



**CENTER FOR NATION RECONSTRUCTION AND  
CAPACITY DEVELOPMENT**  
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## Transitions in Civil-Military Operations

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## Abstract

This research focused on understanding transitions in civil-military operations and determining the most effective way to decide when a transition should occur during these same operations. To do so, we analyzed past and current civil-military operations, identifying challenges and best practices. After identification of these best practices, we developed a decision support tool that assesses a region during a civil-military operation to help identify and define the transitions occurring at the time.

The two organizations we primarily worked with are The Asia Pacific Civil-Military Centre of Excellence and the Center for Nation Reconstruction and Capacity Development. The Asia Pacific Civil-Military Centre of Excellence (the 'Centre') is an Australian Government initiative to improve Australia's effectiveness in multi-agency, civil-military engagement for conflict and disaster management overseas. The Center for Nation Reconstruction and Capacity Development (C/NRCD) is based in West Point, New York, and is focused on building partner capacity for communities and nations mainly in developing countries.

To develop our assessment framework, we assessed eight different case studies, suggested by our clients, falling into two different categories: post conflict and natural disaster. We assessed the key actors, transitions, and lessons learned of each case study in order to better understand the different transitions in civil-military operations. After combining the overall lessons learned throughout the various case studies, we established a set of best practices and identified key components of transitions that we used to develop our decision support tool.

From our post conflict case studies, we took away lessons learned such as to learn more about the state before taking action, security force presence is necessary in early stages of development, local and state governments should be integrated into reconstruction planning, clear objectives and tasks should be stated at the beginning of the reconstruction period, and that efficiency and coordination between different agencies is essential to completing the defined objective. After studying natural disasters, we determined that lessons learned include improving other nation's capacities to respond to disaster by sharing best practices, training first responders, and sharing technology, having a plan for coordinating donations and funds, directing outside assistance through the host government, coordinating more effectively between the various agencies, having an integrated approach to achieve long term stability and economic growth, and improving accountability and measurement of results.

In order to assess the various aspects of transitions we found in our research, we developed a tool to assess the progress and aid and in transitioning between phases of an operation. The assessment of regions is based on economic stability, governance, and security, which are broken down into subcomponents to further evaluate the region using specific, measurable metrics. These metrics are adjustable and weighted, allowing for stakeholder manipulation to accommodate the region being assessed. All overall assessment of each category is presented within the tool, providing the stakeholder the ability to view and analyze the overall transition phase in which the region lays. The information collected from the decision support tool allows the decision maker to track the progress of a nation over time that will produce trend lines. These trend lines will let the decision maker identify the problem areas in a transition and can be used to predict future transition periods. It is all encompassing, customizable to the specific region being evaluated, and provides all information necessary to make an informed decision about the state of a nation in transition.



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## About Us

The Superintendent of the United States Military Academy (USMA) at West Point officially approved the creation of the Center for Nation Reconstruction and Capacity Development (C/NRCD) on 18 November 2010. Leadership from West Point and the Army realized that the US Army, as an agent of the nation, would continue to grapple with the burden of building partner capacity and nation reconstruction (NR) for the foreseeable future. The Department of Defense (DoD), mainly in support of the civilian agencies charged with leading these complex endeavors, will play a vital role in NR and capacity development (CD) in both pre and post conflict environments. West Point affords the C/NRCD an interdisciplinary perspective making it uniquely postured to develop training, education, and research to support this mission.

The mission of the C/NRCD is to take an interdisciplinary and systems approach in facilitating and focusing research, training, information dissemination, and professional practice in the planning, preparation, execution, and assessment of efforts to construct infrastructure, policy, competency development, and governance to support to the transformation of communities and nations mainly in developing countries in both pre and post conflict environments or in the aftermath of a natural or manmade disaster.

The C/NRCD has a strong focus on professional practice to support the development of current and future Army leaders by providing opportunities for cadets and faculty to study abroad and other immersion experiences in addition to conducting research to support the NR and CD of the Army.

The C/NRCD aims to:

- Enrich cadet education through cultural immersion experiences, added research opportunities, increase resources, and other extra-curricular educational opportunities,
- Provide professional development opportunities for faculty,
- Enhance West Point's reputation as an intellectual asset to DoD and the nation,
- Enhance West Point's reputation as the national leader in undergraduate education,
- Provide needed research, training, and education for these problems of national and international priority,
- Leverage West Point's intellectual capital by engaging in mutually beneficial relationships with the Army, DoD, and other national and international organizations to provide solutions to problems of national and global significance,
- Provide for the integration of new analytical techniques, doctrine, and technologies across multiple disciplines,
- Facilitate relationships between the Army and various NGOs, DoD, and non-DoD federal agencies involved in the NR and CD effort,
- Provide avenues to disseminate knowledge in the NR and CD disciplines, and
- Facilitate publication of significant contributions in NR and CD and related disciplines.

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# Chapter 1 Introduction

## 1.1 Introduction

This research focused on the development of a decision support tool that will assist in identifying challenges and best practices of transitions that occur during civil-military operations by analyzing past and current operations. We are working primarily with two organizations on this project, The Australian Civil-Military Centre and the Center for Nation Reconstruction and Capacity Development.

The Australian Civil-Military Centre (the 'Centre') is an Australian Government initiative to improve Australia's effectiveness in multi-agency, civil-military engagement for conflict and disaster management overseas. The Centre supports the development of national civil-military capabilities to prevent, prepare for, and respond more effectively to, conflicts and disasters overseas.

The Center for Nation Reconstruction and Capacity Development (C/NRCD) is based in West Point, New York. The mission of the C/NRCD is to take an interdisciplinary and systems approach in facilitating and focusing research, training, information dissemination, and professional practice in the planning, preparation, execution, and assessment of efforts to construct infrastructure, policy, competency development, and governance to support building partner capacity for communities and nations mainly in developing countries.

There are two main deliverables that come from this project, a detailed case study analyses and a decision support tool. The detailed case study analyses include details of the transitions that occurred, challenges that arose, and the case studies themselves. These case studies cover both conflicts and natural disasters from all across the world, and are chronologically ordered within the following report. These case studies will help determine how to shape the decision support tool. The decision support tool will be based on a series of measurable variables, and will be created to help assist decision makers on when a transition is necessary.

## 1.2 Problem Definition

"Points of transition often present the greatest challenges to civil-military coherence and collaboration" (Dr. Jeni Whalan, 'the Centre'). This is the essence of the problem. When helping a country transition from state to another, the hardest part is knowing when to transition. What are the indicators? How do you know when to transfer control from the military to civilians? When do you transition to a host led redevelopment? These are the questions that were focused on in the capstone. In order to solve this problem, we developed a decision support tool after doing a detailed case study analysis of numerous transitions.



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## Chapter 2 Case Studies

### 2.1 Introduction

We assessed eight different case studies that were suggested by the Asia Pacific Civil-Military Centre of Excellence as well as the Center for Nation Reconstruction and Capacity Development. These case studies look at two different categories: post conflict and natural disaster transitions and include Papua New Guinea, East Timor, Solomon Islands, Indonesian Earthquake, Hurricane Katrina, Haiti, Japanese Earthquake, and Iraq. These case studies allowed our group to understand the different techniques used in past civil-military operations. We assessed the key actors, transitions, and lessons learned of each case study in order to better understand the different transitions in civil-military operations. From these case studies we established a set of best practices and identified key components of transitions, which we used to develop our decision support tool.

### 2.2 Case Studies

#### 2.2.1 Papua New Guinea

From 1902 to 1975 Papua New Guinea (PNG) was under the control of the Australians. In 1975, PNG gained their independence from Australia. There was peace in the country for just over 10 years and in 1989 a rebellion occurred until 1997 where nearly 20,000 lives were lost. Papuans rebellion was a result of many different ideas from tribes spread across 452,860 sq km as to how the government should be run. Similarities between the 1,000 tribes that speak 800 different languages are rare to come by. As the economy was weak and instable, PNG's focus was to create stability after the rebellion. In an effort to assist in creating sustainable government, \$10 billion have been given to PNG as a resource of AID. The issue is why the aid has been failing and what transitions could PNG make to make a change for the better in the country. The research conducted shows that they were not organizations in place to categorize the funds coming into the country to properly allocate the resources, coordination failed between different agencies and there was no justice system to implement the policies properly.

1) *Key Actors:* Like we saw in the transition in Haiti, the World Bank is the primary source of aid for PNG. In fact, PNG has the highest developing country aid inflow per capita (\$1.3 Billion). Asia Development Bank (\$800 million) and Australia also donate significant amounts of aid into PNG. All of these actors want to improve PNG, however the organization has lacked and a plan needs to be established in order to allocate the funds properly.

2) *Transitions:* In order to move through the stages of transitions as easily as possible two processes are necessary. The first is to have a system in place to administer where the foreign financial assistance should be allocated. This will prevent the waste of precious resources that PNG has been receiving from key actors and organize funds in a way that will benefit stabilizing the economy of PNG so that it begins to grow independent of outsider support. The second way to ease transitions of different stages is to improve the rate of efficiency of communicating changes occurring to policy and coordinating multiagency operations with the support of an overall controlling organization. With this in place, communication will have the ability to relay the new policies clearly throughout the islands.

As far as responsibility is concerned it is up to tribes to take ownership of their country and to have the desire to improve the country for the better. The first transition necessary to do so is to have local representatives of a tribe present when trying to implement a new policy. This will prevent confusion in the execution of the policy. The second transition is that PNG must ensure they have a plan for restorative justice. Without a justice system that the communities trust, new policies will never be able to be enacted. The final transition necessary is to have clear and effective communication to mend the gaps between modern and indigenous mindsets through use of the local community leaders of the tribes.

3) *Challenges*: The main challenge that PNG will have to face is communicating new policies and ensuring that the message government wants to pass along is being interpreted properly. This will be a difficult task to relay messages between 5 million people, scattered throughout multiple islands, and speak 800 different languages. However, if PNG is able to create a system to best articulate new strategies and spread the word across to as many countries as possible, the country will have the ability to gain stability and grow.

4) *Lessons Learned*: Papua New Guinea taught us the importance of having a methodology for communication in an area that is divided by so many different tribes. As such the lessons learned from this case study include having local representatives from each tribe when implementing a new policy for the entire nation so that everyone can have their say in the matter; they found the need to have a methodology that could assess milestones and effectiveness of the newly implemented policy. They also developed the need to have a system in place to administer where foreign financial assistance should be allocated as well as the need to effectively communicate to all of the multiagency operations in the area. These lessons learned from Papua New Guinea brought to light the need for effective communication amongst tribes, government, and outside agencies.

### **2.2.2 East Timor**

East Timor was colonized by Portugal in the mid 16<sup>th</sup> century, and remained so until their Civil War in 1975. After gaining independence for nine days, Indonesia invaded and named East Timor its 27<sup>th</sup> province. Indonesian sovereignty was not recognized by a majority of East Timorese nor the UN, but was accused of terror and human rights violations. During Indonesian rule, 200,000 East Timorese, about 25% of the population, died from killing, starvation, or disease. On 30 August 1999, 78.5% of the East Timorese voted for independence in UN-supervised elections. The announcement of these results set off a campaign of violence in which 70% of public buildings and many private assets were destroyed, as well as over 35% of health facilities. Two thirds of the populations were also displaced during this time. East Timor relied heavily on outside agencies to build their own country and governance after this vote for independence.

1) *Key Actors*: The primary key actors are the United Nations and the East Timorese themselves. The UN has had a constant involvement in East Timor before and since its independence. The East Timorese have played a critical role in their nation building process.

2) *Transitions*: The UN has been involved in East Timor ever since it gained its independence from Indonesia. The first UN agency to take stake in East Timor is the International Force for East Timor (INTERFET), which entered East Timor on 20 September 1999. INTERFET was the initial military effort in East Timor after the disarray following the vote for independence. Once order was established, on 25 October 1999, the United Nations Transitional Administration in East Timor (UNTAET) assumed overall responsibility for the administration of East Timor and held the legislative and executive authority. The UN's UNTAET mandate consisted of: providing security and maintaining law and order throughout East Timor; establishing an effective administration; assisting in the development of civil and social services; ensuring the coordination and delivery of humanitarian assistance, rehabilitation, and development assistance; supporting capacity-building for self-government; and assisting in the establishment of conditions for sustainable development. UNTAET held this position until East Timor's independence on 20 May 2002. This is the major transition in East Timor, as it gives the power back to the East Timorese. In order to aid the East Timorese in their transition to self-governance, the UN developed the United Nations Mission of Support in East Timor (UNMISSET). UNMISSET was put into effect on 20 May 2002 for 12 months. The mandate included: providing assistance to the core administrative structures critical to the viability and political stability of East Timor; providing interim law enforcement and public security and assisting in the development of a new law enforcement agency, the East Timor Police Service (ETPS); and continuing the maintenance of the external and internal security of East Timor. The UN acted as a

supporting role in this position, while the East Timorese took responsibility and authority for their own government. On 19 May 2003 the mandate was extended until 20 May 2004 and then again until 20 May 2005, but with a reduced size and revised mission: to provide support for the public administration and justice system in East Timor and for justice in serious crimes; to support the development of law enforcement in East Timor; and to support the security and stability of East Timor. On 20 May 2005 UNMISSET concluded its mission in East Timor and was followed by United Nations Office in East Timor (UNOTIL). This was a small political mission to ensure that the governance in East Timor was firmly in place, originally mandated to stay in East Timor for one year. UNOTIL's mission was to: support the development of critical State institutions by providing up to 45 civilian advisors; support development of the police with up to 40 police advisors; support the development of the Border Patrol Unit (BPU) by providing up to 35 additional advisors (potentially 10 military); providing up to 10 human rights officers to provide training in observance of democratic governance and human rights; and review the East Timorese's progress in these tasks. UNOTIL helped ensure a smooth transition from outside help to solely East Timorese governance. The next phase of UNOTIL is the United Nations Integrate Mission in Timor-Leste (UNMIT). UNMIT has been a presence in East Timor since 25 August 2006, assisting and supporting the East Timorese government both internally and externally (by coordinating with UN agencies and other partners). Its most recent operation, on 24 February 2011, was to help prepare the parliamentary and presidential elections planned for 2012.

3) *Challenges:* The greatest challenge has been the involvement of the East Timorese. There was little involvement early on in the INTERFET and early stages of UNTAET. Once UNTAET re-established governance, the East Timorese were more involved in their own governance. In the later stages, the UN has taken on more of a support role, letting the East Timorese rule themselves. Another challenge was infrastructure. With so much destruction after the initial vote for independence, the government was challenged to build it back up.

4) *Lessons Learned:* The first lesson learned is the importance of involving the host nation citizens as early and as much as possible. Their needs, wants, and desires should be considered from the very beginning of the transitions, and they should be heavily involved in rebuilding their nation. Another important takeaway is assessing the rebuilding progress. East Timor was assessed every six months in the categories of political affairs, administrative handover, defense force, foreign affairs, and law and order. The UN acting as the administrative and legal authority during the transition states also helped East Timor in its transition to independence by helping it form a government and justice system.

### 2.2.3 Solomon Islands

The Solomon Islands is a group of islands in the southwestern Pacific, just north of Australia. Their population is roughly equivalent to that of Fresno, California. The British colonized the Solomon Islands in the late 1800s. The Solomon Islands achieved independence in the 1970s. There are over a thousand islands in the nation, and each has its own unique tribes. The Solomon Islands have a strong tribal culture where the ties to a person's tribe are more influential than a person's ties to the state. This was a contributing factor in the outbreak of a civil war in the early 2000s. The fighting mainly occurred between the Isatabu Freedom Movement and the Malaita Eagle Force. The prime minister was kidnapped and forced to quit. Several agreements were signed the parties involved, but little progress was made. It was not until July 2003 that Australia and numerous other countries from around the region intervened. They formed the Regional Assistance Mission to Solomon Islands (RAMSI). The RAMSI immediately quelled any civil unrest with its police force. They helped the Solomon Islands stabilize their own government and balance the state budget. The police force in addition to stopping the ethnic violence began to train the new Solomon Islands police force. Millions of dollars have been poured into the country for reconstruction efforts.

1) *Key Actors:* The main party involved in this conflict is RAMSI. There is UN support, but it is funneled through RAMSI. RAMSI is in charge of security, finances, and everything else that the Solomon Islands

needs. The other party involved is the Solomon Islands Government. The SI government and police force is under constant tutelage from RAMSI. RAMSI is made up of over 15 different countries, mostly from the Oceania region. However, Australia and New Zealand make up most of the task forces' members. The two countries also contribute the most to the reconstruction efforts.

2) *Transitions*: There are two main transitions that have and continue to occur during RAMSI, security and capacity development. The RAMSI Participating Police Force (PPF) is training and supporting the Royal Solomon Islands Police Force (RSIPF). RAMSI officials have been helping the local governments start back up. The biggest problem is the Solomon Islands economy. RAMSI has been working to help balance the budget, which is why the RSIPF was initially underfunded and still is underfunded. The lack of financial support causes fractures in the RSIPF and encourages people to act out of self-interest. The RAMSI hopes to be completely out of the Solomon Islands by 2013. However, there will still be interest by several of the bigger states helping such as Australia because of their changing foreign policy. Australia is taking a bigger vested interest in their region in order to prevent any place to facilitate the conditions necessary for world terrorists to camp.

3) *Challenges*: Some of the biggest challenges are geographical. There are over a thousand islands in the country. Each island has its own tribe and traditions. Therefore people are more loyal to their tribe than they are to their country. This ethnic divide is the primary reason for the start of the civil war. The first problem is getting the people to overcome their differences. This is a challenge that will probably never be overcome.

4) *Lessons Learned*: One of the biggest lessons learned is how to overcome cultural divides. Before attempting to reconstruct a nation, one must understand the culture of the host nation and what limitations that imposes. For example, in the Solomon Islands, the family culture is matriarchal, meaning that it is centered on the females as heads of the family. So when making decisions and getting feedback, the transition force should be involving the women. Another lesson learned is that just because large amounts of money and manpower are used, does not mean that progress is being made. Objectives have to be clearly defined and realistic benchmarks and goals clearly explained.

#### **2.2.4 Indonesian Earthquake**

On December 26, 2004, a massive earthquake, with a magnitude of 9.1, whose epicenter was off the west coast of Sumatra, Indonesia, occurred in the Indian Ocean. This event triggered a series of tsunamis off the coasts bordering the Indian Ocean, devastating fourteen countries with waves up to 30 meters high, and killing over 230,000 people. It is recorded as one of the deadliest natural disasters and the third largest earthquake in history. With a population of 237,556,363, Indonesia was the hardest hit country. More than \$14 billion (USD) in aid was donated during a worldwide humanitarian response immediately following the disaster.

1) *Key Actors*: Immediate worldwide humanitarian response included mobilization of military units by the United States, Singapore, and Australia, and an International Disaster Response Unit by the American Red Cross. Other involvement included organizations such as United States Agency for International Development (USAID), Office of Foreign Disaster Assistance (OFDA), World Bank, World Health Organization (WHO), and Cooperative for Assistance and Relief Everywhere (CARE). Monetary donations, totaling about \$14 billion (USD) from about 50 countries were sent throughout the recovery process as well.

2) *Transitions*: Indonesia went through many transitions following the Indian Ocean tsunami in 2004. The main transition was the occupancy of international response and assistance teams and organizations immediately after the disaster, as the internal response was very weak. Several countries, including the United States, Singapore, and Australia mobilized military units in order to provide logistical support and humanitarian assistance. Humanitarian aid agencies such as USAID, Red Cross, and Cooperative for

Assistance and Relief Everywhere (CARE) sent response teams and assistance as well. Many transitions between the aid agencies and governments were completed, as some organization's efforts and rebuilding projects during the reconstruction stage took longer than others.

Another huge transition came following the recovery and reconstruction stage, when local and national control was regained, and Indonesia became, for the most part, self-sufficient again. Almost all remaining humanitarian aid organizations had completed their projects by this point, ending their occupation in Indonesia.

3) *Challenges*: One major challenge was the low capacity of other nations, as well as Indonesia, to be effective and integral parts of an international disaster response system, affecting the timeliness of the overall response. In other words, many nations did not have the resources or knowledge to help, even if they attempted to do so. Many Indonesians had equity issues, and along with government mandated setbacks and restrictions, displaced them to elsewhere transition into a new life.

4) *Lessons Learned*: The lessons learned from this natural disaster mainly involve integration and communication among agencies and militaries. The main lesson learned is that common operation procedures and mechanisms should be established to help smooth coordinated response efforts to future crises. Military to military cooperation is critical and can be stronger through more training, interaction, and military to military cooperation programs. Lines of communication within the United Nations organizations can be strengthened, allowing for better response among the governments involved, as the United Nations was crucial in the reconstruction process. Working with others to improve their internal capacity to respond to natural and manmade disasters by sharing best practices, training first responders, and sharing technology also allows for a more coordinated relief effort.

### **2.2.5 Hurricane Katrina**

Hurricane Katrina was the costliest and one of the five deadliest hurricanes in the history of the United States. Hurricane Katrina formed in the Atlantic Ocean in late August 2005. By the time Katrina hit the Gulf Coast States, it was a Category 5 hurricane, the strongest category allowed. Katrina made landfall Monday, August 29, 2005. The residents of the Gulf Coast, mainly New Orleans, failed to evacuate in time due to overconfidence and government problems on all levels, local to federal. Around 1,800 people died from the Katrina and the following floods. The total property damage was estimated to be around \$81 billion. The United States Coast Guard (USCG), National Hurricane Center (NHC) and National Weather Service (NWS) all gave ample warning time to the region of the impending disaster. Despite this, people failed to evacuate. Overall there was a multitude of financial support that poured into the relief effort and many agencies and nations sent men to help with the cleanup and reconstruction efforts.

1) *Key Actors*: The key actors range from local authorities to federal agencies. The New Orleans Police Department (NOPD) played a large role in the early stages of Katrina. The National Guard also played a key role. Both of these organizations were significant in the initial and follow up search and rescue as well as providing physical security in the area to prevent against looters and other crime. The Federal Emergency Management Agency (FEMA) is the federal level response that played a key role in capacity development during the aftermath of the hurricane. The Red Cross also contributed as well in providing relief assistance. The USCG was a very large contributor to the search and rescue efforts.

2) *Transitions*: There are many transitions that occurred during Katrina. Search and rescue was the immediate and most pressing transition. The USCG was fast in their response to start search and rescue efforts. They were later commended as an armed service for their efforts during Katrina. The NOPD had to eventually call off their search and rescue because they needed to stop the looting and violence in New Orleans. The National Guard assumed search and rescue and security responsibilities once they arrived in force. The National Guard eventually transferred responsibility back to the NOPD in 2009. The other transition was capacity development. New Orleans and the rest of the Gulf Coast were devastated. The agency in charge of reconstructing the city was always changing, from FEMA to the local governments.

There were many smaller organizations helping with the relief efforts. FEMA was in charge of organizing all the efforts of every organization until the city of New Orleans could run itself again.

3) *Challenges:* One of the major challenges in dealing with Hurricane Katrina was the mindset of the people of New Orleans. The population there had dealt with hurricane season after hurricane season. They knew that a direct hit would destroy the city, however they also knew the likelihood of that happening was slim to none. The levees were not designed to hold hurricane force flooding and winds. Getting the people to evacuate voluntarily was next to impossible. Another problem was not allowing the federal government to take control from the state and control the evacuation and rescue processes. The state and local authorities had to authorize federal action within their jurisdiction. This unnecessary red tape caused a delay in the evacuation and relief efforts. Also the lack of preparation beforehand led to unnecessary confusion. There was no prior planning. The authorities underestimated the intensity and potential of the hurricane. This caused a massive delay in the clean-up efforts. There was also no preparation in the transition of authority and power between local, state and federal agencies.

4) *Lessons Learned:* The biggest lesson learned from Hurricane Katrina is making sure a clearly defined chain of command is present. Each participating agency in any recovery or reconstruction effort needs to have a small part in the mission and someone to report to. All the agencies need to be bundled up into one chain of command. Each agency needs to also follow the same protocols and procedures in order to effectively stream line any kind of reconstruction and recovery process.

#### **2.2.6 Haiti**

On January 12, 2010 an a 7.0 magnitude earthquake struck the capital of Haiti. This earthquake destroyed the capital city, ruining thousands of government buildings, displacing hundreds of thousands of Haitians, and ultimately killing around 230,000 Haitians. The destruction was immense and there are there are three phases to which I analyzed in the transition of reacting to this natural disaster. First, is the immediate internal response, those are the locals such as policemen, doctors, and medics reacting to the immediate threat of the hundreds of thousands suffering. Those people, as in any natural disaster, are the ones that have greatest impact on the survivability of the population in the majority of the cases. In this instance however, due to lack of resources (hospitals that were destroyed, not enough aid stations, and lack of trained personnel) many people still died from this natural disaster. As a result, when looking at transitions our team should analyze the first 24 - 48 hours after the natural disaster occurs to see what could be done more efficiently or what systems should be in place to make the transitions run smoother. The second phase is the immediate external response, such as US military forces, Red Cross, and reinforcing teams like OCHA coming in from countries not impacted by the disaster. Outside support is essential to any direct natural disaster because the external forces were not impacted by the disaster and can therefore have large percentage of forces involved in the matter. It is essential that the second phase has an established relationship with the host country through prior coordination and constant communication. The last phase, long term growth from follow on support, is one of the most important phases because it determines what will happen in that country or area in the future. Some things that would fall under this category are receiving foreign aid from different countries (which in this instance totaled \$ 9 billion), having a plan to organize where this financial assistance will be allocated to, and creating focus groups that specialize on certain subjects such as education, nutrition, health, and economy. Table 2.1 is a brief timeline of the reactions that resulted from the earthquake that hit Haiti.

**Table 2.1** *Timeline of the aftermath of the Haiti earthquake*

Date	Event
12 January 2010	7.0 magnitude earthquake struck the Capital of Haiti
First 24 hours	SOUTHCOM troops were in Haiti, Dominican Republic was first to provide aid
16 January 2010	Hilary Clinton was the first senior official to arrive in Haiti; UN officials ordered a medical team to evacuate the area
17 January 2010	Airspace is limited for AID sources to give support to Haiti
18 January 2010	Airport opens to allowing 120 flights per day
20 January 2010	US sends another 4,000 sailors and marines
24 January 2010	Death toll reached 150,000
25 January 2010	Clinton, foreign ministers and donors meet to discuss strategy; US commits \$100 million
6 February 2010	G7 nations pledge debt relief for Haiti (\$1.2 billion)
9 February 2010	Death Toll Reaches 230,000
31 March 2010	UN Haiti Donor pledges to surpass target (\$9.9 billion)

1) *Key Actors:* In this natural disaster, there are many key actors that were and still are involved in Haiti. The United Nations remains highly involved and has created multiple organizations to support the recovery stages of Haiti. The UN Disaster Assessment and Coordination (UNDAC), the UN Office for the Coordination of Humanitarian Affairs (OCHA), and the UN Stabilization Mission in Haiti (MINUSTAH) are all directly dedicated to being a support base for Haiti. MINUSTAH has brought 8,940 troops and 3,711 policemen over to Haiti in a concerted effort to support and enforce the stabilization efforts in Haiti, whether it be enforcing the law or ensuring certain people are getting the proper aid. Another UN program is the United Nations Children's Fund (UNICEF) establishes a need for improving education for children to promote hope for the future of the country. The Haitian Government also developed a method of establishing what type of stability methods should be put into place using the Post-Disaster Needs Assessment (PDNA) program. PDNA is a method the Haitians use to assess the damage done on the area and to see whether or not they have made progress since the last time they were inspected. I find a methodology such as this one critical to understanding the severity of any project and should be inculcated into similar natural disasters or transitions in order to see if change for the better is actually occurring. Some United States forces that have been in Haiti for assistance include US Soldiers and USAID. As with most other transitions the World Bank is also involved and is a key actor in this mission.

2) *Transitions:* As this natural disaster was quite severe and there were many actors involved, there are many lessons to be learned from the transitions that occurred after the earthquake. As far as looking at different stages in the transition there were two main lessons to be had. First, the Haiti government realized that they needed to develop a plan that immediately supports those directly impacted by the earthquake and are in desperate need for survival. To make this transition, reactionary forces, such as a police forces and doctors on call, would need to have a system in place that would have the ability to react on a moment's notice. The three phases as mentioned above are transitioning between immediate internal response, immediate external response, and then finally for the last stage, follow on support. These steps in this order are what will make the transition successful. The second transition relates to the final step of the previous transition in the fact that Haiti needs to have a plan to reconstruct and rebuild the devastated area and this can be enacted with focus groups dedicated primarily to having reconstruction using new building codes, establishing the need for education, and stabilizing their economy for long term growth. In this particular instance Haiti made 12 focus groups with their own

specific support unit to guide them. When taking this plan into consideration, I believe the biggest difficulty will be to have constant communication between the different focus groups. To mitigate such a risk I would recommend that they have weekly meetings to discuss the individual progress of each focus group and then relate it to the overall objective of reconstructing the country.

The other key to transition is looking at who is responsible for each stage. In this case, USAID was the primary force ensuring that work in reconstruction was organized and that funds were properly allocated with their Office of Transition Initiatives. With this office specialized in looking at transitions in Haiti, the administrators had the ability to enhance the confidence of the people in the system because they are focused primarily on making their population's quality of life improve. They also have the opportunity to build cooperative frameworks between the government and its citizens by continuously showing support and getting their input on the matter.

We believe building an office that is responsible for the transitions occurring in the country as well as having prepared courses of action for any type of disaster will help with the reaction time for both internal and external responders as well as ensuring that there is a plan for creating stability in the future through focused reconstruction plans.

3) *Challenges:* Even with these transitions in place, there will still be some challenges that they will have to face as a country. Reconstruction will be the most difficult piece to this problem. Thousands of government buildings were destroyed and documents ruined in the earthquake. Therefore it is essential that the government builds new infrastructure that reaches a higher standard level of construction that would have the ability to respond better to future earthquakes. Additionally, recovering a stable government through reconstructing government buildings and retrieving documents that were destroyed will have to be compiled as fast as possible so that the policies in the country can still be enforced. As mentioned earlier, a large portion of the Haitian population was displaced, so Haiti will have to deal with the influx of migrating thousands of people throughout the country.

Creating a stable economy is essential to the Haitian population due to the fact that 68% of the country was in a state of poverty prior to the earthquake. This should be a primary goal in establishing stability, but will be difficult. If the funds from external sources are used properly, Haiti could really have the opportunity to become a stable economy.

4) *Lessons Learned:* The overall lessons learned for Haiti consisted of different plans for assessing stability. First the Haitian government had a comprehensive integrated approach to achieve long term stability and economic growth by having investment plans led by the host nation. They developed a plan for better coordination between internal and external agencies that allowed them to maximize the effectiveness of the United States and other donors involved. They also used the "cluster system" which allowed the Haitian government to organize and take accountability for the measured assessment going on. These lessons learned showed us that communication between all of the agencies led by the host government is essential to creating long term growth.

### **2.2.7 Japanese Earthquake**

A 9.0 magnitude earthquake struck the East Coast of Honshu, Japan on Friday 11 March 2011. It was responsible for 15,703 people killed, 4,647 people missing, and 332,395 buildings, 2,126 roads, 56 bridges, and 26 railroads destroyed or damaged. The earthquake hit a highly populated area and was followed by a tsunami. In addition to the people killed or missing and infrastructure destruction, it also created 335,000 refugees, ruined 23,600 hectares of farmland, and caused economic losses of 171-183 billion USD. There was also a large emphasis on nuclear safety since nuclear power plants were damaged by the earthquake and tsunami.

1) *Key Actors:* There are many key actors in this case study, from the Japanese government, to other countries, to nongovernmental organizations. The Japanese government set up different organizations to respond to this disaster, such as the Countermeasure Headquarters and the Government Emergency Response Headquarters. The United Nations sent many different agencies to assist Japan, to include: the World Health Organization (WHO), the International Atomic Energy Agency (IAEA), the World Meteorological Organization (WMO), the International Maritime Organization (IMO), the International Civil Aviation Organization (ICAO), the World Tourism Organization (UNWTO), and the International Labor Organization (ILO). Within two weeks of the earthquake and tsunami, 134 countries and regions and 39 international agencies had expressed a willingness to aid Japan, and 23 countries and regions had sent rescue teams as well as nuclear experts.

2) *Transitions:* The earthquake and tsunami response happened in four different phases: immediate response; search and rescue; relief mission; and long-term government and sustainability. The immediate response of the Japanese earthquake was one of disarray. Aid, either military troops or aid agencies, were called to the scene, and arrived as quickly as possible. They began organizing the masses of lost and confused people. This was a short phase, but is important to study. The next phase, search and rescue, lasted for a week (until 18 March). The military took an active role in this phase, which consisted mainly of freeing people from the rubble and trying to identify missing persons. The next phase is the relief mission, which consists of providing the victims with food, water, shelters, and medical care as quickly as possible. The key actors were heavily involved in this phase by transporting resources to Japan in order to better assist the government and people. The different aid organizations and countries were most involved in this phase, especially the organization of the different shelters and movement of the influx of supplies. The final phase, long-term government and sustainability is where Japan sits today. The earthquake and tsunami created two different government organizations solely to handle emergency situations. Japan is still in the process of building back up its economy. The Japanese government remained in power throughout all of the transitions.

3) *Challenges:* The first challenge is communication. Information was not disseminated in a timely manner. It was also difficult to track missing people, which left families in a state of worry and confusion. There was not a place immediately devoted to refugees or the missing, which left people stranded. Getting refugees the shelter, food, water, and medical care they needed was also a challenge. The nuclear power situation and how to safely handle the nuclear reactors is also a concern to the government and people. Overall, the largest challenge has been people *management*.

4) *Lessons Learned:* From this case study we learned the importance of organization in the initial response. There was massive confusion in the immediate days following the tsunami. Communication and organization between different key actors is also relevant in this case study. All the different key actors required good communication and coordination in order to help the Japanese.

### 2.2.8 Iraq

The U.S. and United Kingdom invaded Baghdad, Iraq on March 19, 2003, under the suspicion of weapons of mass destruction, igniting a war that would be known as Operation Iraqi Freedom. By the end of 2004, a final report affirming the absence of weapons of mass destruction was distributed. The U.S. stayed as external and internal security to protect the citizens from the rule of Saddam Hussein and Al-Qaeda. The U.S. trained the Iraqi police forces and began to overhaul the government. In 2005, the first multi-party election in fifty years took place, the first major step for the country of Iraq in becoming a parliamentary democracy. In December of 2006, Saddam Hussein was sentenced to death by hanging by the new Iraqi government. Following Hussein's execution was more violence against coalition forces, causing a surge of U.S. forces into Iraq. U.S. Department of Defense officials claimed that economic and security indicators began to show signs of improvement in the summer of 2008 as Iraqi forces began to take responsibility for their country's security.

The coalition forces began withdrawing their troops as they handed over their control of provinces to their respective governors and local authorities. Following U.S. President Barack Obama's election into office in 2009, the announcement was made that all combat units would be pulled out of Iraq. In October of 2011, Obama made the announcement that all U.S. troops would leave Iraq before the end of the year, formally ending the U.S. combat mission in Iraq and handing full authority and responsibility for security over to the Iraqi people.

1) *Key Actors*: The main actors involved in Iraq were the United States, United Kingdom, Iraq, insurgent groups, members of the Multi-National Force-Iraq (MNF-I), and the NATO Training Mission-Iraq. The MNF –I was led by the United States and included a large number of allied forces, all withdrawn by July of 2009, with the exception of the United Kingdom, who withdrew May of 2011. The United States government, to include the Department of State, Treasury office, and Department of Justice, was highly involved overall.

2) *Transitions*: The main transitions during the Iraq War have been with governance and security. Since the invasion of Iraq by the United States and United Kingdom, the internal security of Iraq had been handled by coalition forces until the withdrawal of forces began. The training of Iraqi forces began in the end of 2003. The Iraqi police and armed forces assisted coalition forces in conducting missions until the point when provincial authority began being handed over to the governor and local authorities in 2006. Full responsibility of security is in the hands of the Iraqi people following the complete withdrawal of U.S. forces.

The beginnings of a new government, transitioning from the control of the Ba'ath Party and Saddam Hussein, came in 2005 with the first multi-party election in Iraq in half a century. In July of 2006, coalition forces that were governing small provinces at the time were handing over control to local authorities. Iraq is a fully self-governing country following the withdrawal of all U.S. forces in December of 2011. Also, the transition from the Bush administration to the Obama administration in the United States made an impact on how the country handled their involvement in Iraq from 2009 to present day.

3) *Challenges*: Specific challenges to transitions in Iraq are those such as restoring order within the country; this was especially hard following events surrounding Saddam Hussein's execution. The development of a sustainable government, to include the lack of base knowledge of democracy and poorly organized political leadership was a major challenge in establishing self-governance. There was also the challenge of reconstruction, including civil, physical, and economic, requiring the building of trust within the society. This led to the lack of cohesive identity to unify different communities, creating issues with the enhancement of general security.

4) *Lessons Learned*: Some lessons learned following the war were that training of the Iraqi Army should be a greater priority, more efforts are needed to decrease religious conflicts, and assumptions should not be made as to how the Iraqi population will act as a result of U.S. actions. Ill conduct of civil society groups should be disciplined through regulatory instruments, democracy should be implemented before important preconditions, such as a strong civil society, are met. Democratic state institutions should be fostered through temporary suspension of sovereignty in a region. Iraqis should also be more involved in the political process as well as the United Nations. Establishing a national identity among citizens, and creating institutions that reinforce rule of law, such as an educational system, family structure, and religious institutions could maintain and encourage trust and provide stability in citizen's lives. Infrastructure should be repaired to restore basic life services, professional border security forces should be established to international standards, and a single, market-based economy should be established and fully integrated within the country.

## Chapter 3

# Case Studies Lessons Learned

### 3.1 Introduction

The two categories of case studies we looked at were transitions during armed conflict and natural disasters. As such we took away key lessons learned from all of the case studies in each category to come up with the most important lessons learned that can be applied in either situation.

For the category of armed conflict we had five main points. First before an outside nation enters the host nation in need of a transition that outside nation needs to learn more about the culture and current situation of that host nation. Second, in the early stages of development, security forces presence is necessary in order to enforce laws and provide safety for the civilians. Third, both the local and state governments must be integrated with one another to develop an effective reconstruction plan. Fourth the host nation must have clear objectives and tasks that are explicitly stated from the beginning of the reconstruction period between all agencies and militaries involved. Lastly, in an armed conflict efficiency and coordination between different agencies are essential in completing the defined objective.

During transitions for a natural disaster it is essential that coordination and communication between different agencies are occurring. First in order to improve other nation's capacities to respond to natural and manmade disasters, best practices, training first responders, and sharing advanced technology should be shared amongst different nations. The host nation must also have a plan for coordinating donations and funds from other countries. The host nation must also have a comprehensive integrated approach to achieve long-term stability and economic growth through use of accountability and measurement of assessment tools. These lessons learned for both armed conflict and natural disasters allowed us to have a framework for what would be required for our decision support tool.

### 3.2 Case Study Application

Throughout our case study analysis of post conflict transitions we saw a recurring general theme: the importance of economic development, governance, and security. Because of their frequency, we believe these three are the most important components of a post conflict transition. These three categories are the main categories in our decision support tool. In an effort to make the decision support tool relevant, we stylized it to assess the Iraq transition.

#### 3.2.1 Economic Development

Economic development is important to rebuild a state. Without a functioning economy, a nation cannot survive and be self-reliant. Every state has a working economy and a successful transition includes building the economy. The economy is divided into internal and foreign market. All of the metrics used came from several credible sources that include CIA.gov, the World Bank, and the Special Inspector General for Iraq Reconstruction or SIGIR reports.

##### Internal Economy

Before a state can effectively trade and work with other states, it must first develop an internal market. The internal measures are further divided into quality of life and economic stability. There are five different levels of assessment: beginning, developing, sustainable, performing and self-reliant. Each sub category of the internal market has separate definitions of those five different levels of assessment.

1) *Quality of Life:* The quality of is divided into health and education. These sub-categories are measured against the five levels of assessment. Beginning means no education or welfare system and low health quality. Developing means small education and welfare system with poor health quality. Sustainable means education and welfare system reaches at least half of population with moderate

health quality. Performing means majority of population is educated in addition to accessible and funded welfare and a high health quality. Self-reliant means the most of the population is educated. Welfare is accessible and funded but not needed by most people in addition to the highest health quality available.

2) *Health*: There are four indicators of health. Life expectancy (years) shows how well the people live in the state. The population growth indicates whether or not an economy is good enough to entice population growth that includes immigration/emigration and death/birth rates. Improved sanitation facilities (% of population with access) shows how developed a state is in regards to plumbing and sanitation. The last metric for health is health expenditure expressed as a percent of the total gross domestic product or GDP. How much a government invests into health care helps to determine how well the health of a state is.

3) *Education*: Education is divided into three metrics to best decide how educated the population is. The literacy rate is an indication as to how many people can read. This is a good indication as to the education system's level in a state. The next metric is pupil to teacher ratio, primary. This metric is useful to see how much attention is given to the children at school. The lower the ratio the better and more attention an individual student should receive. School enrollment shows how many parents trust the government to take care of and educate their kids while at school. The higher the school enrollment, the greater the chance of the next generation of children is being educated.

4) *Economic Stability*: Economic stability is divided into two sub categories: infrastructure and employment. The five levels of assessment for this category differ from the quality of life category. Beginning means high unemployment with no infrastructure. Developing means high unemployment with very little infrastructure. Sustainable means moderate unemployment with a small amount of infrastructure. Performing means a small amount of unemployment with a moderate amount of infrastructure. Self-reliant means very small unemployment with a large amount of infrastructure.

5) *Infrastructure*: Infrastructure is measured by five different metrics. The first metric is electric power consumption. This measures the electric power consumed in kWh per capita so it allows one to gage how much electricity the population is using. The higher the usage, the more accessible the power is to the people. The next metric is the renewable internal freshwater resources per capita in cubic meters. This is similar to the electricity measurement as it is used to determine the availability of water to the public. The higher the number, the more accessible the water and therefore the more self-reliant the economy is. Mobile cellular subscriptions are the next metric. These are useful in determining how many people are connected to the outside world and are near electricity and cell phone towers in order to be able to use them. The percentage of paved roads is another metric. This is useful because roads need to be paved in order to ensure that public and private transportation needs are met. The higher the percentage, the more developed the country is. Internet users per 100 people are the last metric. This metric is similar to the cellular device users in that it identifies which people are close enough to electricity and the Internet in order to be able to use it.

6) *Employment*: By far the easiest and most descriptive metric about employment is the unemployment rate. This rate is useful in determining the health of an economy. The lower the rate, the healthier and less dependent on foreign imports the state is.

### External Economy

After a state secures and develops its own internal market and economy it must be exposed to the outside world. The foreign market is based off of trade and foreign influence and currency legitimacy. Both of these categories have the same five levels of measurement as the internal categories, except with different definitions.

1) *Trade and Foreign Influence:* Trade and foreign influence is further divided into trade and foreign influence. Beginning is no trade and massive amounts of foreign aid. Developing is little amounts of trade with more imports than exports. This also includes large amounts of foreign aid. Sustainable is a growing amount of trade with slightly more exports than imports and little amounts of foreign aid. Self-reliant is a large amount of trade with more exports than imports in addition to no foreign aid.

2) *Trade:* Trade is further divided into imports and export of oil. The imports metric is useful in determining the amount of goods that is being imported into the state. This is useful in seeing the state's reliance on other states for survival. Export of oil is useful because it is the state's largest export and can be directly related to the well being of the state.

3) *Foreign Influence:* Foreign influence is divided into two metrics as well: foreign direct investment and the allocation of ESF funds to economic track. The foreign direct investment is the amount of money being invested in the state by foreign corporations. The larger the number, the more confidence the rest of the world has with the state. The allocation of funds to the economic track shows the dedication the states helping with transitions have towards developing the host nation's economy.

4) *Currency Legitimacy:* Currency legitimacy's only sub category is national currency. The five levels of assessment are defined differently than the trade and foreign influence category. Beginning is defined as a large black market with a low GDP, high deficit and inflation. Developing is defined as a large black market with a low GDP, average deficit and inflation. Sustainable is defined as having a moderately sized black market with a moderately sized GDP, deficit, and inflation. Performing is defined as having a small black market percentage with a moderate GDP and small deficit and inflation. Self-reliant is defined as having a very small black market with a high GDP. This also includes having a small deficit and minimum inflation.

5) *National Currency:* There are four metrics that best define currency. The first is GDP per capita. This shows how wealthy the average person is in the state. This is a good indicator as to the health of the economy. The exchange rate is the second metric. This metric shows the conversion of the state's currency to the USD. Most of the world is compared to the USD, so this is a good metric to see where the state compares to the rest of the world. Inflation is the third metric. A healthy country has a small amount of inflation, so this is a good indicator to see the health of an economy and the direction it could be heading. The final metric is GDP growth. A healthy economy is always growing and is not stagnant. The GDP growth helps to predict the future direction of the state's economy.

### 3.2.3 Governance

After researching several case studies, we found that governance is essential to creating a stable society. Without effective governance, nations and local communities cannot function to a desired level of efficiency. If a nation cannot sustain a level of governance in which it is self-reliant, it will eventually become dependent upon other nations for what should be its own decision making. People will usually show dissent toward governments that do not contain a basic knowledge of decision making, planning, and budgeting skills. This includes the government's ability to provide basic necessities to its people. We have broken our assessment of the impact governance has on a nation and its population into the national and local level.

We defined governance metrics for each of the previously mentioned categories based on each level of development: beginning, developing, sustainable, performing, and self-reliant. The beginning level is defined as the government being heavily reliant on external forces, not being held accountable for their actions, and incapable of identifying, prioritizing, and servicing the needs of their citizens. The developing level is defined as the government being reliant on external forces, somewhat accountable for actions, and incapable of identifying, prioritizing, and servicing the needs of their citizens. We have defined a nation being sustainable as the government being somewhat reliant on external forces, held accountable

for their actions, and somewhat capable of identifying, prioritizing, but not necessarily servicing the needs of their citizens. A performing nation is defined as the government holding very little reliance on external forces, being held accountable for their actions, and somewhat capable of identifying, prioritizing, and servicing the needs of their citizens. We have defined a self-reliant nation as one in which the government is self-sufficient, transparent, held accountable for all its actions, and capable of identifying, prioritizing, and servicing the needs of their citizens. We have weighted each metric and category based on the impact each one has on the overall assessment of a nation's governance. Upon assessing a nation using each individual metric, the result places the metric into a level of development, so upon the final assessment, each category can be categorized into a level of development.

In the assessment at both national and local levels, we found that the broad categories of essential services, budget execution, functions and processes, transparency, integration, and public perception were sufficient in evaluating the overall governance. Each category is broken down into its own individual metrics and is explained in more detail below.

1) *Essential Services*: Efficiency in the delivery of essential goods is necessary for a nation's overall development. We have broken essential services down into three metrics: provincial distribution system, fuel delivery, and infrastructure improvements. Measuring a nation's provincial distribution system is based on the timeliness, efficiency, and consistency of deliveries. Fuel delivery is measured on the basis of consistent distribution, and the timeliness of the deliveries. Sewage, water, electricity, and trash (SWET) infrastructure improvements are measured according to how well the improvements align with the provincial strategy, how well the budget is allocated, and whether they are actually delivered or not.

2) *Budget Execution*: Without a well allocated and managed budget, a nation's reliance on others can increase and/or it could cause a need for resources. We measured the national budget using the approval and commitment level of annual funds specifically for the nation, how much of the budget has been dispersed, to what extent is the budget being managed, and the level of integration with line democracy and governance (DG) and government on line (GOL) strategies.

3) *Functions and Processes*: Functions and processes deals with the planning and staffing piece of the government, and without these, governments generally cannot run smoothly and with much approval of the citizens. The metrics we have used to measure this category are high level Privy Council (PC) and governor, and strategic planning. Measuring a nation's high level PC and governor involves the effectiveness of both the council and the governor, the level and retention of the staff, how well the staff and governor are trained, and whether or not the staff and governor are resourced properly. Strategic planning is measured by how effectively the government can develop a plan for various programs and projects, how well these plans are aligned with the overall governmental strategy, and whether or not the plans follow budget requirements.

4) *Transparency*: Transparency indicates the ability for all levels of government within a nation to recognize the decision-making process being used to influence the whole population. Decision-making is used to measure this attribute. To measure decision making, the visibility of the decision making process is taken into account (open versus closed decision making), as well as the level of consulting between the national government, local government, and population as a whole.

5) *Integration*: Integration among the various levels of government in a nation is necessary in developing a strong, cohesive national government. To assess integration, we measured municipal structures and national and sub-national government integration. We measured municipal structures using their effectiveness, whether or they fully represent their constituencies, and how well they align and integrate with the provincial government. The national and sub national government integration is measured on the basis of communication, trust, and dependency within the levels of government. At the local level of integration, provincial government and DG alignment is assessed and measured on the basis of

communication, how well information is shared, the alignment of plans, and how effectively each government can work together.

6) *Public Perception*: Public perception is a key factor in assessing a nation's governance. If decisions and actions are not reaching or aligning with citizen's wants, or more importantly, needs, then the population will be unsatisfied with their standard of living and less likely to take action when the government needs assistance. The metrics used in assessing public perception were the confidence in the judicial and court systems, the confidence in the national government, the satisfaction with the roads and highways, the confidence in the provincial government, and at the local level, the confidence in the local government. Each of these metrics is measured using polls of the nation's population and is reported as a percentage of the population.

### 3.2.4 Security

Based off our analysis in our case studies, we determined that the underlying necessity to ensuring a successful transition occurs is security. As we learned, when people feel safe in their environment they are more willing to be a part of transition and be an acting force in the change. If people do not feel safe, they will not actively engage in being a helping cause to make the change. Without security, our other two value measures governance and economic development cannot be pursued. To further assess how security impacts it has on the population we will be assessing the external security, internal security, and the nation's current state of stability.

#### External Security

In order to first assess how a nation can protect itself from other countries, we determined the best measures that define external security would look at the components of the nation's military forces as well as looking at border control for that nation. For each measure of security we made definitions based off of our research to look at what current state the nation would be in for that particular time period. We have five different levels of assessment: beginning, developing, sustainable, performing, and self-reliant. We have defined beginning as regaining security after armed conflict or natural disaster, having complete reliance on outside nations' forces. Developing is a security system that is in the beginning stages of development; local administrators are beginning to incorporate it into their life. However in this stage there is still a large reliance on outside nations' forces. A security system that is in full effect and people have trust in it but still have a small reliance on outside nation's forces is what we are using to define sustainable. A performing nation is that of which has full cooperation for the security system and has minimal reliance on outside nation's forces. At this stage, outside organizations mainly act as advisors to their policies. The final stage determining the success of the transition period is whether or not it has become self-reliant. As such a self-reliant nation had complete trust from both administration and the populace. The country is self policing, advising, and has a system in place for a training force as well as no longer reliant on outside nations' forces to get the job done. As we have defined these stages we are able to assess the subcomponents of the external security forces in both the military and border.

1) *Military*: One can assess a nation's security forces based off of the status of all branches of the military, if they even have forces in some instances, Army, Navy, Air Force. When looking at these branches there are for components that are essential to measure how a branch is doing: personnel, equipment, training, and experience. The more a nation has in each of these categories, the greater the value it has. The number of personnel one nation has gives an idea of the size of force compared to the population of the nation, it shows the nation's level of commitment to having a larger force, and proves whether or not a force is large enough to have an actual impact on the nation. Equipment gives a good assessment on whether or not the nation is able to manage and fund a nation. If a country has an Army of 100,000 personnel but can only equip fifty percent of them, is it really all that effective. When looking at the value measure of training it is important to see what type of levels of training are the personnel in the forces going to. If it is just a basic course, how sufficient can the training be? Are there advanced courses to assist aspiring officers? The more a nation is willing to put into the training of the troops the more effective

they are going to be as leaders and ultimately enforcing security in their province. Lastly, the measure of experience assesses one's branch of military to look at if the military has personnel that have been in the service and have had experience serving in combat situations other than basic training.

2) *Border*: The protection of the border of a nation is another measure of how security is being implemented or not. The two sources of assessment are that of Border Patrol and Coastal Defense force. The scale-assessing borders are beginning, developing, sustainable, performing, and self-reliant like that above, however the definitions are different. Beginning is defined as a nation regaining security after armed conflict or natural disaster. Complete reliance on outside nations' forces in border areas is necessary in this instance. Developing is defined as a security system that is in the beginning stages with local administrators beginning to communicate with neighboring states. In this stage there is still a large reliance on outside nations' forces in border areas. We defined sustainable as a security system that is in full effect and people trust the system. At this stage, negotiations are in effect with neighboring states and there is still a small reliance on outside nations' forces in border areas. Performing consists of a security system that is supported by its people, has policies reached with neighboring states, and has minimal reliance on outside nations' forces in border areas. A self-reliant border is a system that has complete trust and support from administration and populace. This self-reliance implies that the nation has good relations with neighboring states while remaining self-policing. Here, there is no reliance on outside nations' forces in border areas. The same performance measures from above are used to measure both border patrol and coastal defense force: personnel, equipment, training, and experience.

#### Internal Security

Internal security has the greatest impact on the populace, as they are influential in enforcing the rules and laws in each sector or province of an area. Therefore it is imperative that internal security is assessed. We are assessing the police force, both at the local and national levels. For our measures we used the same scale of beginning, developing, sustainable, performing, and self-reliance. Beginning is defined as regaining order after armed conflict or natural disaster having complete reliance on other forces to perform policing functions. Developing is where the police system is in the beginning stages and local administrators are beginning to use the system. However there is still a large reliance on outside nations' forces to perform policing functions. We defined sustainable as a policing system that is in full effect and people trust in it. There remains a small reliance on outside nations' forces to perform policing functions. A performing police system has full cooperation and support with minimal reliance on outside nations' forces to perform policing functions. Outside organizations during this stage are acting as advisors instead of supporters. Finally, a self-reliant policing system has complete trust and support from administration and populace. The organization is self-policing, advising and training police force. There is no reliance on outside nations' forces to perform policing functions.

#### Security Current State

In order to assess where a nation was and where it is going, a country must first assess where they currently are in stages of beginning, developing, sustainable performing, and self-reliant. Ways to measure the current state of security in a nation can be assessed by looking at criminal activity in the area, the public's perception of security, and the amount of insurgent activity in the area.

1) *Criminal Activity*: The amount of current criminal activity in a nation can give a direct assessment of what the security level is like in that nation. As such our levels of performing have been defined as the following. Beginning is defined as an activity that makes it unsafe and deadly for people to be outside of their homes or in public places. Developing is a little bit better as the preceding definition only occurs during certain hours of the day. Sustainable on the other hand is where activity is manageable and people can go public places during all hours of the day. A current state that is performing in criminal activity is a low threat of dangerous activity and people will go to less well-known places safely. A self-reliant current state has a very low threat of dangerous activity. Value measures that will be assessed is the crime rate

(the number of people arrested by IP per month) and violent crime rate (number of people killed, injured, or kidnapped in acts of terrorism per year and number of civilian deaths per month).

2) *Public Perception*: A good measure of safety is to assess how safe the populous feels in that country, which more times than not can be looked at in an assortment of surveys. The measures of assessment are defined as the following. Beginning is where people do not leave their homes and do not trust the defense and/or police force. Developing is where people rarely leave their homes, and feel very unsafe when doing so. They also have little trust in the defense and/or police force. A sustainable perception would include that where people often leave their homes and go to public, protected places. At this stage, they are beginning to trust the defense and/or police force fully. A public perception that is performing would be where people frequently leave their homes and go to public places as well as trust the defense and/or police force. A public perception that would be self-reliant would be categorized as people freely leaving their houses to travel wherever they want to conduct daily activities. The people also completely trust the defense and/or police force. Some measures that are assessed are the percentage of people that feel safe, believe in the defense force, and believe in police force.

3) *Insurgent Activity*: Whether or not violent attack is occurring in the current state can be assessed by looking at insurgent activity and can be measured in the following definitions. A state that is at the beginning would be where the insurgent activity makes it unsafe and deadly for people to be outside of their homes or in public places. A developing state is defined as insurgent activity that makes it unsafe for people to be outside their homes or in public places during certain hours of the day. Where as a sustainable level of insurgent activity is manageable and people can go public places during all hours of the day. A performing state has low threat of dangerous activity and people will travel to places that are less well-known. A state that is self reliant from insurgent activity has a very low threat of dangerous activity. Ways that insurgency activity can be assessed are IED Rate (number of bombs and IEDs found and detonated per week or type of attack) as well as the type of attack (whether it is against government infrastructure/ organizations, small ambushes, and mortar/rocket attacks).



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## Chapter 4 Decision Support Tool

### 4.1 Introduction

We developed a decision support tool to determine the current transition phase of an example nation. We used our case study research to determine the categories, subcomponents, measurements, and weights of our decision support tool. The current decision support tool is set for Iraq 2006. Based on the situation, we chose to measure Economic Development, Governance, and Security. However, these categories can be changed based on the type of transition. The first page of the decision support tool is the overall dashboard, as seen in Figure 4.1. This illustrates the transition phases of the three different categories and their components.

*Figure 4.1 Decision support tool*

	Transition	Beginning	Developing	Sustainable	Performing	Self Reliant
Go to Economy Dashboard	<b>Economy</b>			X		
	<i>Internal Market</i>			X		
	<i>Foreign Market</i>			X		
Go to Governance Dashboard	<b>Governance</b>		X			
	<i>National Governance</i>		X			
	<i>Local Governance</i>		X			
Go to Security Dashboard	<b>Security</b>		X			
	<i>External Security</i>		X			
	<i>Internal Security</i>			X		
	<i>Current State Security</i>		X			
	Go to Economy Weighting	Go to Governance Weighting	Go to Security Weighting			

The first step in using this tool is to enter the weights, which is the importance the user believes each value measure holds. Figures 4.2 to 4.4 illustrate the weights for Economic Development, Governance, and Security, respectively.



Figure 4.3 Governance weights

Back to Overall Governance		Back to Overall Dashboard		Governance							
				National Governance		0.6					
				Local Governance		0.6					
				<b>National Governance</b>							
				Essential Services		0.34					
				Functions and Processes		0.33					
				Public Perception		0.33					
				<b>Essential Services</b>							
				Infrastructure		0.5					
				Budget Execution		0.5					
				<b>Functions and Processes</b>							
				Government		0.75					
				Transparency		0.1					
				Integration		0.15					
				<b>Public Perception</b>							
				Gallup Polls		1					
				<b>Local Governance</b>							
				Essential Services		0.34					
				Functions and Processes		0.33					
				Public Perception		0.33					
				<b>Essential Services</b>							
				Infrastructure		0.5					
				Budget Execution		0.5					
				<b>Functions and Processes</b>							
				Government		0.75					
				Transparency		0.1					
				Integration		0.15					
				<b>Public Perception</b>							
				Gallup Polls		1					
<b>Essential Services</b>		<b>Value</b>		<b>Functions and Processes</b>		<b>Value</b>		<b>Public Perception</b>		<b>Value</b>	
<b>Infrastructure</b>		<b>0.5</b>		<b>Government</b>		<b>0.8</b>		<b>Gallup Polls</b>		<b>1</b>	
Provincial Distribution System		0.3		High Level PC and Governor		0.5		% Confidence in Judicial System		0.3	
Fuel Delivery		0.3		Strategic Planning		0.5		% Confidence in National Government		0.3	
SWET		0.3						% Satisfied with Roads and Highways		0.3	
<b>Budget Execution</b>		<b>0.5</b>		<b>Transparency</b>		<b>0.1</b>		<b>Confidence in Provincial Government</b>		<b>0.3</b>	
National Budget		1		Decision Making		1		% Confidence in Local Government		0.3	
				<b>Integration</b>		<b>0.2</b>					
				Municipal Structures		0.5					
				National/Sub-National Integration		0.5					
								Municipal Structures		0.3	
								National/Sub-National Integration		0.3	
								Provincial Government and DG Alignment		0.33	

The stakeholder sets the weights based on their importance. The weights are multiplied by the raw data of each value measure to give a value to each value measure. The value measures of each subcomponent are then multiplied by the importance to give a score for the subcomponent. Multiplying this subcomponent score by the weight gives a score for the component. An example uses Life Expectancy, which is a value measure of Health, which is a subcomponent of Quality of Life which is a subcomponent of Internal Market, which is a component of Economic Development. A snapshot of this is shown in Figure 4.5.



**Table 4.5** Quality of life

Internal Market	TOTAL	Beginning	Developing	Sustainable	Performing	Self Reliant
Quality of Life	64				X	
Health	53.5			X		
Education	73.63				X	
Economic Stability	55.7			X		
Infrastructure	51.4			X		
Employment	60			X		

Quality of Life	Beginning	Developing	Sustainable	Performing	Self Reliant	Total
	No education or welfare system; low health quality	Small education and welfare system; poor health quality	Education and welfare system reaches at least half of population; moderate health quality	Majority of population educated; welfare is accessible and funded; high health quality	Most of the population educated; welfare accessible and funded but not needed by most; high health quality	
<b>Health</b>	Beginning	Developing	Sustainable	Performing	Self Reliant	<b>53.5</b>
Life Expectancy (years) <sup>4</sup>	Below 65	65-68	68-70	70-72	72 and greater.	40
Population Growth (annual %) <sup>4</sup>	0% <sup>4</sup>	0-1%	1-2%	2-3%	Greater than 3%	81
Improved Sanitation Facilities (% of Pop. w/access) <sup>4</sup>	Below 40%	40-55%	55-70%	70-85%	85% and greater.	61
Health Expenditure per Capita (Current US\$) <sup>4</sup>	0	0-100	100-250	250-500	500-750	32

The stakeholder sets the weights based on their importance. The weights are multiplied by the raw data of each value measure to give a value to each value measure. The value measures of each subcomponent are then multiplied by the importance to give a score for the subcomponent. Multiplying this subcomponent score by the weight gives a score for the component. An example uses Life Expectancy, which is a value measure of Health, which is a subcomponent of Quality of Life which is a subcomponent of Internal Market, which is a component of Economic Development. A snapshot of this is shown in Figure 4.5.

For our example, the raw data indicates that the average life expectancy for an Iraqi in 2006 was 68 years old, which is shown on the slider bar. These 68 years is converted to a value of 40 as seen in the pink column on the right. This is done for all four-value measures of Health. Each of these values are then multiplied by their respective weights and summed in order to give the Health score. The Health score, along with the Education, the other subcomponent of Internal Market) score, is then multiplied by their respective weights and summed to give the Quality of Life score. The same process uses the Quality of Life and Economic Stability scores to find the Internal Market Score. The Internal Market and Foreign Market scores also follow this same process to create an overall Economic Development score. The phases of transition that these scores generate are reflected in both the Overall Dashboard (Figure 4.1) and the Economic Development Dashboard (Figure 4.6). The Economic Development Dashboard is

shown below in Figure 4.6. The same method is used for Governance and Security. The Governance and Security dashboards are shown in Figures 4.7 and 4.8.

**Figure 4.6 Economic development**

Economic Development	TOTAL	Beginning	Developing	Sustainable	Performing	Self Reliant
<b>Internal Market</b>	<b>60</b>			X		
Quality of Life	64				X	
Economic Stability	56			X		
<b>Foreign Market</b>	<b>42</b>			X		
Trade & Foreign Influence	55			X		
Currency Legitimacy	29		X			
<b>OVERALL ECONOMY</b>	<b>50.81</b>					

**Figure 4.7 Governance dashboard**

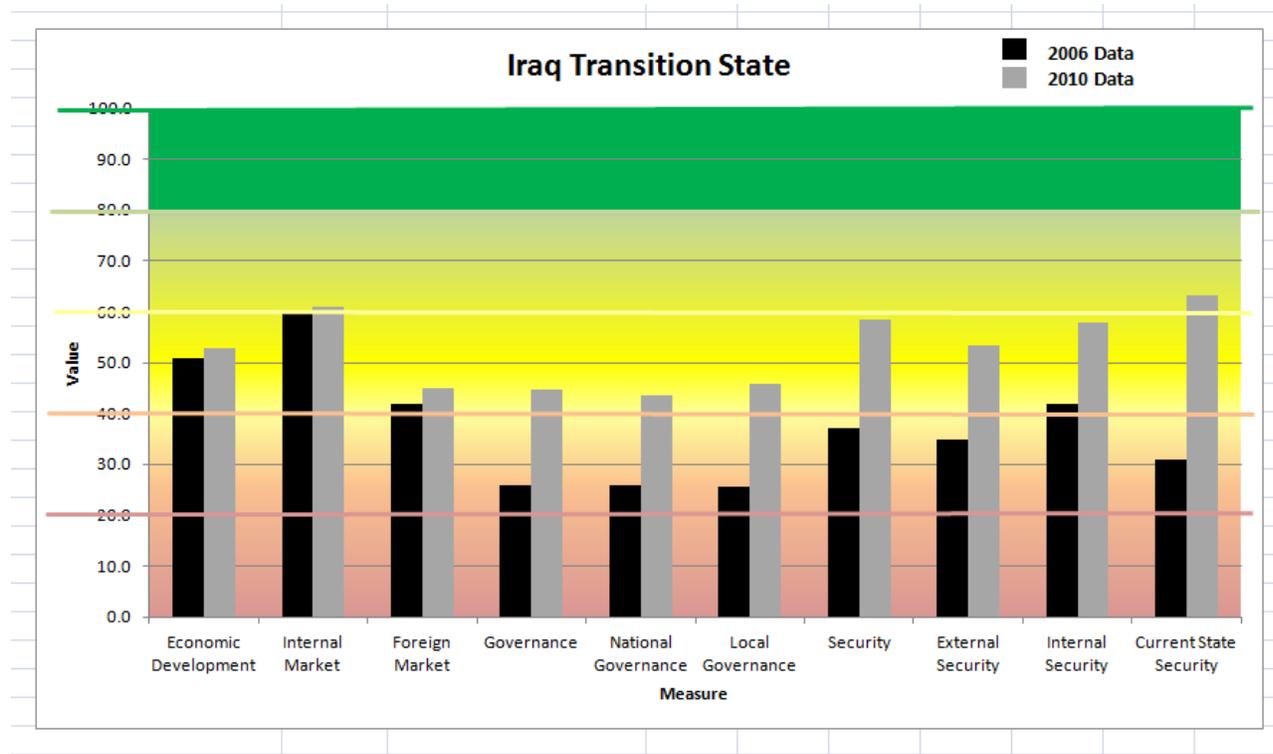
Governance	TOTAL	Beginning	Developing	Sustainable	Performing	Self Reliant
<b>National Governance</b>	<b>25.9</b>		X			
Essential Services	21.4		X			
Functions and Processes	26.0		X			
Public Perception	30.4		X			
<b>Local Governance</b>	<b>25.7</b>		X			
Essential Services	24.4		X			
Functions and Processes	24.2		X			
Public Perception	28.6		X			
<b>OVERALL GOVERNANCE</b>	<b>25.8</b>					

**Figure 4.8 Security dashboard**

Security	TOTAL	Beginning	Developing	Sustainable	Performing	Self Reliant
<b>External</b>	<b>34.8</b>		X			
Military	32.9		X			
Border	39.5		X			
<b>Internal</b>	<b>41.8</b>			X		
Police	41.8			X		
<b>Current State</b>	<b>31.0</b>		X			
Criminal Activity	15.9	X				
Insurgent Activity	28.7		X			
Public Perception	55.9			X		
<b>OVERALL SECURITY</b>	<b>37.14</b>					

The output of the decision support tool is a graph comparing different timeframes of data, as seen in Figure 4.9.

**Figure 4.9** Graph of output data



The Iraq Transition State Graph graphs all recorded sets of data. The different shading illustrates the different transition phases. A value of 0-20 (pink) is beginning, 20-40 (orange) is developing, 40-60 (yellow) is sustainable, 60-80 (light green) is performing, and 80-100 (green) is self-reliant. This easily shows the disparity between time frames, and where the nation has increased or decreased. It also shows where a nation should focus its efforts to complete the transition.



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## Chapter 6 Summary and Conclusions

### 6.1 Summary

We developed a decision support tool that analyzes three categories of a region: security, economics, and governance. These categories are broken down into subcomponents to further evaluate the region using specific, measurable metrics. The metrics are adjustable and weighted, allowing for stakeholder manipulation to accommodate the state of the operation at the time. The weights are summed to provide an overall assessment of each category from which a stakeholder can view and analyze the overall transition phase in which the region lies. It provides all information necessary to make an informed decision about the state of a nation in transition. The information collected from the decision support tool allows the decision maker to track the progress of a nation over time that will produce trend lines. These trend lines will let the decision maker identify the problem areas in a transition.

### 6.2 Conclusions

After analyzing challenges and best practices of transitions that occurred during civil-military operations, we developed an assessment framework to support decision making during civil-military operations in the future. Our individualized decision support tool provides an overall evaluation of a region in the categories of security, economic, and governance from which can be used to predict transition periods. It is intended to be all-encompassing, customized to the specific region being evaluated, and used alone in the decision making process regarding transitions.



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