SECTION 11

APPENDICES

Appendix A. Resource List[815]

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Appendix B. Participants in Review Process[816]

United States Government

U.S. Department of State (DOS)
U.S. Agency for International Development (USAID)
U.S. Department of Defense (DOD)
U.S. Department of Health and Human Services (HHS)
U.S. Department of Justice (DOJ)

United Nations

Department of Peacekeeping Operations (DPKO)
Department of Political Affairs (DPA)
Development Programme (UNDP)
High Commissioner for Refugees (UNHCR)
Institute for Disarmament Research (UNIDIR)
International Labour Organisation (ILO)
Office for the Coordination of Humanitarian Affairs (OCHA)
Peacebuilding Support Office (PBSO)

United Kingdom

Cabinet Office
Department for International Development (DFID)
Foreign and Commonwealth Office (FCO)
Ministry of Defence (MOD)
Stabilisation Unit

France

Ministry of Foreign Affairs (MFA)
Ministry of Defence (MOD)
Unit for Conflict Prevention and Reconstruction (CPRU)

Germany

Zentrum fur Internationale Friedenseinsatze (ZIF)
Ministry of Foreign Affairs (MFA)
Ministry of Defence (MOD)

Netherlands

Ministry of Foreign Affairs (MFA)
Ministry of Defence (MOD)

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816. The agencies on this list were consulted and involved at various points in the development of this manual.

Intergovernmental Organizations

European Union (EU)
  European Council
  European Commission
International Committee of the Red Cross (ICRC)
North Atlantic Treaty Organisation (NATO)

Nongovernmental Organizations

Environmental Law Institute
European Council of Foreign Relations (ECFR)
Geneva Centre for Security Policy
Geneva Democratic Control of Armed Forces (DCAF)
Geneva Peacebuilding Platform (GPP)
German Agency for Technical Cooperation (GTZ)
International Council of Voluntary Agencies (ICVA)
International Crisis Group (ICG)
Netherlands Institute of International Relations–Clingendael
World Vision

Appendix C. Summary of Strategic Frameworks Surveyed

International	Regional	State	Nongovernmental
Challenges Project	African Union	Japanese International Cooperation Agency	Center for Strategic and International Studies
Organisation for Economic Co-operation and Development	North Atlantic Treaty Organization	UK Department for International Development	Association of the U.S. Army
UN Department of Political Affairs	Organization for Security and Co-operation in Europe	UK Stabilisation Unit	National Defense University
UN Department of Economic and Social Affairs	European Union	U.S. Agency for International Development	RAND Corporation
UN Department of Peacekeeping Operations		U.S. State Department	Sphere Project
World Bank		U.S. Defense Science Board	State Effectiveness Institute
UN Development Programme		U.S. Army	Atlantic Council
International Monetary Fund		U.S. Joint Forces Command	U.S. Institute of Peace
		Utstein Study: Germany, Norway, United Kingdom	
		France	
		Germany	
		Norwegian Institute of International Affairs	

Appendix D. Snapshot of Components from Overarching Resources

CSIS–AUSA	RAND	UNDP–USAID	US Army	OECD	UNDP/World Bank	US S/CRS	AU NEPAD
Security	Security	Civil security	Security	Security	Security	Security	Security
Justice and reconciliation	Democratization	Judicial governance	Civil control			Justice and reconciliation	Human rights, justice, and reconciliation
Governance and participation	Governance	Political governance	Support to governance	Political	Political	Governance and participation	Political transition, governance
	Economic stabilization	Economic	Support to economic/infrastructure development	Economic	Economic	Economic stabilization and infrastructure	Socioeconomic development
Social and economic well-being	Humanitarian relief		Restore essential services	Social	Social		
	Development	Administrative					Coordination and management

Acronyms:

AU NEPAD	African Union New Partnership for Africa's Development
AUSA	Association of the U.S. Army
CSIS	Center for Strategic and International Studies
OECD	Organisation for Economic Co-Operation and Development
UNDP	United Nations Development Programme
USAID	U.S. Agency for International Development
US S/CRS	U.S. Department of State Coordinator for Reconstruction and Stabilization

Appendix E. Acronyms and Glossary of Selected Key Terms

Acronyms

ADR	Alternative dispute resolution
APM	Antipersonnel mines
ATM	Antitank mines
CSO	Civil society organization
DD	Disarmament and demobilization
DDR	Disarmament, demobilization, and reintegration
ICRC	International Committee of the Red Cross
IDP	Internally displaced person
IMF	International Monetary Fund
FDI	Foreign direct investment
MPICE	Measuring Progress in Conflict Environments
NATO	North Atlantic Treaty Organization
NGO	Nongovernmental organization
NSJS	Non-state justice system
NSPD 44	National Security Presidential Directive 44
OECD	Organisation for Economic Co-Operation and Development
OSCE	Organization for Security and Co-operation in Europe
PEM	Public expenditure management
S&R	Stabilization and reconstruction
S/CRS	Office of the Coordinator for Reconstruction and Stabilization at the U.S. Department of State
SPEC	Sectoral Practices and Experience in Coordination
SSR	Security sector reform
UK DFID	United Kingdom Department for International Development
UN	United Nations
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNDPKO	United Nations Development of Peacekeeping Operations
USAID	United States Agency for International Development
UXO	Unexploded ordnance

Terms

This glossary lists selected terms. An asterisk appears in cases where this manual presents an original definition. All other definitions are cited to resources that can be found in Appendix A, Resource List.

Accountability
Holding individuals and organizations responsible for performance measured as objectively as possible. Accountability stands on three key pillars: financial, political, and administrative. (Transparency International & UN Human Settlements Programme, "Tools to Support Transparency in Local Governance.")

Basic Human Needs
The needs required by human beings for survival with dignity, such as food security and nutrition, water and sanitation, primary health care, family planning and reproductive health, shelter and education. All of these needs are enshrined in international legal instruments and can also be understood as human rights. (JICA, *Handbook for Transition Assistance*.)

Capacity Building*
The transfer of technical knowledge and skills to host nation individuals and institutions to help them develop effective policies and administer state services across the economic, social, political, and security realms.

Civil-Military Cooperation*
The resources and arrangements that support three relationships: between civilian and military actors of official government and intergovernmental institutions; between the military and nongovernmental organizations; and between the military and the host nation government and its population.

Civil Society
The arena of uncoerced collective action around shared interests, purposes and values. In theory, its institutional forms are distinct from those of the state, family, and market, though in practice, the boundaries among state, civil society, family, and market are often complex, blurred, and negotiated. Civil society organizations can include a wide array of nongovernmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious, or philanthropic considerations. (World Bank, "Civil Society and Peacebuilding" and London School of Economics, Centre for Civil Society.)

Coherence*
Close cooperation and consistency in policy across agencies working toward a shared goal in a stabilization and reconstruction environment. (Derived from DRAFT United Kingdom Comprehensive Approach Working Group, Inter-Departmental Glossary of Planning Terminology [CAWG].)

Comprehensive Approach*
An approach that brings together the efforts of the departments and agencies of the U.S. government, intergovernmental and nongovernmental organizations, multinational partners, and private sector entities based on commonly understood principles and collaborative processes, toward a shared goal.

Conflict Transformation
The process of diminishing the motivations and means for destructive forms of conflict while developing local institutions so they can take the lead role in national governance, economic development, and enforcing the rule of law. Success in this process permits an evolution from internationally imposed stability to a peace that is sustainable by local actors, with the international community providing continued support at a greatly reduced costs. (U.S. Government, "Draft Planning Framework for Reconstruction, Stabilization, and Conflict Transformation.")

Cooperation*
The sharing of information and the deconfliction of activities as much as possible among independent individuals or institutions so as not to undermine a shared goal.

Coordination*
A deliberate process to make different individuals or institutions work together for a goal or effect.

Development
Long-term efforts aimed at bringing improvements in the economic, political, and social status, environmental stability, and the quality of life for all segments of the population. (DRAFT UK CAWG, Inter-Departmental Glossary of Planning Terminology.)

Disarmament, Demobilization, and Reintegration (DDR)
A process that contributes to security and stability in a stabilization and reconstruction context by removing weapons from the hands of combatants, taking the combatants out of military structures, and helping them to integrate socially and economically into society by finding civilian livelihoods. (United Nations, Integrated DDR Standard.)

Drivers of Conflict*
A source of instability pushing groups within a host nation toward open conflict.

End State*
The ultimate goals of a society emerging from conflict.

Humanitarian Assistance
Material or logistical assistance provided for humanitarian purposes, typically in response to humanitarian crises. The primary objective of humanitarian assistance is to save lives, alleviate suffering, and maintain human dignity. (United Nations Department of Peacekeeping Operations [UNDPKO], "Peacekeeping Operations Principles and Guidelines.")

Human Capital
The stock of knowledge and skill embodied in the population of an economy. (Deardorff's Glossary of International Economics.)

Humanity
The goal of alleviating human suffering in all circumstances, protecting life, and health and ensuring respect for the individual. (Derived from the International Committee of the Red Cross [ICRC], "The Fundamental Principles of the Red Cross.")

Human Rights
A set of basic rights protected in international law that apply to all individuals regardless of gender, race, religion, ethnicity, and so on. In national constitutions, human rights are

sometimes referred to as fundamental rights. (United Kingdom Department for International Development, "Safety, Security and Accessible Justice.")

Human Security
Security that has two main aspects: (1) safety from such chronic threats as hunger, disease and repression; (2) protection from sudden and hurtful disruptions in the patterns of daily life—whether in homes, in jobs, or in communities. Such threats can exist at all levels of national income and development. (Derived from United Nations Development Programme, "1994 Human Development Report.")

Independence
The autonomy of humanitarian actors from the actions or policies of any government, so that they are able to adhere to these principles. (Derived from the ICRC, "The Fundamental Principles of the Red Cross.")

Impartiality
The principle that humanitarian assistance must be based on need alone, without regard to nationality, race, religion, class, or politics. (Derived from ICRC, "The Fundamental Principles of the Red Cross.")

Informal*
For the purposes of this manual, refers to a system, process, or institution that is not officially controlled by the government.

Internally Displaced Person (IDP)
Person, or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, in particular as a result of or in order to avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border. (Derived from United Nations Office for the Coordination of Humanitarian Affairs, "Guiding Principles on Internal Displacement.")

Integration*
The bringing together of capabilities in a coherent manner to achieve unity of effort.

Legitimacy*
The degree to which the population accepts and supports the mission, its mandate and its behavior over time; the degree to which the local population accepts and supports the host nation government (which can include informal government structures as well); the manner in which the government attains power; and the extent to which regional neighbors and the international community accept the mission mandate and its actions and the host nation government.

Marginalized Groups*
Marginalized groups suffer from a social, economic, or political process that renders an individual or an ethnic or national group powerless or to a lower social standing.

Neutrality
A deliberate policy of not taking sides in hostilities or engaging in controversies involving politics, race, religion, or ideology. (Derived from ICRC, "The Fundamental Principles of the Red Cross.")

Nongovernmental Organization (NGO)
A private, self-governing, not-for-profit organization dedicated to alleviating human suffering; promoting education, health care, economic development, environmental protection, human rights, and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society. (United States Institute of Peace, "The Guide for Participants in Peace, Stability, and Relief Operations.")

Peacebuilding
Measures aimed at reducing the risk of lapsing or relapsing into conflict, by strengthening national capacities for conflict management and laying the foundations for sustainable peace. (UN DPKO, "Peacekeeping Operations Principles and Guidelines.")

Peace Enforcement
Coercive action undertaken with the authorization of the United Nations Security Council to maintain or restore international peace and security in situations where the Security Council has determined the existence of a threat to the peace, breach of the peace, or act of aggression. (UN DPKO, "Peacekeeping Operations Principles and Guidelines.")

Peacekeeping
Action undertaken to preserve peace, however fragile, where fighting has been halted and to assist in implementing agreements achieved by the peacemakers. (UNDPKO, "Peacekeeping Operations Principles and Guidelines.")

Predatory Economic Actors*
Broadly refer to any group or individual who engages in or directly benefits from illegal economic activity that promotes violence and/or undermines efforts for good governance and economic development. These actors can exist inside or outside of government.

Reconciliation*
A process through which people move from a divided past to a shared future, the ultimate goal being the peaceful coexistence of all individuals in a society.

Reconstruction
The process of rebuilding degraded, damaged, or destroyed political, socioeconomic, and physical infrastructure of a country or territory to create the foundation for long-term development. (United States Army, *Field Manual 3-07: Stability Operations.*)

Refugee(s)
Individuals who are outside the country of their nationality due to well-founded fear of being persecuted for reasons of race, religion, nationality, or membership of a social group or political opinion. (Derived from United Nations, "1951 Convention Relating to the Status of Refugees.")

Security Sector Reform (SSR)
The set of policies, plans, programs, and activities that a government undertakes to improve the way it provides safety, security, and justice. (United States Department of State, United States Department of Defense, United States Agency for International Development, "Security Sector Reform.")

Social capital*
The resources that create a strong network of institutionalized relationships in society.

Spoilers
Individuals or parties who believe that the peace process threatens their power and interests and will therefore work to undermine it. (United Nations Development Group and World Bank, "Draft Joint Guidance Note.")

Stability
A characteristic of a state or a nation that determines its likelihood to continue or last. The tendency of such a state or a nation to recover from perturbations and resist sudden change or deterioration. (United States Department of State, Office of the Coordinator for Reconstruction and Stabilization, "DRAFT: U.S. Government Whole-of-Government Definitions.")

Stabilization
Ending or preventing the recurrence of violent conflict and creating the conditions for normal economic activity and nonviolent politics. (UK Stabilisation Unit, "Helping Countries Recover From Violent Conflict.")

Transparency
Connotes the conduct of public business in a manner that affords stakeholders wide accessibility to the decision-making process and the ability to effectively influence it. (Transparency International and UN Human Settlements Programme, "Tools to Support Transparency in Local Governance.")

Unity of Effort*
The outcome of coordination and cooperation among all actors, even when the participants come from many different organizations with diverse operating cultures.

Violent Conflict*
A clash of political interests between organized groups characterized by a sustained and large-scale use of force.

Vulnerable Groups*
A group that is susceptible to attack, injury, discrimination, or other harm.

Whole-of-Government
An approach that integrates the collaborative efforts of the departments and agencies of the U.S. government to achieve unity of effort toward a shared goal. (United States Army, *Field Manual 3-07: Stability Operations.*)

U.S. Army Peacekeeping and Stability Operations Institute (PKSOI)

The U.S. Army Peacekeeping and Stability Operations Institute (PKSOI) was established by Headquarters, Department of the Army (HQDA) in 2003, as part of the U.S. Army War College (USAWC) at Carlisle Barracks, Pennsylvania. The organization is the successor to the Army Peacekeeping Institute (PKI), established in 1991 by General Gordon Sullivan, U.S. Army Chief of Staff. PKSOI is the Army's Center of Excellence for stability and peace operations at the strategic and operational levels. This includes support to HQDA for policy and strategy, the U.S. Army Combined Arms Center in its role as the Army's force modernization proponent for Stability Operations, and the USAWC for senior leader education. PKSOI accomplishes its mission by facilitating information sharing, project development, and integration of efforts among military and civilian government agencies, nongovernmental organizations, and international and multinational institutions in five broad areas associated with stability and peacekeeping: policy shaping, training and education, planning and execution, lessons learned, and doctrine and concepts.

United States Institute of Peace

The United States Institute of Peace is an independent, nonpartisan, national institution established and funded by Congress. Its goals are to help prevent and resolve violent conflicts, promote post-conflict stability and development, and increase peacebuilding capacity, tools, and intellectual capital worldwide. The Institute does this by empowering others with knowledge, skills, and resources, as well as by directly engaging in peacebuilding efforts around the globe.