Top 20 References for Stability in Joint Operations: Suggested Resources for Professional Military Educators

Current joint education provides excellent instruction in operational art, design and planning with respect to warfighting challenges in delivering decisive force through offensive and defensive operations. However, as joint doctrine notes, integrating stability operations (SO) is the third essential part of a balanced operational approach and integrated plan that accomplishes military success while contributing to broader U.S. policy and strategy success.

As part of its joint proponency support mission, the Peacekeeping and Stability Operations Institute (PKSOI) has developed a short bibliography of references that can support JPME course and faculty instructor preparation. The following reference presents what PKSOI considers to be the "Top 20" references for use by educators and practitioners for use as a "baseline" for developing a general understanding of SO and how best to integrate key principles and considerations into design and planning. The list of references is divided into categories according to JIIM and functional areas, providing the core resources (highlighted below) that are accompanied in several cases by additional supplemental readings for additional understanding.

This listing is not intended to be comprehensive, but rather a start point for those not familiar with stability efforts to develop an appreciation for the role, contributions, principles and practices for SO. For those desiring a more comprehensive bibliography, PKSOI's Knowledge Management Division maintains a wealth of unclassified and shareable readings, studies, operational reports, techniques, and lessons learned that can be access through the Stability Operations Lessons Learned Information Management System (SOLLIMS) at www.pksoi.org.

Finally, the best source for compiling a useful listing is by feedback and contributions from its users. PKSOI appreciates and encourages recommendations for improving this listing, and for increasing the depth, breadth and quality through direct comments (PoC's below) or entry into SOLLIMS. It is our intent to update and republish this "Top 20" listing on a recurring basis, so feedback and improvements are key.

The following listing has been prepared by Mr Robert Kumpf, Research Associate, PKSOI with the guidance and support of Mr Chris Browne, Knowledge Management Branch, PKSOI. For suggested improvements and questions on additional resources, please contact the Stability and Proponency Division, US Army Peacekeeping and Stability Operations Institute, at www.pksoi.mil. PoC for future revision is Dr James Embrey, Professor of Stability Operations, (717) 245-3524, james.h.embrey.civ@mail.mil.

Top 20 Core References for Stability Operations   As of 28 Jun 15

Joint Operations

1.   Stability Operations, **Joint Publication 3-07, 29 September 2011.** Stability operations are "the various military missions, tasks, and activities conducted outside the US in coordination with other government agencies to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief." This JP provides guidance for the design, planning and conduct of stability operations with interagency and multinational partners.

2.   Stabilization, Security, Transition and Reconstruction Operations, **Major Combat Operations Joint Operating Concepts, December 2006. This JOC** supplements the Stability Operations JOC Version 2.0 (2004), and provides the broad, overarching concept of how the full range of joint military support provided in foreign countries across the ROMO can play a key role in enabling U.S. strategic success by supporting U.S. partners in a state or region under severe stress or undergoing failure of its government and security institutions due to either a natural or man-made disaster.

Supplemental References for Breadth and Depth:

- *Security Cooperation,* Joint Publication 3-20*,* Revised Draft #2, Publication Date Pending.   This publication will serve as the US Armed Forces' guide to security cooperation operations, as provided by the DoD through the Joint Staff. This JP will provide most current information on SC planning, design and assessment that contribute to stability among partner countries.

- *Foreign Humanitarian Assistance*, Joint Publication 3-29, 03 January 2014. FHA consists of overseas DOD activities to directly relieve or reduce human suffering, disease, hunger or privation. The JP focuses on military integration with other US and multinational partners.

- *Peace Operations*, Joint Publication 3-07.3, 01 August 2012.   These operations include peacekeeping, peace building in post-conflict actions, peacemaking processes, conflict prevention, and peace enforcement; chapter 1 focuses on design and planning.

- *Foreign Internal Defense*, Joint Publication 3-22, 12 July 2010.   Focuses on activities that support the host nation's Internal Defense and Development Strategy with key stabilizing aspects. Pending the publication of JP 3-20, this pub also contains Security Cooperation as well.

- *Counterinsurgency Operations*, Joint Publication 3-24, 22 November 2013.   Describes comprehensive civ-mil efforts designed to simultaneously defeat and contain insurgency and address root causes. Focus of chapter 3 is on fundamentals of integrating civilian and joint operations to counter insurgencies.

- *Civil-Military Operations*, Joint Publication 3-57, 11 September 2013.   Focuses on activities by designated civil affairs or other military forces that establish, maintain, influence, or exploit relationships with indigenous populations and institutions, to reestablish or maintain stability.

Stability Operation Across the Military Services

Army:

3. *Stability*, Army Doctrine Reference Publication 3-07, 31 August 2012.   This source is an in-depth reference guide to the army's stability operations doctrine. This publication is useful in understanding the army's role as the major ground force component of the US military when engaged in warfare and operations other than war.

4. *Stability Operations*, Army Techniques Publication 3-07.5, 31 August 2012.   This source is an in-depth techniques and procedures guide to the army's stability operations. This publication is useful in understanding the army's role as the major ground force component of the US military when engaged in stability operations and highlights the planning considerations required for successful intervention.

> Supplemental Army References for Breadth and Depth

- *Stability*, Army Doctrine Publication 3-07, 31 August 2012.   This source is the basis of US Army stability operations doctrine. This publication explains the Army's role in stability operations, including unique operational and planning considerations that are of strategic interest.

- *Stability Operations*, Field Manual 3-07, 02 June 2014.   This source is the US Army's field manual dealing with stability operations. This provided valuable insight into the required planning, design and assessment tools needed for a successful stabilization intervention.

- *Army Support to Security Cooperation*, Field Manual 3-22, 22 January 2013.   This source is the US Army's field manual dealing with the army's support for security cooperation. This provided valuable insight into the required planning, design and assessment tools needed for a successful security cooperation plan that fits hand-in-glove with stability operations.

- "Developing an Army Strategy for Building Partner Capacity for Stability Operations", RAND Corporation Arroyo Center, 2010.   This document provides empirical analysis of the US Army's capabilities (in 2007) to establish and maintain partnerships with foreign military and government leadership in order to conduct successful stability operations. This study, sponsored by DA G3, provides critical analysis of challenges faced by the American military as well as important observations regarding planning and design of army-led stability operations.

Naval/Marine Corps:

5. *Maritime Stability Operations*, Naval Warfare Publication 3-07, 25 May 2012.   (NOTE: This is also MCIP 3-33.02 and COMDTINST M3120.11 for the Marine Corps and Coast Guard, respectively.) This source is the maritime element of the US stability operations plan, which governs the US Navy, Coast Guard and Marine Corps. This provides perspectives on joint maritime component operations that includes Navy-Marine efforts to enable maritime operations that counter instability through security, FHA, and other efforts to enable joint and USG success.

Air Force:

6. Stability Operations, **Air Force Policy Directive 10-43, 25 October 2013**. This directive outlines the Service's stability operating guidelines as well as planning considerations as per DODI 3000.05. The policy highlights that the Air Force will continue support all other military and USG stability operations as per DOD directives.

US Government and Department of Defense Guidance:

7. Department of Defense Instruction 3000.05, *Stability Operations,* **16 September 2009**. This instruction sets DoD Policy for the services by emphasizing the importance of stability operations to US policy and strategy success, and requiring military forces that ensure equal emphasis on developing and maintain capabilities for stability operations that are equal to those for combat operations. Joint forces are also to be prepared to conduct a broad range of operations to stabilize either in support of other civilian agencies, or conduct efforts where civilian capacity does not exist or cannot operate (due to security challenges) to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.

Supplemental References for Breadth and Depth

- *Security Sector Assistance Policy,* Presidential Policy Directive 23, 05 April 2013. Provides current POTUS guidance on strengthening the ability of the United States to help allies and partner nations build their own security capacity, consistent with the principles of good governance and rule of law – all key elements of stability operations.

- *Irregular Warfare,* Department of Defense Instruction 3000.07, 28 August 2014. Irregular Warfare is defined as any operation that includes any relevant DoD activity and operation such as counterterrorism; unconventional warfare; foreign internal defense; counterinsurgency; and stability operations that, in the context of IW, involve establishing or re-establishing order in a fragile state or territory.

- *Mission Revolution by* Jennifer Morrison Taw. New York: Columbia University Press, 2012. A former RAND analyst overviews the development of DoD and joint stability operations capabilities over the past two decades in Chapters 1-3.

Interagency Core References

8. Guiding Principles for Stabilization and Reconstruction, **USIP and PKSOI, 2009.** This guide was produced as the "informal interagency guidelines" for stability operations by the US Army PKSOI and the US Institute for Peace. This provides an overview of the recurring principles for US government success in the planning, design and assessment of stability operations, based upon the analysis of a broad range of efforts over past decades.

9. 3D Planning Guide: Diplomacy, Development, Defense, 31 July 2012. This collaborative framework developed by DOD, USAID and DOS presents the common elements for planning amongst the 3D's within an integrated USG effort. This publication provides valuable insights into the differing planning considerations and processes across USG element. This Guide is maintained in draft as a living document for continued discussion and development of cooperation across agencies.

Supplemental References for Breadth and Depth

- *Conflict Assessment Framework Version 2.0*, USAID, June 2012. This document is the USAID's framework for assessing local conflict dynamics; valuable for situational awareness with USAID, and in conflict transformation planning.

- *Interagency Conflict Assessment Framework, Version 2.0*, US Department of State, 2014. Conflict assessment framework developed for country team and general interagency use as a follow-on to the original ICAF that provided the center-piece analysis for the Interagency Management System's "Whole of Government Planning" process. Current version incorporates many aspects of the USAID CAF, but focuses more on political and power group actor dynamics than the OE of conflict. Forms the basis for Bureau of Conflict and Stabilization Operations at DoS.

- *The Quest for Viable Peace*, Chapter 3 (Advanced Political-Military Planning), US Institute of Peace, 4th edition 2009. The book provides an interesting case study of U.S. and multinational planning for the U.S and NATO led intervention into Kosovo in 1999. As a Dep Asst Secretary of State, Mr Hawley played a key role in conducting "advanced political-military planning," for U.S. intervention planning in a JIIM environment which included all major aspects of stability operations.

- *America's Role in Nation-Building: From Germany to Iraq,* by James Dobbins. RAND Corporation, 2003. This historical study conducted in conjunction with DOD examines 20th Century US government reconstruction efforts from Germany to Afghanistan. This work outlines the recurring considerations, challenges, and lessons learned across civ-mil design and planning, with specific discussions of several of the stability functions outlined in JP 3-07 and USIP's Guiding Principles.

Multinational Operations:

10. UN Peacekeeping Operations Capstone Doctrine, United Nations, 2008. This publication serves as the UN's "capstone doctrine" regarding the reformation of UN peacekeeping operations doctrine to better serve the current operational environment. This doctrine now serves as the UN's primary guideline for peacekeeping and stability operations throughout the world.

11.   Considerations for Mission Leadership in United Nations Peacekeeping Operations, United Nations, 2010. This guidebook for civilian and military leaders in UN peacekeeping operations, includes perspective on Integrated Planning, Assessment Tools, and Prioritization/ Sequencing.

12.   Integrated Assessment and Planning Handbook, United Nations, December 2013. This publication explains the UN's integrated assessment and planning process for design and planning from the strategic (UN, New York and Security Council) through Operational (Integrated Mission Team for specific peacekeeping operations), and show how assessments, design and planning work within a United Nations international peace operations construct. This is the companion manual to JP 5-0, and is useful to joint planners in understanding the approaches and methods when working with or alongside UN missions.

Supplemental References for Breadth and Depth

- *UN Peacekeeping in Civil Wars* by Lise Morje Howard. Cambridge, England: Cambridge University Press, 2008. This publication is a balanced exploration of the history of United Nations peacekeeping missions that highlights both the successes as well as the challenges and failures of UN PK efforts. This source provides views of how UN efforts are effective and provides insights where new planning, design and assessment tools for future US -led peace operations can be developed.

- *Designing Mandates and Capabilities for Future Peace Operations,* International Forum on the Challenges of Peace Operations. Stockholm, Sweden: Taberg Media Group, 2014. This publication offers valuable insight to the design and capabilities for future peacekeeping and stability operations. Chapters 3 (policies and practices for UNPK) and 5 (assessment) are particularly valuable to operational and strategic planners.

- "*Five Paradoxes of Peace Operations*," by Richard Gowan. Policy Briefing for the Zif Center for International Peace Operations, September 2011. The German peace operations institution Zif explores the paradoxical existence of organizations such as the UN in regard to peacekeeping operations across five major topic areas and provides insightful analysis of the issues facing global peacekeeping operations.

- "*Peacekeeping under Strain: Coping with Evolving Contradictions*," by Tim Guildman. *Peace and Conflict Review*. Volume 4, Issue 2. 2010. Offers commentary on recurring challenges that face peacekeepers as part of stability operations, and provides insight on how operations have been successful and unsuccessful due to competing national interests, domestic and international political strains, and cultural misunderstandings.

- "The US Role in Contemporary Peace Operations: A Double Edged Sword?" by Ian Johnstone and Ethan Corbin *International Peacekeeping*. London, England: Routledge Publishing, 05 March 2008. This commentary explores the complicated task that US leaders have to consider when planning for, designing and attempting to assess Peace Operations as part of joint stability operations. It highlights the difficulties that the US faces in the world we are able (and willing) to lead within the peacekeeping community without unduly forcing our national interests upon our partners and the host nation.

- *High- Level Independent Panel on Peace Operations: Uniting Our Strengths for Peace- Politics, Partnerships and People*, United Nations, 01 June 2015. Most current assessment by the United Nations on the challenges and options for future international peacekeeping. The Panel explores how the spread of violent extremism, overlaid onto long-simmering local or regional conflicts and the growing aspirations of populations for change, is placing pressure on governments and the international system to respond. As UN peace operations struggle to achieve their objectives, the Panel concludes that major changes are required to adapt and ensure their increased PK effectiveness and appropriate use in future.

- *Comprehensive Approach- EUCOM Planning Handbook Common Planning Framework,* US European Command, September 2012. Combatant Command J9 views on employing a comprehensive approach to planning and operations among European partners (particularly NATO). Includes design and planning considerations of joint planners at the CCMD and JTF levels.

- *Capability Development in Support of Comprehensive Approaches: Transforming International Civil- Military Interactions*, NATO, December 2011. This NATO publication explores the ever-changing world of international civil- military interaction in an effort to develop comprehensive approaches to joint operations. This is a useful design template for joint stability ops planning within a "comprehensive approach."

Stability Functions – References for Each Sector:

Security Function:

13. Security Force Assistance Planner's Guide, JCIFSA, 14 February 2008. (Revised Draft available, dated May 2014). This is a valuable handbook for joint planners as it includes both SFA and security sector reform. The current (2008) version is being revised with improved tools for planning, situational awareness and baseline assessment considerations.

14. The American Military Advisor: Dealing with Senior Foreign Officials in the Islamic World, PKSOI and USAWC Strategic Studies Institute, August 2008. This short monograph written by a career Foreign Service Officer describes the roles and challenges for US military advisors, specifically in Islamic countries. It includes valuable insights into cross-cultural understanding, leadership, character and intellectual ability in those who serve as military advisors to foreign leaders.

Supplemental Security References for Breadth and Depth

- *Protection of Civilians Military Reference Guide*, PKSOI, January 2013.   Protection of Civilians must be considered and integrated during all military operations, including peace support ops and major combat ops during armed conflict. Civilians are protected persons under international law, and parties to a conflict have a legal obligation to protect civilians from the conflicts effects. This is a vital consideration for joint stability ops planners when considering operational design.

- *Special Report: The Link between DDR and SSR in Conflict-Affected Countries*, USIP, May 2010. This special report explains the links between DDR and SSR in regard to post-conflict operations, and highlights the importance of both as they complement each other in stopping violent conflict and preventing its return. Key sections discuss the challenges in implementing the two systems as well as recommendations implementation and success in future operations.

Governance Function:

15. Transitional Governance: From Bullets to Ballots, USIP, July 2003. Effective transitional governance is one of the most formidable challenges facing stabilization missions in war-torn, failed states. Peace can be sustained only when power is attained through political rather than violent means and when government institutions are legitimate. Key for planners are their analysis of challenges and imperative for civ-mil efforts during future operations.

16. Handbook for Military Support to Governance, Elections and Media, JFCOM, 11 February 2010.   Prior to the publication by JFCOM of a series of stability function handbooks, the last comprehensive guide to military governance and transitional military authority was written in 1943. The Handbook was developed for use in Iraq and Afghanistan, and analyzes the challenges and efforts that joint forces are involved in as they rebuild governance and media

institutions, support election preparations, and provide advisors to national ministries and legislative committees. As with the other 4 handbooks in the series, it provides pre-doctrinal techniques and procedures for joint force planning and support to build legitimate governance and media. (Note: this Handbook is currently being maintained/updated for use by PKSOI)

Supplemental Governance References for Breadth and Depth

- *Decentralization and Democratic Local Governance Programming Handbook*, USAID, May 2000. This older handbook is still a very useful, practical guide for country-level planners who must develop decentralized and democratic local governance. Drawing on 15 years of USAID experience in post-Cold War democracy promotion and on four decades of municipal development work, it provides a conceptual framework, guidance for successful program development strategies, developing entry points and tactics for design and implementation, and mission monitoring and evaluation.

- "*Guide to Rebuilding Governance in Stability Operations: A Role for the Military?*" PKSOI, June 2009. This guide examines an intervening force's role in creating a functional state that can deliver services effectively, is responsive and accountable to its citizens, and capable of assuring security. For each of these three areas, the guide summarizes key issues, trade-offs, and options for military planners on the restoration and rebuilding of government. Its recommendations are drawn from both from theory and the experiences of military and civilian practitioners in a variety of missions.

- "*Establishing Good Governance in Fragile States through Reconstruction Projects: Lessons from Iraq*". Global Economy and Development at Brookings. Working Paper 56, January 2013.   This publication highlights the lessons learned from post- conflict Iraq in regard to the establishment of good, legitimate governance through reconstruction projects. This source highlights what went well and what failed miserably in Iraq; it also highlights the need for clear, intensive communications between donors and host government officials as well as the need for clear planning and design by the US government.

- *The Government Assistance Center: A Vehicle for Transitioning to the Host Government*, PKSOI, May 2011. This paper provides a new approach to developing legitimate governance through creating "government assistance centers" which are the nexus between governance assistance, rule of law development, and security sector reform within host nation assistance programs for the USG in an effort to build partner institutional capacity and transition efforts to a sovereign and stable host nation.

Humanitarian Assistance and Providing Emergency Essential Services:

17. Handbook for Military Assistance to Essential Services and Critical Infrastructure, JFCOM, 02 February 2010. This handbook outlines and provides approaches for planning and restoring services essential to sustain human life during stability operations (water, sanitation, transportation, medical, etc.), and the required physical and systems infrastructure needed to deliver such services. It provides analysis of joint force considerations and responsibilities in working alongside USAID, NGO and multinational actors, and provides planners insights on working with civil affairs and sustainment forces that are coordinating and supporting emergency services and restoration of critical infrastructure missions. (Note: this Handbook is currently being maintained/updated for use by PKSOI)

18. "Guidelines for Relations between US Armed Forces and Non-Governmental Humanitarian Organizations in Hostile or Potentially Hostile Environments," by USIP and the DOD, 2007. These mutual developed guidelines by USIP, DoD and INTERACTION (as the representative of the U.S. humanitarian NGO community) are intended to facilitate interaction between DoD and U.S. based humanitarian relief efforts in hostile or potentially hostile environments. (For the purposes of these guidelines, such organizations are referred to as Non-Governmental Humanitarian Organizations, or NGHOs.) While the guidelines were developed between the Department of Defense (DOD) and Interaction, DOD intends to observe these guidelines in its dealings with the broader humanitarian assistance community.

<u>Supplemental Governance References for Breadth and Depth</u>

- *USAID Field Operations Guide*, September 2005.   The FOG contains information on general responsibilities for disaster responders, formats and reference material for assessing and reporting on populations at risk, Disaster Assistance Response Teams (DART) organization and duty checklists, descriptions of OFDA stockpile commodities, general information related to disaster activities, information on working with the military in the field, and a glossary of acronyms and terms used by OFDA and other organizations with which OFDA works.

- *'Minimum Standards in Humanitarian Response,"* UN Sphere Project, United Nations, 2011. The UN Humanitarian Charter and minimum standards reflect the determination of international and humanitarian agencies to improve both effectiveness of assistance through a practical framework for accountability. These are essential in dealing with response to humanitarian crises by establishing minimum-essential, common standards across responding agencies to preserve and safeguard populations affected by disaster.

Rule of Law and Civil Security/Policing:

19. *Rule of Law Handbook,* US Army Judge Advocate General, 2011. This Army Judge Advocate General's (JAG) is a useful cross-service guide to assessing, developing and supporting rule of law efforts during integrated civil-military operations. It outlines ROL requirements and challenges as a basis for joint support civil capacity development.

<u>Supplemental Rule of Law References for Breadth and Depth</u>

- *Handbook for Military Support to Rule of Law and Security Sector Reform,* JFCOM, 13 June 2011. This handbook provides considerations and planning approaches for military support to rule of law development and security sector reform in post-conflict situations. Chapter 1 (Introduction and Overview), provides "Current Military Guidance to ROL Support" and integration into "Unified Actions"; Chapter III (Planning) provides key aspects of assessing and developing RoL support in joint stability operations. (Note: this Handbook is currently being maintained/updated for use by PKSOI)

- "Legal, Judicial and Administrative Reforms in Post-Conflict Societies: Beyond the Rule of Law Template." Journal of Conflict & Security Law 12, no. 1, Spring 2007. 65-93. This resource highlights the legal, judicial and administrative reforms necessary to construct successful post-conflict societies. This is a valuable source of information for joint planners who will need to consider ROL in their operational planning.

- United Nations Rule of Law Index. Website: www.un.org/en/ruleoflaw/index.shtml, Accessed 18 June 2015. Recurring assessment of international rule of law efforts, to include peacekeeping missions. Provides information on UN international rule of law publications.

Economic Stabilization:

20.   "Handbook for Military Support to Economic Stabilization," JFCOM, 27 February 2010. This handbook outlines the key concepts, principles and practices underlying joint force support to economic development. It addresses conducting a comprehensive economic assessment, employment and business generation, trade, agriculture, financial sector development and regulation, and legal transformation. It also discusses integration of short-term military efforts with USAID and other international partner economic recovery and development operations. (Note: this Handbook is currently being maintained/updated for use by PKSOI)

<u>Supplemental Rule of Law References for Breadth and Depth</u>

- *A Guide to Economic Growth in Post-Conflict Countries*, United States Agency for International Development, January 2009. This publication serves as the USAID's guide to post-conflict economic development in war-torn regions. This guide is critical for the understanding of USAID operations, pay special attention to Chapter IV (Prioritizing and Timing) and Chapter IV (Infrastructure) as these chapters give insight to joint planners regarding USAID's priorities and the mission that will most likely involve US military elements, respectively.