoperability between organizations.
- Contingency plans that address threats to continuity of operations, countermeasures to mitigate those threats, and preparedness for, response to, and recovery from those threats that succeed in disrupting operations.
- Learn as much as possible about the people you encounter in the area and their activities.
- During outbound transition, ensure RIP activities completely transfer civil information to successor unit or agency.

E.1 Outgoing Unit Relief in Place Checklist

Item:	Scale:	Description:
1	Yes/No	Outgoing unit establishes plan for RIP Outgoing unit will ensure continuity of current operations Outgoing unit provides updates to current operations
2	Yes/No	Outgoing unit articulates mission requirements identifies the organizational structure required to perform the activity or task
3	Yes/No	Outgoing unit matches components within the incoming organization that are the same or similar in nature to components within the unit being replaced
4	Yes/No	Outgoing unit ensures continuity of civil engagement issues. Enables incoming organization to conduct continuous civil engagements from home station
5	Yes/No	Ensure continuity of civil engagement
6	Yes/No	Ensure incoming unit is aware of all previous commitments
7	Yes/No	Ensure incoming unit is aware of previous understanding of cooperative relationships
8	Yes/No	Ensures transfer of detailed civil information architecture, minimally a political, military, economic, social, infrastructure, and information (PMESII) and areas, structures, capabilities, organizations, people, and events (ASCOPE) framework
9	Yes/No	Ensure transfer of detailed District Stability Framework (DSF) information
10	Yes/No	Outgoing unit provides incoming organization with weekly situational updates
11	Yes/No	Outgoing unit provides information requested by the incoming organization
12	Yes/No	Outgoing unit identifies equipment and facilities required to perform activities and tasks with incoming unit
13	Yes/No	Outgoing unit identifies who will provide equipment for incoming unit
14	Yes/No	Outgoing unit identifies who will provide facilities for incoming unit
15	Yes/No	Outgoing unit prepares appropriate property-control paperwork for transferring equipment to the incoming unit
16	Yes/No	Outgoing unit prepares the appropriate property-control paperwork for facilities between organizations to the incoming unit
17	Yes/No	Outgoing unit creates timelines that provide sufficient overlap between the outgoing and incoming organizations.
18	Yes/No	Outgoing unit determines criteria that will dictate when the incoming organization will assume control of the activity or task; for example, a target date, task standard, or level of understanding.
19	Yes/No	Outgoing unit orients the incoming organization to the area

20	Yes/No	Outgoing unit introduces incoming organization to all host nation (HN) key personnel and elements within the district
21	Yes/No	Outgoing unit introduces incoming unit to all United States (US) and partnering organizations and units within the district
22	Yes/No	Outgoing unit introduces incoming organization to all non-HN civilian organizations within the district
23	Yes/No	Outgoing unit introduces incoming organization to all interpreters
24	Yes/No	Outgoing Unit orients the incoming organization to activities and tasks
25	Yes/No	Outgoing unit exchanges procedures with incoming organization
26	Yes/No	Outgoing unit exchanges Battle Rhythm with incoming organization
27	Yes/No	Outgoing unit exchanges routine and recurring events with incoming organization
28	Yes/No	Outgoing unit orients incoming organization to the commander's emergency response program (CERP) process review
29	Yes/No	Outgoing unit orients incoming organization to development projects managed by the outgoing unit
30	Yes/No	Outgoing unit provides contract information for completed and ongoing projects
31	Yes/No	Outgoing unit provides project historical and projected timelines
32	Yes/No	Outgoing unit provides project nomination methodology and focus
33	Yes/No	Outgoing unit project site visits with incoming organization
34	Yes/No	Outgoing unit ensures prior higher level guidance in relationship to development projects
35	Yes/No	Outgoing unit exchanges village, village cluster, tribal and district critical information to conduct specific activities or tasks with incoming organization
36	Yes/No	Outgoing unit ensures historical context of decision making
37	Yes/No	Outgoing unit demonstrates the activity or task
38	Yes/No	Outgoing unit supervises the incoming organization in performing the activity or task
39	Yes/No	Outgoing unit provides critiques to incoming organization
40	Yes/No	Outgoing unit provides guidance to incoming organization
41	Yes/No	Outgoing unit transfers the activity or task to the incoming unit according to the plan
42	Yes/No	Outgoing unit redeploys
43	Yes/No	Outgoing unit prepares an after action review (AAR) and gives to incoming unit.

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E.2 Incoming Unit Relief in Place Checklist

Item:	Scale:	Description:
1	Yes/No	Unit receives deployment orders
2	Yes/No	Unit understands deployment order
3	Yes/No	Unit understands theater directives, operations orders (OPORD), fragmentary orders (FRAGO), warning orders (WARNO), force protection, standard operating procedures (SOP), tactics, techniques, and procedures (TTP) and contingency plans
4	Yes/No	Unit receives basic operating environment-specific operational education
5	Yes/No	Unit understands theater directives
6	Yes/No	Unit understands Tactical Driving Directive
7	Yes/No	Unit understands Rules of Engagement (ROE) Directive
8	Yes/No	Unit understands Night Operations Directive
9	Yes/No	Unit understands host nation (HN) government priorities
10	Yes/No	Unit contacted Area of Responsibility (AOR) unit leadership
11	Yes/No	Unit received list of key military, civilian, and local national (LN) players and contact information
12	Yes/No	Unit conducted required unit training based on OPORD
13	Yes/No	Unit conducted area specific cultural awareness training
14	Yes/No	Unit conducted area specific language training
15	Yes/No	Unit identified minimum of two potential level 0/+1 language proficient individuals
16	Yes/No	Understand the Area of Operations
17	Yes/No	Unit received populated civil information architecture or political, military, economic, social, infrastructure, and information (PMESII) / areas, structures, capabilities, organizations, people, and events (ASCOPE) data
18	Yes/No	Unit understands the concept of analyzing human terrain using civil information architecture or PMESII / ASCOPE crosswalk
19	Yes/No	Unit understands the location and importance of population centers
20	Yes/No	Unit understands how a structure's location, function, and capabilities can support or hinder operations
21	Yes/No	Unit knows the ability of local authorities to provide key services
22	Yes/No	Unit incorporates sanitation, water, electric, academic, transportation, medical, security, and other considerations (SWEAT-MSO) categorical system in area of operations (AO)
23	Yes/No	Unit knows the sewer, sanitation, and facilities

24	Yes/No	Unit knows water distribution system
25	Yes/No	Unit understands electrical capabilities
26	Yes/No	Unit knows local academic capabilities
27	Yes/No	Unit is aware of transportation issues
28	Yes/No	Units knows local medical capabilities
29	Yes/No	Unit understands local security capabilities
30	Yes/No	Unit understands other relevant local capabilities
31	Yes/No	Unit identifies what cultural, religious, and social groups or institutions are in their AO
32	Yes/No	Unit knows religious organizations
33	Yes/No	Unit knows political parties
34	Yes/No	Unit knows local multinational corporations
35	Yes/No	Unit knows local partnering International Government Organizations (IGO)
36	Yes/No	Unit knows local partnering Non Government Organizations (NGO)
37	Yes/No	Unit knows local labor unions and their agenda
38	Yes/No	Unit knows local community organizations
39	Yes/No	Unit knows local criminal organizations
40	Yes/No	Unit knows other organizations with influence
41	Yes/No	Unit knows the agenda of the groups and institutions
42	Yes/No	Unit knows the key people who they will encounter in their AO
43	Yes/No	Unit knows local tribal leaders and their influence
44	Yes/No	Unit knows local religious leaders and their influence
45	Yes/No	Unit knows professionals living in their AO
46	Yes/No	Unit understands the impact of displaced persons returning to their homes
47	Yes/No	Unit knows local civil society leaders and understand how they can assist them
48	Yes/No	Unit knows government officials in their role in the AO
49	Yes/No	Unit understands the movement routes of nomads and how they affect the stability of the AO
50	Yes/No	Units knows significant events and the operational impacts
51	Yes/No	Unit knows dates of elections and locations of polling booths
52	Yes/No	Unit knows date and relevance of HN holidays and celebrations
53	Yes/No	Unit knows relevance of the regional holidays and celebrations

54	Yes/No	Unit knows operational significance of cultural/religious holidays and celebrations
56	Yes/No	Unit knows harvest seasons and impact on population
57	Yes/No	Unit is aware of weddings / funerals in the AO and the effects on mission
58	Yes/No	Unit knows dates and locations of political events
59	Yes/No	Units understands how people gain and share power and influence
60	Yes/No	Units understand how communities protect themselves
61	Yes/No	Unit knows location of friendly units
62	Yes/No	Unit knows location of HN military units
63	Yes/No	Unit knows location of HN and local police elements
64	Yes/No	Unit understands the concept of the Village Stability Program and where it is being utilized
65	Yes/No	Unit understands how people generate and distribute wealth
66	Yes/No	Unit knows employment and unemployment rate
67	Yes/No	Unit knows type of economic development is available
68	Yes/No	Unit understands social networks in AO
69	Yes/No	Unit knows what education system is in place
70	Yes/No	Unit knows level of health systems available in AO
71	Yes/No	Unit understands what type of rule of law is accepted in the AO for settling disputes
72	Yes/No	State Law-founded on the Constitution, issued by HN government
73	Yes/No	Cultural Law, based on the local or regional religious or cultural norms
74	Yes/No	Community System-a compilation of tribal codes, religions norms, and customs
75	Yes/No	Unit understands what the community needs to function
76	Yes/No	Unit knows how the people communicate
77	Yes/No	Unit knows what type of media is available to the population
78	Yes/No	Unit knows what type newspapers are printed
79	Yes/No	Units knows what type radio broadcasts are utilized
80	Yes/No	Unit knows what television programs are available
81	Yes/No	Unit understands how populace spreads information through word of mouth
82	Yes/No	Unit identifies how insurgent propaganda is distributed to populace
83	Yes/No	Unit understands Focus District Development and Key Terrain District importance
84	Yes/No	Unit has identified security problems

85	Yes/No	Unit understands how to use a Tactical Stability Matrix
86	Yes/No	Unit has received current Tactical Stability Matrix
87	Yes/No	Unit has received latest District Stability Framework (DSF) data
88	Yes/No	Unit has identified sources of instability
89	Yes/No	Unit has identified district and local government leadership
90	Yes/No	Unit has identified level of active/ passive support to central government
91	Yes/No	Unit understands local judicial system
92	Yes/No	Unit understands local insurgent and criminal activities
93	Yes/No	Unit has identified malign actors
94	Yes/No	Reconstruction and Development
95	Yes/No	Unit has identified and reviewed district research and development (R&D) projects (proposed and ongoing)
97	Yes/No	Unit has reviewed local contractor status
98	Yes/No	Unit has identified civil-military integrated partners
100	Yes/No	Unit identified civilian casualties incidents
101	Yes/No	Unit identified regional language for pre-deployment language training
102	Yes/No	Unit has received DSF Assessments for AOR from the United States Agency for International Development (USAID)
103	Yes/No	Understand the Execution of the Operation
104	Yes/No	Unit understands higher concept of operation
105	Yes/No	Understands civilian casualties procedures and how to avoid inflicting them
106	Yes/No	Understands personnel recovery operations
107	Yes/No	Understands role in supporting local governance
108	Yes/No	Know how to track ongoing and future development programs
109	Yes/No	Knows HN capacity and capability
110	Yes/No	Knows and tracks district activities to include weddings, holidays, harvests
111	Yes/No	Initiated relationship with HN partners
112	Yes/No	Know all NGOs, IGOs, and contractors in the AO.
113	Yes/No	Understands the Battle Rhythm
114	Yes/No	Has C2 established throughout the district including both coalition forces (CF) and HN partners.

115	Yes/No	Understand Joint Operational Area (JOA) non-secure internet protocol router network (NIPRNET)
116	Yes/No	Understand JOA secret internet protocol router network (SIPRNET)
117	Yes/No	Understand SIPRNET procedures and requirements
118	Yes/No	Understand CENTRIX network procedures and requirements
120	Yes/No	Understand SharePoint
121	Yes/No	Understand Coalition Information Systems as required in local AOR
122	Yes/No	Understand HN Telecommunications Networks
123	Yes/No	Understand video-tele conference (VTC)
124	Yes/No	Understand Commercial Email systems
125	Yes/No	Relevant theatre operational procedures incorporated
126	Yes/No	Liaisons established at all levels within the AO
127	Yes/No	Unit understands intelligence, surveillance, and reconnaissance (ISR) capabilities
128	Yes/No	Unit understands ISR procedures
129	Yes/No	Unit understands JOA MEDEVAC procedures
130	Yes/No	Unit understands how to conduct Decentralized Operations

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GLOSSARY

PART I – ABBREVIATIONS AND ACRONYMS

AAR	after action review
AFB	air force base
AFI	air force instruction
AGE	anti government elements
AIMS	action-centered, incremental, measurable, and scheduled
AO	area of operations
AOR	area of responsibility
APAN	all partners access network
ASCOPE	areas, structures, capabilities, organizations, people, and events
AT	antiterrorism
BCT	brigade combat team
BN	battalion
C2	command and control
C3/5	Deputy Chief of Staff for Combined Operations and Plans
C4I	command, control, communications, computers, and intelligence
C7	Deputy Chief of Staff for Combined Engineer Operations
C9	Deputy Chief of Staff for Combined Civil-Military Operations
CA	civil affairs
CAO	civil affairs operations
CAPT	civil affairs planning team
CARVER	criticality, accessibility, recuperability, vulnerability, effect, and recognizability
CASUM	civil affairs summary
CAT	civil affairs team
CBT	computer based training
CCA	common cause analysis
CCIR	commander's critical information requirements
CCRP	command and control research program
CD	compact disk
CDC	community development council
CDP	commander's dissemination policy
CENTRIX	Combined Enterprise Regional Information Exchange System
CERP	commander's emergency response program
CETI	Coordinator for Economic Transition in Iraq
CF	coalition forces
CIDNE	Combined Information Data Network Exchange
CIM	civil information management
CJ2	Deputy Chief of Staff for Combined Joint Intelligence
CJ5	Deputy Chief of Staff for Combined Joint Plans
CJ6	Deputy Chief of Staff for Combined Joint Signal

CJ9	Deputy Chief of Staff for Combined Joint Civil-Military Operations
CJCSI	Chairman of the Joint Chiefs of Staff
CLT	civil liaison team
CMA	common modes analysis
CMO	civil-military operations
CMOC	civil-military operations center
CMSE	civil-military support element
CND	computer network defense
COA	course of action
COG	center of gravity
COI	COI
COIN	counterinsurgency
CONOP	concept of the operation
CONUS	continental United States
COP	common operational picture
DCG	deputy commanding general
DDMS	Department of Defense Discovery Metadata Specification
DIV	division
DoD	Department of Defense
DODD	Department of Defense Directive
DODI	Department of Defense Instruction
DoS	Department of State
DOT&E	Director of Test and Evaluation
DOTMLPF	doctrine, organization, training, material, leadership, personnel, and facilities
DSF	District Stability Framework
D-SRSG	Deputy Special Representative of the Secretary General
DTG	date-time group
DVD	digital video disc
EO	executive order
EOM	end of mission
ETT	embedded training team
FDO	foreign disclosure officer
FOUO	for official use only
FRAGO	fragmentary order
FSC	functional specialty cell
FUOPS	future operations
G3	Deputy Chief of Staff, Operations
G9	Deputy Chief of Staff, Civil-Military Operations
GCCS	global command and control system
GEOINT	geospatial intelligence
GIG	global information grid
GIRoA	Government of the Islamic Republic of Afghanistan
GIS	geographic information system

GPE	geospatial intelligence preparation of the environment
GPF	general purpose forces
GPS	global positioning system
GRD	Gulf Region Division
HA	humanitarian assistance
HA/DR	humanitarian assistance/disaster relief
HDR	humanitarian and disaster relief
HN	host nation
HQ	headquarters
HTAT	human terrain analysis team
HTRAC	Hard Target Research and Analysis Center
IA	information assurance
IAU	Information Analysis Unit
IAW	in accordance with
ICAF	interagency conflict assessment framework
ID	identification
IDN	initial distribution number
IDP	internally displaced person
IFO	Integrated Financial Operations
IGO	intergovernmental organization
IMO	information management officer
IMP	information management plan
INFOSEC	information security
IO	international organization
IPI	indigenous populations and institutions
IR	information requirement
IRMS	Iraq Reconstruction Management System
ISAF	International Security Assistance Force
ISR	intelligence, surveillance, and reconnaissance
IT	information technology
ITAO	Iraq Transition Assistance Office
IW	irregular warfare
J3	Joint Operations Director
J33	Joint Operations Directorate Current Operations Director
J5	Joint Plans Director
J6	Joint Signal Director
J7	Joint Engineering Director
J7/9	Joint Engineering Directorate Civil-Military Operations Liaison
J7/9 JIC	Joint Engineering Directorate Civil-Military Operations Liaison Joint Information Center
J8	Joint Force Structure, Resource, and Assessment Director
J9	Joint Civil-Military Operations Director
JAG	judge advocacy general
JDSWG	Joint Data Sharing Working Group

JFC	joint force commander
JIMB	joint information management board
JIPOE	joint intelligence preparation of the operational environment
AO	joint operations area
JOPES	joint operations and execution system
JOPP	joint operation planning process
JP	joint publication
JPO	Joint Programs Office
JT	joint test
JT&E	joint test and evaluation
JTF	joint task force
KLE	key leader engagement
KM	knowledge management
KMO	knowledge management officer
LN	local national
LOO	line of operation
LTOV	latest time of value
M&E	monitoring and evaluation
MCAST	Maritime Civil Affairs Security and Training
MCCDC	Marine Corps Combat Development Center
MEDCAP	medical civil action program
MEDVEAC	medical evacuation
METT-T	mission, enemy, terrain and weather, time, troops and support available
MGRS	military grid referencing system
MIL	military
MILSTRIP	military standard requisition and issue procedure
MISO	military information support operations
MNC-I	Multinational Corps-Iraq
MND	multinational division
MNF-I	Multinational Force-Iraq
MNSTC-I	Multinational Security Transition Command-Iraq
MOE	measure of effectiveness
MOP	measure of performance
MOS	military occupational specialty
MP	military police
MS	Microsoft
MSHARPP	mission, symbolism, history, accessibility, recognizability, population, and proximity
MTT	mobile training team
NAI	named area of interest
NAVSOP	Navy Standard Operating Procedure
NCO	noncommissioned officer
NECC	Navy Expeditionary Combat Command
NGO	nongovernmental organization

NIPRNET	Non-secure internet protocol router network
NWDC	Navy Warfare Development Command
OPA	Office of Provincial Affairs
OPORD	operations order
OPR	offices of primary responsibility
OPSEC	operations security
OPSUM	operations summary
OSD	Office of the Secretary of Defense
PACE	primary, alternate, contingency, and emergency
PAO	public affairs officer
PCI/PCC	pre-combat inspections/pre-combat checks
PCN	publication control number
PDF	portable document format
PMESII	political, military, economic, social, infrastructure, and information
PMT	project management team
POC	point of contact
POI	program of instruction
POLAD	political advisor
PP&O	plans, policies, and operations
PRT	provincial reconstruction team
PVO	private volunteer organization
QA/QC	quality assure/quality check
R&D	research and development
RFI	request for information
RFS	request for support
RIP/TOA	relief in place/transfer of authority
ROE	rules of engagement
S-3	Operations Staff Officer
S9	Civil-Military Operations Staff Officer
SA	situational awareness
SALT	size, activity, location, and time
SALUTE	size, activity, location, unit, time, and equipment
SCI	sensitive compartmented information
SIGACTS	significant actions
SIPRNET	secure internet protocol router network
SITREP	situation report
SJA	staff judge advocate
SMART	specific, measurable, achievable, relevant, time-bound
SME	subject matter expert
SO WHAT	strengths, opportunities, weaknesses, how does mission support commander's intent, assumptions, and threats
SOF	special operations forces
SOI	source of instability

SOP	standard operating procedure
SSTRO	stability, security, transition, and reconstruction operations
STAR	situation, task, action, and result
STD	standard
SWEAT-MSO	sanitation, water, electric, academic, transportation, medical, security, and other considerations
SWG	stability working group
SWOT	strengths, weaknesses, opportunities, and threats
TCS	tactical conflict survey
TiGR	Tactical Ground Reporting
TLP	troop leading procedures
TO&E	table of organization and equipment
TP	talking points
TRADOC	Training and Doctrine Command
TSM	tactical stability matrix
TTP	tactics, techniques, and procedures
UN	United Nations
UNAMI	United Nations Assistance Mission for Iraq
UNCT	United Nations country team
URL	uniform resource locator
US	United States
USA	United States Army
USACAPOC	United States Civil Affairs and Psychological Operations Command
USACE	United States Army Corps of Engineers
USAF	United States Air Force
USAFRICOM	United States Africa Command
USAID	United States Agency for International Development
USASOC	United States Army Special Operations Command
USEMB	United States Embassy
USG	United States Government
USJFCOM	United States Joint Forces Command
USMC	United States Marine Corps
USN	United States Navy
USPACOM	United States Pacific Command
USSOCOM	United States Special Operations Command
USSOUTHCOM	United States Southern Command
VETCAP	veterinary civil action program
VTC	video-tele conference
WARNO	warning order
WFP	World Food Program
WG	working group
WHO	World Health Organization

3

GLOSSARY

PART II – TERMS AND DEFINITIONS

accessible. A data asset is accessible when a human, system, or application may retrieve the data within the asset. Data assets may be made accessible by using shared storage space or web services that expose the business or mission process that generates data in readily consumable forms. (Department of Defense Directive 8320.02)

analysis. The process of breaking a complex topic into its constituent elements to study the nature, function, or meaning of the parts and their relations.

analytical framework. Technical architecture that provides requirements of skills, tools, and techniques for analyzing a particular area, such as governance, economics, or culture, by combining previous analyses with analysis and research techniques, organization techniques, and specific examples of previous successful analytical results. Analytical frameworks are composed of five components: tools and techniques; solution patterns; information architecture; research techniques and skills; and methods for grouping complex information.

architecture. A framework or structure that portrays relationships among all the elements of the subject force, system, or activity. (Joint Publication 3-05)

civil engagement is dialogue or cultural exchange with one or more individuals. It is a participatory interaction, such as key leader engagement, mass engagement, and surveys between the collecting unit and the people and organizations being engaged.

civil information. Information developed from data collected to develop the civil considerations of mission, enemy, terrain, troops available, and time (METT-T), specifically areas, structures, capabilities, organization, people, and events (ASCOPE), within the commander's operational environment that can be fused or processed to increase Department of Defense / interagency / intergovernmental organization / nongovernmental organization / indigenous population and institution situational awareness, situational understanding, or situational dominance. (Joint Publication 3-57)

civil information management. The process whereby civil information is collected, entered into a central information system, and internally fused with the supported element, higher headquarters, other United States Government and Department of Defense agencies, intergovernmental organizations, and nongovernmental organizations to ensure the timely availability of information for analysis and the widest possible dissemination of raw and analyzed civil information to military and nonmilitary partners throughout the area of operations. The steps associated with civil information management are: planning, collection, consolidations, analysis, production, and sharing.

civil-military operations. The activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military operations, to consolidate and achieve operational US objectives. Civil-military operations may include performance by military forces of activities and functions normally the responsibility of the local, regional, or national government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence

of other military operations. Civil-military operations may be performed by designated civil affairs, by other military forces, or by a combination of civil affairs and other forces. Also called CMO. (Joint Publication 3-57)

civil reconnaissance is planned collection of focused information by direct observation and evaluation of the operating environment.

codification. The joint civil information management coordinator technique that focuses on connecting people with content through technical networks, developing added value that supports organizing, applying, and transferring knowledge.

collation. Storing and meta-tagging related data to organize and standardize it into relevant groups for identification or further processing.

collection. The literal gathering of relevant data. Includes detailed biographical data on key leaders, relative loyalties of various groups, and the detailed mapping of group dynamics to assist analysts in understanding civil relationships.

collection management. The conversion of information requirements to collection requirements; establishing priorities; tasking or coordinating with appropriate entities, organizations, or agencies that can provide or collect the information; monitoring results and re-tasking as required. Through proper collection management, a collection plan is formed and modified as appropriate. (Joint Publication 2-0)

collection plan. A continuous activity that coordinates and integrates the efforts of all collection units and agencies by matching information requirements with appropriate collection capabilities and transforms information requirements into tasks and requests for information. Collection planning synchronizes the timing of collection with the operational scheme of maneuver and with other civil-military operations. (Joint Publication 2-0)

commander's critical information requirement. An information requirement identified by the commander as being critical to facilitating timely decision making. The two key elements are friendly force information requirements and priority intelligence requirements. (Joint Publication 3-0)

common operational picture. A single identical display of relevant information shared by more than one command. A common operational picture facilitates collaborative planning and assists all echelons to achieve situational awareness. (Joint Publication 1-02)

COI. A collaborative group of users who must exchange information in pursuit of their shared goals, interests, missions, or business processes and who therefore must have shared vocabulary for the information they exchange. Also called COI. (Department of Defense Directive 8320.02)

consolidation. Bring together into a single whole or system; combination of the collation and processing steps. Part of the civil information management process.

content management. How digital and non-digital content is managed throughout the joint civil information management process. It has two components that must be synchronized: *monitoring the information environment* and *coordinating information organization and access*. Effective content management provides users with immediate and secure access to knowledge products.

critical capability. A means that is considered a crucial enabler for a center of gravity to function as such and is essential to the accomplishment of the specified or assumed objective(s).

critical requirement. An essential condition, resource, and means for a critical capability to be fully operational.

critical vulnerability. An aspect of a critical requirement which is deficient or vulnerable to direct or indirect attack that will create decisive or significant effects.

data. Observations, cue detection, recognition of civil situational elements, facts and current status identified by a sensor or collector (human, mechanical, or electronic) from the environment or communicated and processed between nodes in any system.

database. Information that is normally structured and indexed for user access and review. Databases may exist in the form of physical files (folders, documents, etc.) or formatted automated data processing system data files. (Joint Publication 2-0)

data owner: Data owners are the organizations, elements, or individuals responsible for managing information on behalf of the supported unit, nongovernmental organization (NGO), intergovernmental organization (IGO), private volunteer organization (PVO), indigenous populations or institution, host nation, and so forth. Data owners control and are responsible for the disposition and use of their information.

direct collection. An aspect of the Collection step of the civil information management process. Refers to first-hand data collection through the daily interaction between US forces and the myriad of civilians in the supported commander's area of operations, and the capture of these contacts and data points. The primary direct collection methods are *civil reconnaissance*, *key leader engagement*, and *project management*.

directed collection tasking. A requirement for personnel to collect specified information using any means available/needed.

echelon appropriate analysis. Analysis of direct subordinate reports and operational pictures to support the commander with a relevant, actionable common operating picture. Lower command echelons emphasize concrete tactical data and variables, whereas higher command echelons, such as the joint task force, emphasize analytical operational or strategic information and relationships.

effect. 1. The physical or behavioral state of a system that results from an action, a set of actions, or another effect. 2. The result, outcome, or consequence of an action. 3. A change to a condition, behavior, or degree of freedom. (Joint Publication 3-0)

effects-based planning. Planning to achieve a desired indirect effect on COGs, which cannot be directly changed or influenced, by exerting influence on related nodes and links through the synergistic and cumulative application of military and nonmilitary capabilities..

evolutionary life cycle. Describes the posting, dissemination, and archiving of knowledge. A typical life cycle is: placing knowledge so people can find it, disseminating it to those who need it, archiving it for future reference, and destroying or removing obsolete knowledge products.

granularity: Level of detail available for analysis. Granularity is the extent to which a system is broken down into small parts, either the system itself or its description or observation. It is the extent to which a larger entity is subdivided.

indicator. A variable with characteristics of quality, quantity and time used to measure, directly or indirectly, changes in a system, and to assess progress made toward related objectives. It also provides a basis for planning.

indigenous populations and institutions. A generic term used to describe the civilian construct of an area of operations to include its population (legal citizens, legal and illegal immigrants, and all categories of dislocated civilians), governmental, tribal, commercial, and private organizations and entities. Also called IPI.

indirect effect. The delayed or displaced second, third, and higher-order consequences of actions created through intermediate events or mechanisms. The outcomes may be physical or behavioral in nature. Indirect effects may be difficult to recognize because subtle changes in system behavior are difficult to perceive. Indirect effects have real benefits, but are difficult to assess and measure. (Joint Publication 3-60)

information. Facts, data, or instructions in any medium or form. The meaning that a human assigns to data by means of the known conventions used in their representation. (Joint Publication 3-13.1)

information architecture. A model depicting complex systems of facts, data, institutions, instructions and the interrelationships among its components. Information architecture is a technical architecture that focuses on key nodes and links in the operating environment, and requires three components:

- *People:* Personnel who execute a process, including leaders providing resources and training. Also, persons identified as nodes and centers of gravity in the operating environment.
- *Process:* A course of action intended to achieve a result; procedure. Also, functions of systems, such as economics or governance, which can be identified as links or nodes in the operating environment.
- *Technology:* Tools, machines and materiel used to enhance or support executing processes. Also, equipment, infrastructure and other *means* used to execute processes at individual, local, regional, national or higher levels that can be identified as links or nodes in the operating environment.

information assurance. Measures that protect and defend information and information systems by ensuring their availability, integrity, authentication, confidentiality, and nonrepudiation. This includes providing for restoration of information systems by incorporating protection, detection, and reaction capabilities. Also called IA. (Joint Publication 3-13)

information management. The function of managing an organization's information resources by the handling of knowledge acquired by one or many different individuals and organizations in a way that optimizes access by all who have a share in that knowledge or a right to that knowledge. (Joint Publication 3-0)

information overload. The confusion caused by the presence of too much information.

information requirements. Those items of information regarding the adversary and other relevant aspects of the operational environment that need to be collected and processed in order to meet the intelligence requirements of a commander. (Joint Publication 2-0)

information system. The entire infrastructure, organization, personnel, and components for the collection, processing, storage, transmission, display, dissemination, and disposition of information. Also called IS. (Joint Publication 3-13)

information search. Collecting data and information from the internet, printed media, or other civilian or military sources. This collection type is indirect collection and may be used for *data mining*.

interagency. United States Government agencies and departments, including the Department of Defense. (Joint Publication 3-08)

joint civil information management coordinator. Army civil information management cells, Navy civil information management coordinators, Marines task organized to conduct civil information management, and all other service members tasked with equivalent responsibilities in support of range of military operations. Joint civil information management coordinators are information managers whose primary duty is to leverage the people, process, and technology executing joint civil information management to ensure civil data is aggregated up the chain of command.

knowledge. Information analyzed to provide meaning and value. In joint civil information management it is information evaluated for operational implications. Knowledge is applied to support decision making.

- *Explicit knowledge* is documented rules, limits, and precise meanings that can be stored and organized by digital (computer files) or non-digital (paper) media. It is easily collected, stored, and disseminated using information systems. Examples of explicit knowledge are field manuals, standard operating procedures, training materials, and operation orders.
- *Tacit knowledge is gained through study, experience, and human interaction acquired from experience, training, and networks of acquaintances. It resides in the mind. Examples are intuition or being able to understand and focus on critical factors in a complex situation.*

knowledge transfer. Movement of knowledge from one person or group to another. It includes knowledge from internal and external sources. Effective *knowledge* transfer strengthens the entire organization more than by moving files and data.

link. The behavioral, physical, or functional relationship between nodes.

line of operations. 1. A logical line that connects actions on nodes and decisive points related in time and purpose with an objective(s). 2. A physical line that defines the interior or exterior orientation of the force in relation to the enemy or that connects actions on nodes and decisive points related in time and space to an objective(s). Also called LOO. (Joint Publication 5-0)

measure of effectiveness. A criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect. Also called MOE. (Joint Publication 5-0)

measure of performance. A criterion used to assess friendly actions, which is tied to measuring task accomplishment. Also called MOP. (Joint Publication 5-0)

meta-tags. Generally defined as “data about data.” They are discussed in the Department of Defense Discovery Metadata Specification. In joint civil information management, meta-tags are “information about objects” that is relevant to identifying and organizing those objects to support requirements. Objects include documents, images, and other data. Examples of meta-tags are: author, date-time group produced, version number, image resolution, file type, location stored, group name, etc.

operating environment. A composite of the conditions, circumstances, and influences that affect the employment of capabilities and bear on the decisions of the commander. [Joint Publication 3-0]

operational level of war. The level of war at which campaigns and major operations are planned, conducted, and sustained to achieve strategic objectives within theaters or other operational areas. Activities at this level link tactics and strategy by establishing operational objectives needed to achieve the strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events. (Joint Publication 1-02)

personalization. is the strategy of developing social networks (informal, teams, and communities) to link people with knowledge, sharing knowledge through interaction.

populate. Incorporation of civil information to the civil layer of a common operating picture to support organizational requirements.

procedure. Fixed, step-by-step sequence of activities or course of action (with definite start and end points) that must be followed in the same order to correctly perform a task.

processing. Reducing and converting collated data into formats required by the joint force commander. Processing reduces data by removing obsolete, irrelevant, inaccurate, or incomplete data. It collapses overlapping and similar data according to meta-tags and analytic requirements. This is done before converting the data into the formats used for situational assessment and sensemaking.

production. The packaging of civil information into easily disseminated forms and structures. Part of the civil information management process.

primary source. A source that has direct access to the information and conveys the information directly and completely.

push. The active dissemination of civil information to stakeholders with an explicit or implied requirement for it.

pull. The direct electronic access to databases, files, or other repositories by military organizations at all levels; and providing stakeholders similar access to civil information.

qualitative. Descriptions or distinctions based on qualities, and distinguishing attribute(s) that define the apparent nature of something, to determine identity or value based on characteristics. Qualitative analysis indicates relative size or magnitude, such as larger, smaller, or equal to another, without specifying the size of any difference. As opposed to *quantitative***.**

quantitative. A measurement based on quantity or number to determine the amount of some element or compound in numerical values. As opposed to *qualitative***.**

reachback. The process of obtaining products, services, applications, forces, equipment and/or material from organizations that are not forward deployed. (Joint Publication 3-30)

relevant information. Information that is important to commanders and staffs in the exercise of command and control. Information management places relevant information into one of four categories:

- *Specified requirements* are those commanders specifically identify. Commander's critical information requirements, priority information requirements, and friendly force information requirements are specified requirements.
- *Implied requirements* are important pieces of information that commanders need but have not requested. Effective staffs develop implied requirements and recommend them for specified requirements. These often become priority information requirements or friendly force information requirements.
- *Gaps* are elements of information commanders need to achieve situational understanding but do not have. Ideally, analysis identifies gaps and translates them into specified requirements. Intelligence, surveillance, and reconnaissance focuses on collecting and processing information to fill gaps.
- *Distracters* include information commanders do not need to know but continue to receive. Distracters contribute to information overload.

repository. A central place where civil information and knowledge products are collected, kept, and maintained in an organized way, usually in computer storage. A repository may be just the aggregation of data itself into some accessible place of storage or it may also imply some ability to search and selectively extract data.

secondary source. A source that conveys information through various types of filters; uses intermediary sources; summarizes, paraphrases, or excerpts information; or translates from the vernacular.

sharing. The act of making civil information or knowledge products available to other organizations, either within or outside the government. Sharing may be active (i.e., pushing) or passive (i.e., a data repository that users can search). Sharing may also be accomplished by placing civil information on a common operating picture for reference as needed.

situational awareness. Immediate knowledge of the actions and intentions of multinational partners, civilian agencies, adjacent commands, higher headquarters, HN authorities, and nongovernmental organizations.

situational understanding. Knowledge of friendly capabilities and adversary capabilities, intentions, and likely courses of action enables commanders to focus joint efforts where they best and most directly contribute to achieving objectives. It should be the basis for all decision making. (Joint Publication 1)

stakeholders. Supported military, or non-military entities partnering with them, that have information, IRs or interest about the civil populace or environment in the joint operating area. This community includes:

- *Primary stakeholders*: Those affected, either positively (beneficiaries) or negatively, by the operation, usually the host nation and its indigenous populations and institutions.
- *Secondary stakeholders*: Intermediaries during the operation, such as NGOs, United States government agencies and other participating non-host nation agencies and organizations.

stovepiping. Metaphor describing an isolated vertical conduit. In joint civil information management it is raw information presented without context. This may occur due to the specialized nature or security requirements of a subject area or collection technology.

strategic level of war. The level of war at which a nation, often as a member of a group of nations, determines national or multinational (alliance or coalition) strategic security objectives and guidance, and develops and uses national resources to achieve these objectives. Activities at this level establish national and multinational military objectives; sequence initiatives; define limits and assess risks for the use of military and other instruments of national power; develop global plans or theater war plans to achieve those objectives; and provide military forces and other capabilities in accordance with strategic plans. (Joint Publication 3-0)

system. A functionally, physically, and/or behaviorally related group of regularly interacting or interdependent elements; that group of elements forming a unified whole. (Joint Publication 1-02)

tactical level of war. The level of war at which battles and engagements are planned and executed to achieve military objectives assigned to tactical units or task forces. Activities at this level focus on the ordered arrangement and maneuver of combat elements in relation to each other and to the enemy to achieve combat objectives. (Joint Publication 3-0)

taxonomy. A system of describing, categorizing, and naming data, and placing it in categories to allow retrieval by users. It is the structure or framework that organizes knowledge into meaningful groups while establishing sensible relationships between them. The most common methods of arranging the data are by subject or format. An example is a table of contents.

technical architecture. A minimal set of rules governing the arrangement, interaction, and interdependence of the parts or elements whose purpose is to ensure that a conformant system satisfies a specified set of requirements. (Joint Publication 1-02)

understandable. Capable of being comprehended in terms of subject, specific content, relationships, sources, methods, quality, spatial and temporal dimensions, and other factors. (Department of Defense Directive 8320.02)

understanding. Information that has been synthesized and judged to comprehend the inner relationships and significance of the subject. It is the highest level of information. Decision makers gain understanding through synthesis and the application of judgment to information about a specific situation. Situational understanding allows the JFC to anticipate future events and be better prepared to make decisions.

visible. Able to be seen, detected, or distinguished and to some extent characterized by humans and/or information technology systems, applications, or other processes. (Department of Defense Directive 8320.02)