



HUMANITARIAN DEMINING PROGRAMS POLICY AND PROCEDURES MANUAL

January 2002 Edition

U.S. DEPARTMENT OF STATE
Bureau of Political-Military Affairs
Office of Humanitarian Demining Programs
Washington, D.C. 20520

*"Working together, we can help
the next generation of
world citizens to
walk the earth in safety."*

U.S. Secretary of State Colin Powell
November 2001

EXECUTIVE SUMMARY

The United States Humanitarian Demining Program is expanding each year to more countries affected by anti-personnel landmines. Many of these country-level programs are complex and costly, and most can be characterized as multi-year efforts. The U.S. Humanitarian Demining Program includes several different humanitarian demining activities with varying levels of support. Depending on the degree of severity of a nation's landmine problem – and regardless of the type and duration of U.S. assistance – a rigorous program management structure is essential; relevant and measurable country program goals and objectives must be established; uniform and consistent quality assurance standards for the conduct of all demining activities must be maintained; and a system for reporting and assessing program progress is required. The program management structure and processes governing humanitarian demining programs under the aegis of the Office of Humanitarian Demining Programs, Bureau of Political-Military Affairs, Department of State, is depicted in Figure ES-1 on the next page, and explained fully in Section 4.

Our experience shows that closer coordination with the many host-nation, international, and non-governmental organizations that complement our efforts is essential to maximize resource payoff. Therefore, the *Humanitarian Demining Policy and Procedures Manual* will guide not only this office's Program Managers, but also those personnel on the Country Team who oversee local humanitarian demining programs. The Manual details specific management procedures and processes in effect that have been adopted as a result of the many lessons learned from more than a decade of U.S. involvement in humanitarian demining activities. Moreover, this manual informs U.S. Government and selected foreign-government decision-makers on how a humanitarian demining program is initiated, managed, and eventually transitioned into a sustainable indigenous demining capacity.

The *Humanitarian Demining Policy and Procedures Manual* contains a proper balance of programmatic guidance and specific demining-related information for all U.S. State Department and other U.S. Government personnel involved in the U.S. Humanitarian Demining Program. It is published for their retention and use. The Manual will be updated periodically as we work together to identify and adopt more effective and efficient ways to implement the U.S. Government Humanitarian Demining Program.

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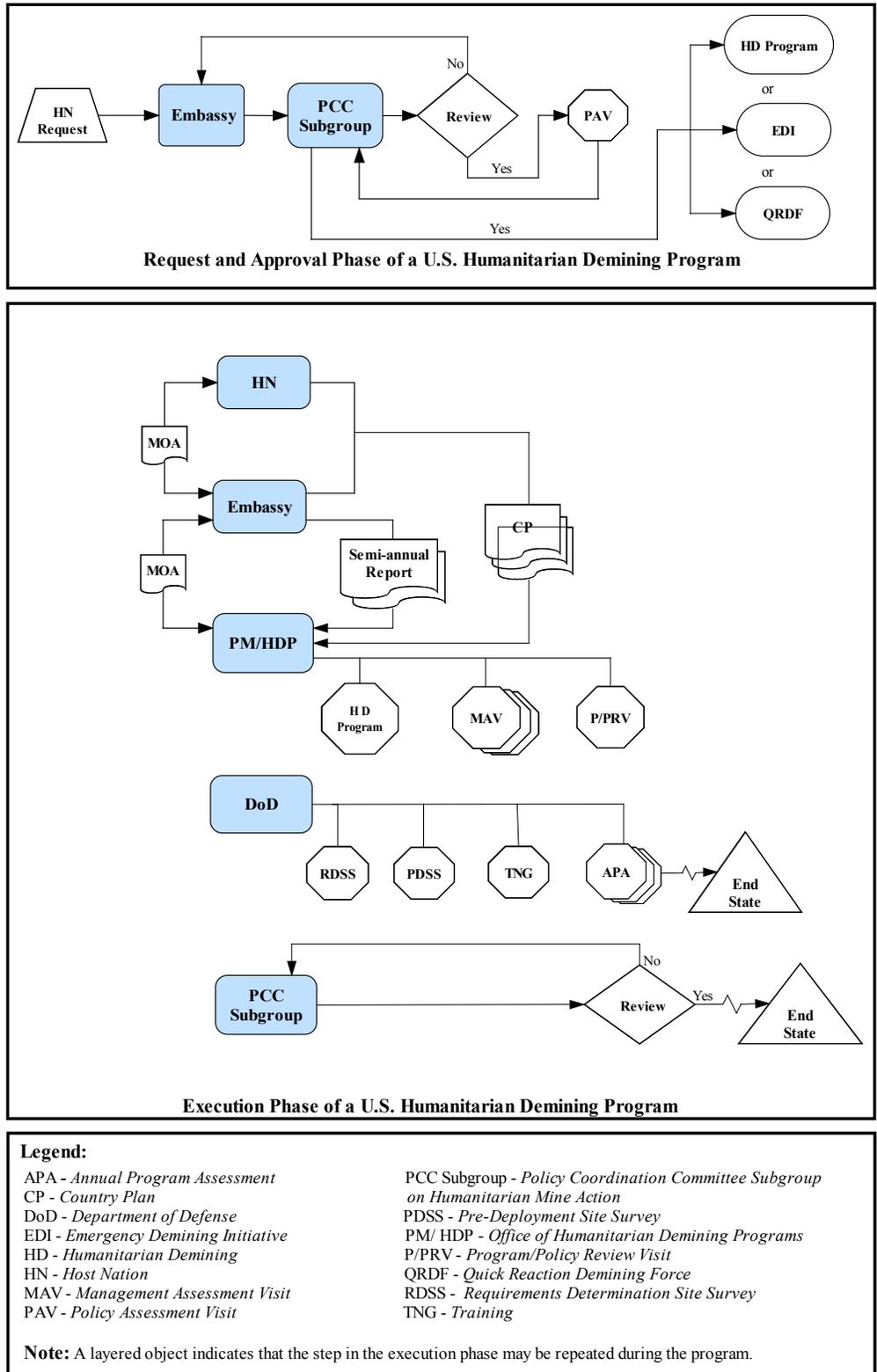


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ABBREVIATIONS AND ACRONYMS

CIA	Central Intelligence Agency
CINC	Commander-in-Chief
CIR	Center for International Rehabilitation
COM	Chief of Mission
COR	Contracting Officer's Representative
COTR	Contracting Officer's Technical Representative
CP	Country Plan
DoD	Department of Defense
DOS	Department of State
DSCA	Defense Security Cooperation Agency
EDA	Excess DoD Articles
EDI	Emergency Demining Initiative
FMF	Foreign Military Financing
FMS	Foreign Military Sales
HD	Humanitarian Demining
HDI	Humpty Dumpty Institute
HN	Host Nation
IASP	(DOS) International Affairs Strategic Plan
ICAR	Institute for Conflict Analysis and Resolution
ICASS	International Cooperative Administrative Support Services
IDP	Internally Displaced Person(s)
IED	Improvised Explosive Devices
IMAS	Integrated Mine Action Support (contract)
IO	International Organization
IWG	Interagency Working Group (see PCC)
JCS	Joint Chiefs of Staff
LSN	Landmine Survivors Network
MAC	Mine Action Center
MAIC	(James Madison University's) Mine Action Information Center
MAIP	(DOS Office of) Mine Action Initiatives and Partnerships
MAV	Management Assessment Visit
MIPR	Military Interdepartmental Purchase Request
MOA	Memorandum of Agreement
MOE	Measures of Effectiveness
M/P	(DOS Office of) Management, Policy and Planning
MPP	Mission Performance Plan
NADR	Nonproliferation, Antiterrorism, Demining and Related (Programs)
NDO	National Demining Office
NGO	Non-governmental Organization
NSC	National Security Council
OAS	Organization of American States

OASD (SO/LIC)	Office of the Assistant Secretary of Defense, Special Operations and Low Intensity Conflict
OHDACA	Overseas Humanitarian, Disaster, and Civic Aid
OJCS	Office of the Joint Chiefs of Staff
PAHO	Pan American Health Organization
PAV	Policy Assessment Visit
PCC	Policy Coordinating Committee
PDSS	Pre-Deployment Site Survey
PK-HA	(OASD [SO/LIC]) Peacekeeping–Humanitarian Assistance
PM/HDP	(Bureau of) Political-Military (Affairs), Humanitarian Demining Programs
P/PRV	Program/Policy Review Visit
PRM	(Bureau of) Population, Refugees and Migration
QRDF	Quick Reaction Demining Force
RDSS	Requirements Determination Site Survey
SAC	(VVAF) Survey Action Center
SF	(U.S. Army) Special Forces
SOF	Special Operations Forces
SOP&S	(OASD [SO/LIC]) Special Operations Policy and Support
TO	(IMAS) Task Order
UN	United Nations
UNA-USA	United Nations Association of the United States of America
UNF	United Nations Foundation
UNMAS	UN Mine Action Service
USAID	U.S. Agency for International Development
USG	U.S. Government
USSOCOM	U.S. Special Operations Command
UXO	Unexploded Ordnance
VTF	(UN) Voluntary Trust Fund
VVAF	Vietnam Veterans of America Foundation
WVF	(Patrick J. Leahy) War Victims Fund

SECTION 1. INTRODUCTION

1.1 PURPOSE

The *Humanitarian Demining Program Policy and Procedures Manual* provides essential programmatic guidance on how to initiate, manage and transition U.S.-funded humanitarian demining (HD) programs to the host nation. This manual promulgates existing procedures that have governed the execution of all Bureau of Political-Military Affairs/Humanitarian Demining Programs (PM/HDP)-funded programs to date. Moreover, it includes information derived from lessons learned in more than 13 years of involvement in the conduct of a broad range of multidimensional HD programs around the world. Furthermore, this manual complements and customizes the content of the *U.S. Government Interagency Humanitarian Demining Strategic Plan*, described in Section 3, for the users of this manual.

The necessity for this manual is two-fold. First, implementing an HD program is a very complex process requiring structure and rigor in the management, expenditure and administration of U.S. funds. Hence, the Manual's instructions guide and aid those personnel involved in executing and managing HD programs to ensure that they are fully compliant with U.S. legal and fiscal authority throughout the program's life. The Manual also assists these personnel in maintaining uniform standards for reports and records at all posts, and it contributes to assuring continuity of HD operations overseas.

Second, all HD programs require the coordination and cooperation of many organizations and agencies external to the Department of State (DOS), such as the Department of Defense (DoD), the United Nations (UN), and other international organizations (IOs), non-governmental organizations (NGOs), various commercial demining-related enterprises, the host nation and other foreign entities participating in HD endeavors. The Manual defines the phases and general timing of a U.S. HD program, highlights the critical program milestones, and details the coordination required among the principal U.S. and host nation organizations and agencies that may participate in U.S.-funded HD programs.

1.2 AUDIENCE

This manual has been prepared to serve two interdependent groups of personnel involved in HD programs. Personnel assigned to the Office of PM/HDP who are Program Managers shall use the manual for managing all HD programs funded by the DOS. The person assigned to the U.S. Embassy in a country with an existing U.S.-funded program or the person who could be assigned the responsibility to manage the humanitarian-demining portfolio or to oversee a future HD program shall use the Manual to effectively monitor the HD program at the local level. The Manual provides this officer with a structured approach to managing a program that, implemented in accordance with these instructions, assures continuity of the HD program (institutional memory notwithstanding), particularly during rotation when this responsibility may be vacant for a period of time.

The Manual is also a tutorial, because it informs high-level U.S. decision-makers of what constitutes a U.S.-funded HD program, the Government interagency process for approving U.S.

HD assistance in a mine-affected country, and the quality control, technical, administrative, and financial procedures that have been established to manage all HD programs from their inception through execution to their transfer (hand-off) to the host country.

1.3 ORGANIZATION OF THE MANUAL

The material in the main body of this manual has been organized into four stand-alone sections, and the information contained in each section is written in simple, easy-to-understand language. Section 2, U.S. National Strategy and Humanitarian Demining, is an overview of the keynote U.S. strategies that form the foundation for and justify U.S. involvement in HD operations overseas. Section 3, The U.S. Humanitarian Demining Program, offers a brief overview of the origin of U.S. HD programs and defines, in general terms, the substance of these HD programs. Section 4, Humanitarian Demining Program Management, details the structure, process, mechanics, and requisite rigor in effect for managing PM/HDP-funded HD programs.

1.4 AMPLIFYING GUIDANCE

For simplicity, relevant supporting HD background and reference materials are included as annexes at the end of the Manual. Among the annexes are aids, such as sample Memorandums of Agreement; guidance on how to develop a HD Country Plan; official visit checklists; a list of websites for Mine Action Centers, National Demining Offices, and other organizations involved in HD; a glossary of terms; and other useful information. For ease of finding information in the Manual, an index is also included.

1.5 IMPLEMENTATION DATE

The effective date for use of The *Humanitarian Demining Program Policy and Procedures Manual* is January 2002.

1.6 PROMULGATION OF CHANGES AND AMENDMENTS

Changes and amendments to this edition of the Manual shall be disseminated to affected posts by the most expeditious means available. Changes and amendments shall be published and disseminated as complete pages, and each page shall bear a sequential number and the effective date of the change or amendment in the header, e.g., PM/HDP-P&PM, Change 1, September 2002, or PM/HDP-P&PM, Amendment 1, December 2002.

1.7 PM/HDP POINTS OF CONTACT

The following is a list of key PM/HDP personnel. Program Managers are identified by their regional responsibilities.

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SECTION 2. U.S. NATIONAL STRATEGY AND HUMANITARIAN DEMINING

2.1 OVERVIEW

To understand the U.S. commitment to eliminate the threat that landmines present to civilians around the world is to understand the national strategy of the United States in its quest to shape the international environment and to influence regional stability. A significant threat affecting many countries is the indiscriminate use of anti-personnel landmines, and it is in the national security interest of the United States to engage humanitarian assistance efforts to eliminate this threat.

The objectives of the U.S. Humanitarian Demining Program are to reduce the number of civilian landmine casualties, return refugees and internally displaced persons threatened by landmines to their homes, and enhance the political and economic stability of those nations affected by landmines. This program is designed to relieve human suffering while promoting U.S. interests by establishing and supporting sustainable indigenous demining programs and encouraging international cooperation and participation. Moreover, U.S. HD assistance is designed to achieve sustainability in each mine-affected country, so that the host nation has sufficient indigenous technological and managerial capability to plan, coordinate, manage and execute its own HD program using funds provided by the international community of nations.

2.2 NATIONAL SECURITY STRATEGY

A National Security Strategy for a Global Age pursues three core goals: (a) enhancing security at home and abroad; (b) promoting prosperity; and (c) promoting democracy and human rights. These goals are to be accomplished through political, economic and military engagement. A guiding principle of this engagement is to protect our national interests, viewed in three tiers: vital, important, and humanitarian. Within the last tier of national interests is "...facilitating humanitarian demining."¹ This strategy categorically states that "The United States is committed to ending the threat to innocent civilians from anti-personnel landmines (APLs)...We are supporting humanitarian demining programs worldwide through engagement with mine-afflicted nations and the international community."²

2.3 NATIONAL MILITARY STRATEGY

The *National Military Strategy* provides advice from the Chairman of the Joint Chiefs of Staff to the National Command Authorities on the strategic direction of the Armed Forces. The most recent edition, published in 1997, builds on the premise that the United States will remain globally engaged to shape the international environment and create conditions favorable to U.S. interests and global security. To defend and protect U.S. national interests, U.S. national military objectives are to promote peace and stability and, when necessary, to defeat adversaries. The

¹The White House, *A National Security Strategy for a Global Age*, December 2000, 4.

² *Ibid.*, 5.

challenges facing the United States that threaten U.S. national interests often are human emergencies other than armed conflict, such as ethnic disputes and religious rivalries, international organized crime, massive refugee flows, and threats to the environment. The failure to deal with such security concerns early in their development may require a more substantial response to a more dangerous problem later. U.S. Armed Forces assist in humanitarian endeavors when conditions exist that compel the nation to act because our values demand U.S. involvement. In every case, the commitment of U.S. forces must be based on the importance of the U.S. interests involved.

2.4 U.S. DEPARTMENT OF STATE STRATEGIC PLAN (2000)

The *U.S. Department of State Strategic Plan (2000)* outlines the roles and missions of the Department in achieving the foreign policy goals of the United States, under the direction of the President and the Secretary of State. Humanitarian response – preventing or minimizing the human costs of conflict and natural disasters – is one of several U.S. national interests and strategic goals stated in this plan. Of the many strategies formulated in this plan to support national interests and strategic goals, the most relevant to PM/HDP is “to support humanitarian demining programs designed to reduce human suffering, promote regional stability, and facilitate the reintegration of refugees and internally displaced persons, and assist in achieving the goal of a mine-safe world...”³

This plan designates certain Government “lead” agencies, and assigns specific responsibilities for one or more of these strategies to various DOS offices. For the Humanitarian Response strategy, the Plan designates the DOS, the U.S. Agency for International Development, and the DoD as the lead Government agencies, and the responsible DOS offices as (a) Political-Military Affairs; (b) Bureau of Population, Refugees and Migration; (c) International Organizations; (d) the regional bureaus; and (e) overseas missions.⁴

2.5 THE UNITED STATES STRATEGIC PLAN FOR INTERNATIONAL AFFAIRS

The United States Strategic Plan for International Affairs, also known as the International Affairs Strategic Plan (IASP), is a companion plan to *The Department of State Strategic Plan (2000)*. This plan provides specific guidance regarding U.S. HD endeavors in conjunction with U.S. national interests, one of which is Humanitarian Response. Moreover, the Plan includes 16 strategic goals, one of which is Humanitarian Assistance to victims of crisis and disaster, because “American values mandate offering assistance and international leadership to help alleviate human suffering from crises, whether man-made or natural, even where no other U.S. interests may be involved.”⁵ Six interrelated strategies support the strategic goal of Humanitarian Assistance; one of these is a three-pronged strategy addressing the issue of landmines:

- Eliminate landmines that threaten civilian populations;

³ http://www.state.gov/www/global/general_foreign_policy/2000_dos_stratplan_ptb.html

⁴ Idem.

⁵ http://www.state.gov/www/global/general_foreign_policy/stsp828.html

- Achieve a ban on anti-personnel landmines consistent with U.S. national security interests; and
- Support demining programs.

The IASP is important for two other reasons. First, in its application, the IASP provides the basis for ambassadors and their country teams to prepare Mission Performance Plans that set out agency programs and to request the resources needed to achieve their goals (see Section 2.6). Second, the IASP is consistent with the intent of the Government Performance and Results Act that establishes strategic planning and performance measurement for the Federal Government, shifting the focus of program management from measuring program activities and processes to measuring program outcomes. The DOS successfully put into effect the major provisions of this act with its Integrated Mine Action Support (IMAS) contract by which PM/HDP executes international demining assistance support and services. (The IMAS contract is explained in Sections 3 and 4.)

2.6 MISSION PERFORMANCE PLAN

The Mission Performance Plan (MPP) is best described as the Chief of Mission's (COM) view of National Interests and Mission-Level Strategic Goals synchronized to the IASP. The Office of Management Policy and Planning (M/P) issues annual guidance for the development of the MPP, the product of a process designed to set priorities in order to get the highest and best use of available resources at posts. The MPP is composed of two substantive sections: National Interests, which includes Humanitarian Response, and the Mission-Level Strategic Goals, which includes Humanitarian Assistance. Indigenous HD programs are a component of Humanitarian Assistance. It is at this level of strategy development that PM/HDP makes its impact on the Country Team. At the occasion of the annual M/P cable to all diplomatic and consular posts (usually in the early Spring), PM/HDP has the opportunity to include clear, meaningful and attainable guidance to those embassies in countries with an ongoing U.S. HD program regarding appropriate mission goals and strategies. For PM/HDP and all HD programs, appropriate quantifiable goals have been developed as measures of effectiveness (MOEs), indicators that contribute to a determination of progress in and the assessment of the future prospects of an HD program. These MOE are listed in Paragraph 2.7.

2.7 PM/HDP NADR HUMANITARIAN DEMINING STRATEGIC PLAN (2002-2006) AND MEASURES OF EFFECTIVENESS

The Nonproliferation, Antiterrorism, Demining and Related (Programs) Humanitarian Demining Strategic Plan (2002-2006), the NADR Strategic Plan, acknowledges that humanitarian assistance objectives of U.S. foreign policy are best met through mine-action assistance programs designed to:

- Develop conditions that will allow refugees and displaced persons to return to their homes and live there safely;
- Restore agricultural and pastoral land to productive use so that people may once again support themselves; and

- Revitalize industrial, commercial, and high-use infrastructure to restore the economic health of the nation.

The Plan is “strategic” because within its management framework long-term goals are defined, and the approaches to achieve these goals and the key factors that might significantly affect achieving these goals are identified. Additionally, the NADR Plan is an implementation plan in that it defines goals that are objective, quantifiable, and measurable; identifies resources to achieve these goals; describes a method to compare program results to established goals; and cites actions to address any unmet goals.

The resources for mine-action assistance programs are limited. Therefore, these resources must be applied to mitigate or eliminate those threats most relevant to U.S. national security interests, and where they can have the greatest immediate impact on a nation’s post-conflict reconstruction. Hence, State Department assistance consists of those mine-action initiatives having the most direct operational benefits to severely mine-afflicted countries, such as training, equipment support, mine-threat location surveys, mine-clearance operations, and mine-awareness programs. Over time, and as resources permit, assistance will also be rendered to those countries with a less severe landmine problem. As a pillar of its assistance strategy, PM/HDP places primary emphasis on bilateral arrangements with mine-affected countries through an aggressive public outreach program.

To strengthen the Plan, PM/HDP has developed a template to evaluate the progress of U.S.-funded HD programs by using MOE. These MOE were extracted from a 1999 study conducted for this office that proposed a structured methodology to assess HD program effectiveness.⁶ This methodology evaluated standard program goals, objectives, outputs and activities, and devised a number of performance indicators parsed into five related projects: (a) national organization; (b) mine clearance; (c) mine awareness; (d) victim assistance; and (e) socio-economic impact. Of the more than 70 performance indicators cited in the study, PM/HDP selected the eight most critical MOE by which to evaluate a program’s progress over time:

- Number of casualties;
- Overall area cleared of total mine- /unexploded ordnance (UXO)-affected land;
- Amount of land restored to productive use;
- Landmines and UXO destroyed (by type and quantity);
- Number of landmine survivors assisted;
- Return of refugees and internally displaced persons (IDPs) (if applicable);
- Progress in returning economic infrastructure, roads, factories, ports, power grids, etc., to functionality; and
- Status of program, e.g., prospect for sustainment, mine-safe, etc.

How these MOE are applied in program evaluation, management visits, and reports and records is discussed in Section 4.

⁶ Science Applications International Corporation, *A Methodology to Assess Humanitarian Demining Effectiveness, Final Report*, May 17, 1999.

2.8 U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT STRATEGIC PLAN

The U.S. Agency for International Development (USAID) provides economic, development and humanitarian assistance around the world in support of the foreign policy goals of the United States. USAID funds international disaster assistance and, since 1994, has filled a gap between emergency humanitarian relief and long-term development assistance in appropriate settings, such as complex emergencies and post-conflict scenarios. The USAID Strategic Plan contains six strategic goals and, by way of acknowledging its role in humanitarian assistance, one of these six USAID goals is specifically associated with assisting landmine-afflicted countries: “Lives saved, suffering associated with natural or man-made disasters reduced, and conditions necessary for political and/or economic development re-established.”⁷ USAID’s role and responsibilities in the USG Humanitarian Demining Program are included in the next section.

Section 3 describes the U.S. Humanitarian Demining Program, identifies the roles and responsibilities of all the principal U.S. participant organizations and agencies involved in HD, and the various funding sources and appropriations that are available for humanitarian mine action.

⁷[http://www.usaid.gov/pubs/strat_plan/#USAID GOAL](http://www.usaid.gov/pubs/strat_plan/#USAID_GOAL): Lives saved, suffering associated.

SECTION 3. THE U.S. HUMANITARIAN DEMINING PROGRAM

3.1 THE DEPARTMENT OF STATE AND HUMANITARIAN DEMINING

Humanitarian demining is a markedly different role and responsibility for the DOS, because it requires “hands-on” involvement. HD activities customarily are conducted in a field environment in remote locations often far from a nation’s capital. It is also a relatively new charge to the Department. Finally, it is, perhaps, the singular role in which the DOS has a supervisory role in a high-risk mission area overseas. The United States became involved in HD in 1988 in Afghanistan and, since then, has overseen and participated in an ever-expanding worldwide effort. Active HD programs now exist in around 40 countries and, to date, the United States has allocated more than one half a billion dollars to the cause of worldwide demining.

3.2 U.S. GOVERNMENT INTERAGENCY HUMANITARIAN DEMINING STRATEGIC PLAN

To implement this U.S. program that cuts across several government agencies, a strategic plan was devised to establish an interagency committee and a formal process to coordinate U.S. HD actions. On September 13, 1993, the National Security Council directed the DOS to establish an Interagency Working Group (IWG) on Land Mines and Demining, and to serve as the executive agent for all U.S. HD programs. On February 1, 2001, National Security Policy Directive 1 replaced existing IWGs with five geographical and functional Policy Coordination Committees (PCC). The IWG on Landmines and Demining became the PCC Subgroup on Humanitarian Mine Action, consisting of representatives from the National Security Council (Chair), the DOS, the DoD, USAID and the Central Intelligence Agency.⁸ This subgroup functions as a policy vetting and review body within the PCC for Democracy, Human Rights, and International Operations, serves as the Executive policy-making body for USG humanitarian mine-action programs, and is the forum for discussion and consideration of policy-related proposals, issues and recommendations.

The governing guidance for the conduct of interagency coordination and decision-making is the *U.S. Government Interagency Humanitarian Demining Strategic Plan*, April 2000. Although the plan is under revision, anticipated changes to it will not drastically change the interagency coordination process on HD program approval or the HD program management roadmap.⁹

⁸ In this manual, the stand-alone acronym, PCC, is used as the abbreviated version of the PCC for Democracy, Human Rights, and International Operations. The roles, missions and composition of the PCC Subgroup on Humanitarian Mine Action are evolving.

⁹ The next edition of the *U.S. Government Interagency Humanitarian Demining Strategic Plan* may be titled the *Strategic Humanitarian Demining Process*.

3.3 CONSTITUENTS OF A U.S. HUMANITARIAN DEMINING PROGRAM

The U.S. Humanitarian Demining Program is a comprehensive effort supporting mine-action initiatives, such as mine awareness; survey and clearance of priority mine-affected areas that are mined; training host country deminers; reviewing and accelerating promising technologies; and medical and rehabilitative assistance to survivors of landmine accidents. In each of these mine-related components, information collection, management and analysis are critical. The United States implements this program in cooperation with the host governments of mine-affected states, IOs, NGOs and commercial enterprises.

3.4 U.S. ROLES AND RESPONSIBILITIES FOR HUMANITARIAN DEMINING

A number of key offices within the DOS have HD-related roles and responsibilities. These are enumerated in the following paragraphs, followed by a brief mention of the role and responsibilities of the DoD. The roles and responsibilities of other USG organizations and agencies involved in the U.S. Humanitarian Demining Program are found at Annex A.

3.4.1 Department of State

The DOS provides funding for and oversees the day-to-day management of bilateral demining assistance programs such as (a) mine-awareness education; (b) mine clearance and the use of mine-detecting dogs; (c) minefield surveys; (d) limited enhancements to facilities; and (f) research, training, and multi-country initiatives. It may also provide funding for continued equipment support of demining operations and other types of HD-related training when the DoD is involved in building an indigenous capability within a mine-affected nation. DOS-funded HD programs are designed to:

- Support host nations seeking to establish an indigenous mine-action program;
- Assist host nations that apply and meet U.S. HD program criteria;
- Support programs in host nations that are actively engaged in demining;
- Provide money for worthwhile projects and programs in the hope that, in the future, these projects and programs can be self-sustaining; and
- Contribute significantly to an eventually viable and self-sustainable HN HD program.

3.4.1.1 The Office of Humanitarian Demining Programs, Bureau of Political-Military Affairs. PM/HDP is the lead office for coordinating U.S. HD activities worldwide. Its responsibilities are to:

- Be a key member of the PCC Subgroup on Humanitarian Mine Action;
- Initiate the process of determining eligibility for U.S. HD programs and participate with other organizations throughout the determination process;
- Coordinate with the U.S. Embassy in a potential recipient country to generate formal requests for demining assistance from that country's government;
- Coordinate demining-related matters with the U.S. Embassy throughout the demining effort;

- Provide guidance to the Embassy on preparation and submission of the annual Host Nation HD Country Plans and assist the Embassy in preparing the MPP to assure compliance with USG and host country policies;
- Review HD Country Plans for conformity with the USG Humanitarian Demining Program and policy objectives;
- Sign, for the DOS, the Memorandum of Agreement (MOA) between State and the COM on the U.S. HD program;
- Be the DOS focal point for the IMAS multiyear contract;
- Collect and analyze information on the type, nature, location and number of landmines and UXO within a recipient or potential recipient country, and determine host nation capability to deal with the problem or support international activities designed to assist in the removal of landmines and ordnance;
- Coordinate between and among U.S. and international participating agencies to maximize use of resources and to avoid duplication;
- Approve and manage NADR funding to support initiatives in mine-affected nations and other NADR funds not directed to specific countries, but which do support HD;
- Conduct a minimum of at least one annual Management Assessment Visit to each country receiving U.S. HD assistance;
- Be the USG's Executive Agent for the Slovenian International Trust Fund for Demining and Mine Victim Assistance; and
- Provide reports and assessments to Congress and the Executive Branch on the landmine situation.

3.4.1.2 Special Representative of the President and Secretary of State for Mine Action. The Special Representative for Mine Action, who is also the Assistant Secretary of State for Political-Military Affairs, oversees the Office of Mine Action Initiatives and Partnerships (MAIP). MAIP promotes the entire spectrum of mine action working in close coordination with other USG agencies, foreign governments, NGOs, the UN and other IOs, and corporations. MAIP roles and responsibilities are to:

- Develop public-private partnerships and effect an increase in private sector funding;
- Establish and promote mechanisms for international coordination of demining activities;
- Initiate and lead diplomatic efforts to promote mine-action initiatives with other governments, IOs and NGOs;
- Consult with the DoD to ensure that research and development for HD supports the goals of mine action; and
- Provide and coordinate representation at gatherings focusing on mine detection and clearance technology.

At Annex C is a list of U.S.-sponsored HD Public-Private Partnerships for Mine Action.

3.4.1.3 Bureau of Population, Refugees and Migration. PRM has the following HD role and responsibilities:

- Support all aspects (including financial) of HD conducted in connection with refugee repatriation and reintegration programs of the UN High Commissioner for Refugees and other relevant IOs; and
- Coordinate, through participation in the PCC Subgroup on Humanitarian Mine Action, with other USG agencies on the prioritization of demining and mine-awareness activities targeted at refugee populations.

3.4.1.4 U.S. Embassy. The U.S. Embassy in a country receiving U.S.-funded HD assistance assigns one or more persons on the Country Team the responsibility for oversight and local management of the HD program portfolio. The person assigned this responsibility is the singular focal point on the Country Team for HD program implementation. This individual, designated the Post HD Officer, is assigned specific program responsibilities enumerated in Section 4. The COM is a signatory of the MOA between the USG and the host nation regarding mutual support for a U.S.-funded HD program.

3.4.2 USAID

USAID promotes sustainable development by providing humanitarian services in post-conflict situations.¹⁰ USAID's Bureau of Humanitarian Response, Office of Transition Initiatives, bridges the gap between emergency humanitarian assistance and long-term development assistance by supporting organizations and people in emergency transition in conflict-prone countries.¹¹ USAID's Patrick J. Leahy War Victims Fund (WVF) contributes to improving the mobility, health and social integration of the disabled, including landmine victims, by providing medical assistance, e.g., prostheses, for landmine survivors. Specific HD-related responsibilities are to:

- Independently, but in coordination with other organizations, plan, design, fund and implement limited demining as part of new or ongoing USAID activities consistent with achievement of Bureau, mission and PCC strategic objectives;
- Augment and support HD operations;
- Provide emergency assistance to reduce suffering and save lives; and
- Promote return of refugees and internally displaced persons to their homelands (or elsewhere).

3.4.3 Department of Defense

Once hostilities have ceased, and at the invitation of the host government, the United States supports the creation of a mine-action capacity – mine-clearance operations and mine-awareness programs – by providing training, expertise, and equipment support through programs the DoD administers or by funding, training, and operations provided to commercial enterprises or NGOs.

¹⁰ USAID has, on occasion, used Development Assistance and Economic Support Fund funds for mine-action-related programs.

¹¹ This office has, from time to time, funded a mine-action-related program under the rubric of Citizen Security. Citizen Security includes (a) reintegration of ex-combatants, (b) mine action, and (c) IDPs (http://www.usaid.gov/hum_response/oti/focus/focus1.html), June 27, 2001.

Essentially, the DoD funds a program's start-up costs for mine-awareness education; assistance in developing a Mine Action Center (MAC); civil-military cooperation; victim assistance; and demining training ("train the trainer"), which is the core of the DoD's HD program.

3.5 HUMANITARIAN DEMINING FUNDING SOURCES

Several U.S. fund sources and appropriations are available for HD. Each has its own restrictions and limitations. (See Annex H, Section VII, Guidance for Developing a Host Nation Country Plan for Humanitarian Demining, for essential details on each of these funding sources.)

3.5.1 Non-proliferation, Antiterrorism, Demining, and Related Programs

When the United States began HD operations in earnest in FY 1993, Foreign Military Financing (FMF) grant money was used for in-kind transfers and sales of supplies and equipment, materials that were predominantly of U.S. origin. In 1997 Congress established the NADR program, an annual one-year appropriation, the primary source of DOS funding for the U.S. Humanitarian Demining Program. Demining is only a small portion of the NADR appropriation, which is divided into three areas:

- Nonproliferation programs including the Nonproliferation and Disarmament Fund; Export Control Assistance; Science Centers; International Atomic Energy Agency; Voluntary Contributions; Comprehensive Nuclear Test Ban Treaty Preparatory Commission; and the Korean Peninsula Energy Development Organization. These programs receive the majority of NADR funding;
- Antiterrorism programs such as Antiterrorism Assistance, Terrorist Interdiction Program and Lockerbie Trial Support; and
- Regional Stability and Humanitarian Assistance programs including the Humanitarian Demining Program and the Small Arms Destruction Program.

NADR funds can be used in a variety of ways. They are used to enter into commercial contracts to support the programs of IOs such as the UN and the Organization of American States (OAS). They can also be used to fund NGO operations. To support the acquisition of services or equipment, the DOS may also transfer NADR funds to the Defense Security Cooperation Agency (DSCA), to a U.S. Embassy, or to some operational DoD element.

3.5.2 The IMAS Contract

The most significant development in resources that PM/HDP has at its disposal to implement HD activities is the IMAS contract. Since late 1999, PM/HDP has had a commercial partner to provide mine clearance, mine detection dog support, logistics and supply services, and other program management support services that, collectively, represent an integrated solution for HD services and supplies wherever any U.S. HD program activity is required.

3.5.3 DoD Overseas Humanitarian, Disaster and Civic Aid, Humanitarian and Other Assistance

The general authority for the DoD to participate in humanitarian assistance and relief worldwide is U.S. Code, Title 10 (Armed Forces). Chapter 20, Section 401, Humanitarian and Civic Assistance Provided in Conjunction with Military Operations, states that under regulations prescribed by the Secretary of Defense, the Secretary of a military department may carry out humanitarian and civic assistance activities, if the Secretary concerned determines that the activities will promote:

- The security interests of both the United States and the country in which the activities are to be carried out; and
- The specific operational readiness skills of the members of the armed forces who participate in the activities.

No member of the armed forces, while providing such assistance, may engage “...in the physical detection, lifting, or destroying of landmines (unless the member does so for the concurrent purpose of supporting a U.S. military operation; or provide such assistance as part of a military operation that does not involve the armed forces).”

DoD’s Overseas Humanitarian, Disaster and Civic Aid, Humanitarian and Other Assistance (OHDACA) funds are two-year DoD Operations and Maintenance appropriated funds that are used by U.S. military teams to execute diverse humanitarian projects worldwide. The Office of the Assistant Secretary of Defense (Special Operations and Low Intensity Conflict [Peacekeeping and Humanitarian Assistance]) partners with the unified commands for training, deployment and regional presence, allowing the regional combatant commander-in-chief (CINC) to maintain visibility in his area of responsibility where fewer critical national security interests are at stake.

OHDACA funds may be expended through DSCA or used to fund troops deployed to conduct training in one or more components of mine action. These funds may be used to pay for the storage, repair and transportation of any DoD excess property that may be appropriate for HD.

3.5.4 Other DoD-Managed Funds

FMF provides grants and/or loans to fund certain Security Assistance programs, particularly demining training. Furthermore, the DSCA manages the funds allocated to the DOS International Military Education and Training Program. Last, Foreign Military Sales (FMS) provides grants and credits to fund the purchase of defense articles and services, including HD-related materiel.

3.5.5 Other Funds

Other funds often dedicated to HD assistance can be grouped into three categories or classes:

- USG international assistance funds, such as USAID and other DOS accounts. Examples are PRM's Refugee Assistance funds, Support for East European Democracy, an assistance program for Eastern Europe and the Baltic States, and the Freedom Support Act, which is assistance and related programs for the Independent States of the Former Soviet Union.
- Public-Private Partnerships. The State Department works with various NGOs, civic associations, philanthropic foundations, educational institutions and private corporations to establish public-private partnerships on HD-related projects. See Annex C for a list of current U.S.-sponsored HD public-private partnerships for mine action.¹²
- IOs, NGOs, e.g., the United Nations Children's Fund, the United Nations Mine Action Service, OAS, Marshall Legacy Institute, HALO Trust, Norwegian People's Aid and others.

Section 4 describes and details the process, mechanics, and steps from HD program approval and initiation through program management.

¹²*Public-Private Partnerships: Toward a Mine-Safe World*, November 2001, published by the Bureau of Political-Military Affairs Office of Mine Action Initiatives and Partnerships, contains a detailed discussion of public-private partnerships for humanitarian mine action.

SECTION 4. HUMANITARIAN DEMINING PROGRAM MANAGEMENT

4.1 INTRODUCTION

This section describes the step-by-step process of managing a U.S.-funded program commencing with receipt of a host nation request and its initial consideration by the PCC Subgroup on Humanitarian Mine Action through to a program's end-state. The end-state is measured against U.S. HD goals, objectives and criteria, and it is achieved when the host nation is considered mine-safe, or when the host nation is sufficiently resourced and trained to assume responsibility for all mine-action activities and requires no further U.S. assistance. Conversely, a U.S. Humanitarian Demining Program may be deemed at end-state for other reasons, such as the host nation's demonstrated lack of commitment, renewed internal strife in the vicinity of existing minefields or mined areas, or a resurgence in landmine use against the civilian population.

The program management scheme is derived from the *U.S. Government Interagency Humanitarian Demining Strategic Plan*, jointly developed by the Departments of State and Defense as the capstone guidance for approving and executing U.S. HD programs. If an HD program has both a DOS and a DoD component, these components are interdependent and mutually supporting. These program management procedures were developed by PM/HDP, in conjunction with the DoD, for managing all HD-related programs that fall within the regime of the U.S. Humanitarian Demining Program. (The DoD is governed by its own internal program management mandates, and these are mentioned, by necessity, because most HD programs include specific DoD supporting activities.) The program management process, shown in Figure 4.1, illustrates the complexity of executing a U.S. Humanitarian Demining Program in that it usually engages several U.S. and foreign agencies and organizations, each with discrete, yet interlocking, roles and responsibilities. Furthermore, most HD programs are multiyear efforts structured along successive critical milestones, each of which may often span many months to two or more years.

In Figure 4.1 a discrete superscript number ([#]) is assigned to each of the following milestone event, and each numbered milestone event is keyed to one or more corresponding subsections that detail that specific activity, its participants, and the outcome or results:

Milestone Event	Specific Activity
1	Host Nation Request for U.S. Assistance
2	Policy Assessment Visit
3	Memorandum of Agreement between Director, PM/HDP and Chief of Mission
4	Requirements Determination Site Survey
5	Development of Host Nation HD Country Plan
6	Memorandum of Agreement between COM and Host Nation
7	Pre-Deployment Site Survey
8	Post HD Officer's Semi-Annual Report(s)

Milestone Event	Specific Activity
9	Program Manager’s Management Assessment Visit(s)
10	Regional Commander-in-Chief’s Annual Program Assessment(s)
11	PM/HDP Program Review Visit

All U.S. HD programs, regardless of their duration, complexity, or cost, generally follow this chronological sequence. This is done because several of these steps are most often time-dependent in that one activity must either precede or proceed from another activity. In certain situations (e.g., time or resource constraints or extensive landmine contamination), the program may be accelerated. Where discrete steps are consolidated or concurrent, these are noted. (The steps in this process may change in the future, because the *U.S. Government Interagency Humanitarian Demining Strategic Plan* is being revised.)

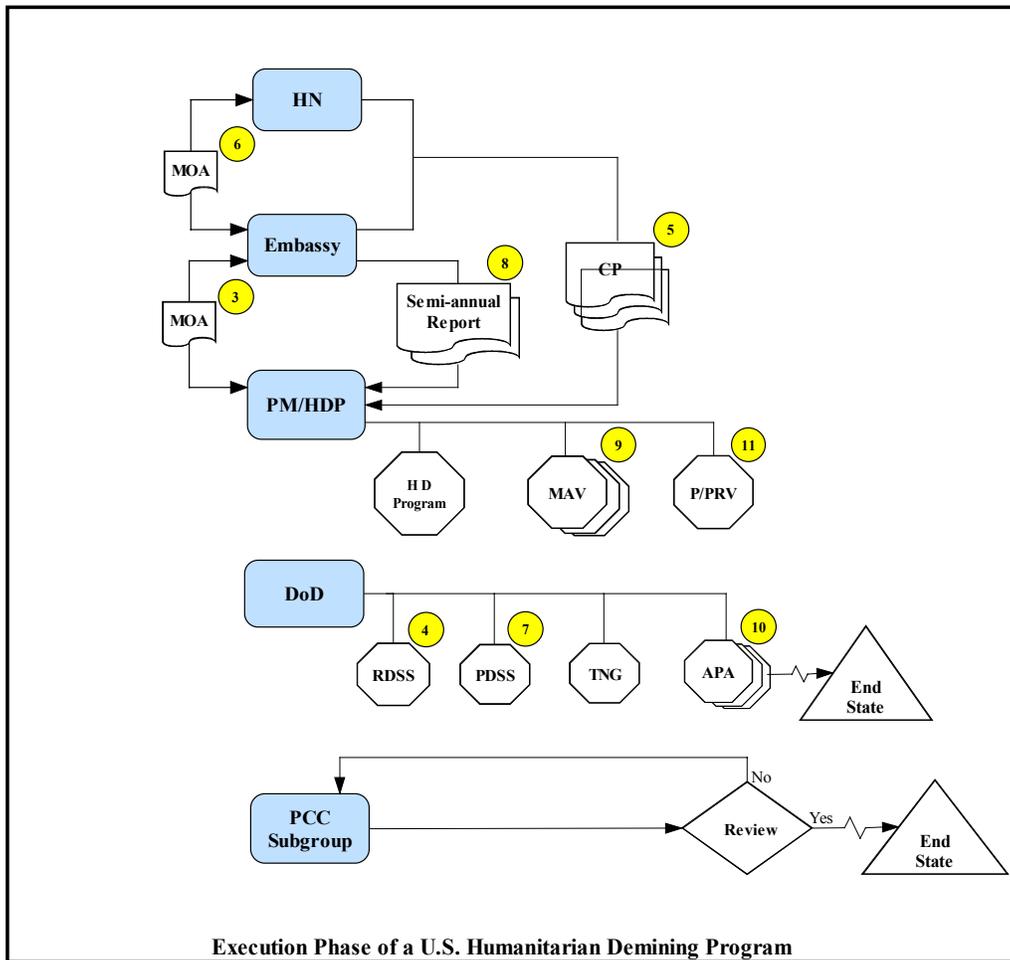
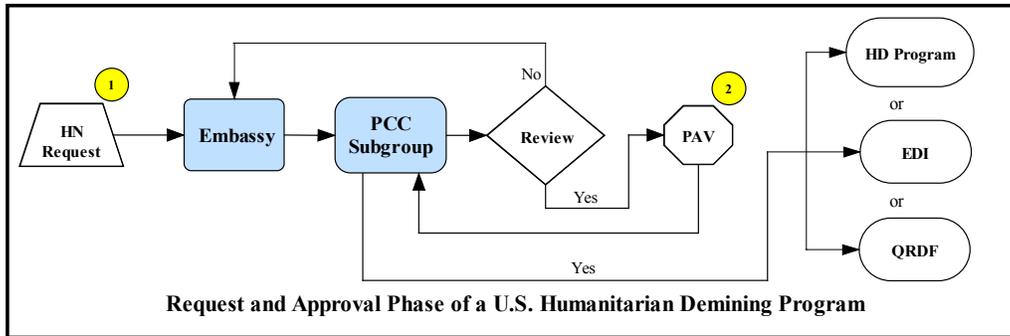
4.2 KEY PROGRAM MANAGEMENT PERSONNEL

The two key personnel directly responsible for the success of a country HD program through effective program management are the PM/HDP Program Manager (PM), who reports to the Deputy Director, PM/HDP, and a Country Team officer, designated the Post HD Officer, who reports to the COM. These two individuals are the most intimately familiar with the details of the host nation’s HD program. Because HD operations have an administrative, a military, and a political dimension, the COM may decide to have this responsibility shared between two or more Country Team personnel. (See Annex D, Recommended Skills for Embassy Personnel Assigned to HD Program.)

4.2.1 PM/HDP PM

Each PM has oversight of and responsibility for one or more country demining programs. The PM is responsible to:

- Provide HD-related guidance to and assist the Post with the development of the HN HD Country Plan and related procedures;
- Manage allocated resources to support USG support strategies specified in the host country HD Country Plan;
- Act as the technical advisor for the IMAS contractor;
- Act as the Grant Officer’s Representative for outstanding grants;
- Track program status and progress;
- Assess programs based on semi-annual progress reports from the Post HD Officer and from on-site inspections during the annual Management Assessment Visit; and
- Report the status of each program to the Deputy Director, PM/HDP.



Legend:

APA - Annual Program Assessment
 CP - Country Plan
 DoD - Department of Defense
 EDI - Emergency Demining Initiative
 HD - Humanitarian Demining
 HN - Host Nation
 MAV - Management Assessment Visit
 PAV - Policy Assessment Visit

PCC Subgroup - Policy Coordination Committee Subgroup on Humanitarian Mine Action
 PDSS - Pre-Deployment Site Survey
 PM/ HDP - Office of Humanitarian Demining Programs
 P/PRV - Program/Policy Review Visit
 QRDF - Quick Reaction Demining Force
 RDSS - Requirements Determination Site Survey
 TNG - Training

Note: A layered object indicates that the step in the execution phase may be repeated during the program.

Figure 4-1. The U.S. Government Humanitarian Demining Program Process [text-only]

4.2.2 Post HD Officer

The Post HD Officer is responsible for the overall local management of the demining program. This officer is the primary focal point on the Country Team who coordinates and synchronizes available USG resources to achieve demining-related goals and objectives. (See Annex D for a list of suggested skills of the Post HD Officer.) The Post HD Officer is responsible to:

- Coordinate with HN representatives to determine the extent of the landmine problem;
- Assist in the identification of required resources to develop or sustain an indigenous mine-action capacity, assess the validity of these requirements, and compare them with guidance from PM/HDP;
- Propose USG support strategies and realistic funding requirements for a two-year period;
- Assist in the development of the HD Country Plan;
- Assist in implementing the proposed/programmed U.S. HD assistance effort, and assist in coordinating and harmonizing USG HD resources;
- Monitor the progress of the program and submit semi-annual reports on the progress in HN mine action to PM/HDP and its effect on U.S. interests in the HN as well as on the overall bilateral relationship;
- Account for all donated HD-related equipment and supplies, and provide financial and accounting reports for HD funds expended on local purchases; and
- As necessary, assist PM/HDP (and the IMAS contractor or responsible NGOs) to coordinate Post administrative support, such as customs clearance, sponsorship letters, vehicle registration, etc.¹³

In some countries, depending on, for example, the complexity of the program or available Country Team manpower, the COM may assign two officers to share this responsibility. Ideally, the senior or the more experienced officer should have program primacy. PM/HDP may provide assistance to the Post to accomplish various HD-related support tasks through the IMAS contractor and/or through other sources (NGOs, UN, etc.).

Other PM/HDP personnel, agencies and organizations have a significant role in program implementation, and these other roles and responsibilities are described in the following subsections.

4.3 STEPS IN HD PROGRAM IMPLEMENTATION

4.3.1 HN Request and Program Approval ¹

Generally, a mine-affected country in search of U.S. assistance would request this type of support via the Embassy. The country's request for assistance to the Embassy should come from at least that level of government authorized to commit the government to a course of action, e.g.,

¹³At Annex E is a step-by-step consignee letter of instructions to assist the Post HD Officer in the clearance of materiel from local Customs Office.

a ministry/deputy ministry. Certain general and specific essential elements of information are required. At a minimum, the formal request should characterize:

- Nature of the landmine problem and describe the history of landmine use;
- Extent of areas denied to civilian use because of mined areas;
- Extent of casualties (injuries and deaths) due to landmines; and
- Socio-economic impact of mined areas and effects on markets or trade routes.

Further problem-specific information includes the host nation's current indigenous demining capability/capacity, and the HD assistance that the country is receiving or has requested from other sources (e.g., IOs and NGOs). Finally, it is essential that the host government clearly and definitively state its initial objectives in dealing with the landmine problem.

Ideally, the country should submit a formal written request containing the information listed above. If the country verbally expresses a request for assistance, a written request must follow soon thereafter. If the Embassy endorses the request, it sends a cable to PM/HDP. PM/HDP may contact the Post, if necessary, to seek clarification of information or obtain additional substantiation of the need. Once all the necessary information is gathered, PM/HDP will table the request at the next scheduled meeting of the PCC Subgroup on Humanitarian Mine Action.

The PCC Subgroup on Humanitarian Mine Action reviews Presidential Directives, the National Security Strategy, National Military Strategy, and other national imperatives to determine if support to a requesting country conforms to USG foreign policy guidelines and objectives. (A broad list of considerations that impact the PCC Subgroup's decision to accept the HN into the USG program is contained in the *U.S. Government Interagency Humanitarian Demining Strategic Plan*.) If the PCC Subgroup recommends approval of the country, it will advise the full PCC via a formal Letter of Program Determination.

The PCC Subgroup may recommend disapproval of the request in those instances when establishing a program of assistance to a specific country is not consistent with U.S. foreign policy interests. Alternatively, if the PCC Subgroup determines that it is unable to accommodate a country in a bilateral mine-action relationship, it may consider and approve alternative mine-action support in the form of either an Emergency Demining Initiative or via the Quick Reaction Demining Force. Each of these alternatives is described next.

4.3.1.1 Emergency Demining Initiative. The Emergency Demining Initiative (EDI) is limited support to populations in war-torn regions, when circumstances in a country (e.g., political instability and security concerns) do not warrant the establishment of a formal HD program. A request for this type of assistance is granted in exceptional circumstances and on a case-by-case basis. Specific guidelines and restrictions are established for this limited support:

- The USG would support mine-clearance activities through the IMAS Contract, NGOs or IOs, not directly to the host nation government;
- Emphasis would be placed on facilitating refugee/IDP returns and temporary resettlement; clearance of arable land, homes, schools, and delivery of humanitarian assistance to those areas;

- Funded activities would be restricted to areas where (in the estimation of the U.S. Country Team, HN and NGO grantees) conflict is not expected in the future; the risk to demining personnel is deemed to be low; and the proposed demining area lacks current military strategic value, thus preserving the humanitarian nature of the program;
- Funded activities would include demining in only those areas that were already mine-affected. If the HN laid new mines, USG funds could not be used to remove them, and U.S. funding support could be withdrawn;
- The PCC Subgroup, in conjunction with the intelligence community, would periodically conduct a review of the overall security and conflict situation in the country;
- Other than, perhaps, the provision of mine-awareness materials, DoD training programs or OHDACA-funded equipment would not be provided;
- NADR-funded equipment would be provided only to the NGO or IO, not to the host nation; and
- Misuse of materials or malfeasance by the host nation could result in the suspension of mine awareness and mine-clearance assistance.

4.3.1.2 Quick-Reaction Demining Force. The second alternative form of mine-action assistance in lieu of a formal bilateral U.S. HD program is the use of the Quick-Reaction Demining Force (QRDF) established under the IMAS Contract. The QRDF is a task-organized team of fully trained and certified mine-clearance technical specialists who can respond to demining missions within a few days after notification. The force is equipped with demining materiel and tailored support teams; it may also incorporate, as necessary, mine-detection dogs. Under certain circumstances, the PCC Subgroup on Humanitarian Mine Action may decide to deploy elements of the QRDF, particularly to respond to a demining crisis when a USG humanitarian response is immediately needed.

A QDRF team would deploy for a limited period of time in an immediate post-conflict situation, and its efforts would constitute a prerequisite or concurrent action that would allow the international community to respond effectively to the critical needs of refugees and IDPs wishing to return to their homes, and to enable follow-on efforts of greater magnitude or deal with small, contained problems.

4.3.2 Policy Assessment Visit ²

If the PCC approves the country's request for a formal HD program, it directs PM/HDP to conduct a Policy Assessment Visit (PAV), the first USG on-site review and evaluation of a country's landmine problem. The purpose of the PAV is to assess policy issues and to determine the feasibility and applicability of conducting an HD program on the basis of USG policy objectives and national security interests. (The decision to conduct a program is based on the PAV Team's recommendation to the PCC Subgroup on Humanitarian Mine Action.)

The PAV is normally conducted within approximately 3-8 months of the PCC decision and usually lasts one week. The PAV Team is composed of at least one PM/HDP Policy representative (the Team Leader), and it includes representatives from the DoD and other agencies, as appropriate. The PAV Team Leader coordinates with the Post to arrange visit times and provide all necessary information and resources to facilitate the visits.

The PAV Team gathers the necessary information to assess the socio-economic impact on the country from landmines and UXO; the current role and future plan of the HN and other organizations for dealing with the problem; and what assets the HN intends to allocate to redress the problem. It interviews HN, NGO, and UN representatives involved with the mine problem and visits one or more mine-affected areas and ongoing mine-clearance operations, if applicable. The Team seeks answers to the questions contained in the PAV Checklist (Annex F). The PAV Checklist addresses all aspects of the landmine problem, with particular emphasis on either establishing benchmark data for applicable MOE, or corroborating these MOE if they were included in the HN request for assistance. The PAV process additionally entails evaluating if the Post is sufficiently dedicated to supporting a U.S. HD program; without this commitment, no HD program is possible.

The PAV Team's findings are submitted in a written report to the PCC Subgroup on Humanitarian Mine Action that includes a recommendation as to whether the host country should be included in the USG HD program, citing any constraints and/or restrictions.

If the country is accepted, a cable is sent to the Post – and to all PAV participants – of this decision, noting any of the aforementioned constraints and/or restrictions. If the country is not accepted into the USG program, a cable is sent to the Post – and to all PAV participants – explaining why the HN was not approved and the process ends.

4.3.3 PM/HDP-COM MOA ³

When the HN is accepted, a PM is designated to develop and manage the program. The PM prepares a country program-specific Memorandum of Agreement (MOA) that formally defines the terms of agreement and the working relationship between the Director, PM/HDP and the Embassy's COM; these two parties sign the MOA. To assure that the HD program remains fully compliant with USG strategy and goals throughout its duration, and in order that PM/HDP be able to audit the program's progress, the MOE are an essential component of this MOA. Concurrently, the COM designates a member of the Country Team to oversee the HD program. A sample of a PM/HDP-COM MOA is illustrated at Annex G. Completion of this step in the process leads to a Requirements Determination Site Survey.

4.3.4 Requirements Determination Site Survey ⁴

To identify precise HN requirements, the PCC may direct OASD (SO/LIC) to conduct a Requirements Determination Site Survey (RDSS), a survey whose conduct is governed by military directives. OASD SO/LIC, through the Joint Staff, tasks the respective regional CINC in whose theater area of responsibility the country is located, to conduct the RDSS. The purpose of the RDSS is to chart the direction of the program; determine resource (financial, personnel and HD-related equipment), logistical and infrastructure requirements; identify ongoing demining-related efforts of others; delineate HN goals and objectives; and address relevant physical security and political issues.

The RDSS is generally conducted within 3-8 months after the PCC approves a country HD program. When the regional CINC is unable to conduct the RDSS during the required time

frame, or when it is determined that the proposed HD program does not include a DoD training component in a specific country, PM/HDP personnel shall conduct the RDSS independently. Often, the regional CINC is constrained in time or resources, so he may direct that the RDSS and the follow-on Pre-Deployment Site Survey be executed simultaneously (see Section 4.3.8). The RDSS team is composed principally of military and/or civilian personnel assigned to the regional combatant command, but may also include representatives from PM/HDP and other DoD agencies.

The CINC coordinates with the Post HD Officer to determine the date for the RDSS, establish a feasible schedule, and request the necessary resources to conduct the survey. The duration of a CINC-executed RDSS is about two weeks. The team visits many of the same people, organizations, facilities, and sites as the PAV Team, but its responsibility is to ascertain much more detailed information on all country-specific HD issues. Although the RDSS Team's data collection instrument is different than the PAV Checklist, it should also gather available MOE-related data that either corroborate those data points gathered during the PAV or, if no MOE data were noted during the PAV, "benchmark" the status of demining activities at that time, as they apply to the eight MOE.

The completed survey serves as a report and as a support plan that outlines HN goals and objectives; the resources that the HN and other organizations intend to commit to redress the landmine problem; a long-term view, including transition and exit strategies for assisting the HN; and a recommendation on the type and amount of USG resource support. The RDSS report is presented to the principal funding organizations on the PCC Subgroup on Humanitarian Mine Action for coordination and implementation. When this support plan is approved, the PCC tasks PM/HDP and the regional CINC to implement the strategy outlined in the report. The next step in the process is development of an HD Country Plan.

4.3.5 Host Nation Humanitarian Demining Country Plan 5

The HN Humanitarian Demining Country Plan (CP) supports the HN's national HD Plan. It is the single unified plan for all USG demining activities in the host country. Upon completion of the RDSS, the HN HD CP is developed to maximize all known and potential resources for HD activities, and it is tied to common goals and the end-state strategy. The CP is the product of the collective efforts of the HN and the Post, with assistance from the regional CINC and PM/HDP. The CP specifies HN and USG program goals and objectives; identifies required funding resources; defines the proposed USG support strategy; coordinates available USG resources; and lists end-state goals and objectives. The CP documents the operational strategy for phased HD program activities for two fiscal years that the USG funding agency requires to make resource decisions. PM/HDP must review and approve the CP. Guidance for the development and a general format of an HD CP are at Annex H.

4.3.5.1 Initial HD Country Plan. A completed RDSS report contains all the fundamental details upon which to develop an initial HD CP. The Post HD Officer – with appropriate guidance and assistance from the designated PM and the regional CINC – should have the completed CP within approximately six weeks of the RDSS.

An essential component of the initial CP, and each annual CP thereafter, is the identification of the eight MOE and their attendant benchmark data collected during either the PAV or the RDSS. As the HD program evolves, particularly through Post semi-annual progress reports and during annual Management Assessment Visits, the direction and percentage of change in these MOE will be compared with these benchmark data to measure progress or, conversely, to “flag” issues for resolution.

4.3.5.2 Annual Humanitarian Demining Country Plan Submissions and the NADR Budget.

For each subsequent year in which there is an active HD program, a new CP is prepared and submitted for review and approval. In the early spring, PM/HDP issues planning guidance for the preparation of the CP to each post. As a norm, the CP is due in June. The Post HD Officer develops the CP, based on this planning guidance and related information gathered from various U.S. and HN sources, and it must include information relating to all HD funding sources, not just those of NADR. The PM and representatives of the regional CINC may assist the Post’s HD Officer, as necessary, to prepare the annual CP. Questions about preparation should be addressed to the appropriate PM.

Information in the CP is used in a variety of ways and serves as an important reference tool for country activities and accomplishments. CP submissions are particularly important in the development and adjustment of the PM/HDP NADR budget:

- To formulate and support that country’s program line item in PM/HDP’s next year NADR budget request. For example, budget formulation for FY03 began in summer 2001; CP information received in summer 2001 was used to formulate and support the country lines of the FY03 budget request.
- To adjust current and upcoming year country program budgets. For example, information received in summer 2001 was used to support late FY01 country program adjustments and to support adjustments to country lines in the FY02 budget.

Completion and receipt of the CPs by the start of the fourth quarter of the fiscal year allows sufficient time for their review by the respective PM, selected DOS desk officers, the regional bureaus, and OASD (SO/LIC), as available. In particular, the PM reviews the CP for prior and projected HD activities and recommended current fiscal year NADR funding. In July, the Director, PM/HDP hosts a budget-planning meeting in which the PMs brief the new CPs and defend their NADR fund recommendations. Based on the CPs, available resources, national strategy and goals, and current guidance, the Director, PM/HDP prioritizes HD programs and allocates the NADR fund budget against them. Funds for the new fiscal year normally do not become available for use until the end of the first quarter of the new fiscal year, at which time the PMs execute appropriate actions to obligate resources in accordance with their CPs.

4.3.6 Embassy-HN MOA 6

As mentioned in Section 4.3.3, an MOA is executed between the Director, PM/HDP and the COM soon after the HN has been accepted into the USG HD program; this MOA is timed to coincide with the approval of an HD program. In conjunction with PM/HDP formally notifying the Post that the CP is approved, the COM shall also execute an MOA on behalf of the Embassy

with a responsible HN counterpart. This MOA establishes the terms of reference for, and defines the respective roles and responsibilities of, both parties for the duration of the HD program. It also formalizes HN obligations to support training, ensures that all donated equipment and services are to be used in a humanitarian role and are exempt from all import duties and taxes, and facilitates vehicle licensing. The Embassy-HN MOA is crafted when the precise details of the HD program to be undertaken are known and agreed to by the two parties. (See Annex G for two MOA samples between an embassy and a host nation.)

4.3.7 Resource Allocation

When the CP is approved, and after PM/HDP has received funds, resources are allocated to provide the support. The different types of available financial resources were described in Section 3, and the two primary resources are NADR and OHDACA, although many other U.S. and international funding sources may be allocated to different HD activities in various countries. The allocation of each type of resource is briefly explained next.

4.3.7.1 NADR. If NADR funds are allocated, the PM (in coordination with the HN and the Post) determines how best to provide the support. NADR funds must be obligated at least six weeks prior to the end of each fiscal year. Several options to provide this support are available.

- **IMAS Contract.** If PM/HDP elects to use the IMAS Contract, a Task Order (TO) Request is issued defining the objectives and the period of performance for a specific HD task in a specific country, and requesting a cost and technical quotation. In turn, the Contractor responds to the Request with a Performance Plan – the operative contracting document that governs the work to be accomplished – and budget. Negotiations between PM/HDP and the Contractor may ensue. After agreement on the Performance Plan is reached, the TO is approved, and the IMAS Contractor commences work. A copy of the Performance Plan is furnished to the Post HD Officer, who should provide a copy to the HN counterpart. Because oversight of the Contractor is necessary, either the PM is designated the Contracting Officer’s Technical Representative (COTR), or the State Department Contracting Officer may specify in writing that the Post HD Officer is the COTR. The Post HD Officer is required to track equipment donations and to monitor Contractor progress to ensure that the work is fully responsive to the Performance Plan, and that it is accomplished within the budget and time schedule.
- **Grant to the UN, other IO, or NGO.** If NADR funds are used for a grant to the UN, another IO, or NGO, PM/HDP will execute the Grant Assistance Request, Form DS-1909 (Annex I), and furnish a copy to the Post HD Officer, who should provide a copy to the HN counterpart. Similar to the Contractor Performance Plan, the grant governs what will be done, and the Post HD Officer, as the Grants Officer’s Technical Representative, is responsible to monitor the status of the grantee’s work to assure compliance with the objectives and conditions stipulated in the grant. The grantee is required to furnish progress reports at regular intervals, e.g., monthly or quarterly, and a grant end-of-project report to the Post HD Officer and the PM.
- **Post.** NADR funds may be provided to the Post for local purchases, such as mine-awareness materials or mine information management, minor renovations to facilities, and other HD-related functions. This is not a preferred method for using NADR funds, because

it is an additional administrative workload on the Post, and limitations generally exist on the Post HD Officer's funding authorization. When this method is used, a fund cite is sent via cable to the Post. Post then takes action to obligate the funds. The Post HD Officer is accountable for these obligations and to report expenditures. The procedure for reporting expenditures is found in Section 4.3.9.2.

- DSCA. NADR funds may be placed in a HN trust fund at the DSCA for HD materiel support through establishing FMF cases. This method is the least preferred because the FMF system used to spend the money is very complex, slow and bureaucratic. NADR funds transferred to DSCA are governed by law and the rules and regulations applicable to NADR, and must be spent within five years. The Post HD Officer can obtain details from the Post's Security Assistance Officer who is intimately familiar with Foreign Military Sales cases. If NADR funds are transferred to the DSCA, the responsible PM will monitor their application and use.

4.3.7.2 OHDACA. OHDACA funds are two-year DoD appropriations and, when allocated, the Regional CINC determines how best to use the funds. Several options are available to him.

- DoD Unit Conducting The Training. OHDACA funds may be sent via a Military Interdepartmental Purchase Request (MIPR) to the DoD unit designated to conduct the mine action-related training. The unit may request support from the Embassy Contracting Officer to facilitate the training mission, or a DoD Contracting Officer may accompany the training team. (If the Post Contracting Officer is engaged, he must be warranted for the proper amount of money and required to track expenditures against the MIPR.) International Cooperative Administrative Support Services (ICASS) agreements are established to acquire Post contracting support.
- Regional CINC Contractor. If the regional CINC uses a contractor, the funds can be apportioned to the contractor to provide management services, logistics and administrative support to facilitate DoD initiatives. In this instance, Post involvement is relatively minimal, e.g., administrative support to the contractor such as customs clearance, sponsor letters, etc.
- Post. OHDACA funds may be sent via a MIPR to the Post. In this instance, the Post Contracting Officer and/or a DoD Contracting Officer uses the funds to support the training. The Post Contracting Officer is responsible for issuing purchase orders and paying for these services, and an ICASS agreement is established to reimburse the Post.

4.3.8 Pre-Deployment Site Survey 7

In conjunction with allocating resources, a Pre-Deployment Site Survey (PDSS), which is a regional CINC requirement, is conducted. The purpose of the PDSS is to finalize training areas; identify personnel to be trained, resolve force protection issues, coordinate housing, contract for local supplies and services, and finalize the training schedule and program of instruction. This survey is generally conducted within 3-8 months after the PCC approves the RDSS report, the CP, and the associated resource allocation. The Regional CINC coordinates with the Post HD Officer to determine the date for the PDSS and to establish a feasible schedule.

The PDSS Team is composed of representatives from the headquarters of the regional CINC and other DoD agencies and organizations (e.g., U.S. Army Special Forces, Psychological

Operations, Civil Affairs, medical and logistics units). PM/HDP normally does not participate in the PDSS. If, however, the IMAS Contractor supports the training, a PM/HDP representative should be included. The regional CINC may combine the RDSS and the PDSS visits. More than one PDSS may be conducted during an HD program if, at a later date, it is determined that either a different type of training or refresher training is required.

The PDSS generally takes about two weeks. The PDSS Team visits the proposed MAC headquarters, training sites, personnel to be trained, living quarters, etc. The Team coordinates with the Regional Security Officer on force protection issues and with local vendors for required supplies and services. The Team focuses its data collection effort on the basic HD elements of landmine and UXO disposal, minefield data, victim data, victim assistance, mine-awareness programs, and MAC management.¹⁴ The product of the PDSS is a military-style operations plan that specifies the required actions among the three affected parties – the training team, the Post, and the HN. This plan is furnished to the Post and to all participating DoD organizations. The next step in the process is the conduct of training and the provision of specified support to the HN.

If the regional CINC does not wish to conduct a PDSS, the responsible PM, or a PM/HDP analyst, should conduct an on-site survey to gather this information as a prerequisite to the commencement of training. A copy of the written report of the findings will be provided to the regional CINC.

4.3.9 HD Program Review and Audit

When plans are in place (the IMAS Contractor's Performance Plan, the DoD operations plan, or the Statement of Work for an NGO or an IO), mine-action training and/or the other HD-related support commences. The Post HD Officer is responsible to ensure that both the Post and the HN are fully prepared to support the training and any other U.S.-funded HD activities. For the duration of a program, a number of cyclical activities and events occur, as described in the following subsections.

4.3.9.1 Post HD Officer Semi-Annual Progress Reports⁸. The principal information sources on which to evaluate and assess the progress of an HD program are reports and management visits. Semi-annually, the Post HD Officer provides a written progress report to the responsible PM. The PM uses these reports to monitor the program, track and measure the progress of each HD program, over time, and assess how well the HN is moving toward the end-state identified in the CP. This is accomplished by comparing current MOE data in the semi-annual reports against the corresponding benchmark MOE reported at program initiation. The data contained in these reports are also used to justify future-year resource requests for each HD program. Additionally, these reports provide feedback on training and the overall USG HD support (see Annex I for semi-annual report format). If available, the Post HD Officer should also include in the semi-

¹⁴ The conduct of a PDSS is described in U.S. Army Training Circular 31-34, *Humanitarian Demining Operations Handbook*, September, 1999. Annex B of the Circular contains seven detailed PDSS checklists accessible at <http://www.adtdl.army.mil/cgi-bin/atdl.dll/tc/31-34/APP-BX.HTML>.

annual report all relevant information and data from NGOs and IOs participating in HD-related activities, e.g., their progress and end-of-grant project reports.

4.3.9.2 NADR Fund Expenditure Reports. NADR fund cites sent to the Post via cable are not a legal obligation of funds. The fund cite is provided so that actions can be undertaken at the Post rather than in Washington; the cable authorizes the Post to undertake obligation of funds for the stated purpose and up to the stated amount. It is important to remember that NADR funds are one-year monies that must be fully obligated by the end of each fiscal year.

PM/HDP fund cites are used for either program or administrative funds, and the reporting requirements differ for each type.

- *Program fund cites* are normally very large dollar amounts and are usually for local purchase of equipment or services in furtherance of a country's mine-action program. The Post reporting requirements for program fund cites are:
 - ❖ Quarterly: Include an update on funds obligated (amount in U.S. dollars) and items/services purchased. Should this report time coincide with submission of the semi-annual Post HD Officer's progress report, the fund update may be combined with the semi-annual report.
 - ❖ No later than August 15 each year, when Post has completed all obligations against the fund cite, the Post HD Officer must perform three simultaneous actions: (a) send an official statement (cable) slugged for PM/HDP confirming that funds (amount in U.S. dollars) have been obligated; (b) send a summary (spreadsheet) of all obligations and copies of obligation documents (contracts, purchase orders, grants, etc.) to the attention of the appropriate PM (depending on the volume, this information may be sent via pouch or fax); and (c) inform the appropriate PM if any of these funds will not be needed.
- *Administrative fund cites* are smaller dollar amounts usually authorized for the cost of local travel related to PM/HDP staff visits. The Post reporting requirement for administrative fund cites is that, within 30 days after the traveler departs, confirm charges (amount in U.S. dollars) against the fund cite via unclassified or classified email to the Financial Manager, PM/HDP. The Post is responsible for maintaining all official obligating documents related to this fund cite.

Questions about fund expenditure reports may be addressed via email to the PM/HDP Financial Manager via either the unclassified or classified system.

4.3.9.3 PM/HDP Management Assessment Visit.⁹ The Director, PM/HDP is responsible to the Secretary of State, Congress and the Executive Branch for HD programs. For this reason, PMs make at least one annual Management Assessment Visit (MAV) to each country for which they have a program management responsibility to obtain first-hand knowledge of their respective programs. The purpose of the visit is to meet new Post and HN participants in the HD program; inspect the disposition of donated equipment; observe field demining operations;

measure progress against CP goals and objectives; and, to transition some of this information into the next year's CP. The PM evaluates program progress by comparing, quantitatively and qualitatively, the benchmark MOE data against current data being reported by local U.S. and HN HD principals, and the Post HD Officer's semi-annual report.

The date and agenda for the annual MAV is coordinated between PM/HDP, the Post and the HN. PM/HDP funds and leads the MAV. DoD and/or IMAS contractor personnel participate, as required. On completion of the MAV, the PM provides a report to the Deputy PM/HDP describing the accomplishments during the reporting period, problems and recommendations, prospects for the future, and program plans for the coming year. This report, in either cable or hard copy format, is provided to all appropriate DOS and DoD agencies, and is retained as a matter of record in the country HD program file.

4.3.9.4 DoD Annual Program Assessment¹⁰. The DoD, responsible for the training component of an HD program, conducts an annual assessment to determine if additional training or retraining of HN personnel is necessary. The regional CINC, or his representative, leads the assessment team composed of representatives from the appropriate DoD organizations (U.S. Army Special Forces, Psychological Operations, Civil Affairs, etc.) involved in the training. PM/HDP does not normally participate in this program assessment. The DoD program assessment is an evaluation of current capabilities measured against the CP's stated goals, objectives and benchmark MOE. The DoD Program Assessment report is an important archive of HD programmatic information that is reviewed and referenced in the course of developing the next year's CP. This report, in either cable or hard copy format, is provided to all appropriate DoD and DOS agencies, and is retained as a matter of record in the country HD program file.

4.3.9.5 PM/HDP Program/Policy Review Visit¹¹. The purpose of the Program/Policy Review Visit (P/PRV) is to determine if the HD program has reached an end-state. End-state is reached when one of the following conditions is met: (a) the mine-affected country has managed to become mine-safe (e.g., eliminated the landmine threat to civilians); (b) the country has a self-sustaining capability to continue the HD program; or (c) USG strategy, policy and goals no longer warrant HD assistance to the country.¹⁵

PM/HDP conducts the PRV and may invite selected other representatives to participate. The visit normally lasts approximately one week during which time the Team meets with representatives of the Post, selected senior HN representatives, and the HN MAC or National Demining Office (NDO). The PRV Checklist (Annex F) governs the conduct of the interviews with the Post HD Officer and key HN HD personnel, and visits to the MAC/NDO and field operations. The PRV Checklist includes questions regarding the eight MOE so that current data can, once again, be compared with not only the benchmark MOE data (gathered during the PAV

¹⁵Sustainment, defined in the *NADR Humanitarian Demining Strategic Plan (2202-2006)*, is that point in time when the host nation has sufficient indigenous technological and managerial capability to plan, coordinate, manage and execute its own HD program using funds provided by the international community of nations for equipment, training in new methods and techniques, and refresher training where and when appropriate. See also a variant definition in Annex L.

or RDSS and included in the CP), but also with similar data contained in the semi-annual progress reports and information collected during the annual MAV. The PRV team's written report – the completed PRV Checklist – which is submitted to the PCC, includes a recommendation as to whether end-state has been reached. If the program has achieved end-state, the PCC directs that the HN be removed from the USG HD program.

If end-state has not been achieved, the PCC may consider continuing either the same level, or a decreased level, of U.S.-funded assistance until the desired end-state is achieved. Alternatively, the PRV may recommend that the country be excluded from the USG HD Program for any of the following reasons: (a) renewed seeding of mines; (b) civil war; or (c) the country is neither cooperative or willing to provide its own support. The PRV report, in either cable or hard copy, is retained as a matter of record in the appropriate PM's country HD program file, and may be provided to all appropriate DOS and DoD agencies. If end-state has been achieved, this report, in conjunction with the PCC decision, is considered a program closure report.

4.4 EQUIPMENT TURNOVER

Upon completion of training or support, equipment must be disposed of in accordance with PM/HDP instructions. Usually this equipment is turned over to the HN government. The method of turnover is contingent on the funds used to procure the equipment.

- **NADR-funded Equipment.** Organizations purchasing equipment for PM/HDP with NADR funds must maintain continuous oversight of all non-expendable items until such time as the equipment is to be transferred to the HN. Before the IMAS contractor, an NGO, or any other organization can turn over this non-expendable property to the HN, a list of all the HD-related items destined for turnover is prepared, a joint inventory is conducted with a responsible HN representative, and the Post HD Officer furnishes a copy of this list to the PM. In turn, the PM/HDP Grants Officer uses this list to prepare a grant transfer, Form DS-1909 – accompanied by a list of General Provisions governing the future disposition of this equipment – which is the DOS authorization to hand over non-expendable HD program-related assets and equipment. When the Post receives these forms, it is relieved of pecuniary liability, and can proceed to donate the cited equipment in accordance with the grant transfer instructions (see Annex J). If circumstances dictate, the Post may be allowed to donate the equipment first and then submit the jointly inventoried list to PM/HDP for the grant after the fact. The latter procedure requires that the Director, PM/HDP approve this method of property transfer.
- **OHDACA-funded Equipment.** The DoD is not authorized to donate OHDACA-funded equipment to a HN, but it is authorized to transfer equipment to the Post which, in turn, donates the equipment to the HN. A HN representative inventories the durable items and a list is prepared. A letter of transmittal stating that the cited equipment has been transferred to the Post, signed by a DoD representative, accompanies the list. The Post then follows the donation procedure described in the previous subsection, NADR-funded Equipment.

The information and data referenced in the main body of this manual are found in Annexes A through M.

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