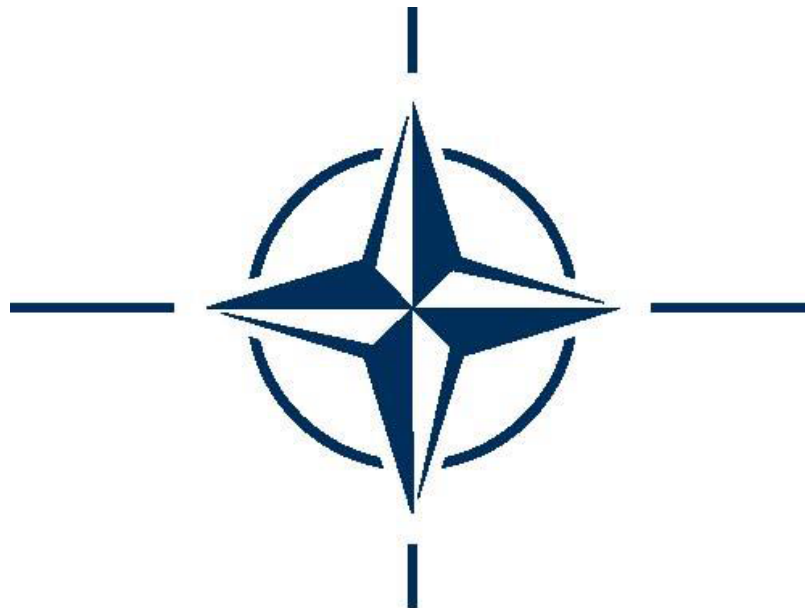# NATO STANDARD

AJP-3.26

ALLIED JOINT DOCTRINE FOR THE MILITARY CONTRIBUTION TO HUMANITARIAN ASSISTANCE

Edition A, version 1

OCTOBER 2022

NORTH ATLANTIC TREATY ORGANIZATION

ALLIED JOINT PUBLICATION

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NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

11 October 2022

1.   The enclosed Allied Joint Publication AJP-3.26, Edition A, version 1, ALLIED JOINT DOCTRINE FOR THE MILITARY CONTRIBUTION TO HUMANITARIAN ASSISTANCE, which has been approved by the nations in the Military Committee Joint Standardization Board, is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 2576.

2.   AJP-3.26, Edition A, version 1, is effective upon receipt and supersedes AJP-3.4.3, Edition A, version 1, which shall be destroyed in accordance with local procedures for the destruction of documents.

3.   This NATO standardization document is issued by NATO. In case of reproduction, NATO is to be acknowledged. NATO does not charge any fee for its standardization documents at any stage, which are not intended to be sold. They can be retrieved from the NATO Standardization Document Database (https://nso.nato.int/nso/) or through your national standardization authorities.

4.   This publication shall be handled in accordance with C-M(2002)60.

Dimitrios SIGOULAKIS
Major General, GRC (A)
Director, NATO Standardization Office

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Allied Joint Publication-3.26

Allied Joint Doctrine for the Military Contribution to Humanitarian Assistance

Allied Joint Publication-3.26 (AJP-3.26), Edition A, Version 1,

dated October 2022,

is promulgated as directed by the Chiefs of Staff

Head Doctrine

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RECORD OF NATIONAL RESERVATIONS

CHAPTER	RECORD OF RESERVATION BY NATIONS
Note: The reservations listed on this page include only those that were recorded at time of promulgation and may not be complete. Refer to the NATO Standardization Document Database for the complete list of existing reservations.	

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RECORD OF SPECIFIC RESERVATIONS

[nation]	[detail of reservation]
GRC	GRC land forces cannot execute tasks normally incumbent on civilian agencies and organizations, due to caveat deriving from national legislation.
USA	(1) The United States does not support glossary/lexicon terms and definitions and shortened word forms (abbreviations, acronyms, initialisms) that are neither NATO Agreed, quoted verbatim from NATOTerm, correctly cited IAW AAP-47 Allied Joint Doctrine Development, correctly introduced/revised IAW AAP-77 NATO Terminology Manual, nor have terminology tracking forms submitted. Department of Defense (DoD) terminology views regarding terms and definitions applicable to the United States can be found in the DoD Dictionary of Military and Associated Terms. (2) The United States uses the term "law of war" to describe that part of international law that regulates the resort to armed force; the conduct of hostilities and the protection of war victims in international and non-international armed conflict; belligerent occupation; and the relationships between belligerent, neutral, and non-belligerent States. Sometimes also called the law of armed conflict or international humanitarian law, the law of war is specifically intended to address the circumstances of armed conflict. The legal views of the Department of Defense (DoD) regarding the law of war applicable to the United States can be found in the DoD Law of War Manual. (3) The United States supports doctrinal content that is harmonized with NATO's capstone and operations keystone doctrine publications as well as within and between other NATO Allied Joint Doctrine publications. United States personnel are directed to use national joint doctrine to overcome variances between U.S. joint doctrine and Allied Joint Doctrine publications [ex. command relationships, joint operations principles, physical domain and other domain categorization, subject matter expertise language usage and other related terminology]. Department of Defense (DoD) joint doctrinal content can be found in joint doctrine publications
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Summary of changes

General

AJP-3.26, Edition A, version 1, is a complete rewrite of AJP-3.4.3, Edition A, version 1. The document has been completely restructured and content has been expanded, updated and harmonized with the applicable higher-level documents as well as with substantially convergent documents.

This version reduces redundancy and improves continuity between AJP-3.26 and related documents. It also reflects latest policy, doctrine and acknowledged lessons learned and best practice. In addition, its content has been updated to better reflect the contemporary operating environment and nature of current and possible future threats. Updates have also been made to reflect the latest status of NATOTerm and ongoing terminology changes.

Contents

Chapter 1 was expanded with additional sections on considerations of the military contribution to humanitarian assistance (HA), international law, understanding the operating environment and some content was added to expand information about the main participants involved in HA activities.

The layout of Chapter 2 has been preserved. However, some sections have been added such as public security and police support, or expanded for a more complete picture of the spectrum of military activities in support of HA.

In Chapter 3 the content on logistic sustainment, transportation support and cross-cutting topics has been expanded and some sections have been added such as command and control, Stability Policing and Military Police. The individual sections and paragraphs of the chapter are grouped thematically for the sake of clarity of the text.

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Related documents

1. **Policy and Military Committee documents**

   - MC 0133, *NATO's Operations Planning;*
   - MC 0319, *NATO Principles and Policies for Logistics;*
   - MC 0324, *The NATO Military Command Structure;*
   - MC 0326, *NATO Principles and Policies of Operational Medical Support;*
   - MC 0327, *NATO Military Policy for Non-Article 5 Crisis Response Operations;*
   - MC 0334, *NATO Principles and Policies for Host Nation Support;*
   - MC 0343, *NATO Military Assistance to International Disaster Relief Operations;*
   - MC 0362, *NATO Rules of Engagement;*
   - MC 0400, *MC Guidance for the Military Implementation of the NATO's Strategic Concept;*
   - MC 0411, *NATO Military Policy on CIMIC and CMI Interaction;*
   - MC 0422, *NATO Military Policy for Information Operations;*
   - MC 0560, *Policy for Military Engineering;*
   - MC 0586, *Allied Forces and their Use for Operations;*
   - MC 0603/1 NATO *Comprehensive Chemical, Biological, Radiological, Nuclear (CBRN) Defence Concept*;
   - MCM-0270-2018 *Concept of Combined Joint Chemical, Biological, Radiological And Nuclear Defence Task Force*;
   - MC 0628, *NATO Military Policy on Strategic Communications;*
   - PO(2016)0407 (INV), *NATO Policy for the Protection of Civilians;*
   - NATO *Policy on Non-Lethal Weapons*;
   - NATO *Protection of Civilians Concept*.

2. **Allied Publications**

   - AJP-01, *Allied Joint Doctrine;*
   - AJP-2, *Allied Joint Doctrine for Intelligence, Counter-Intelligence and Security;*
   - AJP-2.8, *Allied Joint Doctrine for Measurement and Signature Intelligence;*
   - AJP-3, *Allied Joint Doctrine for the Conduct of Operations;*
   - AJP-3.2, *Allied Joint Doctrine for Land Operations;*

- AJP-3.4.1, *Allied Joint Doctrine for the Military Contribution to Peace Support;*
- AJP-3.4.2, *Allied Joint Doctrine for Non-Combat Evacuation Operations;*
- AJP-3.28, *Allied Joint Doctrine for the Military Contribution to Stabilization;*
- AJP-3.13, *Allied Joint Doctrine for the Deployment and Redeployment of Forces*;
- AJP-3.8, *Allied Joint Doctrine for Comprehensive Chemical, Biological, Radiological, and Nuclear Defence;*
- AJP-3.9, *Allied Joint Doctrine for Joint Targeting;*
- AJP-10.1, *Allied Joint Doctrine for Information Operations;*
- AJP-3.10.1, *Allied Joint Doctrine for Psychological Operations;*
- AJP-3.12, *Allied Joint Doctrine for Military Engineering;*
- AJP-3.14, *Allied Joint Doctrine for Force Protection;*
- AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation;*
- AJP-3.21, *Allied Joint Doctrine for Military Police;*
- AJP-3.22, *Allied Joint Doctrine for Stability Policing;*
- AJP-4, *Allied Joint Doctrine for Logistics*;
- AJP-4.3, *Allied Joint Doctrine for Host Nation Support;*
- AJP-4.10, *Allied Joint Doctrine for Medical Support;*
- AJP-5, *Allied Joint Doctrine for the Planning of Operations;*
- AJP-6, *Allied Joint Doctrine for Communication and Information Systems;*

3. **Directives**

- ACO *Directive 95-2, ACO Strategic Communications Directive;*
- ACO *Directive 83-2, ACO Guidance for Military Medical Services; Involvement with Humanitarian Assistance and Support to Governance, Reconstruction and Development;*
- ACO *Comprehensive Operations Planning Directive* (COPD);
- Bi-SC *Directive 040-001, Integrating UNSCR 1325 and Gender Perspective into the NATO Command Structure, 17 Oct 2017;*
- *BI-SC Directive 086-004, Children and Armed Conflict.*

4. **Other**

- *NATO Crisis Response System Manual (NCRSM);*

- MCM 0087-2007 - *Combined Joint CBRN Defence Task Force Concept of Operations;*

- Inter-agency Standing International Committee of the Red Cross *Handbook on Data Protection in Humanitarian Action* NATO *A Practical Guide to Public Information during a Crisis (Budapest Guidelines III);*

- United Nations Inter-Agency Standing Committee *Non-binding Guidelines on the Use of Armed Escorts for Humanitarian Convoys;*

- United Nations Office of the Coordination of Humanitarian Affairs *Oslo Guidelines: Guidelines on the Use of Foreign Military and Civil Defense Assets in Disaster Relief;*

- *United Nations High Commissioner's Office for Refugees Emergency Handbook;*

- *Guidelines on the Use of Foreign Military and Civil Defence Assets In Disaster Relief ("Oslo Guidelines");*

- PO(2019)0054 *Non-binding Guidelines for Enhanced Civil-Military Cooperation to Deal with the Consequences of Large-Scale CBRN Events Associated with Terrorist Attacks;*

- *Military Committee Concept for the Protection of Civilians* (PO(2018)0227-AS1);

- *Protection of civilians ACO Handbook;*

- AC/98-D(2020)0007 *Non-binding Guidelines for Civil-Military Medical Cooperation in Response to Chemical, Biological, Radiological and Nuclear (CBRN) Mass Casualty Incidents;*

- *The Asia-Pacific Conference on Military Assistance to Disaster Relief Operations (APCMADRO);*

- *Civil Military Guidelines and Reference for Complex Emergencies.*

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Preface

Context

1. Humanitarian assistance (HA) is a complex subject which may involve many participants which include governments, international organizations, non-governmental organizations (NGOs), and others who respond to humanitarian crises. The extent of the assistance that can be provided by NATO is guided by NATO's policies and several instruments, notably the *Guidelines On The Use of Foreign Military and Civil Defence Assets* (MCDA) *In Disaster Relief – "Oslo Guidelines"* and the Inter-Agency Standing Committee (IASC) *Civil-Military Guidelines and Reference for Complex Emergencies.* The use of military forces and assets to provide relief aid for other than purely humanitarian purposes or without application of the humanitarian principles might compromise the humanitarian access and the safety of humanitarian workers, or otherwise hamper humanitarian activities. Therefore, this AJP has incorporated the IASC guidelines mentioned above. It is intended to describe the military contribution to HA in accordance with those guidelines. While supporting HA responses, the Alliance's forces will deal with a diverse range of participants, risks, situations, and demands. These participants also use different terminology, and, in many cases, their use is interchangeable; humanitarian action, humanitarian assistance, humanitarian engagement, humanitarian operation, disaster relief (DR), and disaster response all have similar definitions and context to describe support activities dealing with humanitarian emergencies. While many different actors may use different terms for the activities associated with HA, their purpose is still the same: to help save lives, alleviate suffering, and maintain human dignity.

2. MC 327/2, *NATO Military Policy for Non-Article 5 Crisis Response Operations*, introduces the concept of support to humanitarian crises in broad terms. Specifically, it explains that in crisis response operations, the military will often either be required to perform tasks that are normally the responsibility of a civil authority or humanitarian organization, or will specifically provide military support to these organizations. Crisis response in today's Alliance increasingly requires the employment of joint forces in pursuit of NATO goals and objectives. The primary objective of HA is to alleviate human suffering during and after disasters and crises. It may therefore be distinguished from stabilization, which is an approach used to mitigate crisis, promote legitimate political authority, and set the conditions for long-term stability by using comprehensive civilian and military actions to reduce violence, re-establish security, and end social, economic, and political turmoil.

3. In the case of a disaster relief operation or other humanitarian emergency not connected to any NATO operation, NATO military forces may be deployed in support of civil authorities overseeing the emergency. NATO policy on military support for international disaster relief operations (IDRO) is outlined in MC 343/1. MC 343/1 describes the use

of military owned or controlled assets and capabilities not connected to any NATO operation. It emphasizes that NATO assistance to IDRO will be by exception and will not occur without the consultation of the strategic commanders, recommendation by the Military Committee (MC), and approval by the North Atlantic Council (NAC). When NATO-led forces are conducting another type of operation, they may be tasked to deal with humanitarian emergencies. In that case, the military forces will be given finite tasks, within means and capabilities, through the military chain of command. AJP-3.26 describes the military contribution in response to humanitarian crises conducted both as a separate humanitarian operation and as part of an on-going operation.

Scope

4.   Allied joint publication AJP-3.26, *Allied Joint Doctrine for the Military Contribution to Humanitarian Assistance* is the NATO doctrine for the military planning, execution and assessment of HA in the context of Allied joint operations. It is subordinated to AJP-01, *Allied Joint Doctrine* and AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.

Purpose

5.   AJP-3.26 provides commanders and staff with the principles and guidance necessary to plan and conduct the military contribution to humanitarian assistance in joint operations. It does not restrict the authority of commanders; they will be expected to organize assigned forces and to plan and execute appropriate operations to accomplish the mission.

Application

6.   AJP-3.26 is intended primarily as guidance for NATO commanders and staffs. However, the doctrine is instructive to, and provides a useful framework for, operations conducted by a coalition of NATO members, partners and non-NATO participants. When providing this publication as a reference to non-NATO members an information sharing/release determination by the publisher must be obtained prior to sharing.

Structure

7.   This publication consists of three chapters and three supporting annexes. Chapter 1 provides a contextual overview of the evolving environment in which operations are planned and executed. It also explains the relationships between NATO's contribution to a comprehensive approach, civil-military interaction (CMI) and civil-military cooperation (CIMIC). Chapter 2 describes the fundamental military activities conducted in support of HA. Chapter 3 details the military planning considerations.

Linkages

8. Within the Allied joint doctrine architecture, AJP-3.26 is categorized as a thematic publication subordinate to AJP-3, *Allied Joint Doctrine for the Conduct of Operations*, which highlights considerations relevant to the successful conduct of operations.

9. It is mutually supportive with AJP-3.4.1, *Allied Joint Doctrine for the Military Contribution to Peace Support*, AJP-3.4.2, *Allied Joint Doctrine for Non-Combatant Evacuation Operations*, and AJP-3.4.5, *Allied Joint Doctrine for the Military Contribution to Stabilization*.

10. In addition, it is complementary with AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation*, AJP-3.21 *Allied Joint Doctrine for Military Police,* AJP-3.22, *Allied Joint Doctrine for Stability Policing*, AJP-4.3, *Allied Joint Doctrine for Host-Nation Support* and other publications that concern the conduct of host nation support operations.

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Chapter 1 – Context and overview

1.1 **Introduction**. The security environment is global, complex, and volatile. Peace, security, and development are more interconnected than ever which necessitates close cooperation and coordination with a variety of organizations playing their respective roles in crisis prevention and management. Coordination of humanitarian relief efforts[1] is the responsibility of the United Nations Office for the Coordination of Humanitarian Affairs (OCHA)[2]. The capabilities of NATO members and the NATO Alliance will continue to be sought to ease human suffering through military support to humanitarian assistance (HA). However, military contributions to HA could be perceived as controversial and, in some cases, undesirable. Therefore, the position of the humanitarian international organizations (IOs) and non-governmental organizations (NGOs) actors must be well understood by NATO to enable adequate decision-making before executing any military support to HA, to include coordination of tasks contributing to HA.

1.2 **Definitions**. The NATO agreed definition for HA stands: "As part of an operation, the use of available military resources to assist or complement the efforts of responsible civil actors in the operational area or specialized civil humanitarian organizations in fulfilling their primary responsibility to alleviate human suffering".

1.3 **Humanitarian principles**

    a. The military contribution to HA should be guided by the following humanitarian principles:[3]

        (1) Humanity. Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to alleviate human suffering, to protect life and dignity.

        (2) Impartiality. HA must be carried out impartially, on the basis of need alone, to all people regardless of their nationality, skin colour, gender, sexual orientation, religious beliefs, class, or political opinion.

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[1] Several independent humanitarian actors such as members of the Red Cross and Red Crescent Movement or Médecins Sans Frontières are not coordinated by OCHA, in light of their fundamental principles (neutrality, impartiality and independence). However, they will liaise and consult with OCHA to ensure as much as possible coherence and efficiency in the global humanitarian response to a crisis.

[2] UN resolution A/RES/46/182 (adopted in 1991) Strengthening the coordination of humanitarian emergency assistance of the United Nations. This resolution addresses the Office of the United Nations Disaster Relief Coordinator (UNDRO) which was the predecessor of OCHA. For more information see Annex B of this publication or visit the OCHA website at http://www.unocha.org.

[3] *Principles and Good Practice of Humanitarian Donorship*. Endorsed in Stockholm, 17 June 2003, by Australia, Belgium, Canada, Denmark, the European Commission, Finland, France, Germany, Ireland, Japan, Luxemburg, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom, and the United States.

(3) Neutrality. Humanitarian actors must act neutrally, to abstain to support a party to a conflict or engage in controversies, in order to continue to have the confidence of all.

(4) Independence.[4] To ensure humanitarian actors' ability to act in accordance with neutrality, the principle of independence highlights that HA must be delivered autonomously from military, political or economic objectives.

Beyond these principles, in accordance with the principle of "do no harm"; humanitarian action, including humanitarian civil-military coordination, must not have negative impacts on the people it seeks to help – physical proximity to or association with military involved in relief operations could put the recipients of humanitarian assistance at risk.

b. NATO-led forces are not bound by the four humanitarian principles however, they should attempt to abide by them. The degree of application of these principles will sometimes be difficult to assess and consequently achieve due to the circumstances of the crisis. For instance, it would be difficult for military HA activities to be perceived as impartial, neutral, and independent, if NATO-led forces are or were engaged in combat operations in or near the crisis area. Indeed, with the status of combatants and as party to an armed conflict, NATO-led forces cannot be considered as neutral and independent. This is particularly the case where military contribution to HA could be perceived as a self-inflicted requirement following NATO combat operations. Even if NATO military contributions to HA are being administered impartially, the perception of others may be different. These perceptions may then have an impact on the overall humanitarian response as the principle of distinction between the military and other humanitarian actors may be blurred and access to the population by civilian actors might be impeded in this area or in other places. Bearing in mind these principles, practical arrangements have to be found when a military contribution is required and requested by the host nation (HN) or the United Nations (UN) humanitarian coordinator (HC). This will require a comprehensive NATO strategic communications framework before and during the time NATO-led forces provide HA. While providing HA, the dignity and rights of victims must be respected and protected. Particular attention must be paid to the most vulnerable, such as children, women, elderly, disabled, refugees, returnees, stateless people, internally displaced persons (IDPs) and asylum-seekers, as well as any minorities and victims of sexual and gender-based violence and victims of landmines and explosive remnants of war (ERW).

c. The military contribution to HA is intended to support and/or supplement the efforts of non-military actors, including the HN civil authorities, IOs, and NGOs

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4   UN resolution A/RES/46/182 states that HA must be provided in accordance with the principles of humanity, neutrality and impartiality. UN resolution A/RES/58/114 (adopted in 2003) recognized that independence is also an important guiding principle for the provision of HA.

that have the primary responsibility to provide assistance. HA may be very demanding in terms of negotiating a legal framework, planning, coordination, and work output dependent on the size and scope of the requirement. When the scope, size or urgency of response requirement is too large, complex, or dangerous for civil actors to conduct it alone, military solutions can be made available at the behest and express request of the HN or IO. The HN-lead will normally be the disaster management authority although in special situations this role may be accomplished by an IO. The *Civil-Military Guidelines and Reference for Complex Emergencies* and the *Oslo Guidelines* provide essential criteria for the use of military and civil defence assets in complex emergencies. Key criteria in the guidelines include:

(1) Unique Capability. No appropriate alternative civilian resources exist.
(2) Timeliness. The urgency of the task at hand demands immediate action.
(3) Clear Humanitarian Direction. Distribution of military assets can be provided in cooperation with civilian organizations but they remain under military control.
(4) Time-limited and exit strategy. At the outset, any use of military assets for HA should be by exception and upon request from the affected state or the humanitarian coordinator. It should be limited in time and scale and present a transition plan that defines clearly how the function will be undertaken by civilian personnel as soon as practicable.

1.4 **Guidelines for the military contribution to humanitarian assistance**.

a. **NATO policy and guidelines.** The main NATO documents that refer in particular to the military contribution to HA within the Facilitating Access to Basic Needs section of the Conceptual Framework for the Protection of Civilians are The NATO Policy for the Protection of Civilians (PO(2016)0407(INV)), the Military Committee Concept for the Protection of Civilians (PO(2018)0227-AS1) and the Protection of Civilians ACO Handbook.

b. **External policy and guidelines**

(1) **The *Oslo Guidelines***. In times of peace, NATO forces or NATO-led forces may be requested to assist in DR in accordance with the *Oslo Guidelines*. They outline the process for making military or civil-military requests through OCHA and specify that foreign military assets should be requested only where there is no comparable civilian alternative and only when the use of military assets can meet a critical humanitarian need. The military asset, therefore, must be unique in capability and availability and should be seen as a tool complementing existing relief mechanisms to provide support to specific requirements, in response to a gap between the disaster needs that

the relief community is being asked to satisfy and the resources available to meet them.

(2) ***Civil-Military Guidelines and Reference for Complex Emergencies***. An increasing number of emergencies are related to conflict and have come to be known as "complex emergencies."[5]

a) The first instrument in the Guidelines is an IASC Reference Paper that provides insights on civil-military relationship in complex emergencies, including the difficulties and limitations of such relations with considerations linked to the distinction between combatants and civilians and concerns with regard to the separation between the humanitarian and the military space that should be maintained. They emphasize the reasons why the use of military assets in support of humanitarian activities should be by exception and only on a last resort, and provide a common understanding on when and how to, as well as how not to, coordinate with the military in fulfilling humanitarian objectives.

b) The second instrument provides guidelines on the use of military and civil defence assets in support of the UN in pursuit of humanitarian objectives in complex emergencies. It provides guidance on when these resources can be used, how they should be employed, and how UN organizations should interface, organize, and coordinate with international military forces with regard to the use of military and civil defence assets.

c) The third instrument discusses the use of military or armed escorts for humanitarian convoys and provides non-binding guidelines. It advises that they should be limited to exceptional cases and alternative options should be favoured. This part has been updated to take into account the last decade of humanitarian activities in the *Updated Guidelines on the Use of Armed Escorts for Humanitarian Convoys - IASC Non-Binding Guidelines*.

1.5 Considerations on the military contribution to humanitarian assistance

Level of Support. At the outset, any use of military assets for HA should be by exception and upon request from the United Nations Security Council (UNSC), the affected state or the HC. It should be limited in time and scale and present a transition

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[5] According to IASC a "complex emergency" is a humanitarian crisis in a country, region, or society where there is a total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme.

plan that defines clearly how the function will be undertaken by civilian personnel as soon as practicable.[6] The military contribution provided by NATO-led forces can generally be categorized by the level of expected interaction with the local community. Understanding these categories is important because they help to define the type of humanitarian assistance that might be requested from military resources and to explain the necessity of that assistance. The two categories are:

a. Direct assistance usually involves regular face-to-face contact such as distributing goods and services. Direct assistance is the least preferred method of support for militaries to provide.

b. Indirect assistance provides assistance that facilitates relief, but may not necessarily be visible to or solely of benefit to the affected population. Due to their robust logistics capabilities, military forces are normally best employed for indirect assistance, while leaving direct assistance missions to the HN, and international and NGOs. These activities could include providing general services, transportation of relief material or personnel, road repair, power generation, airspace management, etc.

1.6 **Last resort**. The *Oslo Guidelines* and *Civil-Military Guidelines and Reference for Complex Emergencies* identify last resort as an important principle concerning the use of military assets for humanitarian purposes.[7] The Oslo Guidelines suggest that foreign military and civil defence assets should be requested only where there is no comparable civilian alternative and only the use of military assets can meet a critical humanitarian need. The military or civil defence asset must therefore be unique in capability and availability. Last resort is only applicable in the context of using foreign military or civil defence assets in support of relief operations under the humanitarian umbrella, with the understanding that the request for these assets must meet the above situational requirements. Last resort is not applicable in situations where HN military or civil defence units are the first responders to a humanitarian situation or if external military participation is part of a HN request for assistance.[8]

1.7 **Legal frameworks**

Overview. NATO forces always operate within the applicable legal framework. This will include international law, in particular the International Humanitarian Law, also referred to as Law of Armed Conflict (LOAC), and the International Human Rights Law as well as domestic law of the sending and the receiving state and international refugee law. The legal framework is made more complex because NATO member states are subject to different international law, as states have signed and ratified

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6   It is recommended, that the provisions of the MCDA guidelines should be followed.
7   Additional information on "last resort" is found in the Last Resort Pamphlet available on the OCHA website at https://www.unocha.org.
8   In these circumstances, assisting and affected states are encouraged to use the principles and procedures provided in the Oslo and MCDA Guidelines.

different treaties. Even when subject to the same international law instruments, states may interpret their content differently. Commanders should consult with their legal advisors and integrate them into military planning and operations.

1.8 **International law.** NATO forces' activities are mainly governed by the following parts of international law:

a. Law of Armed Conflict (LOAC), is that part of international law which seeks to limit the effects of armed conflict both of international as well as of non-international character. It protects persons who are not or are no longer directly participating in the hostilities and restricts the means and methods of warfare. It applies only during armed conflicts and is based on the core ideas and principles of humanity, military necessity, distinction and proportionality. Still, the minimum protection standards of LOAC, in particular with regard to the protection of the civilian population and of civilian objects, should be observed during all military operations regardless of the nature of the conflict/military engagement. The two primary sources of LOAC are treaties and customary international law. Examples of such treaties include the *Geneva Conventions, Additional Protocols to the Geneva Conventions and The Hague Convention on the Civil Aspects of International Child Abduction*.

b. The UN's *Universal Declaration of Human Rights* described every individual's equal and inalienable human rights. Consequently, states' obligations to respect and protect such fundamental human rights have been set out in key international legal instruments including, the International Covenant on Civil and Political Rights and the European Convention on Human Rights.

c. International refugee law mainly consists of the 1951 Convention relating to the Status of Refugees and its 1967 Protocol. The 1951 Convention relating to the Status of Refugees is the foundation of international refugee law. It defines the term "refugee" and establishes the principle that refugees should not be forcibly returned to a territory where their lives or freedom would be threatened (the principle of non-refoulement). It sets out the duties of refugees and states' responsibilities toward them. The Protocol from 1967 to the Convention relating to the Status of Refugees is formally an integral part of the Convention, but its content is independent; therefore it can apply in all described situations. By acceding to the Protocol, states agree to apply the main content of the 1951 Convention to all persons covered by the Protocol's refugee definition, without limitations of time or place. The international refugee law is complemented by regional treaties and declarations that also address the rights of refugees. Other relevant standards concerning refugees are contained in international human rights law, International Humanitarian Law (IHL) and international criminal law. In cases of legal questions in connection with refugees, migrants or asylum seekers, it is strongly recommended that the commander consults with their legal advisor.

1.9 **Domestic law**. NATO forces can be present in a state pursuant to a UN mandate, other international legal basis and/or HN consent. In all cases, respect for the applicable domestic law and customs of the receiving state is key. There will often be a Status of Forces Agreement (SOFA) or formal diplomatic notes similar in scope to a status of forces agreement, set up between the receiving state and the sending state(s). The SOFA (or diplomatic notes) regulate the rights, duties, immunities, and privileges of the foreign forces in order to determine their legal status with regard to the domestic law of the receiving state.

1.10 **The main actors in humanitarian assistance**. As stated in the United Nations High Commissioner's Office for Refugees (UNHCR) Emergency Handbook: "Ultimately, States have the primary responsibility to protect and assist persons in their territories who are affected by disasters, armed conflicts or violence. Humanitarian action is designed to complement and support States in fulfilling those responsibilities; it should neither undermine nor supplement state responsibility". NATO civil emergency planning measures and capabilities enable NATO's engagement in HA. The European Union (EU), which can mobilize a wide range of military and civilian instruments, is now assuming a growing role in support of HA. Its coordinating mechanism is the European Civil Protection and Humanitarian Aid Operations department. NATO's growing strategic partnership with the EU is significant and there is an expanding cooperation with non-NATO countries which are members of the UN, African Union, Partnership for Peace (PfP) partner countries, Euro-Atlantic Partnership Council (EAPC), NATO's Mediterranean Dialogue/Istanbul Cooperation Initiative Countries, and Partnership Across the Globe. The Organization for Security and Cooperation in Europe also continues to have significant responsibilities in this field. As such, response to humanitarian emergencies may come from a range of organizations and individuals to include governments, the UN, international and local NGOs, the Red Cross/Red Crescent movement, and others. They could also include specialists in the different aspects of HA. The coordination of humanitarian relief efforts for the UN is the responsibility of OCHA, led by the Under-Secretary-General (USG) for Humanitarian Affairs and the Emergency Relief Coordinator (ERC). Another key actor in HA is the IASC, which is a unique inter-agency forum for coordination, policy development, and decision-making involving the key United Nations and non-United Nations humanitarian partners. Chaired by the ERC, it develops policies, agrees on the division of responsibilities among humanitarian agencies, and works to make the process as efficient as possible. OCHA ensures there is a framework within which each actor can contribute to the overall response effort. As such, OCHA plays an essential role in operational coordination in crisis situations and is the main coordinator between military and civilian actors. This includes assessing situations and needs; agreeing upon common priorities; developing common strategies to address issues such as negotiating access, mobilizing funding and other resources; clarifying consistent public messaging; and

monitoring progress. By ensuring that the right structures, partnerships and leaders are supported, OCHA and its humanitarian partners can better prepare for and more effectively coordinate humanitarian situations.

1.11 **NATO's contribution to a comprehensive approach to humanitarian assistance**

a. The contemporary operating environment involves a myriad of ethnic, religious, ideological and technological issues, which require sustainable solutions in societies disrupted by conflicts, disasters or humanitarian catastrophes. Solutions to these serious events require the employment of instruments of national power and may even demand a collaborative effort from the international community. A successful resolution of these challenges will depend on cooperation and coordination based on a common sense of purpose and resolve, mutual understanding, collaboration and appropriate resourcing.

b. From a military perspective, a comprehensive approach is founded on a shared situational awareness, understanding and recognition. These include objectives to which other actors may be required to provide support as well as providing military support to other actors to enable them to achieve their allocated (non-military) objectives. The important requirement is to cooperate with other non-military actors in the overall planning for operations in which a large degree of civil-military interaction will be a factor in delivering mission success. The role of the military force must be carefully considered since achieving military objectives alone will not necessarily lead to the end state.

c. The Alliance seeks to contribute to HA through a comprehensive approach[9] of cooperative planning and execution by a range of disparate organizations, both national and international. The Joint Force Command (JFC) and NATO-led forces are part of an inter-related network, which involves multiple governmental agencies, military organizational structures and civilian organizations. Only through a comprehensive approach can the international community coherently employ the full range of instruments of national power[10] – the diplomatic, informational, military, and economic instruments. As a military contribution, NATO seeks to enhance cooperation with other organizations to complement and mutually reinforce each other's efforts to achieve common goals, if possible within an overall strategy agreed upon and owned by legitimate local authorities. It may be necessary for commanders to establish the security conditions and framework for these other organizations to operate. The Strategic Concept for the Defence and Security of the Members of the North Atlantic Treaty Organization states to effectively manage crises[11] it should form an appropriate but modest civilian crisis

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9   For more on NATO's contribution to a comprehensive approach, see AJP-01, *Allied Joint Doctrine.*
10 For more on instruments of national power and crisis management tools see AJP-01.
11 *Strategic Concept for the Defence and Security of the Members of the North Atlantic Treaty Organization*, adopted by Heads of State and Government at the NATO Summit in Lisbon, 19-20 November 2010.

management capability to interface more effectively with civilian partners, building on the lessons learned from NATO-led operations.[12] The capability may also be used to plan, employ and coordinate civilian activities until conditions allow for the transfer of those responsibilities and tasks to other actors.

d. **Challenges in a comprehensive approach**. The lack of common structures, policies, and procedures necessary for effective interaction, and a lack of mutual understanding in how the NATO-led force and other organizations plan and conduct operations, may complicate achieving unity of effort. Traditional command and control relationships will not apply between the joint force and the civilian and governmental organizations operating within the joint operations area (JOA). A significant challenge is to determine how NATO-led forces can best be utilized through coordination networks. Difficulties may arise when many civil and military authorities, foreign governments, the UN and other IOs, as well as NGOs conduct assistance activities within the JOA prior to, during, and after deployment of NATO-led forces. Thus, the JFC should consider how consultation and liaison can foster common understanding and unity of purpose. This may require additional attention to be paid to the interaction between agencies and organizations at all levels both within and external to the JOA. Consequently, the JFC must consider the communication and liaison linkages necessary to facilitate this coordination. The goals and operating procedures of all concerned may not be compatible; some civilian actors such as independent humanitarian organisations may wish to avoid being perceived as part of a NATO-led comprehensive approach, and their independence and modalities of work should be respected. Where possible, thorough collaboration and planning with concerned entities they can contribute to successful operations in this complex and challenging environment. Achieving unity of effort will require constant coordination, flexibility, and assessment both in the planning and execution of operations.

1.12 Understanding the operating environment

a. NATO will use the comprehensive understanding of the operating environment and the related knowledgement processes such as joint intelligence preparation of the operating environment (JIPOE) process to assess the physical, human and information aspects of the operating environment (OE). The JIPOE process not only provides a baseline understanding of the OE to support planning staff activities, but it also shapes how the commander and staff conceptualize what relevant actors can and will do. As conflict-related effects are likely to impact the situation outside joint operations area, a firm understanding of these aspects in a wider geographical context is required. A holistic view of the OE is needed including the civil environment, especially the multinational and inter-agencies

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[12] For general information see NATO Lessons Learned Portal at: https://nllp.jallc.nato.int.

complexities, the HN sovereignty and the role of the HN government in conflict resolution.

b. The OE impacts the conduct of HA; important elements to consider include the nature of the crisis, the prevailing security environment, and the system of international relief at work. Humanitarian emergencies may occur suddenly or develop over a period of time. Slow onset emergencies include those resulting from crop failure due to drought, the spread of an agricultural pest or disease, or a gradually deteriorating political situation leading to conflict. Rapid onset emergencies are usually the result of sudden, natural or human-made (human-caused) events such as wind storms, hurricanes, typhoons, floods, tsunamis, earthquakes volcanic eruptions or wild fires, landslides and avalanches. They also may be caused by accidental or human-caused catastrophes such as climate change[13], civil conflict, acts of terrorism, sabotage, or industrial accidents. Speed of onset has important consequences for action that can be taken. Preparedness and early warning measures are much less developed for rapid onset disasters.

c. The decision to use military and civil defence resources in a complex emergency is one that must be taken with extreme care. The use of military and civil-defence forces should be aligned to the humanitarian principles.[14] Deviation from these principles would see an operation jeopardise its primary purpose but may also risk compromising the validity of the NATO contribution to humanitarian missions, as well as that of other humanitarian actors. In the worst cases, failure to adhere to humanitarian principles may place the force or other humanitarian actors at physical risk. Identifying the nature of the crisis and associated underlying factors is essential to develop a proper HA plan. To provide the data, information, JISR-results and intelligence required to develop understanding, entities separate from NATO (e.g. diplomatic missions, development organizations, the HN government, IOs, NGOs) should be invited to help develop a comprehensive understanding of the OE.

d. In all OEs, security and force protection will remain of a key concern to the JFC. Common characteristics of the OE may include:

    (1) Many civilian casualties and populations besieged or displaced.
    (2) Serious political or conflict-related impediments to delivery of assistance.
    (3) Inability of people to pursue social, political or economic activities.
    (4) High security risks for relief workers.
    (5) International and cross-border operations affected by political differences.
    (6) Increased inequality, e.g. marginalization of women.

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[13] For more on the HA climate change nexus see OCHA „Global Humanitarian Overview 2020" at https://www.unocha.org/sites/unocha/files/GHO-2020_v9.1.pdf.
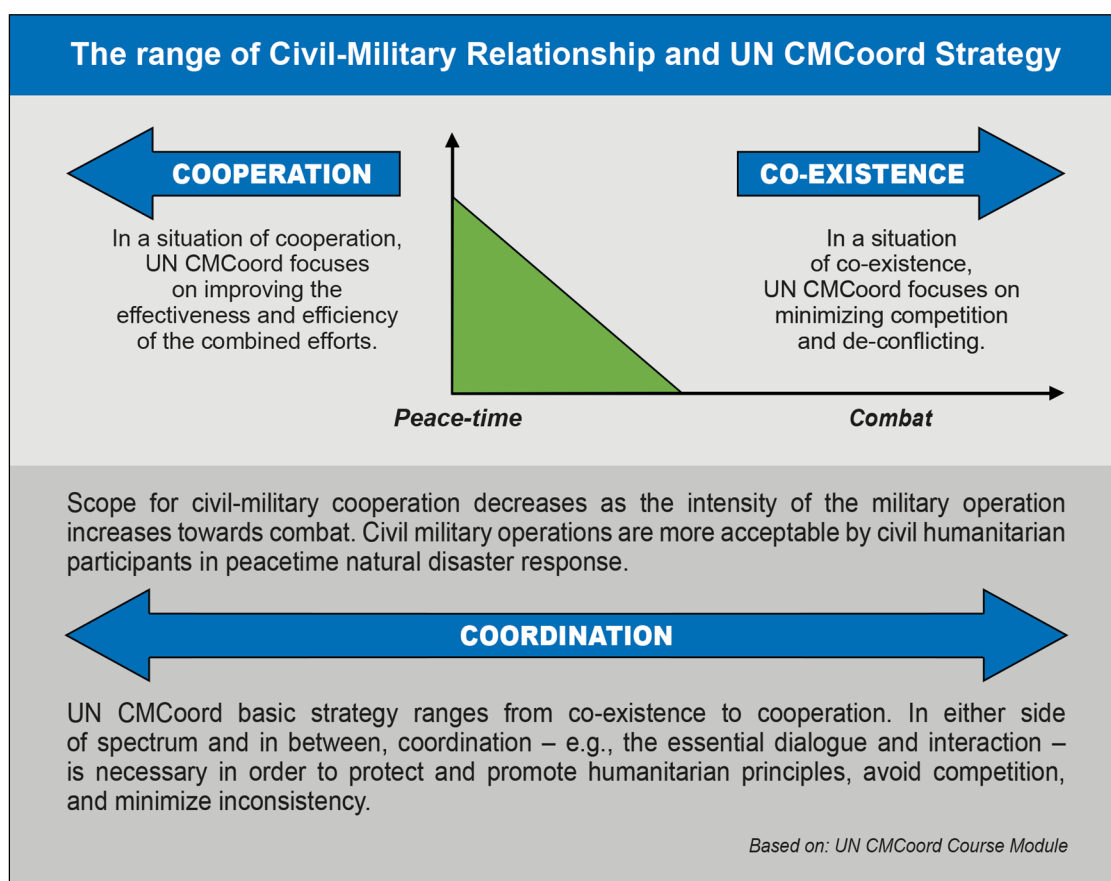[14] These are humanity, impartiality, neutrality and independence.

(7) Unique populations with specific concerns, characteristics, and vulnerabilities; including, but not restricted to, women and children.

e. Many disasters have underlying causes that may demand changes in human behaviour, systems, and processes (e.g. tsunami alert systems, better food management, weak or failing HN infrastructure or processes, or even civil war). Normally, forces conducting HA following a disaster are tasked to focus on the event at hand rather than the underlying causes; however, understanding these causes can enhance both mission accomplishment and force protection. Conducting a comprehensive 'conflict analysis' of fault lines and instability in a society should be the norm, even if the context is not formally described as a conflict. It should be taken into consideration that NATO-led forces, as representatives of their nations, may be perceived to be contributing to the effects of a disaster or crisis, either directly or indirectly. The risk of a negative reception by those affected should be taken into account in particular when this may also impact on other HA actors by association. Taking a 'conflict sensitivity' approach to force actions can be particularly helpful; i.e. i. conducting the initial conflict analysis; ii. considering how the actions of the force may impact on/with those conflict dynamics, and; iii. taking action to minimise negative impacts and maximise positive impacts.

1.13 **Humanitarian space**. For humanitarian organizations, space not only refers to a physical environment, but more broadly to principles, a code of conduct, and procedures that apply to HA. Humanitarian actors must have freedom of movement, unencumbered access to the population and be free to negotiate such access with all parties to a humanitarian crisis, without fear of attack, retribution, or undue pressure. Maintaining a clear distinction between the role and function of humanitarian actors from that of the military is a determining factor in creating an OE in which humanitarian actors can discharge their responsibilities both effectively and safely. NATO-led forces must understand and follow this concept when providing military support to HA efforts.

1.14 **Civil-military interaction in support of humanitarian assistance**

a. Civil-military interaction (CMI) is a group of activities, founded on communication, planning and coordination, that NATO military bodies share and conduct with international and local non-military actors, both during NATO operations and in preparation for them, thereby mutually increasing the effectiveness and efficiency of their respective actions in response to crises.[15]

b. Regardless of the nature of the crisis, the commander will always require a clear picture of the HN administration's ability to function including such aspects as police forces, local government, emergency services, public utilities, etc. When

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[15] For more on CMI see AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation*.

an emergency or disaster creates a humanitarian crisis, in addition to civil responders, many countries may also deploy their militaries or paramilitary organizations to respond. Bilateral support to disaster-affected states can also be provided through international deployment of foreign security forces and assets. When local and international humanitarian organizations are also involved in that response, it is essential that the military can operate in the same space without detriment to the civilian character of HA. In addition to the levels of support discussed in paragraph 1.5 above (direct and indirect assistance), the range of coordination sought by the humanitarian community based on the OE is another important consideration. In general, humanitarian workers will seek to limit civil-military interactions to those they consider essential in order to maintain the necessary distinction as explained in previous paragraphs. Figure 1.1 lays out the level of civil-military coordination depending on the OE.

The range of Civil-Military Relationship and UN CMCoord Strategy

COOPERATION

In a situation of cooperation, UN CMCoord focuses on improving the effectiveness and efficiency of the combined efforts.

CO-EXISTENCE

In a situation of co-existence, UN CMCoord focuses on minimizing competition and de-conflicting.

Peace-time   *Combat*

Scope for civil-military cooperation decreases as the intensity of the military operation increases towards combat. Civil military operations are more acceptable by civil humanitarian participants in peacetime natural disaster response.

COORDINATION

UN CMCoord basic strategy ranges from co-existence to cooperation. In either side of spectrum and in between, coordination – e.g., the essential dialogue and interaction – is necessary in order to protect and promote humanitarian principles, avoid competition, and minimize inconsistency.

Based on: UN CMCoord Course Module

Figure 1.1 – The range of civil-military relationship

c. As mentioned earlier, OCHA brings together humanitarian organizations to coordinate a coherent response to emergencies. A key pillar of the OCHA mandate is to coordinate effective and principled humanitarian action in partnership with national and international actors. OCHA's UN Humanitarian Civil-Military Coordination (UN-CMCoord) facilitates dialogue and interaction

between civilian and military actors essential to protect and promote humanitarian principles, avoid competition, minimize inconsistency and, when appropriate, pursue common goals.

d. In addition to the coordination provided by UN-CMCoord, NATO performs its CMI utilizing civil-military cooperation (CIMIC).[16] CIMIC supports the mission objectives by establishing and maintaining cooperation with non-military actors within the JOA. Therefore, CIMIC staff interface and coordinate with a multitude of actors relevant to an adequate and successful response to a humanitarian crisis. Not all actors will work to a common goal, but interaction should ensure that activities to support each plan are harmonized as far as possible, to avoid negative impacts on own operations as well as non-military activities and the civil environment. This will minimize interference or unintended conflict between different actors.

e. The core functions of CIMIC are civil-military liaison, support to the force, and support to non-military actors and the civil environment. The military contribution to HA may include a wide spectrum of resources such as information, personnel, materiel, equipment, communications facilities, specialist expertise or training.

1.15 **Humanitarian mine action.** Humanitarian mine action is a key component of HA. It aims to protect the lives and livelihoods of people in countries and regions that are affected by mines/ERW, with a view to reducing human suffering and the negative socio-economic impact of this contamination. Military contribution to HA can support the detection and clearance of a wide range of explosive ordnance.[17] Commanders and their staffs can reduce mine/ERW threats by providing military engineering (MILENG), intelligence, surveillance and reconnaissance (ISR) and, in cases where mine/ERW threats can be linked to NATO operations, also targeting information. Commanders and their staffs can reduce vulnerability and improve resilience by addressing humanitarian impacts of mines/ERW by education, information and victim assistance.

1.16 **Cluster coordination**

a. A coordinated response to emergencies is vital. Proper coordination means fewer gaps and overlaps in humanitarian organizations' work. HA strives for a needs-based, rather than capacity-driven, response to ensure a coherent and complementary approach and to identify ways to work together for better collective results. The basis of the current international humanitarian coordination system was set by UN resolution A/RES/46/182 in December 1991. The

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[16] For more information and the definition of CIMIC see AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation*.

[17] MCDA should be employed by UN humanitarian agencies as a last resort, i.e. only in the absence of any other available civilian alternative to support urgent humanitarian needs in the time required (see OSLO Guidelines).

humanitarian reform of 2005 sought to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership. The ERC launched a Humanitarian Response Review[18] in 2005. Following the recommendations of this review, the cluster approach[19] was proposed. This approach aims to strengthen overall response capacity as well as the effectiveness of the response in five key ways that:

- aims to ensure sufficient global capacity;
- ensures predictable leadership;
- is designed around the concept of partnerships;
- strengthens accountability;
- should help to improve strategic field-level coordination and prioritization.

b. Clusters are groups of humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian action. The cluster approach ensures greater leadership and accountability in key sectors where gaps in humanitarian response have been identified, and to enhance partnerships among humanitarian actors. The cluster approach should provide a more effective inter-agency response for emergencies or natural or human-caused disasters at the global and country levels.

c. Clusters are proposed by the country's HC when clear humanitarian needs exist within a sector, when there are numerous actors within sectors and when national authorities need coordination support. Clusters provide a clear point of contact and are accountable for adequate and appropriate HA. Clusters create partnerships between international humanitarian organizations, national and local authorities, and civil society. Effective coordination and information sharing among the different clusters must occur for the work of the different clusters to be integrated into a coherent, overall response, while avoiding unnecessary duplication and overlap among the sectors. Not all humanitarian actors take part in the cluster approach. With the aim of preserving their independence, some humanitarian organizations are not formal members of the clusters but will however ensure an operational dialogue with relevant clusters and their members.[20]

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[18] For more information see Humanitarian Response Review 2005 (interagencystandingcommittee.org).
[19] For more information see paragraph B.16.
[20] The ICRC for example will not participate as a member of the UN clusters but will often attend their meetings as an observer and ensure an operational dialogue.
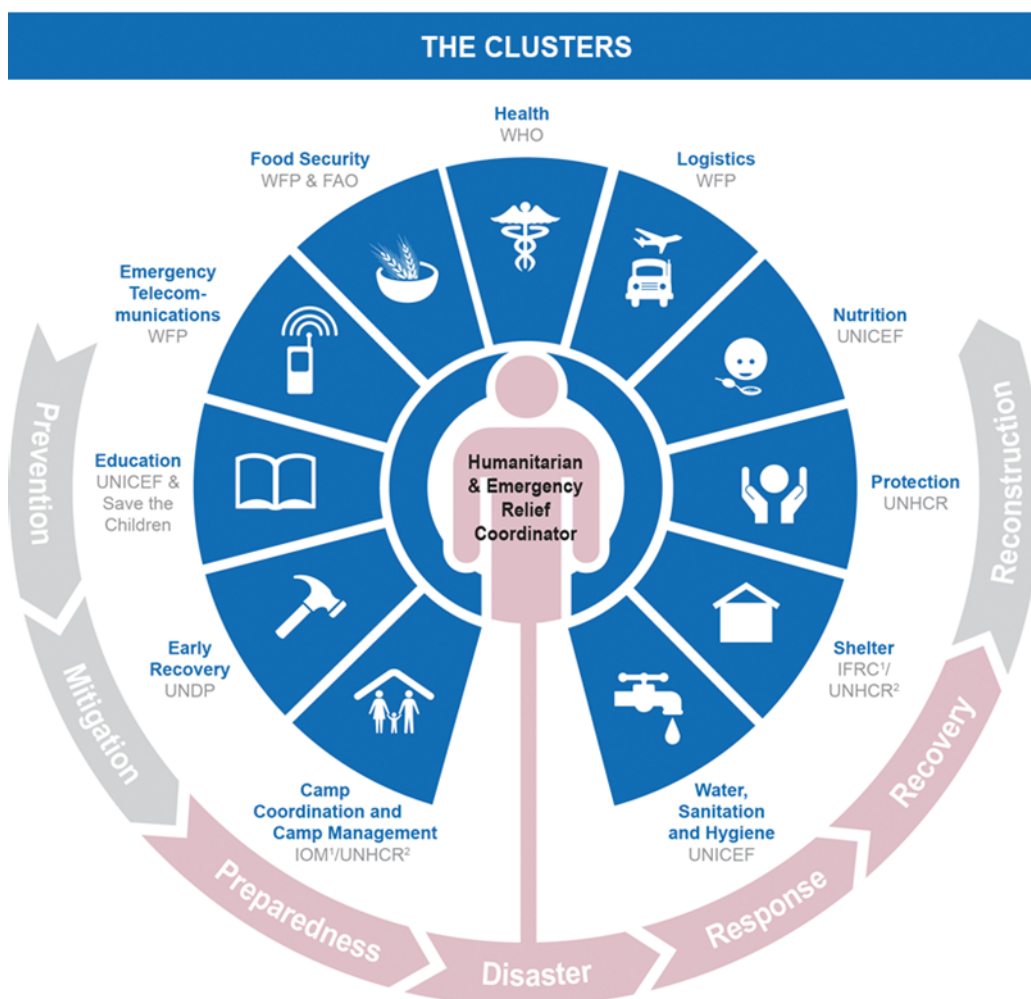
Figure 1-2. Global cluster leads

d. At the global level, clusters have been established in 11 key areas with assigned cluster leads (See Figure 1-2).[21] At the country level, clusters can be established for any situation where humanitarian needs are of sufficient scale and complexity to justify a multi-sectorial response with the engagement of a wide range of international humanitarian actors.

e. Efficient military contribution to HA requires military participation or interaction with the respective clusters. Depending on the OE the requirements for a perceived distinction between humanitarian actors and the military, and approval from the co-ordinating authority, NATO-led forces may interact with the cluster directly, by participating in its meetings, or indirectly through OCHA representatives.

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[21] The source for this figure is the Humanitarian Response website.

1.17 **OCHA coordination**

a. OCHA's mission is to coordinate the global emergency response to save lives and protect people in humanitarian crises. OCHA advocates for effective and principled humanitarian action by all, for all. It should be noted that, while OCHA is the UN lead, some HA actors will not recognize UN primacy, although in practice they are likely to co-ordinate efforts to some degree.

b. OCHA coordinates humanitarian responses to expand the reach of humanitarian action, improve prioritization and reduce duplication, ensuring that assistance and protection reach the people who need it most. Through critical situational and gender-responsive analysis, OCHA provides a comprehensive picture of overall needs and helps a diverse set of actors achieve a common understanding of the humanitarian context and a collective plan for the response. By doing so, OCHA influences timely decision-making to support a more effective humanitarian response and emergency preparedness. OCHA's key role in other functional areas, such as humanitarian financing, helps to enhance its coordination role.

c. Humanitarian coordination seeks to improve the effectiveness of humanitarian response by ensuring greater predictability, accountability and partnership. OCHA is leading the international community's efforts to develop a better architecture for the humanitarian system, including strong in-country humanitarian leaders; representative and inclusive Humanitarian Country Teams; an effective and well-coordinated framework within which all humanitarian organizations can contribute systematically; and predictable funding tools.

d. OCHA plays a key role in operational coordination in crisis situations. This includes assessing situations and needs; agreeing common priorities; proposing and developing common strategies to address issues such as negotiating access, mobilizing funding and other resources; clarifying consistent public messaging; and monitoring progress.

e. OCHA's role is to support the leadership of the HC and to ensure effective coordination, including strengthening the cluster approach, data and information management, and reporting.

f. By ensuring that the right structures, partnerships and leaders are supported, OCHA and its humanitarian partners can better prepare for and more effectively coordinate humanitarian situations.

g. OCHA serves as the secretariat for critical inter-agency coordination mechanisms such as the Inter-Agency Standing Committee, rapid-response tools, such as the United Nations Disaster Assessment and Coordination system, and the International Search and Rescue Advisory Group. OCHA also promotes efficient interaction between civilian and military actors in humanitarian operations,

bridges gaps in environmental emergency management, and maps global emergency relief stockpiles on behalf of the whole humanitarian community.

h.   The key to effective response is the state of preparedness in advance of a crisis. OCHA promotes the value of preparedness in lessening the impact of disasters on vulnerable communities, especially in disaster-prone countries. OCHA works with national governments, regional bodies and other agencies on implementing and testing measures that help save lives in an emergency. OCHA also provides tools such as contingency planning, hazard mapping and early warning reports.

i.   To determine the configuration of OCHA's field operations around the world, OCHA regularly reviews its field presence against a set of standard criteria to determine when to establish, scale up, downsize or close operations. These criteria include the scale and intensity of the crisis, the number of people in need and their location, the size of the country and access constraints, the number and presence of humanitarian actors, the size of the humanitarian appeal and the capacity of national actors to provide assistance. Country office operations in complex crises often have higher operational costs, as they require special security measures and multiple sub-offices to ensure access to people in need.

j.   Working through its regional and country offices, OCHA deploys staff at short notice to emergencies. It also supports several surge-capacity mechanisms and networks that enable the broader humanitarian community to respond rapidly to disasters and conflicts.[22]

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[22] For more information see OCHA's official site at https://www.unocha.org.

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Chapter 2 – Military activities in support of humanitarian assistance

2.1   **General**. Humanitarian Assistance (HA) is conducted in response to natural and human-made disasters that have caused widespread human suffering. HA activities conducted by NATO-led forces are limited in scope and duration and are conducted in a supporting role to larger multinational efforts. HA is conducted at the request of the HN or the agency leading the humanitarian efforts; it may be either in the context of an ongoing operation, or as an independent task. Normally, military forces work to create the conditions in which these other agencies can operate more freely and effectively, bearing in mind the desire to maintain distinction between military and humanitarian actors. NATO military activities may support short-term tasks such as relief supply management and delivery or providing emergency medical care. However, support could be expanded to other activities (e.g. debris cleaning) aimed to support the relief of the stricken HN. NATO has military assets (e.g. aircraft, helicopters, ships, ground vehicles) necessary to transport food and shelter provided by humanitarian organizations to those in need in isolated locations. Military engineers also are able to build bridges to places that would otherwise be impossible to reach. Military activities could also take the form of advice and selected training, assessments, and providing human resources and equipment. Other missions might include command and control, logistics, medical, military engineering, communications, and the planning required to initiate and sustain HA. Specific types of military support to HA include:

- disaster relief;
- support to refugees, returnees, stateless people, internally displaced persons and asylum-seekers;
- technical assistance and support;
- Chemical, Biological, Radiological, and Nuclear Consequence Management (CBRN CM);
- public security.

2.2   **Disaster relief**. Disaster relief (DR) is the organized response to render assistance to those affected by a disaster. It requires rapid reaction, and often includes services and transportation, rescue and evacuation of victims, the provision of food, clothing, medicine and medical services, temporary shelter, technical assistance, and repairs to essential services. DR is one of the most prevalent types of HA. The responsibility for effective disaster response rests with the stricken nation. However, where the magnitude of the disaster exceeds the national response capability, there may be a need for international assistance.[23]

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[23] NATO policy on military support for disaster relief operations is outlined in MC 343/1, NATO Military Assistance to International Disaster Relief Operations (IDRO).

a. DR is primarily a responsibility of local civil authorities, possibly supported by IOs and NGOs. Distribution of relief supplies is the responsibility of the UN, other IOs, and NGOs because of their charters, expertise, and experience. However, when the civilian relief community is overwhelmed, NATO-led forces may be requested to assist in distributing these supplies.

b. For DR operations conducted in the Euro-Atlantic Partnership Council (EAPC) geographic area, a Euro-Atlantic Disaster Response Coordination Centre (EADRCC) has been established at NATO headquarters (HQ) with staff from a limited number of NATO and PfP countries. It is also open to representatives from the UN and other IOs and NGOs. It coordinates, in close consultation with the Office for the Coordination of Humanitarian Affairs, the response of the EAPC to a disaster occurring within the EAPC geographical area. The EADRCC is discussed in detail in Annex A of this publication.

c. NATO's immediate military support to DR may include any or all of the following:

(1) The involvement of the Allied movement coordination centre (AMCC) to provide advice and assistance on the coordination of national military lift capabilities.[24]

(2) Consideration of provision of storage capacity, complete with materiel handling equipment, in suitable NATO infrastructure facilities (in accordance with established Infrastructure Committee procedures).

(3) The provision of staff assistance to cluster leads and other non-NATO organizations in their planning processes.

2.3 **Support to civilians**. The purpose of support to civilians is to provide the primary means of survival for large groups of people who have left their home or place of habitual residence. These are refugees, returnees, stateless people, internally displaced persons (IDPs) and asylum-seekers. IDPs, are often wrongly called refugees; however, unlike refugees, IDPs have not crossed an international border to find sanctuary but have remained inside their home countries. Even if they have fled for similar reasons as refugees (armed conflict, generalized violence, human rights violations), IDPs legally remain under the protection of their own government - even though that government might be the cause of their flight. As citizens, they retain all of their rights and protection under the human rights aspects of international law.[25]

a. The United Nations High Commissioner's Office for Refugees (UNHCR) is mandated by the UN to lead and coordinate international action for the worldwide

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[24] MC 500/2 *NATO International Peacetime Establishments*, ANNEX E describes AMCC "NATO's principal capability to interact with non-NATO nations and organizations, EU, UN, IOs and civilian agencies to coordinate movements in support of humanitarian operations."

[25] In compliance with the 1951 Convention Relating to the Status of Refugees modified by the 1967 protocol Refugees are entitled to a specific legal status. For specific information on IDPs see the UNHCR *Handbook for the Protection of Internally Displaced Persons*.

protection of refugees and the resolution of refugee problems. UNHCR's primary purpose is to safeguard the rights and well-being of refugees and IDPs.[26] In its efforts to achieve this objective, UNHCR strives to ensure that everyone can exercise the right to seek asylum and find safe refuge in another state and to return home voluntarily. By assisting refugees to return to their own country or to settle permanently in another country, UNHCR also seeks lasting solutions to their plight. UNHCR´s original mandate does not specifically cover IDPs, but because of the agency´s expertise on displacement, it has for many years been assisting millions of IDPs and stateless persons, more recently through the "cluster approach". Under this approach, UNHCR has the lead role in overseeing the protection and shelter needs of IDPs as well as coordination and management of camps.

b. The International Organization for Migration (IOM) is an intergovernmental organization that provides services and advice concerning migration to governments and migrants, including internally displaced persons, refugees, and migrant workers.[27] In September 2016, IOM became a related organization of the United Nations. IOM is the principal intergovernmental organization working in the field of migration. IOM's stated mission is to promote humane and orderly migration by providing services and advice to governments and migrants. IOM works to help ensure the orderly and humane management of migration, to promote international cooperation on migration issues, to assist in the search for practical solutions to migration problems and to provide HA to migrants in need, be they refugees, displaced persons or other uprooted people. The IOM Constitution gives explicit recognition to the link between migration and economic, social and cultural development. IOM works in the four broad areas of migration management: migration and development, facilitating migration, regulating migration, and addressing forced migration. Cross-cutting activities include the promotion of international migration law, policy debate and guidance, protection of migrants' rights, migration health and the gender dimension of migration.

c. NATO military support may largely amount to providing security or an overall security framework to these 'camps'. Dislocated civilian support may also include assistance for camp organization, basic construction and the administration of care (food, supplies, medical care, and protection) or support to movement or relocation to other countries, camps, and locations. However, the presence of military, particularly with weapons, in refugee camps or IDP sites should be avoided. The civil-orientated attitude of Stability Policing (SP) and its predisposition to work with local police forces is an added value for the control of refugee camps. This measure could prevent the "militarization" of these camps

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[26] For more on refugees and IDPs, visit the UNHCR website at http://www.unhcr.org/.
[27] For more information visit website at: https://www.iom.int/.

and sites. The numbers, movement, activities, and other characteristics of dislocated civilians will vary depending on the situation, but can range from small groups to several thousand. NATO support for dislocated civilians may include providing security and protection, water and hygiene; food; shelter; fuel; transportation to safety; transportation of humanitarian aid and supplies; and medical care and emergency surgery. Security and protection have highest priority when providing HA and must ensure that refugees are protected in accordance with established international law and agreements.

2.4   **Technical assistance and support**. Technical assistance and support (especially logistics, military engineering, and communications) teams could provide both qualified personnel and deployable, mobile equipment. They may provide or enhance command and control, surveillance, mobility, movement and transportation, and survivability. Mine clearance and explosive ordnance disposal (EOD), intelligence collection, and analysis, are also the types of support that fall under this category. A military force contributing to HA may also support tasks such as disaster victim identification, communications restoration, relief supply distribution management and delivery, port operations, base operating support and emergency medical care. This technical assistance may take the form of advice and selected training, assessments, human resources, and equipment. Based on Supreme Allied Commander Europe guidance, the JFC should establish standing operating procedures regarding technical advice and assistance to the HN, IOs, and NGOs as soon as possible. The technical assistance procedures should clarify what assistance may be provided as well as the source of authority for assistance.

2.5   **Chemical, Biological, Radiological, and Nuclear Consequence Management**.[28] CBRN CM involves reactive measures taken to maintain or restore essential services, manage, and mitigate the destructive effects resulting from disasters or attacks with CBRN substances. CBRN CM is primarily a national responsibility; however, NATO supports countries in several ways. Prior to an event, NATO serves as a forum where planning arrangements for such eventualities can be coordinated among countries, therefore improving preparedness should a crisis develop. When efforts to prevent a CBRN incident do not succeed, NATO is prepared to mitigate the effects on member states, territories, and forces and if necessary, to assist partner nations as well. Providing timely information to the public is also a key component of consequence management. NATO has developed guidelines to ensure mass communication capability is available to provide coordinated warnings. Specific areas of expertise include:

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[28] CBRN Consequence Management: Measures taken under a CBRN environment to mitigate the damage, loss, hardship and suffering caused by catastrophes, disasters or hostile actions. It also includes measures to restore essential services, protect public health and safety and provide emergency relief to affected populations.

a. The International Military Staff Logistics and Resources division (IMS L&R) develops and defines policies and principles, plans and concepts on all matters concerning logistics, medical, civil preparedness, military manpower and civilian personnel functions and NATO common-funded resources. In addition, the Division is the IMS's focal point for the three resource pillars: NATO infrastructure investment, military budget and manpower. The L&R Division acts as a facilitator with nations in the Logistics, Medical and Resource Committees.

b. NATO's Joint Health, Agriculture and Food Group has developed treatment protocols for casualties following a CBRN incident and the Alliance has defined coordination mechanisms for medical evacuation capabilities and allocating and transporting victims to facilities in other countries.

c. NATO's Combined Joint CBRN Defence Task Force (CJ-CBRND-TF) is a high readiness, multinational, multi-functional force which contributes to preventing the proliferation of weapons of mass destruction (WMDs) and their means of delivery, protects the Alliance from CBRN incidents, and supports the Alliance recovery from a WMD attack or CBRN incident. Subject to North Atlantic Council approval, the CJ-CBRND-TF may be employed to perform CBRN consequence management in support of civil authorities. MILENG is able to support CBRN defence by providing resources such as EOD capabilities, the construction and maintenance of expedient facilities for decontamination sites, search and extraction in a CBRN environment, environmental protection measures, and collective protection.

2.6 **Recovery.** Recovery operations[29] involve providing additional relief measures and initial restoration tasks. Joint force commanders should understand that it is not their mission to rebuild the nation, but rather to contribute to the overall recovery by establishing and maintaining a secure and stable environment and to support the re-establishment of basic services. In the short term, quick-impact projects can be beneficial, but JFCs should ensure that such efforts support the comprehensive approach to the overall DR operation. When NATO-led forces have assumed responsibility for civilian functions, such as the provision of power, or the safe operation of an airfield, regardless of how this responsibility was acquired, responsibility must eventually be transferred to the appropriate civilian organizations. This should be done as soon as possible and coordinated well prior to terminating this support, to ensure that any disruption of services will not have an adverse impact on relief and recovery activities.

a. Recovery operations involve the coordination and implementation of measures intended to mitigate the damage, loss, hardship and suffering caused by a natural, accidental or deliberate event. Recovery operations include measures to

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[29] Such operations should not be confused with the recovery of personnel in a hostile environment which has been addressed in AJP-3.7.

restore essential capabilities and protect health and safety. Effective recovery operations may require the coordination of the activities of a number of disciplines including, but not limited to MILENG, security, law enforcement, medical, logistics, safety, decontamination, transportation, communications, and strategic communications (StratCom). Recovery operations include all necessary steps to restore a maximum operational capability after an incident has been contained.

b. Essential to recovery is the reestablishment of a life support infrastructure capable of providing such facilities as food, water, shelter, fuel and other means of self-support, sustainment, and the respect of human rights. Such operations could involve the digging of wells; the reconnection of water and electricity grid systems (where they exist); repairing schools, hospitals, and a communications network.

c. Identifying and minimising risks. In non-conflict natural disasters, military provision of humanitarian assistance and early recovery tasks (including Quick Impact Projects) is commonplace. However, in unstable or conflict-affected environments, such military provision carries real risks of 'militarizing the humanitarian space' (see 1.13), or exacerbating existing conflict drivers. For example, if it is too insecure for civilian agencies to operate, it is unlikely that military forces will be able to conduct the political analysis, participatory selection and delivery, and monitoring and evaluation related to recovery interventions, required to avoid exacerbating (or even creating) conflicts between communities, and enabling corruption. This in turn may undermine popular support for the mission and the authorities it might be supporting, and bolster support for opponents. As such, any decision to utilise military forces to deliver HA or early recovery QIPs must be based on a thorough analysis of the political and conflict impacts of proceeding/not proceeding, conducted in consultation with civilian agencies, HN authorities and local populations.

2.7 **Provide security**. NATO-led forces may be required to establish and maintain conditions for the provision of HA by organizations of the humanitarian community. The delivery of humanitarian relief supplies often depends on the HN having secure serviceable ports, air terminals, roads, and railways. In some cases, however, the HN will not be able to meet these conditions and may request assistance from NATO nations. Once the movement of supplies commences, secure areas will be needed for storage of relief materials until they can be distributed to the affected population. Other specific tasks may include protecting convoys, depots, equipment, shelters for dislocated civilians, and the workers responsible for their operation.

a. Even in a permissive environment, NATO-led forces can expect to encounter banditry, vandalism, looting and various levels of violent activities from criminals or unruly crowds. The forces of individual NATO nations and partners must be trained and equipped to mitigate security threats to their personnel, resources,

facilities, and critical information. In addition to security, NATO-led forces may also be tasked to provide protection for other personnel and assets. NATO-led forces may also be tasked to contribute to HA with Stability Policing (SP) to improve internal security through reinforcement and/or temporary replacement of the indigenous police forces.[30] If not clearly stated in the mission, the extent of this security should be addressed in the rules of engagement (ROE), to include protection of forces of other nations working jointly with NATO-led forces; IO and NGO personnel and equipment; HA recipients; HN personnel and assets; relief distribution centers; stocks of HA supplies; and hospitals and medical clinics.

b. When HA is conducted in an area torn by war or civil strife, security missions may include removal of booby-traps, mine-clearing, and other ordnance disposal efforts consistent with national caveats. Regardless of the environment, security must be factored into force requirements and support capability. In HA operations, sustainment forces will require a substantial amount of troops to protect unit and individual property.

c. The IASC '*Non-Binding Guidelines on the Use of Armed Escorts for Humanitarian Convoys*' (Armed Escorts Guidelines) underline the general rule that humanitarian actors will not use armed escorts. It is indeed an important matter of perception of their neutrality. The Guidelines lay out the minimum requirements for the exceptional deviation from this general rule, together with the process to request and prepare for their exceptional use.[31]

2.8 **Public security and police support**. NATO-led forces could be called on to contribute to tasks related to public security and police support. Police support contributes to the restoration or upholding of public order and security, rule of law and the protection of human rights to enable the development of a sustainable peace. Implementation of a civil plan in response to a crisis may require international community and/or the military to establish a safe and secure environment to this implementation. Stability Policing[32] (SP) is well suited to support the establishment and maintenance of a safe and secure environment, filling the security gap in support to HA. This commitment may include securing critical infrastructure, controlling the movement of refugees, stateless people, internally displaced persons and asylum-seekers on routes, technical assistance and support to HN police. In this framework SP activities are intended to reinforce or temporarily replace the indigenous police in order to contribute to the restoration and/or upholding of the public order and security, rule of law and the protection of human rights. Military support to public order will

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[30] For more on stability policing see AJP-3.22 *Allied Joint Doctrine for Stability Policing*.
[31] Guidelines on the Use of Armed Escorts Guidelines on the Use of Armed Escorts for Humanitarian Convoys – IASC Non-Binding Guidelines (2013).
[32] Stability Policing is performed by Gendarmerie-Type Forces, Military Police, other military forces and non-military actors with specialized capabilities. For more on Stability Policing see AJP-3.22, for more on Military Police, see AJP-3.21.

depend entirely on the mission and the residual local law enforcement and judicial capability. The HN law enforcement agencies are primarily responsible for civil law and order, but the military might need to provide initial support if they are the only organization that can ensure credible public security. This may include temporarily providing support to civil law enforcement functions which could span both military and civilian authorities and responsibilities. SP activities contribute to enable the development of a sustainable peace, through strengthening the indigenous police forces.

Chapter 3 – Planning considerations

3.1 **General.** Humanitarian assistance (HA) may be executed as military support to a humanitarian operation or simultaneously with other types of operations. Joint Force Commands (JFCs) conducting concurrent HA activities must develop objectives and assessment criteria that are complementary to simultaneous operations. Additionally, JFCs must be cautious not to commit forces to projects and tasks that go beyond the tasked HA activities or duplicate the efforts of others. To the greatest extent possible, medical personnel sent to the HN should be able to communicate medical concepts in English and/or in languages spoken locally or by much of the affected population.

3.2 **Joint civil-military assessment for disaster relief**

a. Despite the urgency in HA operations, it is necessary to conduct a joint civil-military assessment. Assessments should be conducted on-site when possible, and with the main actors involved in the HA efforts to ensure adequate planning and force generation, particularly when local authorities are rendered ineffective by the disaster. Should the military be required to assist in providing services such as food, water and medical care, these tasks should transition from military to civilian responsibility as soon as possible. The plan to transition from military support to civil authorities is a vital component of planning HA operations because it ensures continuity, quality of care, and enhances credibility. These tasks and activities seek to maintain or re-establish a safe and secure environment and provide essential governmental services, emergency infrastructure reconstruction, or humanitarian relief. Support might include, but is not limited to:

- logistics;
- transportation assets;
- emergency medical or personnel evacuation;
- port management and air or sea traffic control;
- reinforcing local security, reconstruction efforts including activities such as digging of wells, debris removal, and building repair;
- reinforcing or temporarily replacing, training and mentoring of local police and/or security forces;
- maintaining public services including telecommunications for disaster or civil relief;
- supporting public administration in coordinating HA including air traffic control and DR centres, or providing security for individuals, populations, or key facilities.

A NATO contingent deployed on HA operations should include the capacity to communicate with the HN in their home language(s) as these language skills are

an imperative precondition for an effective cooperation. Sufficient available interpreters may compensate for deficiencies.

b.　The following are factors that can aid in assessing the disaster situation:

(1)　What are the status and intent of HN security providers including law enforcement agencies?

(2)　Who are the relevant governmental and non-governmental actors in the joint operations area? What are their objectives? Are their objectives at odds or compatible with the JFC's objectives?

(3)　What resources exist locally (e.g. government and private sector) that can be procured or rehabilitated?

(4)　Who are the key communicators (persons who hold the ear of the populace) within the joint operations area?

(5)　What is the status of essential public services? Current status and pre-disaster status by comparison?

(6)　What is the status of health care providers, firefighters, police, and court systems? Include availability, level of expertise (skilled labourers), equipment, and supplies.

(7)　What relief agencies are in place, what are their roles and capabilities, and what resources do they have?

(8)　What is the physical condition of the civilian populace?

(9)　Where are the medical facilities; are they operational, and to what level?

(10)　What are the unique shelter, food, and security needs of the people – and of particularly vulnerable groups from within the population (including but not limited to women and children) - and to what extent is support available from within the affected country?

(11)　What facilities and support are available to HA forces from the affected country?

(12)　What unique social, ethnic, or religious concerns affect the conduct of the operation?

(13)　What are the legal limitations to NATO assistance in this case?

(14)　What is the local population's attitude toward who or what is causing their plight?

(15)　What is the local population's attitude toward the presence of NATO-led forces?

(16)　What are the force requirements to protect the force?

(17)　What is the status of the host strategic transportation infrastructure? Are available seaports and airfields in usable condition? What is the status of materiel handling equipment (MHE)? Are connecting roads and railroads usable?

3.3 **Command and control**. AJP-3(C) *Allied Joint Doctrine for the Conduct of Operations* outlines the NATO command and force structure to be used on operations. HA operations may require NATO to work closely with the HN, NGOs, IOs and non-NATO militaries. Commanders should, as part of their estimate, take into account these relationships in order to promote a comprehensive approach to the operation. In particular, they should note that in HA operations it is rare for the military to be the lead organization or agency and that the HN, UN or other appointed organization may have primacy.

3.4 **Military engineering**. Military engineering[33] (MILENG) is an operational function that can shape the physical operating environment and complements existing civil engineering capabilities. Typically, it includes MILENG support to mobility; management of infrastructure (develop, maintain and improve - including contracted civil engineering); advice on hazardous materials and areas affected by explosive remnants of war, liaison with national authorities, IOs, and NGOs; and support to refugees, returnees, stateless people, internally displaced persons and asylum-seekers. MILENG capabilities are well suited to HA tasks and the level of assistance can vary from small, highly specialized teams to complete engineer units. All initial military assessments and site surveys should include a MILENG representative. Small teams may be used to assess damage or estimate engineering repairs, and can assist in specialized support, such as power supply and distribution, utilities repair work, water purification, and well drilling activities. In large-scale HA operations, MILENG may provide essential civil, electrical, and mechanical engineering support including facility construction, structural repair, debris clearance, emergency repairs to restore utilities, camp construction for deployed forces and IDPs and dislocated civilians, and consequence management.

3.5 **Environmental protection**. The Force respects and safeguards the fundamental right to life and physical integrity of the individual human being. Together with purely military protection like FP, occupational safety and health protection environmental protection (EP) is essential to missions in the sense of a comprehensive protection of the life and health of the deployed personnel. Thus, EP helps maintaining the operational readiness of own or allied forces. Neglecting environmental concerns, especially in operational and tactical planning, generally leads to higher risks in terms of the operational readiness mission accomplishment. Furthermore- a neglect of EP impaires the combat value of the deployed force. Environmental protection refers to the totality of all measures taken to preserve the natural foundations of life. These measures are aimed both at preventing harmful effects on the animate and inanimate environment. Environmental protection thus refers to the treatment and consideration of environmental concerns that may arise in the conduct of military operations and is

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[33] For more on MILENG support see AJP-3.12, *Allied Joint Doctrine for Military Engineering*.

particularly focused on protecting force-members as well as the civilian population from environmental hazards.

3.6   **Transportation support.** NATO can contribute transportation resources to an affected area. Air transport is among the most responsive elements. Urgent humanitarian aid can be delivered via tactical air transport without the need for significant host nation support. This can include airdrop to reach areas that are inaccessible by land due to either natural or political reasons. For longer-term HA operations, the use of military air transport requires planning, infrastructure and adequate resources including personnel and materiel handling equipment (MHE). Amphibious warfare ships provide unique capabilities to access beaches in cases where port facilities have been damaged or are under control of hostile forces. Planners need to consider in advance and request not only air transport, but the corresponding command and control element, airport, and maintenance capabilities which may be required at the receiving airport. In general, a critical component of a proactive strategy to respond to such events is theatre-wide civil-military aviation enterprise development which seeks to improve the overall aviation infrastructure capable of hosting HA operations.

3.7   **Medical support**. The primary purpose of the JFC's medical support is to save lives and provide immediate relief and urgent aid during and after disasters and crises. In support of HA, NATO-led forces could be tasked to provide health services and medical support including aeromedical evacuation, emergency assessment and treatment (acting as referral facility to HN, humanitarian organizations, other non NATO forces and contractors who may have the capacity or unique critical care capabilities required), surgical care including mobile surgical teams, larger expeditionary medical capabilities, advising on hygiene and preventive medicine, and other life-saving medical assistance in cooperation with military and civilian agencies. All initial military assessments and site surveys should include a team of suitably qualified and experienced medical representatives, led by a senior military doctor/clinician, ideally with cultural knowledge, and language (or access to unbiased effective interpreter services) of the country or region affected, to provide an accurate evaluation of the extant health of the population and healthcare services (specifically medical logistics i.e. equipment and supplies) available on the ground. The early engagement of NATO military medical planners with NGO's, HN, other Military Treatment Facilities (MTF) and contractors to the planning and coordination process is essential to identify areas of highest evidence based clinical need to maximise use of scarce resource. This planning and coordination process should also include aeromedical evacuation specialists, logisticians, contractors, finance and liaison personnel to coordinate the airlift requirements and patient rotary and road movement. Medical planning during HA should also consider the full spectrum of diseases and pre existing health of the affected population, specifically vulnerable groups such as infants, pregnant women and the elderly. Planners should note that

military medical facilities may not routinely hold the capability to deal with all elements of a general population and so specialist possibly contracted augmentation may be required e.g. paediatrics or geriatrics. It should be considered that emergency services, as well as relatives and victims may also require psychological support. NATO forces should be prepared to assist with/facilitate psychological support as cultural and language barriers permit.

3.8   **Strategic communications considerations**. Strategic communications[34] (StratCom) should be a priority for mission planning, decision-making, and execution to ensure activities (including messaging and engagement) are coherent with NATO objectives, and to ensure actions match the stated intent. HA is likely to take place under an intensive international media and diplomatic spotlight and in an environment that is likely to be characterised by the presence of multiple actors such as the UN, EU, local agencies or NGOs. As such, NATO's StratCom approach will identify and inform a variety of audiences, some with differing interests and priorities, of the scope and intent of NATO's mission, to ensure that there are no misunderstandings about NATO's mandate and level of responsibility. In addition some audiences may be encouraged not to interfere with NATO efforts or to assist with HA activities as appropriate. Therefore, NATO StratCom should be harmonized, both internally amongst troop contributing nations, and, where possible, externally with that of the UN, local actors, or other lead international organizations to preserve essential relationships and ensure coherence and unity of purpose in achieving objectives.

a.   NATO-led forces will interact with the media at all levels and will receive StratCom plans and public affairs guidance from their higher NATO Headquarters. A proactive and well-executed engagement with the media is essential for operations in support of HA efforts.

b.   All activities in the information environment must be well coordinated within the Alliance's military arm vertically through all levels of command and horizontally with national armed forces and other organizations working in parallel with NATO. The NATO Spokesperson/Assistant Secretary General for Public Diplomacy on behalf of the Secretary General will provide detailed day-to-day media relations and messaging guidance on NATO communication through the chain of command. Effective PA support to commanders, including organizational spokespersons, requires that military PA be fully integrated into the operations planning process at all NATO HQ, at the earliest possible stage and continuously coordinated with all other NATO information and communication disciplines. The success of a HA effort could be heavily influenced by global perceptions on the responsiveness and effectiveness of NATO efforts and NATO HA efforts are likely to generate intense international media interest. Operations planning should consider strategic communications requirements and include qualified personnel

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[34]   For more on StratCom see AJP-10, *Allied Joint Doctrine for Strategic Communications* and MC 0628.

and capabilities in HA operations and activities. The communication capabilities can provide an official visual record (video and photograph) of HA operations. In instances when media are unable to embed with NATO-led forces, it is important that the military gather imagery and footage for public distribution.

c. A key part of Information Operations in HA will be effective monitoring and assessment of the effects of integrated activities. An accurate assessment provides the Joint Force Commander and their staff with critical information with which to make decisions and adjust planning.[35]

3.9 **Legal considerations**. Appropriate status of forces agreements (SOFA) governing the presence and activities of NATO forces in the HN should be developed. Some recent additions to the membership of NATO framework nations may have addendums to the SOFA. Typically, military personnel are subject to the laws and military jurisdiction of their respective countries. Military contribution to HA is normally constrained within the framework of NATO member and participating partner nations' laws. A clear understanding of national caveats declared to the NATO rules of engagement (ROE) by contributing militaries can be critical to operational success. NATO-led forces operating in non-NATO states are not exempted from HN jurisdiction unless otherwise provided for in appropriate legal instruments. Such provisions should be clarified by NATO authorities if possible before the start of the HA operation. Many aspects of HA require scrutiny by legal experts. They should review and assist in preparing SOFAs, ROE, operation plans, operation orders, and especially any agreements or memoranda of understanding established between NATO-led forces and the affected country or non-military organizations involved in HA.[36]

3.10 **Electronics, communications and frequencies**. The Tampere Convention established procedures for the request, provision and conditioning, payment of reimbursement, and termination of telecommunications assistance.[37] The International Telecommunications Union Focus Group on Disaster Relief Systems has established procedures that will be taken into account for planning and execution purposes. These can be useful guidelines for the provision of this kind of international support to HA. It is important that the international assistance operation should be granted access to communications by radio (including satellite, mobile and handheld radio), telephone, internet, facsimile or any other means, and of establishing the

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[35] Monitoring and assessment in Information Operations is covered in more detail in AJP-3.10, *Allied Joint Doctrine for Information Operations*.

[36] Including NATO Standards of Behaviour. Annex B of Bi-SC Directive 40-1 (8 Aug 2012).

[37] The Tampere Convention is a multilateral treaty governing the provision and availability of communications equipment during disaster relief operations, particularly concerning the transport of equipment over international boundaries by radio amateurs. It was adopted in Tampere, Finland in 1998 and went into effect on 8 Jan 2005. A total of 60 Nations signed the convention and 49 have ratified it. For more on this, visit the United Nations Treaty Collection homepage at:https://treaties.un.org.

necessary facilities to maintain communications with and within the locations of the international assistance operation, including the provision of radio frequencies upon entry by the requesting nation to the assisting nations/international organizations. IOs and NGOs may utilize social media to inform affected civilian populations, coordinate humanitarian efforts, and mitigate the effects of the disaster on the populace.

a. Strict adherence to spectrum management national regulations by all relief agencies (military and civilian) is critical to avoid electromagnetic interference which could hamper the relief effort or impact HN emergency services communications. In complex emergencies, where there is a considerable breakdown of authority, NATO-led forces may be requested to provide spectrum management based on the International Telecommunications Union procedures for HA situations.

b. The HA plan should include procedures to provide interoperable and compatible communications among participants. Commercial telephone networks, military satellite channels, and conventional military command and control systems will support communication of directions, orders, and information. Commercial communications systems can be used to coordinate with other agencies, disseminate meeting schedules, deconflict resource movement, and track logistic flow. Information protection for non-secured communications must be implemented. Additionally, communications systems planning must consider the termination or transition of NATO involvement and the transfer of responsibility to other agencies such as the UN or NGOs.

3.11 **Inter-organizational considerations**. HA should be synchronized amongst organizations and regional authorities. There is also a requirement to develop agreed cross-organization procedures although it must be recognized that many organizations will resist any perceived encroachment on their own freedom of action. It is essential that humanitarian organizations retain independence of action to preserve the impartiality of their work, as well as perceptions of such. Where appropriate, liaison officers will be exchanged and communication means will be established between civilian and military actors. It should be anticipated that NGOs and IGOs might have a different overall understanding of the role of NATO forces and a different terminology with respect to HA operations. It is important to agree terminology to be used in intra-organizational and public communications and on NATO's role as soon as possible. As discussed in chapter 1, identification of and engagement with OCHA representatives and the proper international cluster organizations will ease the coordination of activities with civilians.[38] Periodic planning and coordination meetings are the keys to success. Applicable reports, assessments, and other information should be exchanged frequently. JFC should anticipate the need to exchange information with non-NATO states, to include the HN, as well as

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[38] For more on this subject see Annex B of this publication or visit http://www.unocha.org.

IOs and NGOs by avoiding over classification and "writing for release" to the extent it does not impact operations security.[39] Reluctance from humanitarian actors to share information with the military in adherence with the humanitarian principles should also be anticipated; therefore, alternative methods must be identified to ensure adequate situational awareness is available to the actors involved such as web based read only sites or the use of mutually trusted interlocutors.

3.12 **National information considerations**. Responsibility for explaining national defence and security policy and each member nation's role within the Alliance rests with the individual member governments. The choice of methods to be adopted and resources to be devoted to the task of informing their publics about the support to HA varies from nation to nation and is also a matter for each member nation to decide. Guidance for disclosure of national information rules should be pre-coordinated and incorporated at the operational level to ensure operators can support the crisis and meet security compliance. Based on the *Budapest Guidelines III*,[40] the requesting nations should make use of media to communicate with the public in co-ordination with the international relief personnel. The teams provided by assisting nations should coordinate all their media-related actions with the local emergency management authority. Synchronizing these (media-related) actions with the civil authorities (usually HN) is critical to ensuring that communication activities do not undermine or conflict with the efforts of the civil authorities, prevents dissemination of conflicting information that could worsen the situation, and substantiates the legitimacy of multinational efforts.[41]

3.13 **Transition and termination**

   a. Humanitarian agencies must avoid becoming dependent on resources or support provided by the military. Any resources or support provided by the military should be, at its onset, clearly limited in time and scale and include a transition plan that defines clearly how the function it undertakes could, in the future, be undertaken by civilian personnel/means. Resources provided by the military are often only temporarily available and when higher priority military missions emerge, such support may be recalled at short notice and without any substitute support.

   b. A handover/transition plan should be considered from the earliest stages of planning and should be included as a factor for consideration in all subsequent planning activities to ensure that the long-term objectives are routinely reviewed and adhered to. Transition planning is an active part of the planning effort that develops as conditions allow. JFC planners conduct requests for information and

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[39] Release of NATO classified information to non-NATO entities is framed by AD 70-1, ACO security directive and AJP-3.10.2, *Allied Joint Doctrine for Operations Security and Deception*.
[40] *A Practical Guide to Public Information during a Crisis* (*Budapest Guidelines III*), NATO Civil Preparedness Civil Protection Group (2017).
[41] For more details see AJP-3.19.

seek feedback from teams on the ground and from decision makers to determine when it is appropriate and necessary to begin execution of or change the transition plan. Failure to properly plan and execute handover/transition may seriously imperil the achievements and long-term success of the mission resulting in lost opportunities to stabilize changes and innovations.

3.14 **Logistic sustainment**

a. HA operations may take place inside Supreme Allied Commander Europe area of responsibility or beyond it. In all circumstances, a memorandum of understanding (MoU) between actors (NATO and the state where the HA operations is going to happen) needs to be in place at the start of, or early in, the operation. Options for international cooperative logistics and the availability of Host Nation Support (HNS), as well as Contractor Support to Operations will have to be determined during the planning process and will form a significant part of the establishment of MoUs and related frameworks.

b. HA operations are characterised by very short-notice requests for assistance; NATO forces must be prepared to respond. To optimise the logistic plans and use of specialist capabilities, collaborative planning between nations and NATO will be required.

c. At the operational level Commander Joint Task Force's J4 will be responsible for developing and maintaining the Recognized Logistics Picture (RLP), including the HA logistics requirements and providing different level of support based upon the operational requirements. There will be a requirement for coordination and execution of theatre-level logistic support using assigned units, host nation (HN) and/or commercial resources.

d. The staff monitor and evaluate the situation closely and plan for a range of contingencies, including a deteriorating situation and transition into an uncertain environment. Military resources will likely be required for functions such as movement, transport and medical support; security functions may also be required.

e. Multinational collaboration is a vital component of the delivery of logistic support to an HA operation, as it helps to eliminate competition for scarce resources between stakeholders, maximises economies of scale and optimises use of specialist equipment. For more on logistics, see MC 0319 NATO Principles and Policies for Logistics; MC 0526 Logistic Support Concept for NATO Response Force Operations and AJP-4, *Allied Joint Doctrine for Logistics*.

3.15 **Force protection.** Force protection[42] (FP) is a joint function and essential to all operations, including HA operations. It is likely that Nations will have differing FP

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[42] For details see AJP-3.14, *Allied Joint Doctrine for Force Protection*.

philosophies, policies, and priorities; however, the focus for FP will be similar: the physical protection of a national contingent and its supporting elements in order to enable the force to conduct its mission. Wherever possible Joint FP policy should be established, along with appropriate tactics, techniques, and procedures (TTP), to facilitate unity of effort and enhance FP measures. Commanders should pay particular attention to the presentation of their FP policies in an environment where the local populations, IOs, NGOs and other actors may share the same risks but without the resources to match the Forces' mitigations.

3.16 **Data protection.** Personal data protection is of fundamental importance for providing military contribution to HA as it is an integral part of protecting life, integrity and dignity of beneficiaries. Data protection legislation does not prohibit the collection and sharing of personal data, but rather provides the framework in which personal data can be used in the knowledge and confidence that individuals' right to privacy is respected. Technological developments and new means of communication are creating many opportunities for HA, but they also pose major risks to affected people. The International Committee of the Red Cross (ICRC)[43] provides guidance on compliance with personal data protection standards, by raising awareness and providing specific guidance on the interpretation of data protection principles in the context of humanitarian action, particularly when new technologies such as big data, biometrics or cloud services are employed.

3.17 **Cross-cutting topics**

a. NATO forces and NATO-led forces always operate in accordance with international law, which applies as 'lex specialis' across all campaign themes, but also human rights law when applicable. The respect of non-derogable human rights (such as the prohibition of torture) is, however, essential in times of armed conflicts, when there is increased risk of mistreatments, inhuman or degrading treatments or punishment. Human rights are reflected in a number of treaties such as the Universal Declaration of Human Rights, the International Covenant on Civil and Political Rights, the European Convention on Human Rights, in UNSCRs, as well as in customary law.

b. Part of NATO's institutional narrative is its commitment to ensure that the entire population is minimally impacted by conflict and disaster; in particular, military personnel have the responsibility to recognize, report and respond to human rights violations, as well as to know who to refer survivors of such violations to. To embolden the narrative, NATO has identified the following overarching topics to ensure gender integrated planning to deliver consistency of actions in support of the strategic and institutional narrative.

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[43] For more information see https://www.icrc.org/en/publication/handbook-data-protection-humanitarian-action.

c. Cross-cutting topics (CCTs) are a range of different topics which could affect the mission in a number of ways, but which fall outside of the military's primary responsibilities. Different military disciplines, branches and command levels may have to consider and deal with a variety of CCTs. CCTs have a significant impact on all missions. To date the following CCTs have been identified:

- protection of civilians (PoC);
- children and armed conflict (CAAC);
- cultural property protection (CPP);
- women, peace and security (WPS);
- conflict related sexual and gender-based violence (CRSV);
- trafficking in human beings (THB);
- sexual exploitation and abuse SEA);
- building integrity BI).

d. NATO's approach to CCTs is based on legal and political imperatives. The common denominator of all CCTs is that they overlap each other and have far reaching effects in different areas of (civil) society. They are strongly influenced by culture and require military and non-military stakeholders to work together. CCTs need to be considered throughout an operation. To do so, characteristics of CCTs need to be identified and analyzed within the context of the civil environment/operating environment.[44]

(1) **Protection of civilians**. NATO is committed to the PoC[45] in the planning and conduct of operations, missions and other North Atlantic Council-mandated activities. PoC is a cross-cutting concept relevant to all three core tasks of NATO. The PoC policy complements existing efforts in areas such as CAAC, WPS, and CRSV and gender-based Violetce.[46] NATO's approach to PoC is based on legal, moral and political imperatives and, consistent with applicable legal frameworks, NATO recognizes that all feasible measures must be taken to avoid, minimize and mitigate harm to civilians. When planning and implementing such measures, NATO should consider those groups most vulnerable to violence within the local context. NATO recognizes that, in general, girls and boys as well as women and men are affected differently by armed conflicts or crises and have different security needs, which need to be identified and addressed. A sound approach to PoC is

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[44] For more information on CCTs see Annex B of AJP-3.19.
[45] PO(2016)0407, NATO Policy for the Protection of Civilians, 10 June 2016.
[46] Sexual and gender-based violence refers to any act that is perpetrated against a person's will and is based on gender norms and unequal power relationships. It encompasses threats of violence and coercion. It can be physical, emotional, psychological or sexual in nature, and can take the form of a denial of resources or access to services. It inflicts harm on women, girls, men and boys. (Source: http://www.unhcr.org/sexual-and-gender-based-violence.html).

important for continued credibility and legitimacy, thereby applying the following conceptual framework.[47]

(2) **Children and armed conflict.** NATO ensure that children and armed conflict aspects within the framework of the UNSCR and related resolutions are considered in the planning, operations, missions, education, training, exercise and evaluation.[48] The pattern of armed conflict has led to an increased risk for civilians, and especially children.[49] The involvement of children in today's conflicts has long-term destabilizing implications for society; patterns of violence rooted in communities are passed on to younger generations, thereby threatening long-term stability and increasing the chance of renewed violence. Children, who have been victims of warfare or former perpetrators of violence, show psychosocial disturbances. Rehabilitation and reintegrating into society are challenging and very complex endeavours. The protection of children in armed conflict is an important aspect of a comprehensive strategy towards resolving conflict and building a durable peace, and as such it is a matter of peace and security.

(3) **Cultural property protection.** Beyond being a legal obligation, including by International Humanitarian Law, CPP[50] is an element of NATO's Protection of Civilians' conceptual framework.[51] CPP is particularly relevant in Understanding the Human Environment (UHE) and its protection is conducive to Mitigate Harm (MH) and Contributing to a Safe and Secure Environment (C-SASE) which are conductive to goodwill from local communities, greater acceptance of force presence and supports the return to normalcy. Deliberate targeting of CPP such as attacking and destroying societal, religious, and cultural identity, but also illegal excavations, iconoclasm, plundering or looting can be indicators of atrocities and ethnic cleansing often seeking to eradicate the evidence of a culture. They can constitute war crimes, crimes against humanity and violate applicable HN law. The destruction of CPP can generate global outrage, become a tool of Information Warfare and within hybrid warfare with possible impacts on societal resilience or the Alliance's cohesion. Illegally acquired, held, exported and traded CPP can be the source of illicit revenue for and finance the activities of irregular actors including insurgents, terrorists and criminal organizations and networks. Detecting, intercepting, seizing and redirecting

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[47] See also the NATO Military Concept on the Protection of Civilians, 20 December 2017.
[48] PO(2015)0292, The protection of Children in Armed Conflicts – Way Forward, 8 June 2015.
[49] In UNSCR 1325 the United Nations Security Council expressed concern that civilians, particularly women and children, are increasingly targeted by combatants and armed elements.
[50] For more on CPP see Bi-Strategic Command Directive 086-005 Implementing Cultural Property Protection in NATO Operations and Missions, 1 April 2019.
[51] See Military Committee Concept for the Protection of Civilians PO(2018)0227-AS1.

these resources to the HN preserves livelihoods and supports economic growth with development benefits, which transcend the sheer monetary value of the items.

(4) **Women, peace and security**. NATO recognises the disproportionate impact that conflict has on women and girls, the vital importance of ensuring women's full, equal and meaningful participation in all aspects and at all levels of peace and security, and the importance of incorporating gender perspectives in all that the Alliance does. The Women, Peace and Security agenda was launched on 31 October 2000 with the adoption of United Nations Security Council Resolution 1325 and now includes nine additional Resolutions.[52] NATO's approach to the Women, Peace and Security agenda is framed around the principles of integration, inclusiveness and integrity and vision of security must be anchored to the inclusion of women, the adoption of a gender perspective in all activities, and in upholding the highest standards of behaviour.[53] Indeed, approaches such as adopting a gender perspective – i.e. being able to detect if, when and how men and women are being affected differently by a situation or action due to their gender – should be seen by commanders at all levels as a key operational tool to increase operational effect (see section 3.18 below). In humanitarian and disaster response contexts, a particular issue of concern is that of Sexual Exploitation and Abuse (SEA). This is the abuse for sexual purposes by those in positions of power – including for example peacekeepers, aid workers and local security providers - of those in positions of vulnerability. Displacement and the imperative to access aid supplies can make women and girls in humanitarian contexts particularly vulnerable to this kind of exploitation and abuse. Forces engaged in any humanitarian and disaster relief operation should work on the assumption that SEA will be prevalent – even if evidence is not immediately apparent – and take all possible steps to counter it. Examples of such steps would include consultation with local civil society, particularly women's associations, in order to monitor the gendered context and establishing a clear protocol in reporting SEA.

(5) **Conflict related sexual violence.** NATO defines Conflict-Related Sexual Violence (CRSV) as rape, sexual slavery, forced prostitution, forced pregnancy, forced abortion, forced sterilization, forced marriage and any other form of sexual violence of comparable gravity perpetrated against women, men, girls or boys that is directly or indirectly linked to a conflict (see NATO Policy on Preventing and Responding to Conflict Related Sexual Violence, June 2021). In modern conflicts, CRSV is frequently, deliberately,

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[52] Resolutions: 1820, 1888, 1889, 1960, 2106, 2122, 2422, 2467 and 2493.
[53] According to NATO/EAPC „Women, Peace and Security Policy and Action Plan", 2018.

and strategically used to target civilians. It inflicts long-term trauma on individuals and families, destroys the social fabric of communities, triggers displacement, fuels armed actors' activities and fosters prolonged conflict and instability. When used or commissioned as a deliberate tactic of war or as a part of a widespread or systematic attack against civilian populations, CRSV can significantly exacerbate situations of instability, crisis, or armed conflict, and may impede the restoration of peace and security. It is a violation or abuse of human rights and is rooted in gender inequality and discrimination. As such, women and girls are more often affected, although men and boys are also targeted. In humanitarian situations occuring in contexts of conflict and instability, displaced persons are at particular risk of CRSV. Their requirement to move through highly insecure environments to flee violence and seek food, water, shelter and medical care state – even once housed in IDP camps – makes them highly vulnerable to targeting by both state and non-state armed actors. NATO is committed to responding to CRSV in line with all relevant United Nations Security Council Resolutions, and in accordance with the United Nations Women, Peace and Security agenda. Separate guidance exists on operational responses to CRSV, but includes; including CRSV and gender data into intelligence analysis and information collection; integrating gender awareness into planning and execution of operations, for example when considering where to situate bases; and mainstreaming gender and CRSV into mission codes of conduct and training.

(6) **Trafficking in human beings**. Times of conflict, post-conflict, disaster, and other crisis and emergency situations heighten vulnerabilities, particularly for women and children, to human trafficking and exploitation. Trafficking in human beings affects countries of origin, countries of transit and countries of destination and is closely associated with sexual and gender-based violence, terrorism and transnational organized crime. NATO recognizes trafficking in human beings as a transnational problem, requiring concerted multilateral action to be defeated and it is committed to reinforcing efforts to prevent and combat such activity.

(7) **Sexual exploitation and abuse.** Sexual exploitation and abuse constitutes an important topic within the WPS agenda and runs counter to NATO's principles and core values. When acts of sexual exploitation and abuse are committed, it undermines the professionalism and credibility of the Alliance and risks mission success. This means that preventing sexual exploitation and abuse perpetrated by one's own personnel is fundamental.

(8) **Building integrity**[54] is a key element of Alliance activities. The importance of implementing measures to improve integrity building, anti-corruption and good governance applies to NATO, allies and partners alike. The building integrity programme addresses the adverse effects of corruption on military operations. Dealing with this requires inter-agency cooperation and coordination as part of the military contribution to a comprehensive approach. Corruption is a common foe for all actors and offers an opportunity for developing a common agreed approach among the international community. Within this framework of its building integrity programme, NATO works to support Allies and partner nations to promote and implement the principles of integrity, transparency and accountability in accordance with international norms and practices established for the defence and related security sector. It also provides practical tools to help nations strengthen integrity, transparency and accountability and reduce the risk of corruption in the defence and security sector. The Military Concept for Building Integrity in Operations (BIIO) provides guidance for NATO military and civilian personnel for the implementation of building integrity in all phases of NATO led operations, missions and activities.[55] It is predominantly aimed at the strategic and operational levels, but is also applicable at the tactical level.

3.18 Gender perspective

a. Gender[56] is not a separate cross-cutting topic, rather something that is an integral part of the CCTs listed above. Gender refers to the social attributes associated with being male and female learned through socialization and determines a person's position and value in a given context. Gender roles are taught, learned and absorbed and vary between and even within cultures. In most contexts, men and boys play gender roles which hold more social, economic and political power than those of women and girls, leading to gender inequality.[57] Countries with higher levels of gender inequality are more likely to become involved in civil conflict and violence is likely to be more severe.

b. It is important to therefore consider the gender dimensions of a context in order to understand how women, men, boys and girls are affected in different ways by the conflict as well as their specific needs and capabilities, and how they are impacted by military activities.

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[54] See PO(2016)0310, NATO Policy on Building Integrity, 18 May 2016. Also, for building integrity, the Centre for Integrity in the Defence Sector under Norway's Ministry of Defence serves as the curricular Department Head.

[55] MC 0697, Military Concept for Building Integrity in Operations, 20 January 2021.

[56] The department head for delivering gender advisors training is designated as the Nordic Centre for Gender in Military Operations, a branch of the Swedish Armed Forces International Centre.

[57] For more see: https://reliefweb.int/sites/reliefweb.int/files/resources/iasc_gender_handbook_2017.pdf.

c. During NATO operations, it is important to obtain a clear understanding of the local culture, society and environment (i.e. context) which are fundamentally influenced by the culture-specific notions of gender. It is also essential to take measures to promote gender equality relevant to the operation. When understanding the local context, it is of highest importance to listen to, and take advice and recommendations from both women and men. In some cultural contexts it might be necessary to have separate consultations with women's groups. The forces must understand the cultural context within which they are operating and not simply apply their own norms, laws and behaviour. However, the distinction between international and local law, human rights and culture must be analyzed and addressed. Lessons learned indicate that a mixed gender force enhances the sharing of information and is instrumental in garnering trust and credibility.

d. Gender advisors and gender focal points are responsible for the overall implementation of a gender perspective into planning, execution and evaluation processes of military operations. Deploying gender advisory teams could support local women, promote gender equality and reduce prevalence of sexual and gender based violence and ensure adequate provision of HA.[58]

3.19 **Stability Policing**. Stability Policing (SP) can support military contribution to HA filling the security gap. SP focuses on the needs of the civil populace through supporting and, when necessary, temporary replacing the indigenous police forces, when the latter are either unable or unwilling to perform the function themselves. SP elements can operate jointly with local police forces or even alone, to monitor and contribute to re-establishing a safe and secure environment, maintaining public order, controlling the flow of displaced persons and countering criminal activities that seek to take advantage of the crisis situation.

3.20 **Military Police.** NATO-led forces may be tasked to support HA by establishing or maintaining a safe and secure environment, restoring public order and security, or reinforcing Rule of Law. Military police (MP) perform a wide range of security, mobility, police and stability tasks in support of HA which includes support area, physical and personal security, support to riot and crowd control, convoy escort, close protection, investigation on criminal activity or war crime/international law breaches, reconnaissance of routes or areas, internally displaced persons movement control, and can assist in the prevention of looting/destruction of property. When planning military police activities in support of HA, the Provost Marshal is the senior military police officer responsible for coordinating, reviewing and planning military police activities and advice to commanders and staff.

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[58] For more information on gender see: https://www.unwomen.org/en/how-we-work/gender-parity-in-the-united-nations/focal-points-for-women.

3.21 **Climate change**. Climate change is causing more extreme weather events. Storms and flooding are becoming more intense, while protracted and repeated droughts are disrupting food chains and threatening livelihoods. Climate variability and extremes are key drivers of the recent rise in global hunger and among the leading causes of severe food crises. As climate change causes temperatures to rise, risks to health, livelihoods, food security, energy, water supply and economic growth are projected to increase, and with them, vulnerability to humanitarian crises. The impact of climate change disproportionately affects the poor and vulnerable. Exposure to multiple and overlapping risks erodes people's resilience and increases the likelihood they will need HA. The impact is particularly devastating where conflict and climatic events come together. [59]

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[59] Global Humanitarian Overview 2020.

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Annex A - Euro-Atlantic disaster relief

A.1 **Disaster Relief**. As previously mentioned in chapter 2, disaster relief (DR) is a category of humanitarian assistance (HA) that aims to provide the means to safeguard life and requires very rapid reaction particularly where extreme climates are encountered. The two basic organizations of the Euro-Atlantic Disaster Response Capability are the Euro-Atlantic Disaster Response Coordination Centre (EADRCC) and the Euro-Atlantic Disaster Response Unit (EADRU). The EADRCC and EADRU complement and provide additional support to UN entities in providing DR services. The NATO Crisis Response System, NATO's Operations Planning Process and NATO Civil Emergency Planning Crisis Management Arrangements are designed to underpin the Alliance's DR.

A.2 **The Euro-Atlantic Disaster Response Coordination Centre**.

The Euro-Atlantic Disaster Response Coordination Centre (EADRCC) is NATO's principal civil emergency response mechanism in the Euro-Atlantic area. It involves all NATO Allies and partner countries. The Centre functions as a clearing-house system for coordinating both requests and offers of assistance mainly in case of natural and man-made disasters.

    a. Initially stood up during the Kosovo crisis, the EADRCC was extensively involved in co-ordinating HA from Euro-Atlantic Partnership Council (EAPC) nations in support of refugees fleeing from Kosovo. Over the years, the EADRCC has responded to more than 40 requests for assistance from nations mostly stricken by natural and human-made disasters. In 2017, the EADRCC played a central coordinating role in NATO's humanitarian relief to the United States after hurricane Harvey. EADRCC has also responded to forest fires in Israel, Montenegro, Latvia, Georgia and Sweden in 2016, 2017 and 2018.

    b. In January 2004, the NAC widened the EADRCC mandate to respond expeditiously, on the basis of appropriate Civil Emergency Planning Committee (CEPC) guidance, to a request for assistance from the Afghan Government in case of natural disasters. In April 2007, CEPC widened the mandate to all areas where NATO is involved militarily, with the same provisions as for Afghanistan. Most recently, Mediterranean Dialogue and Istanbul Cooperation Initiative countries were granted direct access to the EADRCC.

    c. In case of civil emergencies, the EADRCC is NATO's principal response mechanism in the Euro-Atlantic area. The Centre forwards assistance requests to NATO and partner countries, which in turn respond by communicating their offers of assistance to the EADRCC and/or the affected country. It keeps track of the assistance offered (including assistance from other international

organizations and actors), assistance accepted by the stricken country, delivery dates and assistance still required (or updates to the assistance requested), as well as the situation on the ground.[60]

d. Since March 2020, the EADRCC receives also requests for international assistance from NATO member and partner countries in response to the outbreak of the COVID-19 virus.

e. All of the EADRCC's tasks are performed in close cooperation with the United Nations Office for the Coordination of Humanitarian Affairs (UN OCHA), which retains the primary role in the coordination of international disaster relief operations. Based on information from the EADRCC, NATO Allies and Partners decide whether or not to provide assistance.[61]

A.3 **The Euro-Atlantic Disaster Response Unit**. The Euro-Atlantic Disaster Response Unit (EADRU) is a non-standing, multinational mix of national civil and military elements (qualified personnel of rescue, medical, and other units, equipment and materials, assets and transport) which are volunteered by EAPC countries.[62] The EADRU can be deployed in case of a major natural or technological disaster in an EAPC identified geographic area upon request from the stricken nation or in support of a relevant international organization. The composition and size of this multination EADRU will be determined by the requirements based on an international assessment of each particular disaster. National elements will be limited to the EAPC member nations. In exceptional circumstances, should there be a request for assistance for a stricken non-EAPC nation, political guidance will be obtained as a matter of urgency before initiating any disaster response via the EADRCC.

a. All nations involved including the requesting nation, the originating nations, and transit nations, should exempt goods and equipment from taxes, tariffs, customs duties, or other fees and simplify import, transit and export procedures. They should also facilitate operations and provide legal status or equivalent protections of personnel necessary for the DR and initial recovery after the incident.

b. Supporting nations/international organizations should ensure that the assistance they provide meets international quality standards. Assistance should be provided by competent and trained staff, on the basis of needs, without discrimination. Care should be taken not to undermine the role or capabilities of domestic responders.

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[60] This information is circulated to NATO and partner countries in the form of situation reports, and is also published on the EADRCC website (http://www.nato.int/eadrcc).

[61] For more on EADRCC see https//www.nato.int/cps/en/natolive/topics_49763.htm.

[62] For information on the Standing Operating Procedures for the EADRU visit the website: https://www.nato.int/eadrcc/sop/sop.htm.

c. The UN is the prime focal point for the coordination of international HA. The NATO policy on Cooperation for Disaster Assistance in Peacetime extends assistance on an equal basis to the EAPC (formerly the North Atlantic Cooperation Council) and PfP nations. If requested to do so by a NATO partner, a stricken nation, or a relevant international organization, NATO should be ready to employ the standing operating procedures for NATO cooperation during peacetime DR. These same procedures can also be applied in case of disasters outside of NATO's boundaries.

d. Upon the request for assistance from a stricken NATO or partner nation or from a relevant international organization, on behalf of the Secretary General the necessary assistance will be activated.

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Annex B - United Nations relief organizations and resources

B.1 **Introduction**. This Annex provides information on the following organizations and programmes that have worldwide HA mandates. They include OCHA, ERC, IASC, HCs, Resident Coordinators (RCs), UN-CMCoord, United Nations Disaster Assessment and Coordination (UNDAC), On-Site Operations Coordination Centre (OSOCC), International Search and Rescue Advisory Group (INSARAG), UNHCR, the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), United Nations Children's Fund (UNICEF), Food and Agriculture Organization of the UN (FAO), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), World Food Programme (WFP), and World Health Organization (WHO). It also provides information on the Cluster Approach, The UNDAC Field Handbook, and ReliefWeb.

Section I – UN Relief Organizations and Offices

B.2 **United Nations Office for the Coordination of Humanitarian Affairs**. The mission of OCHA is to mobilize and coordinate effective and principled humanitarian action in partnership with national and international actors to: alleviate human suffering in disasters and emergencies, advocate for the rights of people in need, promote preparedness and prevention, and facilitate sustainable solutions. As the UN focal point for civil-military coordination of HA activities within OCHA, the Civil Military Coordination Section ensures the effective use of military and civil defence assets in HA operations, establishes civil-military coordination mechanisms to facilitate interaction and cooperation, and upholds humanitarian principles in support of humanitarian coordinators (HC) and OCHA's mandate. OCHA is the part of the UN Secretariat responsible for bringing together humanitarian actors to ensure a coherent response to emergencies. OCHA also ensures there is a framework within which each actor can contribute to the overall response effort.

    a. OCHA can quickly deploy specialized humanitarian personnel to support efforts on the ground, particularly in situations where local capacity is overwhelmed, in response to a new or escalating humanitarian crisis. Response to new humanitarian emergencies may come from a range of organizations. These include governments, the UN system, international and local NGOs and the Red Cross/Red Crescent movement. They also include specialists in the different aspects of humanitarian response. OCHA's primary role is to support the UN Resident or Humanitarian Coordinator, who is usually the most senior UN official in the country. OCHA ensures coordination takes place so that the response is as effective as possible. In the most basic terms, this means ensuring a consensus view among the main responders as to the problem, priorities, and actions.

b. OCHA's core functions are coordination, policy, advocacy, information management, and humanitarian financing.[63] OCHA integrates gender into all areas of these core functions.[64]

B.3 **United Nations Emergency Relief Coordinator**. OCHA's USG/ERC is responsible for the oversight of all emergencies requiring UN assistance and is the central focal point for governmental, intergovernmental and non-governmental relief activities. The ERC also leads the IASC, a unique inter-agency forum for coordination, policy development and decision-making involving the key UN and non-UN humanitarian partners. The IASC was established in June 1992 in response to UN resolution A/RES/46/182. UN resolution A/RES/48/57 affirmed the IASC's role as the primary mechanism for the inter-agency coordination of HA. In a country affected by a disaster or conflict, the ERC may appoint a HC to ensure response efforts are well organized in the field. The HC works with government, international organizations, non-governmental organizations (NGOs) and affected communities. An OCHA office may be establish in a crises affected area if the security situation permits.

B.4 **Humanitarian Coordinator/Resident Coordinator**. Effective coordination of humanitarian action in the field hinges upon humanitarian coordination leaders. In effect, while the primary responsibility for coordinating HA rests with national authorities, if international HA is required the HC leads and coordinates the efforts of humanitarian organizations (both UN and non-UN) with a view to ensuring that they are principled, timely, effective and efficient, and contribute to longer-term recovery. The Resident Coordinator (RC) is the head of the UN Country Team. In a natural disaster or complex emergency, the Resident Coordinator or another competent UN official may be designated as the HC. In large-scale emergencies, a separate HC is often appointed. If the emergency affects more than one country, a Regional HC may be appointed.

B.5 **United Nations Humanitarian Civil-Military Coordination**. United Nations Humanitarian Civil-Military Coordination (UN-CMCoord) is a framework that enhances a broad understanding of humanitarian action and guides political and military actors on how best to support that action.[65] It helps to develop context-specific policy based on internationally agreed guidelines, and it establishes humanitarian civil-military coordination structures, ensuring staff members are trained to make that coordination work. UN-CMCoord is particularly essential in complex

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[63] For more information on the OCHA's core functions visit the website: https://www.unocha.org/about-ocha/our-work.
[64] For more information on the OCHA's Gender-Equality Programming visit the website: https://www.unocha.org/themes/gender-equality-programming.
[65] For more on UN-CMCoord and to view the UN-CMCoord Field Handbook Version 2 (2018) see https://www.unocha.org/fr/themes/humanitarian-civil-military-coordination.

emergencies/high-risk environments to facilitate humanitarian access, the protection of civilians, and the security of humanitarian aid workers.

a. Humanitarian civil-military coordination supports OCHA's overall efforts in humanitarian operations with a military presence, where OCHA leads the establishment and management of interaction with military staffs. This relationship will change depending on the type of emergency and the roles and responsibilities of the military. OCHA supports humanitarian and military actors through training and advocacy on the guidelines that govern the use of foreign military and civil defence assets and humanitarian civil-military interaction. OCHA also seeks to establish a predictable approach to the use of these assets by considering their use during preparedness and planning activities.

b. OCHA's Geneva-based Civil-Military Coordination Service (CMCS) has been designated the focal point in the UN system for humanitarian civil-military coordination. It supports relevant field and headquarter-level activities through the development of institutional strategies to enhance the capacity and preparedness of national and international partners through the creation of non-binding guidelines on the use of military assets, training, workshops, conferences and simulation exercises to prepare operational partners to better respond to humanitarian crises. As custodian of UN-CMCoord related guidelines, CMCS also helps humanitarian personnel develop context-specific guidance tailored to a particular situation. The training programme aims to equip humanitarian and military staffs with the skills and knowledge necessary to communicate and, where appropriate, effectively interact with each other. CMCS also prepares and deploys personnel to act as dedicated UN-CMCoord experts to the field.

c. When necessary, CMCS advises the international community on needs related to mobilizing foreign military assets in support of relief operations or HA. This takes place through an advocacy strategy that complements and supports Under Secretary General-level dialogue, coupled with the publication of operational guidance.

B.6 **United Nations Disaster Assessment and Coordination**. Created in 1993, UNDAC is part of the international emergency response system for sudden-onset emergencies. UNDAC is designed to help the UN and governments of disaster-affected countries during the first phase of a sudden-onset emergency. UNDAC also assists in the coordination of incoming international relief at national level and/or at the site of the emergency.

a. UNDAC is a stand-by team of disaster management professionals who are nominated and funded by member governments, OCHA, UNDP, and operational humanitarian UN agencies such as WFP, UNICEF and WHO. Upon request of a disaster-stricken country, the UNDAC team can be deployed within hours to carry out rapid assessment of priority needs and to support national

authorities and the UN resident coordinator to coordinate international relief on-site. The team provides first-hand information on the disaster situation and priority needs of the victims to the international community through OCHA.

b. Assessment, coordination and information management are UNDAC's core mandates in an emergency response mission. Specifically in response to earthquakes, UNDAC teams set up and manage the OSOCC to help coordinate international urban search and rescue (USAR) teams responding to the disaster - essential if USAR assistance is to function effectively. This concept was strongly endorsed in UN resolution A/RES/57/150 of 16 December 2002, on "Strengthening the effectiveness and coordination of international urban search and rescue assistance".

B.7 **On-Site Operations Coordination Centre**. The OSOCC concept was originally developed by OCHA and the International Search and Rescue Advisory Group network. It was designed to assist affected countries in coordinating international search-and-rescue efforts following an earthquake. However, OSOCC's emergency management principles make it a valuable tool in any sudden-onset disaster involving international relief resources. The OSOCC, run by the UNDAC team, assists local authorities with coordinating international response teams during disasters.

a. In addition, an internet-based Virtual OSOCC[66] facilitates information exchange between responding governments and organizations throughout the relief operation. Establishing an OSOCC is one of the functions an UNDAC team will frequently be asked to perform. The size and functions of the OSOCC will vary in each emergency. However, its basic structure is described in the UNDAC Handbook. The UNDAC team should modify this to suit the requirements of the situation.

b. An OSOCC is set up to help local authorities in a disaster-affected country to coordinate international relief.[67] Following a disaster, the OSOCC is established as soon as possible by the first arriving international USAR team or United Nations Disaster Assessment and Coordination team deployed by OCHA. An OSOCC has three primary objectives:

(1) To be a link between international responders and the Government of the affected country.

(2) To provide a system for coordinating and facilitating the activities of international relief efforts at a disaster site, notably following an earthquake, where the coordination of many international USAR teams is critical to ensure optimal rescue efforts.

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66 For more on Virtual OSOCC see GDACS – Virtual OSOCC at unocha.org.
67 For more on On-Site Operations Coordination Centre (OSOCC) see https://www.unocha.org.

(3) To provide a platform for cooperation, coordination and information management among international humanitarian agencies.

B.8 **International Search and Rescue Advisory Group**. The International Search and Rescue Advisory Group (INSARAG) was established in 1991. This establishment followed the initiatives of the specialised international Urban Search and Rescue (USAR) teams who operated together in the Mexican earthquake of 1985 and the Armenian earthquake of 1988. So as not to duplicate existing structures, the group was created within the framework of existing humanitarian coordination within the United Nations (UN). To this end, the group's secretariat falls within the Response Partnerships Section (RPS) of the Emergency Response Support Branch (ERSB) of the Office for the Coordination of Humanitarian Affairs (OCHA) in Geneva. Under this umbrella of the UN, the INSARAG has successfully pursued the creation of a UN General Assembly Resolution on "Strengthening the Effectiveness and Coordination of International USAR Assistance" in 2002. This resolution is widely considered to have underpinned much of the progress achieved by the group over the last two decades. The INSARAG's primary purpose is to facilitate coordination between the various international USAR teams who make themselves available for deployment to countries experiencing devastating events of structural collapse due primarily to earthquakes.[68] INSARAG is mandated to:

- render emergency preparedness and response activities more effective and thereby save more lives, reduce suffering and minimize adverse consequences;

- improve efficiency in cooperation among international USAR teams working in collapsed structures at a disaster site;

- promote activities designed to improve search-and-rescue preparedness in disaster-prone countries, thereby prioritizing developing countries;

- develop internationally accepted procedures and systems for sustained cooperation between national USAR teams operating on the international scene;

- develop USAR procedures, guidelines and best practices, and strengthen cooperation between interested organizations during the emergency relief phase.

B.9 **United Nations High Commissioner's Office for Refugees**. The United Nations High Commissioner's Office for Refugees (UNHCR) is mandated to lead and coordinate international action to protect refugees and resolve refugee problems worldwide. UNHCR is to safeguard the rights and well-being of people who have been forced to flee. They include refugees, returnees, stateless people, internally displaced persons and asylum-seekers. In its efforts to achieve this objective,

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[68] For more information see https://www.insarag.org.

UNHCR strives to ensure that everyone can exercise the right to seek asylum and find safe refuge in another state, with the option to return home voluntarily, integrate locally or to resettle in a third country. It also has a mandate to help stateless people UNHCR's Executive Committee and the UN General Assembly have authorized involvement with other groups including former refugees who have returned home and internally displaced people. By assisting refugees to return to their own country or to settle permanently in another state, UNHCR also seeks lasting solutions to their plight. As a humanitarian, non-political organization, UNHCR strives to ensure that everyone has the right to seek asylum and find safe refuge in another state, with the option to eventually return home, integrate or resettle.

B.10   **United Nations Children's Fund**. UNICEF is mandated to advocate for the protection of children's rights, to help meet their basic needs, and to expand their opportunities to reach their full potential. UNICEF responds in emergencies to protect the rights of children. In coordination with UN partners and humanitarian agencies, UNICEF makes its unique facilities for rapid response available to its partners to relieve the suffering of children and those who provide their care. UNICEF uses materials from emergency stockpiles in the UNICEF warehouses in Copenhagen to meet emergency requirements. UNICEF can also procure relief supplies on behalf of other UN agencies and relief organizations.

B.11   **United Nations Food and Agriculture Organization**. With most communities dependent on agriculture and related enterprises for their food security and livelihoods, FAO's expertise in farming, livestock, fisheries, and forestry is crucial in emergency response and rehabilitation efforts. In responding to an emergency, FAO collaborates with many partners, including governments, other UN organizations, and humanitarian groups. During these crises, assistance is required to restore local food production and reduce dependency on food aid, an essential part of the recovery process. This is where FAO plays a vital role. The Emergency Operations Division of the Technical Cooperation Department of the FAO, working jointly with the WFP, sends missions to the affected areas to assess the crop and food supply situation. During these missions, experts consult closely with the farmers, herders, fishers, and local authorities. Once the assessment mission is finished, FAO designs a relief and rehabilitation programme and mobilizes funds for its implementation. In response to emergencies, FAO distributes material assets, such as seed and fertilizer, fishing equipment, livestock, and farm tools.

B.12   **United Nations Development Programme**. Following disasters and armed conflict, UNDP assists national governments and communities to lay the foundation for sustainable development. UNDP's expertise and resources focus on several areas; however, early recovery will be the initial effort. Early recovery focuses on restoring the capacity of national institutions and communities after a crisis. Early recovery begins in a humanitarian relief setting, immediately following a natural

disaster or armed conflict. Guided by development principles, the early recovery phase aims to generate self-sustaining, nationally owned processes, to stabilize human security and address underlying risks that contributed to the crisis. Early recovery encompasses a wide range of areas such as governance, livelihoods, shelter, environment, and social dimensions, including the reintegration of displaced populations.

B.13 **United Nations Environment Programme**. The Post-Conflict and Disaster Management Branch extends United Nations Environment Programme's (UNEP) work in areas of the world where the environment is impacted by conflicts and disasters, or where the environment is a factor contributing to conflicts and disaster impacts. Because conflicts and disasters are so closely intertwined with the environment, proper environmental management and governance is essential for long-term peace, stability, and security in any conflict- or disaster-prone country. It conducts environmental assessments in crisis affected countries and strengthens national environmental management capacity through institution building, promoting regional cooperation, technical legal assistance, environmental information management, and integrating environmental concerns and risk reduction measures in reconstruction programmes. Field-based assessments are conducted to identify the impacts of a conflict or disaster on environmental systems and the possible, indirect impacts on human health. UNEP delivers technical support for environmental clean-up or to mitigate environmental risks caused by disasters or conflicts, including those posed by chemical contamination or severe environmental damage to human health or livelihoods.

B.14 **World Food Programme**. WFP's objectives are to establish international procedures for meeting emergency food needs and emergencies inherent in chronic malnutrition; assist in preschool and school feeding programmes; and implement food-for-work pilot projects in support of social and economic development. WFP's primary task is to furnish food in support of economic and social development projects in developing countries. In addition, substantial resources may be provided to meet emergency food needs. WFP purchases and ships food needed in emergencies on behalf of donor governments, or the affected countries. WFP Staff may assist, when required, in coordinating the reception and utilization of food aid received from all sources. The WFP can be regarded as the *de facto* logistic arm of the UN in disaster situations. Within the WFP, the UN Humanitarian Air Service (UNHAS) provides civilian passenger and cargo air transport services for humanitarian and development agencies. In the early stages of disaster response UNHAS is often the primary and preferred means of NGOs reaching remote areas that have become isolated due to lack of or damaged infrastructure.

B.15 **World Health Organization**. The WHO's Emergency Response and Operations group develops operational and logistic capacity in support of countries in acute

crises. It also develops standard operating procedures for emergencies, to ensure a uniform approach across WHO to crises that demand an immediate response. WHO's mobile response teams bring together expertise in epidemic response, logistics, security coordination, and management. They are combined with mobile teams provided by the UN as a whole. They will empower the UN organizations in the affected country to better address the health aspects of crises. WHO's key functions in a crisis are:

- promptly assess health needs of populations affected by crises and measure ill-health, identifying priority causes of ill-health and death;
- support member states in coordinating action for health;
- ensure that critical gaps in health response are rapidly identified and filled;
- support restoration of essential public health functions;
- revitalize health systems and build up their capacity for preparedness and response.

Section II – United Nations Relief Resources

B.16 **The Cluster Approach**.

a. As discussed earlier in chapter 1, the cluster approach ensures that there is a clear system of leadership and accountability for all the key sectors or areas of humanitarian activity. The cluster approach is intended, therefore, to strengthen rather than to replace sector coordination under the overall leadership of the HC, with a view to improve humanitarian response in emergency situations. Cluster leads ensure response capacity is in place and that assessment, planning and response activities are carried out in collaboration with partners and in accordance with agreed standards and guidelines. Cluster leads also act as the "provider of last resort" when there are no other options to ensure adequate and appropriate response to humanitarian needs wherever there are critical gaps in the humanitarian response. This is not to be confused with the UN-CMCoord principle of 'last resort referred to in chapter one. In addition to the core functions listed below, each cluster is also responsible for integrating early recovery from the outset of the humanitarian response. Exceptionally, the RC/HC may recommend an early recovery cluster also be established. The core functions of a cluster at the country-level are:

(1) Supporting service delivery by providing a platform for agreement on approaches and elimination of duplication.

(2) Informing decision-making of the HC/humanitarian country team (HCT) for the humanitarian response though coordination of needs assessment and gap analysis and prioritization.

(3) Planning and strategy development including sectorial plans, adherence to standards and funding needs.

(4) Advocacy to address identified concerns on behalf of cluster participants and the affected population.

(5) Monitoring and reporting on the cluster strategy and results; recommending corrective action where necessary.

(6) Contingency planning/preparedness/capacity building where needed and where capacity exists within the cluster.

b. The cluster approach was introduced to ensure that there is predictable leadership and accountability in all main sectors or areas of humanitarian response and to strengthen system-wide preparedness and technical capacity, under the overall leadership of the HC, to respond to humanitarian emergencies. Clusters are groups of humanitarian organizations, both UN and non-UN, in each of the main sectors of humanitarian action, e.g. water, health and logistics. They are designated by the IASC and have clear responsibilities for

coordination. The organizations include FAO, International Federation of Red Cross and Red Crescent Societies (IFRC), International Organization for Migration (IOM), Save the Children, UNDP, UNHCR, UNICEF, WFP, and WHO.

c.   Inter-cluster coordination takes place within the HCT, under the leadership of the HCs/RCs. The HCT comprises the cluster lead agencies (at country representative/director level) and selected operational partners involved in the response, and it is within the framework of this strategic decision-making forum that the overall humanitarian response operation is guided and led. At the operational level, inter-cluster coordination generally takes place within the framework of an inter-cluster coordination forum at cluster coordinator level.

d.   At the field level, the HC/RC designates cluster lead agencies for all key humanitarian response sectors, in consultation with the HCT and the ERC. This is applied in all countries facing major new or on-going complex and/or natural humanitarian emergencies. Effective cluster and inter-cluster coordination are widely recognized as an essential part of any humanitarian response.

e.   The cluster coordinator for each individual cluster provides leadership and works on behalf of the cluster as a whole, facilitating all cluster activities and developing and maintaining a strategic vision and operational response plan. Together with other leaders of the UN humanitarian agencies in the country, they are consulted closely in developing the overall strategic direction of the humanitarian efforts and ensure coordination with other clusters in relation to inter-cluster activities and cross-cutting issues in accordance with the Principles of Partnership. Cluster coordinators are accountable to the HC for ensuring the establishment of adequate coordination mechanisms for the sector or area of activity concerned, adequate preparedness, as well as adequate strategic planning for an effective operational response. Cluster coordinators have no authority to assign missions; they must meet requirements using coordination, collaboration, cooperation, and communication.

f.   Cluster meetings supplement, rather than replace, general interagency coordination meetings, and prevent a fragmentation of the humanitarian response. Support is provided to clusters in advocacy and resource-mobilization efforts to ensure a balanced, comprehensive, and well-prioritized humanitarian response.

B.17   **The UNDAC Field Handbook**. The UNDAC Field Handbook is a reference guide for the use of members of the UNDAC team undertaking an emergency mission. The handbook contains a variety of useful information, checklists, and a description of coordination structures in the field. It has been designed and written in the form of a typical UNDAC mission cycle with chapters commencing with the UNDAC members' preparation prior to a mission, through various stages of a mission until the termination of the mission and debriefing. It also attempts to assist UNDAC

members in accomplishing any of the various tasks they may be expected to perform on missions. These include a range of issues such as staffing an OSOCC for USAR teams during an earthquake, to working with military contingents in humanitarian emergencies. It also contains useful data for everyday use on a mission such as composition of medical kits, security precautions, and characteristics of operating in different climatic conditions and terrain. The handbook has been compiled utilizing information from a wide spectrum of acknowledged sources.

B.18   **ReliefWeb**. ReliefWeb is the world's leading on-line gateway to information (documents and maps) on humanitarian emergencies and disasters. An independent vehicle of information, designed specifically to assist the international humanitarian community in effective delivery of emergency assistance, it provides timely, reliable and relevant information as events unfold, while emphasizing the coverage of "forgotten emergencies" at the same time. ReliefWeb is administered by OCHA.

B.19   **Humanitarian Response**. Humanitarian Response is a specialized digital service of OCHA. Humanitarian Response aims to be the central website for Information Management tools and services, enabling information exchange among operational responders during either a protracted or sudden onset emergency. This global site is complemented by country specific emergency sites that can be accessed through www.HumanitarianResponse.info. At the global level, Humanitarian Response provides access to country sites and a "one-stop-shop" for global information coordination resources, such as normative products including guidance notes and policies, cluster specific information and data, toolboxes and internet links. At the country level, Humanitarian Response is designed to provide a platform for sharing operational information between clusters and IASC members operating within a crisis.

B.20   **Smaller agencies and local missions. United Nations Relief and Works Agency for Palestine Refugees in the Near East.** Since 1949, with the adoption of UN Resolution A/RES/302(IV), the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) has been charged with providing aid and relief to Palestine refugees in the Near East. This makes UNRWA one of the United Nations' largest and oldest programmes, and in some ways a precursor to the UNHCR, the UN Refugee Agency. Its work focuses on the areas of education, health care and infrastructure for Palestine refugees. However, the organization also provides traditional food aid.

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Annex C – Other humanitarian organizations and assets

C.1   **General**. By nature, responses to humanitarian emergencies are difficult to manage. Many actors, non-governmental organizations (NGOs), and international organizations (IOs) seek to respond simultaneously to complex emergencies. The role of NGOs and IOs in humanitarian action has its foundation in international law and various multi-lateral legal and policy frameworks agreed by the UN General Assembly regarding international humanitarian action. Many humanitarian actors operate on the basis of the principles of humanity, neutrality, impartiality, and independence. In practical terms, adherence to these principles is essential to their ability to establish and maintain humanitarian operations, including access to all affected populations, particularly in situations of armed conflict or other situations of violence and political controversy. Creating a coherent framework within which everyone can contribute promptly and effectively to the overall effort is a daunting task. The UN is the major provider and coordinator of HA around the world. The UN has strengthened cooperation with other organizations, both governmental and non-governmental, and has taken actions to speed its emergency response capability. If and as requested, NATO-led forces will most likely operate with some of the primary IOs and NGOs described in this appendix. This annex is not all inclusive as it only covers some of the largest, most important humanitarian organizations and assets other than the UN. JFCs should also anticipate encountering many more lessor known IOs and NGOs that will be involved in humanitarian crises.

C.2   **International Red Cross and Red Crescent Movement**.[69] The International Red Cross and Red Crescent Movement is the largest humanitarian network in the world. The Movement is neutral and impartial, and provides protection and assistance to people affected by disasters and conflicts. Its mission is to alleviate human suffering, protect life and health, and uphold human dignity especially during armed conflicts and other emergencies. It is present in every country and supported by nearly 100 million members, volunteers and supporters. The Movement is composed of the International Committee of the Red Cross (ICRC), IFRC, and 189 member National Red Cross and Red Crescent Societies. Each has its own legal identity and role, but they are all united by seven fundamental principles: humanity, impartiality, neutrality, independence, voluntary service, unity, and universality.

> a.   **International Federation of Red Cross and Red Crescent Societies.** The IFRC is a global humanitarian organization that coordinates and directs international assistance following natural and human-made disasters in non-conflict situations. Its mission is to improve the lives of vulnerable people by mobilizing the power of humanity. The IFRC works with National

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[69] For more on the International Red Cross and Red Crescent Movement, see http://www.redcross.int or http://www.ifrc.org/.

Societies in responding to catastrophes around the world. Its relief operations are combined with development work, including disaster preparedness programmes, health and care activities, and the promotion of humanitarian values. In particular, it supports programmes on risk reduction and fighting the spread of diseases, such as human immunodeficiency virus, tuberculosis, avian influenza, and malaria. The organization also works to combat discrimination and violence, and promote human rights and assistance for migrants. The IFRC carries out relief operations to assist victims of disasters, and combines this with development work to strengthen the capacities of its member National Societies. The IFRC focuses its efforts in three key areas: disaster response and recovery, development, and promoting social inclusion and peace.

(1) Emergency response units (ERUs) are standardized packages of trained personnel and modules of equipment, ready to be deployed at short notice. The units are fully self-sufficient for one month and can be deployed for up to four months. ERUs are part of the global International Federation of Red Cross disaster response system and therefore used in large emergency response operations, when global assistance is needed and the federation's delegation(s) and the affected national society cannot respond alone. ERUs provide specific services where local infrastructure is damaged, temporarily out of use, or insufficient to cope with the needs. There are eight types of ERU: logistics; information technology and telecommunication; water and sanitation; basic health care; referral hospital; rapid deployment hospital; relief; and base camp.

(2) The International Federation has developed the field assessment and coordination teams (FACTs) concept. It was developed in close cooperation with OCHA, and the assessment and coordination systems are compatible with OCHA's UNDAC system. A core group of experienced Red Cross/Red Crescent disaster managers from within the Federation and from the national societies with different expertise in relief, logistics, health, nutrition, public health and epidemiology, water and sanitation, finance, administration, psychological support, as well as language capabilities, have become members of FACT.

(a) The FACT also facilitates and coordinates the start-up of relief activities. It may request ERUs and coordinate their deployment, advise on and request other human and material resources, and coordinate the assistance provided by the Red Cross Movement in response to the disaster.

(b)   After assisting in the implementation of the plan of action, the FACT hands over the relief operation to the host national society, the delegation, and the delegates who have been recruited to support them.

b.   **International Committee of the Red Cross**.[70] The ICRC is an impartial, neutral, and independent organization with an exclusively humanitarian mission to protect the lives and dignity of victims of war and internal violence and to provide them with assistance.[71] It takes action in response to emergencies and at the same time prevent suffering by promoting and strengthening the law of armed conflicts (LOAC) and universal humanitarian principles.

(1)   Its specific tasks applicable to HA include:

(a)   Visits and interviews, without witness, to prisoners of war and detained or interned civilians.

(b)   Search for missing persons.

(c)   Transmission of messages between family members separated by conflict, including from prisoners of war and detained civilians.

(d)   Reunification of dispersed families.

(e)   Provision of basic health care services.

(f)   Provision of urgently needed food, water, sanitation, and shelter to civilians without access to these basic necessities.

(g)   Monitoring compliance with and contributing to the development of international humanitarian principles.

(h)   Spreading knowledge of international humanitarian principles.

(2)   The ICRC mandate has two sources of authority, the Geneva Conventions and the ICRC's statutes, which encourage it to undertake similar work in situations of internal violence, where the Geneva Conventions do not apply.

(3)   The ICRC receives its funding from voluntary contributions from governments, other IOs, national Red Cross and Red Crescent Societies, and private sources.

c.   **National Red Cross and Red Crescent Societies**. National Red Cross and Red Crescent Societies form the basic units and constitute a vital force of the International Red Cross and Red Crescent Movement in nearly all countries. National societies act as auxiliaries to the public authorities of their own countries in the humanitarian field and provide a range of services including DR,

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[70]   The work of the ICRC is based on the Geneva Conventions of 1949, their Additional Protocols, its Statutes – and those of the International Red Cross and Red Crescent Movement – and the resolutions of the International Conferences of the Red Cross and Red Crescent.

[71]   Allied Command Operations (ACO) and Allied Command Transformation (ACT) signed an MOU with ICRC in Jun 2012.

health, and social programmes. During wartime, national societies assist the affected civilian population and support the military medical services where appropriate. To participate in the movement a national society must first be recognized by the International Committee of the Red Cross and then admitted to the International Federation. There are ten conditions for recognition listed in the statutes of the movement. They include such requirements as autonomous status recognized under national legislation, the use of a recognized emblem, and adherence to the fundamental principles. There can only be one society in each country and it must be constituted on the territory of an independent state.

C.3 **International Organization for Migration**. IOM is the principal IO in the field of migration. IOM is dedicated to promoting humane and orderly migration for the benefit of all. As an intergovernmental body, IOM acts with its partners in the international community to: assist in meeting the operational challenges of migration; advance understanding of migration issues; encourage social and economic development through migration; and uphold the human dignity and well-being of migrants. It does so by providing services and advice to governments and migrants. IOM works to help ensure the orderly and humane management of migration, to promote international cooperation on migration issues, to assist in the search for practical solutions to migration problems and to provide HA to migrants in need, be they refugees, displaced persons or other uprooted people. IOM works in the four broad areas of migration management: migration and development, facilitating migration, regulating migration, and addressing forced migration. IOM works closely with governmental, IO, and NGO partners with offices and operations on every continent.

C.4 **European Community Directorate General for Humanitarian Aid and Civil Protection.** The EU is one of the world's main humanitarian aid donors; the European Community Directorate General for Humanitarian Aid and Civil Protection (ECHO) is the service of the European Commission responsible for this activity. The objective of EU humanitarian aid is to provide a needs-based emergency response aimed at preserving life, preventing and alleviating human suffering, and maintaining human dignity wherever the need arises if governments and local actors are overwhelmed, unable, or unwilling to act. The directorate's task is to ensure goods and services get to crisis zones fast. Goods and services reach disaster areas via partners. The EU routinely deploys Civil Protection Teams to assist in European aid coordination and mobilization.

C.5 **The Sphere Project**[72] is a voluntary initiative that brings a wide range of humanitarian agencies together around a common aim - to improve the quality of HA and the

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[72] http://www.spherehandbook.org.

accountability of humanitarian actors to their constituents, donors, and affected populations. *The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response*, is one of the most widely known and internationally recognized set of common principles and universal minimum standards for humanitarian response. It establishes six core standards that provide a single reference point for approaches that underpin all the standards in the Handbook and also discusses minimum standards in the areas of:

- water supply, sanitation, and hygiene promotion;
- food security and nutrition;
- shelter, settlement, and non-food items;
- health systems and services.

In addition to the Sphere Handbook, the Sphere Project publishes a number of additional products that address specific HA in urban environments, and a publication designed to mitigate the effects of a humanitarian crisis on livestock.

C.6 **Good Humanitarian Donorship**. The Good Humanitarian Donorship (GHD) initiative is an informal donor forum and network which facilitates collective advancement of GHD principles and good practices. It recognizes that, by working together, donors can more effectively encourage and stimulate principled donor behaviour and, by extension, improved humanitarian action. Meeting in Stockholm in June 2003, a group of 17 donors endorsed the *Principles and Good Practice of Good Humanitarian Donorship*. These were drawn up to enhance the coherence and effectiveness of donor action, as well as their accountability to beneficiaries, implementing organizations and domestic constituencies, with regard to the funding, co-ordination, follow-up and evaluation of such actions.

a. There are currently 41 members of the GHD group who contribute through the forum in providing effective and accountable HA. The coming together of donors under the banner of the GHD framework has filled a crucial gap in the broad landscape of humanitarian coordination. Bridging this gap has allowed for the development of consensus around a comprehensive agenda for good humanitarian donor policy and practice which, in a few short years, has become near common currency.

b. The GHD framework and the associated processes, to which GHD donors have committed, has provided a valuable platform for dialogue and an important vehicle for advancing humanitarian policy and practice matters – within the bureaucracies of the GHD donors themselves, and the humanitarian community at large.

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Lexicon

Part 1 – Acronyms and abbreviations

ACO	Allied Command Operations
AJP	Allied joint publication
AMCC	Allied Movement Coordination Centre
BI	building integrity
CAAC	children and armed conflict
CBRN	chemical, biological, radiological and nuclear
CBRN CM	Chemical, Biological, Radiological, and Nuclear Consequence Management
CCTs	cross-cutting topics
CEPC	Civil Emergency Planning Committee
CIMIC	civil-military cooperation
CJ-CBRND-TF	Combined Joint Chemical, Biological, Radiological and Nuclear Defence Task Force
CM	consequence management
CMCS	Civil-Military Coordination Service
CMI	civil-military interaction
CPP	cultural property protection
CRSV	conflict-related sexual violence
C-SASE	Contributing to a Safe and Secure Environment
DR	disaster relief
EADRCC	Euro-Atlantic Disaster Response Coordination Centre
EADRU	Euro-Atlantic Disaster Response Unit
EAPC	Euro-Atlantic Partnership Council
EOD	explosive ordnance disposal
ERC	emergency relief coordinator
ERU	emergency response unit
ERW	explosive remnants of war
EU	European Union
FACT	field assessment and coordination team

FAO	Food and Agriculture Organization of the United Nations
FP	force protection
GHD	Good Humanitarian Donorship
HA	humanitarian assistance
HC	humanitarian coordinator
HCT	humanitarian country team
HN	host nation
HQ	headquarters
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDP	internally displaced person
IDRO	international disaster relief operations
IFRC	International Federation of Red Cross and Red Crescent Societies
IHL	International Humanitarian Law
IMS	International Military Staff
INSARAG	International Search and Rescue Advisory Group
IO	international organization
IOM	International Organization for Migration
IS	International Staff
JFC	Joint Force Command
JIPOE	joint intelligence preparation of the operating environment
JLSG	Joint Logistic Support Group
JOA	joint operations area
L&R	Logistics and Resources
LOAC	Law of Armed Conflict
MC	Military Committee
MCDA	military and civil defence assets
MH	mitigate harm
MHE	materiel handling equipment
MILENG	military engineering
MoU	memorandum of understanding

MP	Military Police
NAC	North Atlantic Council
NGO	non-governmental organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OE	operating environment
OSOCC	on-site operations coordination centre
PA	Public Affairs
PfP	Partnership for Peace
PoC	protection of civilians
RLP	recognized logistics picture
RC	resident coordinator
ROE	rules of engagement
SACEUR	Supreme Allied Commander Europe
SEA	sexual exploitation and abuse
SGBV	sexual and gender-based violence
SOFA	status of forces agreement
SP	stability policing
StratCom	strategic communications
THB	trafficking in human beings
TTP	tactics, techniques, and procedures
UHE	understanding the human environment
UN	United Nations
UN-CMCoord	United Nations Humanitarian Civil-Military Coordination
UNDAC	United Nations Disaster Assessment and Coordination
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNDRO	United Nations Disaster Relief Coordinator
UNHAS	United Nations Humanitarian Air Service
UNHCR	United Nations High Commissioner's Office for Refugees
UNICEF	United Nations Children's Fund

UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNSC	United Nations Security Council
USAR	urban search and rescue
USG	Under-Secretary-General
WFP	World Food Programme
WHO	World Health Organization
WMD	weapon of mass destruction
WPS	women, peace and security

Part 2 - Terms and definitions

Allied joint publication
An Allied publication containing doctrine applicable to NATO and NATO-led operations involving more than one service.
(NATO Agreed)

dissemination
The timely conveyance of intelligence, in an appropriate form and by suitable means, to those who need it.
(NATO Agreed)

force protection
All measures and means to minimize the vulnerability of personnel, facilities, equipment, materiel, operations, and activities from threats and hazards in order to preserve freedom of action and operational effectiveness of the force, thereby contributing to mission success.
(NATO Agreed)

host nation
A nation which, by agreement:
a. receives forces and materiel of NATO or other nations operating on/from or transiting through its territory;
b. allows materiel and/or NATO organizations to be located on its territory; and/or
c. provides support for these purposes.
(NATO Agreed)

humanitarian aid
The resources needed to directly alleviate human suffering.

humanitarian assistance
As part of an operation, the use of available military resources to assist or complement the efforts of responsible civil actors in the operational area or specialized civil humanitarian organizations in fulfilling their primary responsibility to alleviate human suffering.
(NATO Agreed)

humanitarian operation
An operation specifically mounted to alleviate human suffering in an area where the civil actors normally responsible for so doing are unable or unwilling adequately to support a population.
(NATO Agreed)

intelligence
The product resulting from the directed collection and processing of information regarding the environment and the capabilities and intentions of actors, in order to identify threats and offer opportunities for exploitation by decision-makers. Note: The term is also applied to the activity which results in the product and to the organizations engaged in such activity.
(NATO Agreed)

internally displaced persons
Persons or groups of persons who have been forced or obliged to flee or leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border.
(NATO Agreed)

international organization
An intergovernmental, regional or global organization governed by international law and established by a group of states, with international juridical personality given by international agreement, however characterized, creating enforceable rights and obligations for the purpose of fulfilling a given function and pursuing common aims.
Note: Exceptionally, the International Committee of the Red Cross, although a non-governmental organization formed under the Swiss Civil Code, is mandated by the international community of states and is founded on international law, specifically the Geneva Conventions, has an international legal personality or status on its own, and enjoys some immunities and privileges for the fulfilment of its humanitarian mandate.
(NATO Agreed)

military engineering
A function in support of operations to shape the physical operating environment.
(NATO Agreed)

military police
Designated military forces with the responsibility and authorization for the enforcement of the law and maintaining order, as well as the provision of operational assistance through assigned doctrinal functions. Note: these functions are: police, security, detention, mobility support and stability policing.
(NATO agreed)

non-governmental organization
A private, not-for-profit, voluntary organization with no governmental or intergovernmental affiliation, established for the purpose of fulfilling a range of activities, in particular development-related projects or the promotion of a specific cause, and organized at local, national, regional or international level.

Notes:
1. A non-governmental organization does not necessarily have an official status or mandate for its existence or activities.
2. NATO may or may not support or cooperate with a given non-governmental organization.
(NATO Agreed)

operation
A sequence of coordinated actions with a defined purpose.

Notes:
1. NATO operations are military.
2. NATO operations contribute to a wider approach including non-military actions.
(NATO Agreed)

operational level
The level at which campaigns and major operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations.
(NATO Agreed)

reconnaissance
A mission undertaken to obtain, by visual observation or other detection methods, information about the activities and resources of an adversary or to obtain data concerning the meteorological, hydrographical or geographic characteristics of a particular area.
(NATO Agreed)

refugee
Any person who, owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his nationality and is unable, or owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of his former habitual residence, is unable or, owing to such fear, is unwilling to return to it.
(NATO Agreed)

sabotage
In intelligence usage, acts intended to injure, interfere with, or cause physical damage in order to assist an adversary or to further a subversive political objective.
(NATO Agreed)

stability policing
Police-related activities intended to reinforce or temporarily replace the indigenous police in order to contribute to the restoration and/or upholding of the public order and security, rule of law, and the protection of human rights.
(NATO Agreed)

strategic level
The level at which a nation or group of nations determines national or multinational security objectives and deploys national, including military, resources to achieve them.
(NATO Agreed)

surveillance
The systematic observation across all domains, places, persons or objects by visual, electronic, photographic or other means.
(NATO Agreed)

terrorism
The unlawful use or threatened use of force or violence, instilling fear and terror, against individuals or property in an attempt to coerce or intimidate governments or societies, or to gain control over a population, to achieve political, religious or ideological objectives.
(NATO Agreed)

understanding
Interpretation and comprehension of a particular situation in order to provide the context, insight and foresight required for effective decision-making.
(This term is a new term and definition and has been processed for NATO Agreed status via terminology tracking file 2019-0342.)

weapon of mass destruction
A weapon that is able to cause widespread devastation and loss of life.
(NATO Agreed)

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