



Department of Defense INSTRUCTION

January 27, 1995
NUMBER 2205.3

ASD(SO/LIC)

SUBJECT: Implementing Procedures for the Humanitarian and Civic Assistance (HCA) Program

Reference: (a) DoD Directive 2205.2, "Humanitarian and Civic Assistance (HCA) Provided in Conjunction with Military Operations," October 6, 1994.
(b) Section 401 of title 10, United States Code

A. PURPOSE

This Instruction implements policy, defines responsibilities, and prescribes procedures for the HCA program under reference (a).

B. APPLICABILITY AND SCOPE

This Instruction applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Unified Combatant Commands, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as the "DoD Components").

C. POLICY

As detailed and defined in reference (a), HCA activities shall promote the foreign policy and national security interests of the United States and the specific operational readiness skills of the U.S. Armed Forces who participate in the activities.

D. RESPONSIBILITIES

The heads of the DoD Components shall ensure compliance with this Instruction and references (a) and (b). As detailed in reference (a):

1. The Under Secretary of Defense for Policy (USD(P)) shall ensure that the Assistant Secretary of Defense for Special Operations and Low Intensity Conflict oversees the HCA program.
2. The Chairman of the Joint Chiefs of Staff shall review and forward, with recommendations, to USD(P) for approval HCA activities proposed by the Unified Combatant Commands.
3. The Commanders of the Unified Combatant Commands shall develop proposed HCA activities for USD(P) approval and execute the activities upon approval.

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4. The Secretaries of the Military Departments shall budget for HCA activities conducted by the Unified Combatant Commands for which the Secretaries serve as Executive Agents and, as appropriate, review and recommend changes to proposed HCA activities.

5. Relevant DoD Components not mentioned in sections D.1. through D.4. shall, as appropriate, review and recommend changes to proposed HCA activities to ensure that statutory requirements relevant to the respective DoD Component's area of expertise are being met.

E. PROCEDURES.

1. Nomination, Justification, and Approval Process for the Annual HCA Activity Plan

a. USD(P) shall issue, by March 30 of each fiscal year, guidance for the Unified Combatant Commanders in the preparation of their proposed HCA activity plans for the following fiscal year. Such guidance shall reflect national security and foreign policy priorities of the United States.

b. The Unified Combatant Commanders shall, pursuant to the guidance issued under section E.1.a., above, submit to the Chairman of the Joint Chiefs of Staff for review and forwarding to USD(P) proposed annual HCA activity plans.

(1) The Unified Combatant Commanders' proposed annual HCA activity plans shall be prepared in the format provided in enclosure 1 and shall be completed for each HCA activity proposed to be executed during the next fiscal year.

(2) In addition to information on proposed individual activities, a summary page shall be submitted for each country in which proposed activities are to take place. The information to be included in the country summaries is specified in enclosure 1.

(3) All proposed activities shall be reviewed by the legal staff of the Unified Combatant Commander before submission to ensure their conformity with statutory requirements, reference (a), and this Instruction.

(4) The total funding required for a Unified Combatant Commander's proposed annual HCA activity plan shall not exceed the amounts budgeted for such activities in the President's budget request for the fiscal year in which those activities are to take place.

c. The Chairman of the Joint Chiefs of Staff shall review and forward to USD(P) with recommendations, as appropriate, the Unified Combatant Commanders' proposed annual HCA activity plans no later than June 1 of each year for the upcoming fiscal year.

d. Before USD(P) issues final approval of the Unified Combatant Commanders' proposed annual HCA activity plans, USD(P) shall ensure that the plans are coordinated with, and have the concurrence of, the Secretaries of the Military Departments; the Assistant Secretaries of Defense for International Security Affairs, International Security Policy, Reserve Affairs and Health Affairs; the General Counsel of the Department of Defense; and the Comptroller of the Department

(1) The Unified Combatant Commanders' reports shall be prepared in the format provided in enclosure 2 and shall be used to report on individual HCA activities completed or underway during the relevant reporting period. A summary report page, synopsising information on HCA activities for each country in which activities were accomplished, shall also be provided. The information to be included in the reports' country summaries is specified in enclosure 2.

(2) The mid-year report shall cover activities conducted during the first two quarters of the fiscal year and shall be submitted to USD(P) no later than April 30 of each year.

(3) The end-of-year report shall cover all activities conducted during the previous fiscal year and shall be submitted to USD(P) no later than December 1 of each year.

(4) Accompanying the December 1 report shall be a narrative assessment of the overall effectiveness and long-term impact of HCA activities conducted in the respective Unified Combatant Commanders' areas of responsibility during the previous 2 fiscal years. This assessment shall identify specific activities as examples to illustrate both successes and problems encountered, including solutions (proposed and/or implemented) to avoid similar problems in the future, and policy recommendations for USD(P) consideration.


c. The USD(P) shall use the Unified Combatant Commanders' annual reports in the preparation of the consolidated report to Congress required by reference (b).

F. INFORMATION REQUIREMENTS.

The reporting requirements in subparagraphs E.1.b. and E.3.b. above have been assigned Report Control Symbol(s) DD-POL(A)1963 and DD-POL(SA)1817, respectively.

G. EFFECTIVE DATE AND IMPLEMENTATION.

This instruction is effective immediately. The Unified Combatant Commanders and the Secretaries of the Military Departments shall forward one copy of any implementing documents to both the Chairman of the Joint Chiefs of Staff and the USD(P) within 120 days.



TIMOTHY G. CONNOLLY
Principal Deputy

Enclosures:

1. HCA Unified Combatant Commanders Project Nomination and Justification Format
2. HCA Unified Combatant Commanders After Action Reports Format

of Defense, as appropriate. The USD(P) shall also obtain the approval of the Department of State, the Agency for International Development (AID), and other U.S. Government Agencies, as appropriate.

e. The USD(P) shall issue final approval of the Unified Combatant Commanders' proposed annual HCA activity plans by August 1 of each year for the upcoming fiscal year. No HCA activity may be undertaken without the prior approval of USD(P).

2. Changes to the Approved Annual HCA Activity Plan

a. High priority, short notice requirements may occur that, in the judgment of the appropriate Unified Combatant Commander, will require reallocation of funds from previously approved activities to permit execution of HCA activities in response to unforeseen events.

b. To provide the Unified Combatant Commanders with maximum flexibility, consistent with applicable laws and regulations, in carrying out HCA activities under this Instruction, Unified Combatant Commanders may propose to USD(P) that unforeseen, high priority requirements be funded instead of lower priority, previously approved, HCA activities.

(1) The Unified Combatant Commanders shall prepare nomination and justification proposals for new HCA activities in the format provided in enclosure 1 and submit such proposals through the Chairman of the Joint Chiefs of Staff to USD(P) for approval. An indication of when USD(P) approval is required shall be included. To the extent possible, new proposals shall be submitted at the same time as the mid-year status report discussed in paragraph E.3., below.

(2) In proposing substitute HCA projects, the Unified Combatant Commanders should consider the degree to which commitments have already been made to the host-nation authorities on previously approved HCA projects.

(3) USD(P) shall determine, in coordination with the organizations identified in subparagraph E.1.d., above, as appropriate, whether to approve requested changes.

c. The Unified Combatant Commanders shall notify USD(P), through the Chairman of the Joint Chiefs of Staff, of major changes in scope or timing of the execution of approved HCA activities. If it is anticipated that not all available funding will be obligated by fiscal year-end, ASD (SO/LIC) shall be immediately informed.

3. Status and After Action Reports

a. Under reference (a), the Unified Combatant Commanders shall prepare mid-year and end-of-year reports on the execution of HCA activities during the relevant reporting period.

b. The Unified Combatant Commanders shall submit these reports, through the Chairman of the Joint Chiefs of Staff, to USD(P).

HCA
UNIFIED COMBATANT COMMAND
PROJECT NOMINATION AND JUSTIFICATION FORMAT

Submit HCA activities in priority order. Information required is outlined below:

- A. Priority Number
- B. Unified Combatant Command Project Number and Title of Activity
- C. Recipient Country
- D. Location of Activity
- E. Type and Description of Activity
- F. Inclusive Dates of Activity
- G. Unit Designation(s) and Total Number of U.S. Forces Participating
- H. U.S. Dollar Cost of Consumables
- I. Justification:
 1. How the HCA activity serves the interests of both the U.S. and host country.
 2. How the HCA activity promotes specific operational readiness and/or skills of members of the U.S. Armed Forces participating in the activity.
 3. Certification by Unified Combatant Commander's legal staff that the activity conforms with statutory requirements and applicable regulations.
- J. Country Team Coordination:
 1. Statement of concurrence of both the United States Ambassador and AID Director.
 2. Statement that the HCA activity complements, but does not duplicate or otherwise conflict with, economic or social programs of other U.S. Government Agencies.
- K. Points of Contact (POC): Unified Combatant Commander's POC, with phone and facsimile numbers (DSN and commercial).

(1) Annual activity plan nominations shall be submitted to USD(P) by June 1 prior to the fiscal year in which the activities are to occur. Proposed changes to an approved plan shall be submitted to USD(P) when needed. To the extent possible, proposed changes shall be submitted at the same time as the mid-year status report discussed in paragraph E.3. of this Instruction.

(2) A separate summary of proposed activities shall be provided for each country for which these activities are proposed. Such summaries shall include information requested above in sections A, B, E, H, I, and J for each activity proposed for a country.

HCA
UNIFIED COMBATANT COMMAND
AFTER ACTION REPORT FORMAT

List Individual HCA activities, by country, by project number. Information required for each is listed below:

- A. Unified Combatant Command Project Number and Title of Activity
- B. Recipient Country
- C. Location of Project
- D. Type and Description of Project
- E. Inclusive Dates of Project
- F. Unit Designation(s) and Number of U.S. Forces Participating
- G. U.S. Dollar Cost of Consumables
- H. Objectives Achieved
 - 1. How the HCA activity served the interests of both the U.S. and host country.
 - 2. How the HCA activity promoted specific operational readiness and/or skills of members of the U.S. Armed Forces participating in the activity

(1) A mid-year report, on all activities conducted through March 30 of the current fiscal year, shall be submitted to USD(P) by April 30 of each year.

(2) An end-of-year report, on all activities conducted during the preceding fiscal year, shall be submitted to USD(P) by December 1 of each year.

(3) For both reports, a separate summary page of the activities reported on shall be provided for each country in which activities were conducted. Such summaries shall include information requested above in sections A, D, G, and H for each activity conducted in a country.