DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Washington, DC 20314-1000

ER 5-1-16

CEMP-CN

Regulation
No. ER 5-1-16

30 June 2009

Management

CAPACITY DEVELOPMENT -
INTERNATIONAL

Distribution Restriction Statement
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TABLE OF CONTENTS

Management

CAPACITY DEVELOPMENT - INTERNATIONAL

1. Purpose. This Engineer Regulation (ER) establishes policy for capacity development (CD) for international programs and projects conducted by the U.S. Army Corps of Engineers (USACE) and serves as the requirements basis document for CD planning and implementation for USACE international programs and projects. Engineer Pamphlet (EP) 5-1-1 (Capacity Development – International) has been developed as a companion document to this ER and contains additional details, instructions, and requirements for planning and implementation of CD on USACE international programs and projects.

2. Applicability. This regulation applies to planning and implementation of CD on all USACE international programs and projects.

3. Distribution Statement. Approved for public release, distribution is unlimited.

4. References.

    a. Capacity Development – International, Engineer Pamphlet (EP 5-1-1), USACE, 30 June 2009

    b. U.S. Army Corps of Engineers Capacity Development White Paper, CEMP, 30 June 2008

    c. USACE Campaign Plan, V7.1, 05 February 2009 (Goal 1, Objective 1a)

    d. FM 3-0, Operations

    e. FM 3-07, Stability Operations

    f. USACE ELL User's Guide, Enterprise Lessons Learned Site Users Guide, https://kme.usace.army.mil/ELL/ELL%20Training%20Materials/ELL%20User%20Guide.doc, December 2007

    g. ER 5-1-11, USACE Business Process, November 2006

    h. A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Third Edition, Project Management Institute, Inc., 2004.

5. Definitions. Appendix A provides definitions to ensure a common understanding of key and essential terms.

6. USACE Capacity Development Business Practice. CD has increasingly gained world-wide recognition as being fundamental to effective governance, capability enhancement, enhanced ownership, and successful program and project operation and sustainability. USACE has been directly involved in infrastructure reconstruction projects in countries all over the world, with an emphasis on those areas in which USACE maintains core competencies. The Commanding

General established the CD business practice in August 2008, through approval of the USACE CD White Paper (Reference 4b). CD has been incorporated into the USACE Campaign Plan (Reference 4c) and is an integral part of the USACE Readiness XXI initiative.

a. Full Spectrum Operations. The Army's Full Spectrum Operations (FSO) Field Manual 3-0 Operations (Reference 4d) is the Army's doctrine for how it will conduct offensive operations, defensive operations, stability operations, and civil support operations. CD has direct applicability during stability operations and, to a more limited extent, offensive and defensive operations, so it is important that USACE leadership, program managers, and project managers consider the use of CD as USACE supports FSO. Information on how CD functions within FSO is provided in Appendix C of EP 5-1-1.

b. Lessons Learned. Past experience in planning, designing, implementing, and handing over programs and projects has provided valuable lessons learned and has helped raise the issue of CD to the forefront of United States Government (USG) policy. The process of asset transfer has not always worked as envisioned and problems have resulted in the area of sustainability. These lessons learned supported establishment of the USACE CD business practice as a mechanism for ensuring that CD is considered and implemented, as appropriate, for USACE international programs and projects. Both USG civilian and military agencies are revising their methods to increase the level of focus on CD as an integral part of planning for and responding to international all-hazard events.

c. Definition of Capacity Development.

(1) The following definition of CD, as authored by LTG Henry J. Hatch (Ret.), has been adopted by USACE and is consistent with definitions used by numerous other USG organizations, foreign nations, and non-government organizations (NGO).

"Capacity Development is the building of human, institutional and infrastructure capacity to help societies develop secure, stable and sustainable economies, governments and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their lives."

(2) This definition illustrates that CD is a process or tool that leads to desired outcomes such as self-reliance and sustainable improved conditions within a host nation. CD is appropriate within specific projects to construct or refurbish physical facilities and infrastructure systems. It is also appropriate in a broader application through various programs that provide the societal structure necessary for *"the motivation and inspiration of people to improve their lives"*. A well-coordinated combination of CD activities is necessary at various levels to achieve the desired outcomes.
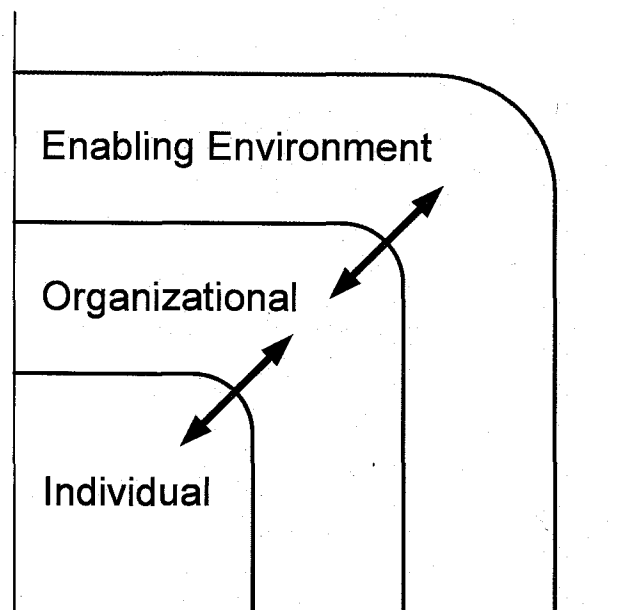
d. Capacity Development Framework. CD activities range from very simple to highly complex, so a consistent, yet flexible framework is necessary for USACE to support the range of required activities and operating environments. The USACE CD framework sets the basic parameters for planning and implementation; provides a tangible element for USACE staff to interface with CD stakeholders such as service recipients, donors, other governments, and the private sector; and promotes ownership of CD initiatives. USACE has adopted a three-level CD

framework, as shown in Figure 1, with frameworks used by numerous foreign governments and international organizations. The three levels are:

(1) Enabling Environment. The enabling environment (strategic level) sets the conditions under which CD activities are conducted for programs and projects at the organizational and individual levels. This includes policy frameworks, legal systems, regulations, political institutions, and market economy considerations. USACE generally has a subordinate or supporting role to other USG organizations (e.g., Department of State [DoS]), foreign governments providing assistance in this area, the host national government, international organizations, and NGOs.

- **Enabling Environment:** Provides the structure of laws, regulations, policies, and guidance at all levels necessary to support organizations as they efficiently carry out their missions.

- **Organizational:** Provides leadership and administrative structure that operates within framework established by enabling environment, thereby setting a culture that optimizes mission outputs through innovation. Provides management requirements and guidelines for the organization and provides environment in which individuals excel at their assigned tasks.

- **Individual:** Works within established organizational framework to maximize performance through continuous improvements, while increasing experience, knowledge, and technical skills. Achieves stated objectives using knowledge, skills, and abilities supported by clear motivation and behavioral objectives.

Figure 1. USACE Capacity Development Framework

Coordination and integration of CD activities across all three levels is critical.

(2) Organizational. The organizational level (operational level) is comprised of leadership, administrative structure (e.g., payroll system, human resources system, decision-making processes), and culture required to achieve external and internal goals. Organizations are strongly influenced by the enabling environment and the organizational level serves as a link between the other two levels of CD, as shown in Figure 1. Continuity of organizational practices across programs and projects is often challenging, due to the variety of circumstances that can impact CD planning and implementation. USACE may have a lead role or a subordinate role at this level of CD.

(3) Individual. The individual level (tactical level) pertains to the knowledge and skills of individuals who are responsible for conducting particular work scopes. This includes the motivation and ability to appropriately set behavioral objectives and achieve those objectives

using that knowledge and skill set. Individuals are strongly influenced by the organizations in which they work. USACE may frequently have the lead role at this level of CD as it pertains to USACE programs or projects.

(4) Interdependence between CD Levels. The framework operates as a system, without rigid boundaries between the levels, and the structure varies to fit the situation, as necessary. The levels are provided as a general framework through which issues are identified and analyzed by stakeholder organizations and individuals. Each level is interdependent with the others and a failure at any level has the potential to limit the success of a program or project. The levels typically involve several stakeholders that have different interests, mandates, and areas of expertise. This system approach is successful only when there is agreement between the stakeholders regarding roles and responsibilities for CD.

(5) USACE Role in Framework. USACE is an executing agent, which means it conducts work at the direction of others (e.g., Department of Defense [DoD], USAID, or Combatant Commands [COCOM]). USACE, in this capacity, does not typically set policy or make unilateral decisions on the extent to which CD will be employed on specific programs or projects. The role and responsibility of USACE varies with the definition of each program and project. USACE involvement is often determined first by its customer and second by the stakeholders during the initiation and planning phase. A USACE customer, another stakeholder with a lead role, or a host nation may determine that CD is not necessary or appropriate or will not be used in a given situation. USACE has the responsibility to document its input to the stakeholder team, including the host nation or service recipient, in every case.

e. Mission Analysis. USACE shall consider the basic need for CD as it develops its mission analyses to define its strategic role in the international arena. The mission analysis will result in defined USACE capabilities and organizational structure. The mission analysis shall include consideration of CD at any of the three framework levels and will support the overall planning process. Consideration of CD during the primary or secondary mission analysis has the potential to impact the manner in which USACE accepts and carries out the mission. The mission will benefit from the early review of CD needs at every level.

f. Relationships between Programs and Projects. The relationship of programs to projects is important in the planning and implementation of CD. USACE conducts its missions in the form of programs and projects in the international setting. The terms programs and projects are used extensively in this document and differentiation between the two is important. Programs and projects often contain interdependencies that must be considered and addressed to optimize solutions and to achieve successful outcomes. Determining program and project relationships is appropriate in (1) analysis of capacity needs to support the program or project, (2) identification of existing capacity gaps within the host nation, and (3) implementation of CD mitigation actions to close the capacity gaps.

(1) Program Definition. A program is a collection of related projects, services, routine administrative and recurring operational processes, or some mixture of these, which are managed in a coordinated way to obtain benefits and control not available from managing them individually. Programs may be categorized by funding source, customer, similarity of scope, or other common criteria for which resources are allocated and collectively managed.

(2) Project Definition. A project is temporary endeavor undertaken to create a unique product, service, or result. A project includes specific activities with a defined cost, scope, and completion schedule.

g. Integrated Planning Approach. The CD process begins with planning at the earliest opportunity to ensure that needs are identified and incorporated into the Program Management Plan or Project Management Plan. CD then becomes a component of the program or project life-cycle.

(1) Early Planning is Essential. The key in optimizing CD efforts is to remember that these activities are often intertwined and must be managed in a holistic manner. The USACE Program Manager or Project Manager (USACE Manager) shall always look for an integrated approach in CD planning. Planning for CD activities must occur at the initial stages of program or project development (e.g., project initiation and project planning) to ensure that CD activities are defined, assigned, funded, and scheduled.

(2) CD Occurs throughout Life-Cycle. CD activities occur throughout the life-cycle of projects, ensuring that the appropriate CD actions are planned and integrated into the program or project baselines to achieve the objectives. This integration prevents the problem of having to address CD as a last minute activity that is not supported by either the program or project baseline budget or schedule. Programs also have key points at which the integration of CD should be considered and included in the program design and implementation. Further information on CD as it applies to program and project life-cycle management is provided in Section 9 of EP 5-1-1.

h. Stakeholder Involvement. USACE is always a stakeholder on programs and projects on which it participates. Active stakeholder involvement, contributions, and support are critical to the success of these programs and projects.

(1) Stakeholder Identification. Stakeholders are those organizations or individuals that have a positive "stake" in the outcome of the USACE program or project or have the ability to influence the outcome. The host nation or service recipient is always a key stakeholder. The host nation's commitment to and participation in the program or project is essential to a successful outcome. The outcome can be either short-term or long-term and its effect can be either direct or indirect.

(2) Stakeholder Roles and Commitments. The level of stakeholder involvement in a USACE program or project varies significantly depending on scope, size, circumstances, and eventual impacts to the international community. Stakeholders shall be identified early in planning phase. Stakeholders shall be directly involved in CD planning and may well be involved in implementing CD activities or mitigation actions as part of the program or project. A simple Memorandum of Understanding (MOU) between the stakeholders can be an effective method of documenting stakeholder agreement and each party's commitment to its role in developing capacity.

(3) Examples of USG Stakeholders. USG stakeholders with which USACE may interface on programs and projects include, but are not limited to:

(a) DoS;

(b) U.S. Agency for International Development (USAID);

(c) DoD;

(d) Department of the Army, Navy, Air Force, and the Marine Corps;

(e) U.S. COCOMs; and

(f) various organizations within USACE.

(4) Examples of Other Stakeholders. Other stakeholders with which USACE may interface on programs and projects include, but are not limited to:
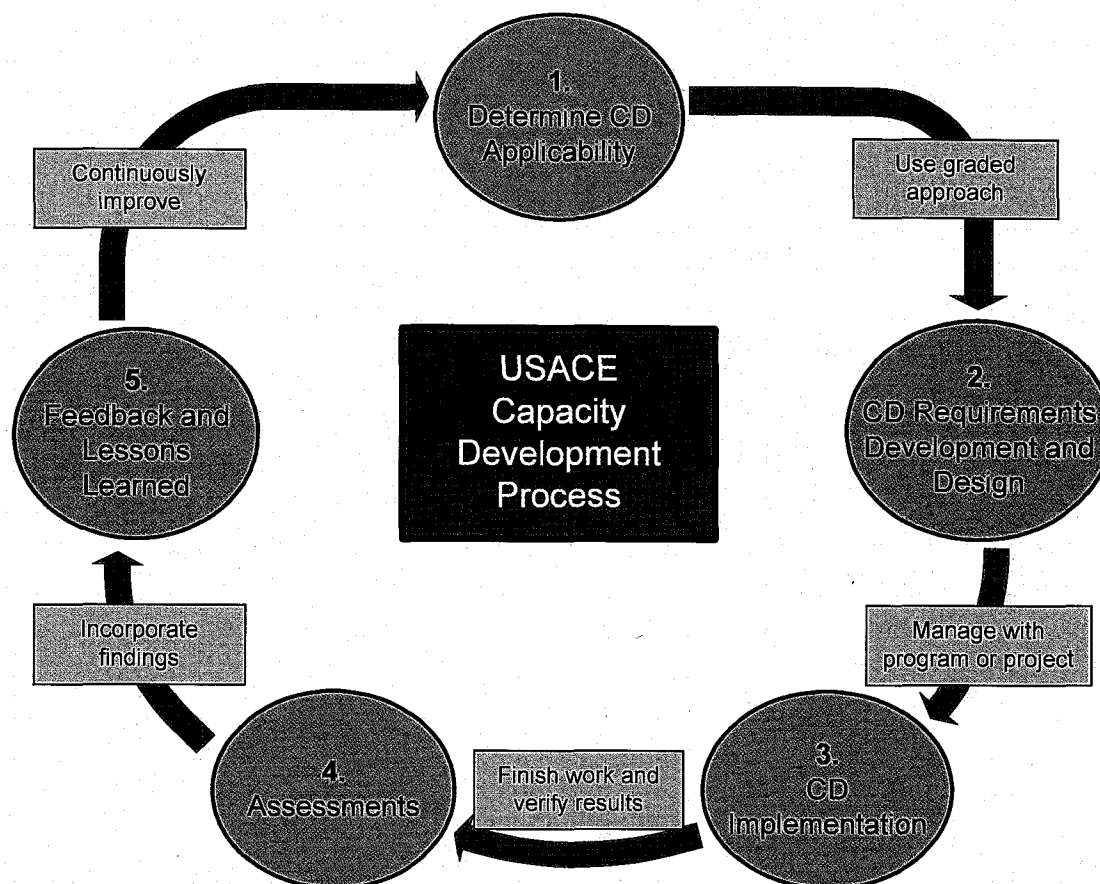
(a) host nation or service recipient, including local representatives;

(b) foreign governments;

(c) international and donor organizations;

(d) NGOs;

(e) private sector;

(f) professional associations; and

(g) educational institutions.

(5) Stakeholder Coordination. Coordination among key stakeholders is critical during the process of establishing the USACE plans and procedures to ensure:
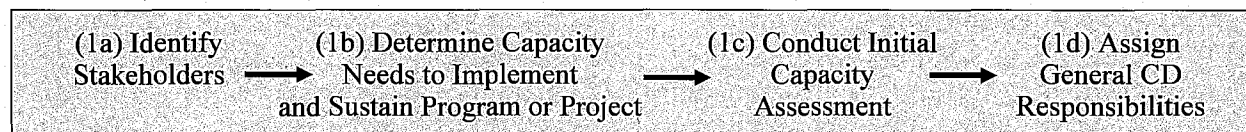
(a) proper synchronization of basic CD concepts, methods, and framework;

(b) agreed-upon CD roles and responsibilities of USACE vis-à-vis external customers and partners;

(c) lessons learned and other customer or partner needs are identified and considered; and

(d) successful implementation of CD throughout USACE program or project.

7. Capacity Development Planning and Implementation Process. Successful CD implementation is based on sound planning and incorporation of CD into the requirements development phase of USACE programs and projects. Optimum results occur when there is a strong CD advocate during the planning and implementation stages. USACE is typically one of multiple stakeholders for programs and projects. The USACE representative to the stakeholder group shall always be an advocate for CD. This does not mean that CD will always be adopted, but the stakeholders should always consider the applicability of CD at the beginning of the planning process. The CD planning and implementation steps are shown in Figure 2 and are described in the following text. Additional details and requirements for each step are provided in EP 5-1-1 (Appendix D for Programs and Appendix E for Projects).

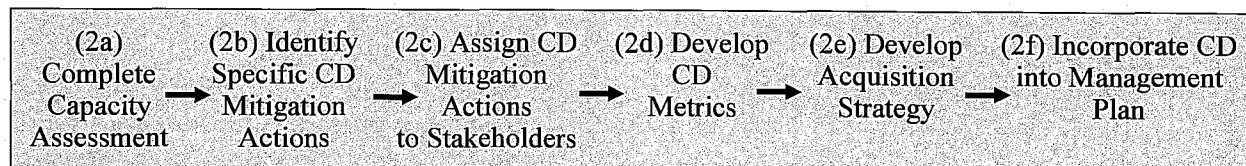**Figure 2. USACE CD Planning and Implementation – A Five Step Process.**

a. Step 1 - Determine CD Applicability. The following are key elements in determining the appropriate level of CD for a program or project.

(1a) Identify Stakeholders	➡	(1b) Determine Capacity Needs to Implement and Sustain Program or Project	➡	(1c) Conduct Initial Capacity Assessment	➡	(1d) Assign General CD Responsibilities

USACE and other stakeholders shall determine the extent to which CD should be required to achieve the program or project objectives and the desired end state. This determination can range from "not applicable" to an extensive level of intervention that is critical for success. The CD framework adopted by USACE described in Section 6 illustrates the three levels of CD that may require a coordinated effort by various organizations. It is a useful tool to help the organizations identify and integrate levels of responsibility for CD from the programmatic level down to the detailed project level. The CD applicability determination must be made by the stakeholder group, based on identified capacity needs and an initial assessment of existing capacity within the host nation. Stakeholders initially determine how to share responsibilities for CD during this step. The host nation or service recipient must be directly engaged in the
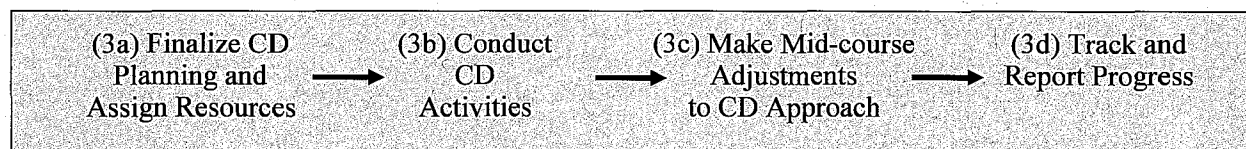
determination as a key stakeholder. EP 5-1-1 Appendices D and E (Step 1) contains more detailed requirements for determining the applicability of CD to a program or project. EP 5-1-1, Appendix F describes the capacity assessment process in detail.

b. Step 2 - CD Requirements Development and Design. The following are key elements in developing and designing CD requirements for a program or project.

(2a) Complete Capacity Assessment	→	(2b) Identify Specific CD Mitigation Actions	→	(2c) Assign CD Mitigation Actions to Stakeholders	→	(2d) Develop CD Metrics	→	(2e) Develop Acquisition Strategy	→	(2f) Incorporate CD into Management Plan

This is a key step that involves planning and stakeholder coordination to ensure that CD activities are incorporated into the program or project planning documents. This begins with the output from the initial capacity assessment (Step 1, above) and builds on the results to refine the estimate of project risks associated with any gaps in available capacity and to develop specific CD mitigation actions to reduce or eliminate the gaps. The process now involves the definition of specific CD activities to be completed and assignment of each activity to one of the stakeholders authorized and funded to conduct that activity. This step also addresses other CD design elements that may be necessary, such as development of CD metrics and an acquisition strategy. Finally, the CD activities must be priced, scheduled, and added into the Program Management Plan, the Project Management Plan, or corresponding document, as appropriate. EP 5-1-1 Appendices D and E (Step 2) contains more detailed requirements for developing and designing the CD activities for a program or project. EP 5-1-1, Appendix F describes the capacity assessment process in detail.
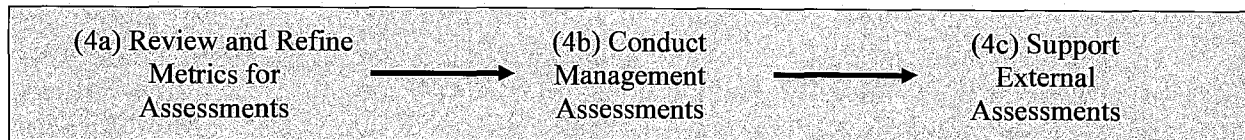
c. Step 3 - CD Implementation. The following are key elements in implementing CD for a program or project.

(3a) Finalize CD Planning and Assign Resources	→	(3b) Conduct CD Activities	→	(3c) Make Mid-course Adjustments to CD Approach	→	(3d) Track and Report Progress

This is the step in which CD activities and mitigation actions are conducted by USACE, the stakeholders, and their representatives. Implementation of CD activities is done as part of overall program or project implementation, since CD has been planned and integrated into the planning documents. Final resource planning and assignment of specific resources is the first step of implementation. The responsible parties then conduct the CD activities consistent with the program or project plans and schedules. It may be necessary to make mid-course adjustments to CD activities based on on-the-ground conditions, so flexibility for such adjustments is an important element of successful implementation. Finally, documenting and tracking the CD activities is necessary for easy retrieval of information to support internal management requests, external requests and audits, and to support the lessons learned program. Refer to EP 5-1-1 Appendices D and E (Step 3) for more detailed information and requirements regarding CD implementation.
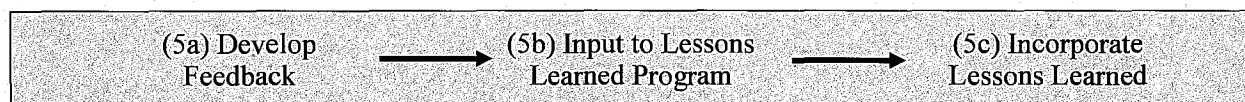
d. Step 4 - Assessments. The following are key elements in assessing the effectiveness of the CD process.

(4a) Review and Refine Metrics for Assessments	→	(4b) Conduct Management Assessments	→	(4c) Support External Assessments

Assessments of the CD effectiveness at the program or project level are valuable tools in achieving the goal of continuous improvement. Assessments or audits can be done in a variety of ways and can focus on specific elements of a program or project or can serve as a review of an entire program or project. Appropriate metrics are developed during the program planning stage (i.e., during Step 2 and prior to program or project implementation, to the extent possible) and serve as benchmarks for future assessments. Adjustments to metrics can be made during implementation to reflect the dynamic nature of the program or project.

Program or project level assessments shall be performed internally by USACE staff, with contractor support, as appropriate. These assessments shall focus on the extent to which (1) CD was built into the program or project during the requirements development stage and whether adequate funding for CD was provided; (2) USACE conducted the CD activities as planned; and, (3) the completed CD activities achieved the desired outcomes. Refer to EP 5-1-1 Appendices D and E (Step 4) for more detailed requirements for assessing and participating in CD assessment activities.

e. Step 5 - Feedback and Lessons Learned. The following are key elements in recording and benefiting from lessons learned through implementation CD on programs or projects.

(5a) Develop Feedback	→	(5b) Input to Lessons Learned Program	→	(5c) Incorporate Lessons Learned

Gaps or deficiencies noted during assessments and the associated recommendations for improvement shall be incorporated into the USACE lessons learned system, as appropriate, to further improve the effectiveness of CD planning and implementation. Positive findings or noted good practices shall also be used to document and reinforce specific CD activities that add value. USACE Managers shall access the Enterprise Lessons Learned Program at the beginning of a program or project and at key decision points to determine if there are any CD lessons learned that would add value to the program or project, increase effectiveness, and support sustainability. The USACE Manager shall bring such lessons learned to the attention of the stakeholders for consideration and possible incorporation into current, similar, or future programs or projects. Refer to EP 5-1-1 Appendices D and E (Step 5) for more detailed requirements on developing CD feedback and lessons learned.

8. Roles and Responsibilities. USACE may be called upon to have the lead role within a partnership of organizations, depending on the scope of the program or project and the specific circumstances. USACE staff shall facilitate communication between all the parties involved in CD in these cases and HQUSACE and Major Subordinate Commands (MSC), which include centers, laboratories, divisions, and districts, all have direct responsibilities within the CD

business practice. Field Force Engineering (FFE) teams, such as the Forward Engineer Support Team (FEST), may also have CD responsibilities, depending on the mission. The general CD responsibilities for these USACE organizational units are described below. Additional details on roles and responsibilities for USACE organizations are contained in Section 11 of EP 5-1-1.

a. HQUSACE. HQUSACE has responsibility for numerous functions related to CD, ranging from management of the CD business practice to oversight of field implementation.

(1) CD Sub-Community of Practice. The CD business practice is managed at HQUSACE as a Sub-Community of Practice (CoP) under the International and Interagency Services CoP. The CD Sub-CoP has several responsibilities for establishing and maintaining CD policies and managing the CD business practice, with the following responsibilities:

(a) serve as the subject matter expert for CD within USACE; respond to specific requests for technical support on planning and implementation of CD for specific programs or projects; coordinate and oversee the activities of the multi-disciplined CD CoP members; and maintain ER 5-1-16, EP 5-1-1, and other guidance documents for use in the field;

(b) conduct CD presentations at workshops and national/regional forums; develop and maintain a training plan, training requirements, and associated training materials for CD planning and implementation; and provide training to targeted USACE staff engaged in international full-spectrum operations programs or projects, as appropriate;

(c) advocate for CD with customers and stakeholders and interface with U.S. Army, other USG agencies/departments, NGOs, professional associations, and other public and private organizations engaged in international CD;

(d) monitor and evaluate implementation of USACE CD; provide reports and conduct briefings for USACE senior leadership and external organizations on the extent and effectiveness of CD implementation; and track and maintain CD lessons learned from programs and projects.

(2) International and Interagency Services (IIS) CoP. The IIS CoP provides policy and guidance for USACE services to other USG agencies, foreign governments, and international organizations. The CoP establishes, maintains, and coordinates relationships at the national and sub-national level. The IIS CoP is responsible for CD advocacy in all the services it provides to other organizations as a means to providing sustainable solutions to water resources, infrastructure, and environmental challenges internationally and to enhance national security objectives. The IIS CoP is also responsible for carrying out program and project level CD planning and implementation under certain circumstances.

(3) Liaison Officers. The USACE Liaison Officers to the Combatant Commands (COCOM) and Army Service Component Commands are responsible for maintaining CD advocacy within their respective COCOM and MSC Commanders; coordinating USACE CD activities with the COCOM; facilitating CD requirements development; coordinating external requests for USACE CD assistance; and integrating elements of the CD business practice into U.S. Army warfighter and joint exercises, as appropriate.

(4) Directorate of Contingency Operations. This Directorate serves as the focal point for USACE command and control of civil and military contingency operations. The organization will be responsible for leading the development of command contingency doctrine; maintaining

readiness; providing oversight of contingency program development and execution; and developing and publishing contingency plans. The Directorate is responsible for reviewing all CD business practice policy and guidance documents and incorporating CD into contingency doctrine, plans, and programs, as appropriate.

(a) G-35, Plans, Doctrine, and Strategic Initiatives. The G-35 develops plans and doctrine for USACE support to the Department of Homeland Security and the Federal Emergency Management Agency for civil disaster response in the U.S. and support to DoD COCOMs for military contingencies in their respective areas of responsibility. The G-35 is responsible for integrating CD into its overall planning processes and documents. Examples include planning for the U.S. Department of Army strategic initiatives assigned to USACE under the U.S. Army Campaign Plan and the U.S Army Action Plan Action Plan for Stability Operations.

(b) G-37, Training and Exercises. The G-37 plans and executes individual and collective contingency-related training, utilizing exercises and education programs supported by the Annual Training Guidance and doctrine, to build and maintain credentialed and trained expeditionary teams and individuals capable of delivering USACE support to contingency operations through forward-deployed and reachback capabilities. The G-37 is responsible for providing guidance, recommendations, support, and training mechanisms. The G-37 is also responsible for identifying opportunities to incorporate CD into training events and exercises.

(c) G-39, Future Concepts and Requirements. The G-39 identifies deficiencies in stability and contingency operations tools, processes, plans, and procedures; develops experiments for new concepts; and integrates approved concepts into operational use. The G-39 is responsible for identifying opportunities to incorporate CD into G-39 activities, as appropriate.

(5) Corps of Engineers Remedial Action Program (CERAP) Division. The CERAP Division establishes processes to identify best practices and critical systemic issues resulting from USACE military and civil contingency missions and institutionalizes the evaluation and corrective action program elements necessary to improve future response capabilities. The CD Sub-CoP uses the CERAP as an assessment tool for evaluating effectiveness of CD planning and implementation.

(6) Field Force Engineering (FFE). FFE teams are USACE expeditionary assets that can deploy in support of overseas stability operations. The teams provide technical engineering, contract construction, real estate acquisition, and environmental planning to the COCOMs and their U.S. Army component commands during contingencies, exercises, and peacetime engagement. Host nation CD is a part of every FFE team's mission statement and Mission Essential Task List (METL) and is included in their training Programs of Instruction. CD is considered in every task that an FFE team executes on behalf of the host nation or service recipient. FFE teams include the following:

(a) Forward Engineering Support Team – Advanced (FEST-A). The FEST-A is an engineer planning and design team with core competencies in engineering disciplines. The FEST-A conducts basic infrastructure assessments and prepares statements of work to repair damaged infrastructure that will be sustainable after transfer of those assets to the host nation or service recipient. The primary focus of FEST-A CD activities is at the individual and organizational levels of the CD framework.

(b) Forward Engineering Support Team – Main (FEST-M). The FEST-M is an expeditionary mini-district that is capable of executing larger-scale contract construction. The primary focus of FEST-M CD activities is at the individual and organizational levels of the CD framework; however, the FEST-M should be prepared to engage at the enabling environment level.

(c) Other FFE Teams. The Contingency Real Estate Team acquires real estate for USG forces and government agencies in the host nation. The Environmental Support Teams conduct environmental baseline surveys for USG base camps and provide recommendations for environmental cleanup and remediation to USG forces. The teams could play a role in CD planning and implementation at the individual and organizational level, although the METL tasks for these teams focus on support to USG forces and government agencies.

(d) Theater Engineer Commands (TEC) and Deployable Command Posts (DCP). The TEC and DCP provide theater level command and control for full spectrum engineer operations in support of Joint Task Forces in a contingency environment. The TEC, acting in a similar manner to other USG military organizations, may provide an overarching CD engagement strategy for the host nation and may seek out ways to build capacity by partnering with engineers from the host nation's armed forces. The TEC also has the capability to plan and implement CD through its Facility Engineer Detachments and reserve FEST-As.

(7) Institute for Water Resources (IWR). The IWR engages international participants on water resource related issues and works to establish international policy and guidance in this area. The IWR also houses the International Center for Integrated Water Resources Management; a United Nations Education, Scientific and Cultural Organization-endorsed category II water training facility; and the Conflict-Resolution and Public Participation Center, which provides conflict resolution support and public participation training and outreach. The IWR role for CD consists primarily of providing technical assistance and conducting training. The IWR can also participate in technical partnerships through various agreements with other national government organizations.

b. Major Subordinate Commands. The MSCs consist of USACE divisions, districts, contingency districts, centers, laboratories, and other USACE organizations. The primary CD roles and responsibilities of the organizational units within the MSCs are as follows:

(1) USACE Division. The division level is focused on carrying out the responsibilities of the Regional Business Center, with a focus on operational planning and management, program management, relationships, and quality assurance. The CD roles and responsibilities for divisions are as follows:

(a) advocate for CD with customers and stakeholders and determine most effective and appropriate manner to implement CD policy and guidance throughout the Division's Area of Responsibility, to include its assigned COCOM;

(b) carry out program-level CD planning and implementation and monitor and evaluate CD activities for completion and effectiveness; and,

(c) ensure that appropriate quality control processes and systems are in place within the region to achieve quality programs, projects, and products that meet the expectations of USACE partners and stakeholders.

(2) USACE District. The district is responsible for executing all work assigned to it by the Regional Business Center. The primary CD roles and responsibilities for districts are as follows:

(a) advocate for CD with customers and stakeholders;

(b) conduct CD planning and implementation at the program-level and the project level; and,

(c) conduct quality control activities for district actions.

(3) Contingency District. Three contingency districts were established under the approved 14 August 2008 Transatlantic Division (TAD) concept plan. These "requirements only" districts are assigned to TAD and are available to support larger-scale stability operations missions in a mature theater. The contingency district role regarding CD is to assist in development of CD requirements and to provide technical support, as requested.

(4) Centers, Laboratories, and Other USACE Organizations. The primary roles and responsibilities for Centers and Laboratories are as follows:

(a) Engineer Research and Development Center (ERDC). The ERDC mission is to provide science, technology, and expertise in engineering and environmental sciences in support of the armed forces and the nation. ERDC, through its seven laboratories and multiple research facilities which span across the country and world, possesses a combination of basic research and applied engineering expertise that it can utilize to support international CD efforts. ERDC resources support CD through design, engineering, construction, and maintenance standards; technical assistance; technology transfer; specialized training; and technical engineering support.

(b) Centers of Expertise and Other USACE Organizations. These organizations support CD by providing technical assistance, training, and technology transfer to the host nation or service recipient.

9. Management Control.

a. The Commanding General has endorsed the CD business practice and the method by which CD is to be applied by USACE on international programs and projects. USACE Leaders at all levels make decisions regarding resources for CD based on available intelligence about the program or project and the capacity needs that must be met to achieve sustainable outcomes. The USACE Managers are responsible for the detailed CD planning and implementation, including substantive interaction with other stakeholders, and they arrange for reach-back support from other USACE organizations, as necessary. USACE Managers also monitor progress and evaluate effectiveness of the CD activities to ensure mission objectives are met.

b. The CD Sub-CoP, with support of other USACE technical and administrative staff, oversees the CD business practice by providing CD subject matter expertise and by maintaining and updating this ER and the corresponding EP 5-1-1 to reflect current conditions. The CD Sub-CoP also develops and updates general and specific CD training necessary to prepare USACE staff to successfully plan and implement CD on international programs and projects.

FOR THE COMMANDER:

One (1) Appendix

APP A – Definitions

Stephen L. Hill
Colonel, Corps of Engineers
Chief of Staff

APPENDIX A

Definitions

Asset Transfer: Process of handing over or transferring ownership of an asset related to a program or project to a host nation or service recipient.

Capacity Development: The building of human, institutional and infrastructure capacity to help societies develop secure, stable, and sustainable economies, governments, and other institutions through mentoring, training, education, and physical projects, the infusion of financial and other resources, and most importantly, the motivation and inspiration of people to improve their lives.

Defensive Operations: Combat operations conducted to defeat an enemy attack, gain time, economize forces, and develop conditions favorable for offensive or stability operations.

Field Force Engineering: Provides agile, responsive technical engineering and contract construction support capabilities to Combatant Commanders and their Army components worldwide during contingencies, exercises, and Domestic/International disaster response through the implementation of U.S. Army Corps of Engineers (USACE) Field Force Engineering doctrine.

Full-Spectrum Operations: The Army's operational concept: Army forces combine offensive, defensive, and stability or civil support operations simultaneously as part of an interdependent joint force to seize, retain, and exploit the initiative, accepting prudent risk to create opportunities to achieve decisive results. They employ synchronized action (lethal and non-lethal) proportional to the mission and informed by a thorough understanding of all variables of the operational environment.

Offensive Operations: Combat operations conducted to defeat and destroy enemy forces and seize terrain, resources, and population centers. They impose the commander's will on the enemy.

Program: A collection of related projects, services, routine administrative and recurring operational processes, or some mixture of these, which are managed in a coordinated way to obtain benefits and control not available from managing them individually. Programs may be categorized by funding source, customer, similarity of scope, or other common criteria for which resources are allocated and collectively managed.

Project: A temporary endeavor undertaken to create a unique product, service, or result. A project includes specific activities with a defined cost, scope, and completion schedule.

Regional Business Center: An operational concept that envisions the Division office and its Districts acting together as a regional business entity. The concept includes vertical and lateral integration of organizational capabilities, resource sharing, technical expertise, project management, and project delivery to broaden and enhance the range of services and quality within a region.

Service Recipient: Any party that may be the beneficiary of USACE mission services including foreign governments and citizens, United States Government (USG) departments or agencies, state and local governments, and the private sector.

Stability Operations (joint): An overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.

Stakeholder: Organizations or individuals that have a "stake" in the outcome of the USACE program or project or have the ability to influence the outcome in a positive manner. (Note: The term "Stakeholder" in this Engineer Regulation refers to an organization that seeks a positive outcome for the program or project. It does not include other organizations that have a stake in the program or project and would seek to have it fail [e.g., insurgents or rebels]).

Sustainability: The planned end-state where the service recipient or host nation can continue to utilize the service or product received without additional support or with minimal support from the USG or other parties.

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This publication is an Engineer Regulation that will serve as the requirement for USACE to plan and implement Capacity Development (CD) in the international setting. The ER was developed by the CD Business Practice, within the Interagency/International Services (IIS) Community of Practice (CoP) in Military Programs. The CD Business Practice has developed a companion Engineer Pamphlet (EP 5-1-1) that will serve as guidance to USACE staff for planning and implementation of Capacity Development (CD) in the international setting.

REVIEW AND COORDINATION

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