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AJP-01(D)

ALLIED JOINT DOCTRINE

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AJP-01(D)

ALLIED JOINT DOCTRINE

DECEMBER 2010

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NORTH ATLANTIC TREATY ORGANIZATION

NATO STANDARDIZATION AGENCY (NSA)

NATO LETTER OF PROMULGATION

21 December 2010

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RECORD OF CHANGES

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PREFACE

1. The successful planning, execution and support of military operations requires a clearly understood and implemented doctrine, and this is especially important when operations are to be conducted by multinational forces. The primary objective of Allied Joint Publication (AJP)-01(D) *Allied Joint Doctrine* is to provide 'keystone' doctrine for the planning, execution and support of Allied joint operations. Although AJP-01(D) is intended primarily for use by NATO forces, the doctrine is instructive to, and provides a useful framework for, operations conducted by a coalition of North Atlantic Treaty Organisation (NATO), partners, non-NATO nations and other organisations.

2. This edition reflects ongoing changes to the Alliance since the last edition published in March 2007. The revision is different structurally, partly in order to try to separate elements of doctrine which are enduring from those which are emerging, but also to try and improve on the logical flow of the document.

3. AJP-01(D) is intended for use primarily by commanders and staffs at the operational level, but could be used at any level as a reference. It explains the principles that underpin the planning and conduct of Alliance campaigns and major operations by giving commanders the strategic context for such operations, identifying the challenges to commanders and their staffs at the operational level and providing the commander in particular with guidance and strategies to direct successful campaigns.

4. AJP-01(D) should not restrict the authority of a commander. Subject to the constraints and restraints imposed by the directives issued by higher authority, he will be expected to organize the forces assigned to him and to plan and execute operations in a manner he deems appropriate to achieve unity of effort in the accomplishment of his mission.

5. If it is to be useful, AJP-01(D) has to be a living document and be amended accordingly. Therefore, the Allied Joint Operations Doctrine Working Group (AJODWG) will review the contents on a three-year cycle, unless changes in NATO policy require urgent amendment to published doctrine. As a capstone document requiring consensus between all Alliance member nations, the AJODWG will continue to restrict future amendment to the minimum. As a result, the reader will find AJP-01(D) deliberately generic and abstract, focusing on the underlying philosophy and fundamentals of joint operations at the operational level while referring to subordinate publications, in particular AJP-3(B) *Allied Joint Doctrine for the Conduct of Operations* and AJP-5 *Allied Joint Doctrine for Operational Planning* for more detailed practices and procedures.

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6. Key themes of this approach are:

a. **'Operations are Operations'**. All operations can fundamentally be approached in the same manner because NATO forces must expect to perform a wide range of potentially simultaneous activities across a range of military operations, from combat action to humanitarian aid, within short timeframes and in close proximity. What will vary will be the mandates, constraints and drivers that will be factors in the commander's mission analysis; campaign plan development, selection and execution; and the force generation process.

b. **A Single Doctrine for Operations**. The Alliance has a single doctrine for operations: there is no difference in *doctrine* at the level of philosophy and principles due to differing mandates or types of operation. Such differences may become evident at the lower doctrinal levels of practices and procedures, but these are below the level of this publication. AJP-01(D) provides a framework of understanding for the approach to all Allied operations; after this Preface no distinction is made between types of operation unless important.

c. **The Deployed Nature of Operations**. Deployed operations occur both within and outside the NATO area. From an individual member nation's perspective, a deployment to the periphery of NATO is no different to a deployment outside; the fact remains that its forces are deployed and require logistic support therefore the ability of its forces to deploy, 'deployability', is an important characteristic. It is rare that a member nation does not have to deploy its forces to some extent in support of a NATO operation, and the expeditionary nature of NATO operations is likely to increase.

d. **The Operational Environment is Complex**. All military planning should be coherent with other non-military and potentially multinational and non-governmental initiatives intended to stabilise and create a self-sustaining secure environment. A NATO military response must therefore be integrated into a wider overall framework or a comprehensive approach. In taking these and other security factors into account there is no fundamental difference in the planning and execution of any operation across the full range of NATO's military capabilities.

e. **Preparation**. AJP-01(D) does not elaborate on the preparation of commanders, staffs or forces for operations. However, the importance of this preparation should not be underestimated as it impacts on force structures, training, doctrine, concepts and other mission essential factors.

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ALLIED JOINT DOCTRINE

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CHAPTER 1 – THE ALLIANCE DOCTRINE

Section I – Introducing Alliance Doctrine

The Purpose of Doctrine

0101. Doctrine is defined as 'fundamental principles by which military forces guide their actions in support of objectives. It is authoritative, but requires judgement in application'.[1] The principal purpose of doctrine is to provide Alliance Armed Forces with a framework of guidance for the conduct of operations. It is about how those operations should be directed, mounted, commanded, conducted, sustained and recovered. It captures that which is enduring in best practice whilst incorporating contemporary insights and how these principles are applied today and the immediate future. It is dynamic and constantly reviewed for relevance. It describes how Alliance Armed Forces operate but not about why they do what they do, which is the realm of policy.

Relationship between Policy and Doctrine[2]

0102. Policy is developed in response to changing circumstances in the political-military strategic environment, agreed political guidance, practical lessons learned or new technology and is essentially prescriptive. Among other factors which influence the development of doctrine, it primarily evolves in response to changes in policy, warfighting capabilities and/or force employment considerations. Thus it is recognized that policy, as agreed by the highest National Authorities, normally leads and directs doctrine.

0103. **Policy and Doctrine Mutual Dependency**. Some doctrine addresses fundamental principles and has an enduring nature, which makes it less susceptible to short-term changes in policy. Consequently, enduring doctrine should be considered during policy development. Ultimately, policy and doctrine should strive to be consistent and mutually supportive.

0104. **Doctrine and Interoperability**. Commonly accepted and applied doctrine is necessary for effective collation building. A common NATO doctrine is essential to enhance interoperability, both at the intellectual level, allowing commanders from different nations to have a common approach to operations, and at the procedural level (so that, for example, land forces from one nation can request and direct air support from another).

Key Doctrine Documents

0105. Some documents have a closer relationship to NATO policy than others. Doctrine documents are developed for use by different audiences, with different requirements and purposes. The purpose of these documents varies from outlining overarching principles to

[1] AAP-6 – *NATO Glossary of Terms and Definitions*.
[2] MCM-077-00 *Military Committee Guidance on the Relationship between NATO Policy and Military Doctrine*.

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describing procedures and tactical or technical standardization issues applicable to the lowest levels. The former[3] normally have as their target audience the NATO Command Structure (NCS), and are known as capstone or keystone publications. Because of their scope and close relation with policy documents, the development and approval of military doctrine requires consensus for implementation and execution at the appropriate NATO Military Command level to ensure that consistency with policy is safeguarded.

Section II – The Essential Principles of Alliance Doctrine

Alliance Strategy and its Instruments[4]

0106. **Alliance Strategy**. Politics concern the capacity to influence the behaviour of others. The conduct of international politics link the application of national power to the international political system, generally motivated by national and collective interest, and usually in conjunction with allies and partners. The objectives being pursued, combined with the manner of their pursuit, constitute a nation's grand strategy. As the Alliance operates by consensus, Alliance Strategy is bounded by the extent of the collective will of Alliance members. Central to it is an understanding of the essential trinity of diplomacy, economic and military power, each of which equates to an instrument of national power. These are fed in turn by the instrument of information, which is the fourth corner of the instruments of national power. NATO, as a political-military alliance, can only coordinate individual members' economic and civil actions. However, once a collective decision has been made in the North Atlantic Council (NAC), individual nations' diplomatic and military power can be employed as one, supported by the Alliance's collective information resources.

0107. **The Diplomatic Instrument**. The degree to which diplomatic engagement tends to succeed is governed by the ability to negotiate, to broker agreements, and to massage relationships between one's allies and potential partners. Its failure, partial or total, is generally signalled by the switch to economic or military means of influence. Effective diplomacy relies on a combination of reputation, integrity and a known potential to exert economic and military influence. The diplomatic instrument is constantly in use, including during war. The public face of the Alliance's collective diplomatic instrument is the NATO Secretary General.

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[3] 'Capstone' and 'Keystone' documents are currently AJP-01, AJP-2 *Allied Joint Doctrine for Intelligence, Counterintelligence & Security*, AJP-3 *Allied Joint Doctrine for the Conduct of Operations*, AJP-4 *Allied Joint Doctrine for Logistics*, AJP-5 *Allied Joint Doctrine for Operational Planning* and AJP-9 *Allied Joint Doctrine for Civil-Military Co-operation*.

[4] MCM-0041-2010 dated 20 July 2010 includes working definitions of instruments of power .

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0108. **The Economic Instrument**.[5] Overseas investment, capital and trade provide scope for the exercise of economic influence. As with all instruments of policy, economic action has to be used appropriately and judiciously. One option is the imposition of economic sanctions, which invariably create controversy as they are neither rapid nor precise in effect, and because success is difficult to measure. In extreme circumstances the economic instrument may require the application of military force in support, for example through embargo operations to enforce economic sanctions.

0109. **The Military Instrument**. Military power can be used in conjunction with the other instruments in a wide variety of circumstances; these include conflict prevention, disaster relief, stabilisation and peace support operations as well as conflict. Early integration of the military instrument into a collective strategy is critical. The Alliance will use military force, which is only a component part of the military instrument, as a last resort.

0110. **The Information Instrument**.[6] Adjacent to, and supporting, the three instruments of national power described above is the information instrument. In addition to this supporting role, Alliance information must be protected for national security and individual privacy reasons as well as to deny an adversary information essential for the successful application of his strategy. Controlled information release is also a vital tool for influencing global opinion. The information instrument is therefore focused on countering adversarial information and information systems, while defending the Alliance's own, and is therefore largely coordinated by Information Operations (Info Ops). Some nations suggest that information is an embedded enabler to the three instruments given that each needs information to work effectively.

0111. **Civil Capabilities**. Although not an instrument of national power the civil capabilities of states, and non-governmental organisations, can have wide utility in contemporary operations. Civil capabilities include areas such as judiciary, constabulary, civilian administration and support infrastructure that support medical care, food, power generation, water, sanitation.

0112. **The Essence of Alliance Strategy**. The key to the successful conduct of the Alliance's external relations is the considered use of the most appropriate mix of instruments in the circumstances. Each nation's instruments must be used in concert with the others in a coordinated Alliance campaign to maximise their effectiveness. Diplomatic means are more usually successful when they are backed up with an implicit or declared will to use other means in support of, or if, diplomacy fails. Any threat, no matter how it is communicated,

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[5] NATO's Economic Committee was established to promote cooperation in this field. Recognising that in many respects the purposes and principles of Article 2 of the North Atlantic Treaty are pursued and implemented by other organizations and international forums specifically concerned with economic cooperation, NATO avoids duplication of work carried out elsewhere but reinforces collaboration between its members whenever economic issues of special interest to the Alliance are involved, particularly to those that have security and defence implications. The Alliance therefore acts as a forum in which different and interrelated aspects of political, military and economic questions can be examined.

[6] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.

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must be credible. To be an effective instrument of Alliance strategy, the collective military instrument must be maintained and developed in a manner consistent with the demands that are likely to be placed upon it. Where possible it will not operate in isolation, but as part of a fully synchronized and coherent collective strategy in which the collective and coordinated diplomatic and economic instruments of the member nations will be as important as the Alliance military forces and the military strategy supporting them.

Levels of Operations

0113. From a national perspective the strategic level concerns the application of the full range of national resources, across all instruments of power, to achieve policy objectives. It is the domain of the Head of Government and ministers. Within the Alliance the strategic level concerns the application of Alliance resources to achieve strategic objectives set out by the NAC. Operations by Allied joint forces are directed at the military-strategic level and planned and executed at the operational and tactical levels. Actions are defined as military-strategic, operational or tactical, based on their intended effect or contribution to achieving the stated objectives. The relationship between the three levels is illustrated in Figure 1.1, which also shows that they are not directly linked to a particular size of unit:

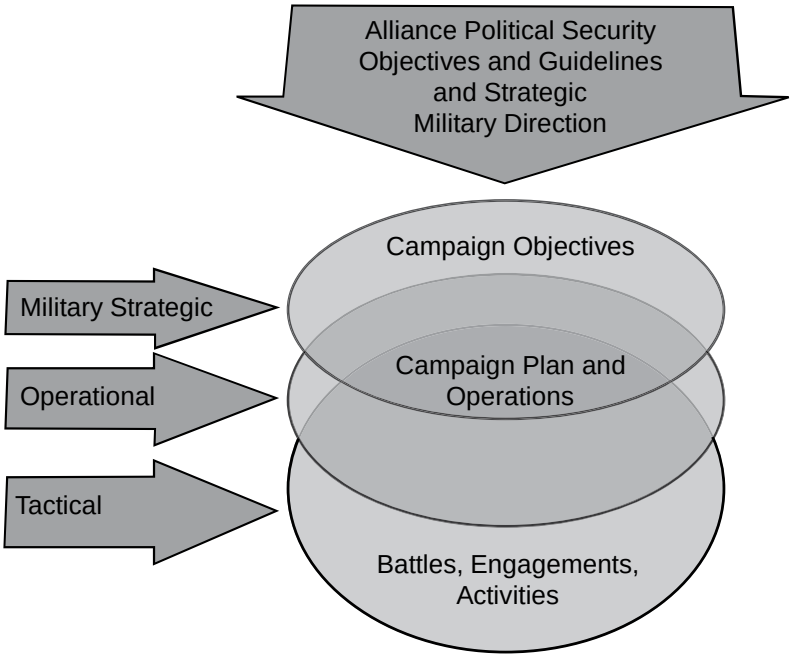

Figure 1.1 - The Levels of Military Operations

0114. **The Military Strategic Level**. At the military strategic level, armed forces are deployed and employed within an overarching political framework as part of a collective strategy in order to achieve the strategic objectives of the Alliance. The Military Committee (MC) considers the realistic contribution that military force can make to the achievement of those

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objectives and provides potential Military Response Options (MROs) to the appropriate political committee or group for consideration. In forming these MROs, the MC would have consulted SACEUR to:

a. Identify the broad mission statement, strategic and military goals, and define the objectives/end-state that would constitute success.

b. Recognize any political, financial or legal constraints on the use of force, which will probably vary between different Alliance partners.

c. Define the force capabilities and the need for a strategic reserve.

d. Establish the outline command and financial arrangements.

e. Analyse the military risks.

Should the NAC decide on a requirement for military intervention, it would issue a NAC Initiating Directive (NAC political guidance) to enable detailed operational planning to commence. SACEUR is responsible for the development of the strategic-level Operations Plan (OPLAN), and, where appropriate, the development of any necessary Support Plans (SUPLANs), outlining the mission, command and financial arrangements plus command and control responsibilities. When endorsed by the MC and approved by the NAC, the OPLAN would be provided to the operational commander for finalization of the operational level OPLAN prior to SACEUR approval. Thereafter, SACEUR would monitor the operational level planning and execution of the campaign.

0115. **The Operational Level**. The operational level is 'the level of war at which campaigns and major operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations'.[7] Operational art – the skilful employment of military forces, in concert with other agencies, to attain strategic goals through the design, organization, integration and conduct of campaigns or major operations – links military strategy to tactics. It does this by establishing operational objectives, initiating actions and applying resources to ensure the success of the campaign. These activities are normally the responsibility of the operational commander. At the operational level and within a designated Joint Operations Area (JOA), armed forces are deployed and employed in accordance with a campaign strategy to achieve military strategic goals. Normally this would imply sustained operations with simultaneous and/or sequential actions by committed forces. It is at the operational level that tactical successes achieved in engagements and operations are combined to create desired effects that support achievement of strategic objectives and the military end-state. To that end, an operational level commander would refine the OPLAN approved by the initiating authority, issue operation orders and direct operations. He would be responsible for:

[7] AAP-6.

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a. Deciding what operational objectives are necessary to achieve strategic objectives, while remaining sensitive to political considerations.

b. Deciding in what sequence these operational objectives should be achieved.

c. Allocating forces and resources as necessary to enable subordinate commanders to achieve their operational missions.

d. Determining logistic requirements and setting priorities, in consultation with nations, for the provision of logistic support to sustain operations.

e. Directing the activities of those formations or units not delegated to subordinate commanders, especially those earmarked as operational reserves.

f. Coordinating and integrating operations with the other instruments of power.

g. Determining the acceptable level of risk to the force and mission.

0116. **The Tactical Level**. At the tactical level, forces are employed to conduct military tasks and gain military objectives. Successful accomplishment of these objectives is designed to contribute to success at the operational and strategic levels.

Distinguishing Levels of Joint Operations

0117. The distinction between the military strategic, operational and tactical levels of joint operations will seldom be tidy. This is because even if a force is only of small tactical value, its employment will have a political context in relation to the nation that provides it. As a result the force commander will have an operational effect in mind when considering tactical action. Tactical activity can have strategic and operational effect. Conversely, the pursuit of strategic objectives will not always require the deployment of large and heavily equipped forces. Furthermore, not all military assets engaged within the JOA will necessarily be commanded or controlled by the commander of a task force. Some assets, such as forces held in reserve for strategic attack and Special Operations Forces (SOF), may be controlled at the military-strategic level.

Principles of Allied Joint and Multinational Operations

0118. **Unity of Effort**. An understanding of the key principles for joint and multinational operations which have proved successful in past conflicts is the start point in doctrine development. These principles are not absolute, but attract broad agreement as to their importance and relevance. The operational situation may demand greater emphasis on some more than others. For example, the principles of surprise and concentration of force may have a different emphasis in a Peace Support Operation (PSO) than in the context of a full-scale combat operation. Subordinate Allied Joint Publications contain additional principles that are applicable to specific types of military activity. The fundamental principles of Allied operations are:

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a. **Definition of Objectives**. Joint multinational operations must be focused towards clearly defined and commonly understood objectives that contribute to the achievement of the desired end-state. When an objective has been identified as the 'main effort', all joint activity should be directed towards its achievement. The pursuit of concurrent, but subordinate objectives most not hinder the achievement of the main effort. Four key questions should be considered when defining the objectives and the end-state:

(1) What is the mission purpose?

(2) What criteria constitute mission accomplishment?

(3) What are the exit criteria?

(4) Who declares success or victory?

b. **Unity of Purpose**. Multinational operations depend on cooperation and coordination to realize maximum combined effect. Military forces achieve this principally through *unity of command*, which provides the necessary cohesion for planning and execution of operations. This can only be done by vesting the authority to direct and coordinate the action of all forces and military assets in a single commander. In a complex operational environment the commander must also strive for coordination with the other instruments of power. Unity of command is rarely possible when dealing with non-military agencies, *so unity of purpose and effort* is more appropriate; because goodwill, a common purpose, clear and agreed division of responsibilities, and an understanding of the capabilities and limitations of others become essential elements in maximizing collective effort.

c. **Sustainment**. Planning for sustainment encompasses strategy, tactics and administration, including logistic and personnel support. Ensuring a sound administrative baseline should be part of operational planning from the outset. Logistics will often be one of the most important factors in the development and selection of courses of action (COAs).

d. **Concentration of Force**. Combat power should be concentrated at a pre-selected time and place designed to achieve decisive results. Superior force is not just a matter of numbers but also of fighting skills, cohesion, morale, timing, selection of objectives and exploitation of technological advantage.

e. **Economy of Effort**. In the absence of unlimited resources, it will be necessary to take risks in some areas. The principle of economy of effort recognizes that, if concentrated strength is to be applied in the areas where it must create decisive effects, compromise may be necessary in areas of lower priority. Thus economy of effort implies the balance of available resources, given acceptable risk, against a commander's priorities.

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f. **Flexibility**. Plans should be sufficiently flexible to respond to the unexpected and to empower commanders with maximum freedom of action. This requires: an understanding of the superior commanders' intentions, flexibility of mind, rapid decision-making, good organization and good communications.

g. **Initiative**. Initiative can be fostered through trust and mutual understanding and developed by training. It is about recognizing and seizing opportunities and solving problems in an original manner. For a climate of initiative to flourish, a commander should be given the freedom to use initiative, and should in turn encourage subordinates to do likewise; and without fearing the consequences of failure. This requires a training and operational culture that promotes an attitude of calculated risk-taking in order to win rather than simply to prevent defeat. Initiative usually requires command authorities to be delegated to the lowest level possible.

h. **Maintenance of Morale**. Commanders should give their command an identity, promote self-esteem, inspire it with a sense of common purpose and unity of effort, and give it achievable aims. High morale depends on good leadership, which instils courage, energy, determination and care for the personnel under command.

i. **Surprise**. Surprise is built on speed, secrecy and deception and if successful achieves results disproportionate to the effort expended.

j. **Security**. Security enhances freedom of action by limiting vulnerability to hostile activities and threats. Active and passive security measures help to deny critical information to an adversary. They assist deception and help counter offensive actions.

k. **Simplicity**. Simple plans and clear orders minimize misunderstanding and confusion.

l. **Multinationality**. NATO is, at its heart, an alliance of nations; its forces and command structures will always be multinational. NATO forces may also find themselves operating in a coalition in concert with forces from outside the Alliance. Command of multinational forces demands an attitude of mind that is not only international, but also able to understand differing national perspectives and how they relate to the common purpose.

Other Considerations

0119. In addition to the principles identified above, which apply to all operations, predominant campaign themes (such as peace support)[8] also require the consideration of a number of other considerations:[9]

[8] This is also true for other predominant themes such as counter insurgency. These principles, where different, will be included in future editions of this document when the relevant NATO doctrine has been promulgated.

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a. **Impartiality**. A PSO[10] should be conducted impartially, in accordance with its mandate, and without favour or prejudice to any party.

b. **Consent**. The level of acquiescence to the presence of a force charged with a PSO or stabilisation operation mission will vary: in time and space; horizontally across all elements of the population; and vertically within the hierarchies of the parties to the conflict. A commander will aim to turn passive consent into active support enhancing legitimacy and credibility.

c. **Restraint in the Use of Force**. Commanders and their forces should use a measured and proportionate application of force sufficient to achieve a specific objective. Constraints and restraints on the use of force may be established in the mandate, as well as by international law, the domestic laws of the force providers and, in certain circumstances, host-nation law.

d. **Perseverance/Long-term View**. The achievement of the political end-state will require a patient, resolute and persistent pursuit of objectives. The identification and achievement of shorter-term objectives, within the context of the overall campaign, may be required.

e. **Legitimacy**. The legitimacy of the operation and the wider perception of that legitimacy will provide the foundation for support from the international community, contributing nations, and the involved parties, including the indigenous civil community.

f. **Credibility**. For an operation to be effective, it should be credible and perceived as such by all parties. The credibility of the operation is, in part, a reflection of the parties' assessment of the force's capability to accomplish the mission.

g. **Mutual Respect**. The respect with which the conduct of an operation is viewed, and the consequent relationship between Alliance forces and the indigenous population, will have a direct impact on its long term success.

h. **Transparency**. The mission and concept of operations should be easily understood and obvious to all parties. Failure to achieve common understanding may cause friction and lead to suspicion, mistrust or even hostility.

i. **Freedom of Movement**. Freedom of movement is essential for the successful accomplishment of any operation; where freedom of movement is constrained, objectives become more difficult to attain, at all levels.

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[9] See Allied Joint Publication-3.4.1 *Peace Support Operations* for a detailed explanation.

[10] 'An operation that impartially makes use of diplomatic, civil and military means, normally in pursuit of United Nations Charter purposes and principles, to restore or maintain peace. Such operations may include conflict prevention, peacemaking, peace enforcement, peacekeeping, peace building and/or humanitarian operations.' (AAP-6)

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The Components of Fighting Power

0120. In an Alliance context, fighting power comprises three inter-related components: physical, moral and conceptual.[11] No component is more important than any other; for instance, it matters not how advanced the Alliance's platforms, weapons and sensors are if the people manning them lack motivation, training or adequate leadership. Likewise, the three components are not independent; each overlaps with the others:

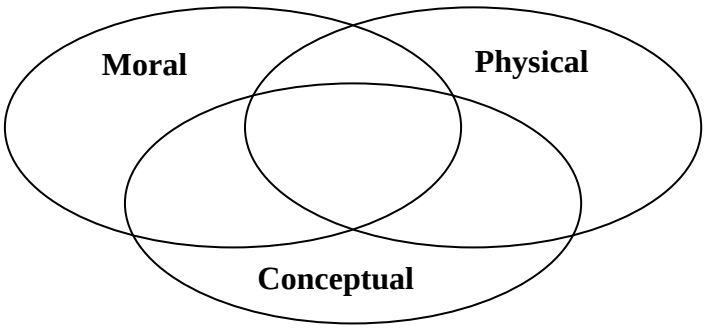

Figure 1.2 – Components of Fighting Power

0121. **The Moral Component**. Ultimately, it is humans that generate fighting power. Alliance forces require time, effort and resources if they are to be developed, maintained and employed to the Alliance's advantage. The moral component of fighting power concerns persuading Alliance forces to fight. It is measurable by good morale and depends on the conviction that the Alliance's purpose is morally and ethically sound; thus promoting an offensive spirit and a determination to achieve the aim. Maximising the moral component requires motivation, leadership and management.

0122. **The Conceptual[12] Component**. This component focuses on the observation and perception of the operating environment by an individual, commander or organization. Decisions made on wrong or manipulated information, another perception of the reality or on incorrect information on friendly capabilities will lead to misdirected use of the other components of fighting power. Therefore, even if the will and the ability to fight are well developed, deficits in this component will lead to ineffective or counterproductive use of fighting power.

0123. **The Physical Component**. The physical component of fighting power is the means to fight. It has five elements: manpower, equipment, collective performance, readiness and sustainability. It is the combination of the ships, land vehicles, aircraft, associated weapons and sensors, and other equipments, the people that man them and the training they undergo, both as individuals and as teams, and their effective deployment, sustainment and recovery.

[11] These components link to the coordination of activities within Info Ops intended to create desired effects on an adversary's will, capability and understanding.
[12] Also referred to as the Psychological Component by some nations.

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CHAPTER 2 – NATO'S POSITION WITHIN THE GLOBAL SECURITY ENVIRONMENT

Section I – The Purpose of the Alliance

0201. The North Atlantic Treaty Organisation (NATO) is an alliance of 28 countries from North America and Europe committed to fulfilling the goals of the North Atlantic Treaty signed in Washington on 4 April 1949.[1]

The North Atlantic Treaty

0202. NATO's essential and enduring purpose, set out in the North Atlantic Treaty, is to safeguard the freedom and security of all its members by political and military means in accordance with the UN Charter. It embodies the transatlantic link that binds Europe and North America in a defence and security alliance. Based on common values of democracy, human rights and the rule of law, NATO has provided for the collective defence of its members since its foundation in 1949.

0203. To achieve this, the Alliance uses collectively all elements of member states national power to meet the security challenges that face Alliance member states. As the strategic environment has changed, so too has the way in which the Alliance responds to security challenges. Whilst it continues to preserve stability throughout the Euro-Atlantic area through traditional tasks such as territorial defence and peacekeeping, it is also evolving to meet new threats that include terrorism and the proliferation in weapons of mass destruction (WMD). The security challenges now facing NATO, which extend beyond its traditional area of responsibility, include areas such as missile defence and cyber-operations.

0204. NATO is an intergovernmental, rather than supranational, organization in which member countries retain their full sovereignty and independence. It serves as a forum for the consideration of matters affecting members' security. NATO's structures facilitate continuous consultation, coordination and cooperation between members on political, military, economic and other aspects of security, as well as cooperation in non-military fields such as science, information, the environment and disaster relief.

Collective Defence

0205. The fundamental guiding principle of the Alliance is that of mutual security and cooperation; if any one member is threatened, all are affected. In signing the North Atlantic Treaty, every member state makes a commitment to respect this principle, sharing the risks and responsibilities as well as the advantages of collective defence. This also means that aspects of defence planning and posture that countries would ordinarily consider in isolation are undertaken collectively. The costs of enabling military forces to train and work effectively

[1] See Annex 2A.

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together are also shared. Without depriving member states of a sovereign focus in defence, the Alliance enables all member nations through collective responsibility to exercise wider security objectives. Thus while each country retains independence and the freedom to make their own decisions, by planning together and sharing resources they can enjoy a collective level of security far higher than any could achieve alone.

Strategic Concept

0206. The Strategic Concept is the core document that establishes and reflects NATO's transatlantic consensus. "It outlines NATO's enduring purpose and nature and its fundamental security tasks. It also identifies the central features of the security environment, specifies the elements of the Alliance's approach to security and provides guidelines for the further adaptation of its military forces."

Fundamental Security Tasks

0207. To achieve its essential purpose, as an Alliance of nations committed to the Washington Treaty and the United Nations Charter, the Alliance performs the following fundamental security tasks:

a. To provide the foundation for a stable Euro-Atlantic **security** environment.

b. To serve as an essential transatlantic forum for Allied **consultations**: on issues that affect their vital interests, including risks to members' security and for appropriate coordination of effort over issues of common concern.

c. To **deter and defend** against the threat of aggression against any NATO member state.

and in order to enhance the security and stability of the Euro-Atlantic area:

d. To contribute to effective conflict prevention and to engage actively in **crisis management**, including crisis response operations.

e. To promote wide-ranging **partnership**, cooperation and dialogue with other countries in the Euro-Atlantic area, with the aim of increasing transparency, mutual confidence and the capacity for joint action with the Alliance.

Section II – Strategic Context

21st Century Threats

0208. Large-scale conventional aggression against the Alliance is unlikely in the near future but the possibility of such a threat emerging over the longer term remains. Meanwhile the security of the Alliance will be challenged by a wide variety of threats, conventional and non-conventional both in the military and civil environments, and will often be difficult to predict.

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These risks include uncertainty and instability in and around the Euro-Atlantic area and the possibility of regional crises at the periphery of the Alliance, both of which could develop rapidly. Ethnic, political and religious rivalries, territorial disputes, disputes over vital resources, inadequate or failed efforts at reform, the abuse of human rights and the dissolution of states will lead to local and regional instability. The resulting tensions could create a wide spectrum of consequences, ranging from the need to provide humanitarian assistance to armed conflict. They could also affect the security of the Alliance by spilling over into neighbouring countries, including NATO members and could affect the security of other states.

0209. The spread of nuclear capabilities outside the Alliance constitutes a potential threat to stability in the Euro-Atlantic area. Proliferation of Chemical, Biological, Radiological and Nuclear (CBRN) weapons and devices in parallel with the development of innovative means of delivery remains a matter of serious concern. Despite welcome progress in strengthening international non-proliferation regimes, major challenges remain.

0210. The spread of weapons technology has increased access to sophisticated military capabilities. Adversaries now have the potential to acquire highly capable offensive and defensive air, land, and sea-borne systems, cruise missiles, and other advanced weaponry. In addition, the Alliance's growing reliance on information and information systems creates vulnerability to cyber attack, which may reduce or cancel NATO's superiority in conventional weaponry.

0211. Any armed attack on the territory of the Allies would generate a response under Articles 5 and 6 of the North Atlantic Treaty.[2] However, Alliance security interests could be affected by other extant or emerging risks including acts of terrorism, sabotage, organized crime, uncontrolled movement of large numbers of people (particularly as a consequence of armed conflict) or disputes over often dwindling vital resources. The various forums in the Alliance give member states platforms to discuss mutual security issues under Article 4 of the North Atlantic Treaty and the opportunity to coordinate their responses to risks of this kind.

0212. **The Evolving Strategic Environment**. Alliance doctrine must take into account the changing context in which armed forces are used. The strategic environment will become increasingly dynamic and complex. There will be a variety of factors that directly influence or cause change, as well as discernible patterns in that change. There will also be a handful of key strategic drivers of change: globalization of society, political geometry, demographic and environmental change and the impact of technology. The implication of these strategic drivers, and from an examination of their military implications, provides some trends for defence and security:

a. **Globalization**. The process of globalization continues. This pattern of cultural import and export provokes conflict in areas of the world where cultures and values collide; action by anti-capitalists and extremists are two examples of such reactions. Twenty-four hour news media will continue to broadcast the realities of globalization

[2] See Annex 2A for the full text of The North Atlantic Treaty.

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to an ever-growing audience. Terrorists and extremists have and will continue to become more sophisticated in their use of the media and information networks to foster unrest through targeted information campaigns.[3]

b. **Political Geometry**. Notwithstanding the effects of globalization, nation states will remain key geopolitical players and most will retain armed forces. However, the way in which state sovereignty is exercised will change.

(1) There is likely to be greater interdependence between states and a shift in power from states to transnational organisations and networks or multinational corporations.

(2) Alliance members are likely to become more open as societies. They will be increasingly reliant on global stability, particularly with key trading partners in Europe, North America and, increasingly, Asia.

(3) This greater interdependence of states will have benefits. For example, increased interaction should advance understanding, reducing the potential for interstate conflict.

(4) Failing states are likely to become a more persistent and pervasive threat to global security. For example non-state actors[4] may exploit the vacuum caused by their deterioration. There is potential to undermine the security of the Alliance in a world where concern for personal and collective security is gaining prominence over the defence of territory against conventional attack. A failed state that has little strategic significance in the traditional sense of resources or geographical location can take on strategic importance as a potential base for non-state actors. The Alliance may therefore choose, or be called upon, to intervene more frequently to stabilize dangerous situations in poorly or ungoverned territory. Any attendant rise in support for extremist groups will continue to demand the diplomatic, and potentially military, involvement of Alliance nations.

(5) The technical and economic strength of NATO and other developed states will stimulate innovation by an adversary to achieve political objectives, including the unconventional use of armed violence. Reaction to such threats must be coordinated across all instruments of state power, which will necessitate close liaison between multilateral networks and organizations.

c. **Demographic and Environmental Change**. Demographic differences between the developing and developed world will widen. This will lead to significant migratory

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[3] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.
[4] Such as groups supporting transnational terrorism and organised crime.

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pressures from one to the other, increasing ethnic tensions and putting stress on employment and welfare systems:

(1) Competition for scarce resources will continue, and global demand for energy resources in particular will intensify. Although oil and gas reserves are sufficient for the near future, their location and transport routes will present security challenges for developed and developing nations alike. Starvation and water scarcity will remain a significant problem for sections of the developing world.

(2) Impoverishment and inequitable distribution of resources can lead to grievances, provokes extremists and offers opportunities for organized crime to threaten security. Poverty, hunger and disease in the developing world contribute to increasing stress in the security environment.

(3) Poor resource distribution and governance in areas affected by demographic and environmental change will compound this problem. This will further increase migratory pressures, internal instability and calls for humanitarian intervention.

d. **Technology and Military Transformation**. Technology continues to be a key driver of change that will pose both new threats and new opportunities. As access to current and emerging technology becomes more widespread, there will be greater opportunities for adversaries to develop effective conventional and unconventional means for direct and indirect attack on Alliance nations. The proliferation of technologies such as information and communications, biotechnology and nanotechnology will be led by industry rather than the military and, because of globalization, will be more accessible than hitherto. Consequently, assuming a given level of political pressure and access to finance, it will be easier for a range of both state and non-state actors to gain access to technology, including greater lethal power and including CBRN weapons.

Trends within the Military Dimension

0213. **The Future Balance of Military Power**. The future balance of military power will be affected largely by three issues:

a. **Weapons of Mass Destruction**. WMD and their means of delivery will proliferate significantly unless successfully controlled. A limited number of countries may develop a nuclear weapons capability in the absence of external intervention, but a greater number could potentially acquire biological and chemical weapons. Ballistic delivery systems will extend in range. Non-ballistic systems and particularly non-military delivery mechanisms[5] will become more prevalent. In the event that non-

[5] For example, civilian aircraft, ships, or sleeper devices.

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state actors acquire WMD they will be much harder to target, and therefore deter than state proliferators, presenting a strategic security threat. Delayed lethality and non-lethal weapons such as electromagnetic pulse weapons, radiological and carcinogenic chemical weapons may become more accessible.

b. **Posture and Alliances**. While the majority of Alliance members continue to depend on NATO to guard against a strategic threat to the Euro-Atlantic area, a conventional state-on-state threat is unlikely. Alliance nuclear capability, and potentially missile defence, will demonstrate to states armed with WMD that aggression of any kind is not a rational option. Many Allies will concentrate on niche capabilities, pooling specialist resources to achieve operational and fiscal efficiency. Activities will normally be in coalition, typically be reactive (rather than pre-emptive) and expeditionary, and may occur over geographic areas well beyond the Euro-Atlantic area.

c. **Other Threats**. Evidence suggests that there is likely to be a further blurring of the boundaries between state and non-state actors (such as insurgents, terrorists and criminals) and NATO may subsequently confront an adversary using both conventional and non-conventional means. This could be a compound threat of coincidental or uncoordinated actors, or hybrid when used by a determined adversary in a simultaneous and coordinated manner. These adversaries will use hybrid threats to exploit Alliance vulnerabilities wherever possible. They may not be bound by Western legal or ethical frameworks allowing them to challenge NATO in ways that can be difficult to anticipate. Countering a hybrid threat may require placing a greater emphasis on actions with effects in the cognitive domain as the battle for hearts and minds of the population is likely to ensue. Adversaries may also choose to employ a long-term strategy, such as avoiding defeat rather than seeking victory. Success in countering a hybrid threat may not be possible using the military instrument alone. Instead, a broader comprehensive approach, supported by information operations, will be required.[6]

0214. **Types of Adversary**. Notionally, adversaries are expected to be drawn from 3 broad categories of protagonists: nations, factions within a state and non-state actors.

a. **Nation State**. The ability of a nation to engage in armed conflict will remain the ultimate indication of state power. However, for three principal reasons the occurrence of interstate conflict is likely to reduce. Firstly, the bipolar competition and surrogate wars characterised by the superpowers in the Cold War is unlikely to be repeated in the near term. Secondly, Alliance conventional military superiority is likely to discourage conventional strategic attacks on it, or on those areas where it has strategic interests. Thirdly, the risks for protagonists are increasing due to the cost

[6] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.

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and lethality of weapon systems and the strong international presumption against war and its penalties.

b. **Factions within a State**. Intra-state conflict will become more common as globalization broadens awareness of cultural friction, ineffective governance and the ease with which destabilising groups can operate. Factions may attempt to prevent international engagement, or actively encourage it if the faction believes this may enhance its chances of success. Use of proxy forces is likely to become a common factor in discretionary wars, although these forces can prove difficult to manage in military support to stabilisation activities and reconstruction efforts, particularly when reforming indigenous armed services and police forces (i.e. Security Sector Reform).

c. **Non-State Actors**. There will be potential for conflict between states' militaries and law enforcement agencies, and a growing range of non-state actors (particularly terrorists). Their incentive is to seek strategic effect and their ability to act internationally is increasing. State militaries will be required to develop counter-terrorism capabilities[7] in order to allow them to have an increased role in engaging adversaries, employing terrorism, both domestically, within their own overseas territories and abroad. This may involve seeking to disrupt or destroy terrorist organizations, or to prevent (through support to diplomacy) or interrupt (by military means) state support to them; where possible in support of state law enforcement agencies. State militaries will be required to broaden their capabilities, for example to assist in countering organized crime (as this grows in sophistication, scope and scale, and even adopts paramilitary style techniques and capabilities).

0215. By using unconventional (often illegal under International Law) methods and irregular forces, some of NATO's adversaries will seek ways to negate military advantage by undermining the Alliance's cohesion, will, credibility, and influence. The threat that such adversaries can pose both to the military forces and to civil societies of the Alliance is termed 'asymmetric' because it is not possible for the Alliance to counter it in an equal way or by equal methods. This asymmetric threat is mainly defined by:

a. The nature of an adversary himself; he may be difficult to recognize, identify and target, or unresponsive to attempts at negotiation.

b. The nature of an adversary's ideals and objectives where they are at odds with the Alliance members' own values, beliefs, priorities, and legal and moral constraints.

c. The unconventional methods that an adversary may employ to counter a qualitative and quantitative advantage.

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[7] For a NATO perspective, see MC 472, *The Military Concept for Defence Against Terrorism.*

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Section III – Implications for the Military

0216. The complexity of the operating environment, and the consequent need to maintain a focus beyond the central principle of collective defence, has demanded a re-evaluation of the likelihood of NATO involvement in Non-Article 5 Crisis Response Operations (NA5CROs).[8] NA5CROs are a major part of the Alliance's contribution to effective crisis management. Their purpose is the contribution to international peace and security. They are intended to respond to such crises, to include the containment of hostilities, in a timely and coordinated manner where these crises could either affect the security of NATO nations, or threaten stability and lead to conflict on the periphery of the Alliance. NA5CROs encompass the Alliance's conduct of, and participation in, the full range of operations to include those in support of peace, which could range from the most demanding types of peace enforcement to military preventative activities, as directed by the North Atlantic Council.

Enduring Nature of Conflict

0217. NATO is a political-military alliance. The ability to fight – to bring violence, or the threat of violence, to the operating space – remains NATO's *raison d'être* and is critical to success wherever there is the possibility of hostile opposition. The challenges facing those service personnel who deploy on operations remain:

a. **Friction**. Friction is the force that frustrates action and which makes the simple difficult and the difficult seemingly impossible. Friction may be mental – indecision over what to do next. It may be physical – the effects of intense enemy fire. It may be externally imposed – by the action of an adversary or the weather. It may be self-induced – by a poor plan or clashes of personality.

b. **Chaos**. Because it is a human activity, conflict is uncertain and chaotic. Incomplete, inaccurate or contradictory information creates a '*fog of war*', which limits perceptions and causes confusion. A commander, on either side, should exploit chaos by imposing it on his opponent, yet bringing greater order to his own schemes. Understanding the nature of the operating environment, of the opponent, how he thinks, and how he might act and react, is a prerequisite of gaining this advantage. Because armed conflict is essentially chaotic, chance always plays a role.

c. **Danger**. Force – whether applied or threatened – is the primary means by which a commander compels an adversary to do what he wants. The application of force, or its threat, brings danger and with it fear. To a greater or lesser degree all men and women feel fear, and a commander has an important role to play in helping those he commands to overcome their fear, and thereby contribute to success.

d. **Human Stress**. Combat is a stressful activity; the effects of danger, fear, exhaustion, loneliness and privation adversely affect, to a varying degree, the willpower of all

[8] This was acknowledged formally at the 1999 Washington Summit.

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those involved. To defeat an enemy militarily it is necessary to erode the willpower of the enemy commander and the forces under his command, whilst maintaining the willpower and morale of one's own forces.

Evolving Character of Operations

0218. NATO forces operate throughout a continuum of conflict, within which peace and war cannot always be distinguished clearly. The evolution of a conflict will continue to be unpredictable; its prevalence, scale and intensity will change along the continuum of conflict from war, through inter- and intra-state conflict, and ultimately to peace. NATO forces will confront a variety of situations and threats, both state and non-state, potentially at the same time and in the same operating area. Moreover, within the increasingly complex problems faced by commanders the relationships between cause and effect are increasingly hard to predict. Therefore, the way commanders *frame* complex problems is becoming more important.

0219. Adversaries, both state and non-state, are adapting fast to the Wests's military strength and their preferred ways of operating. Already this adaption has made assumptions, such as rapid decisive effect, look dated. Adversaries in regions with multiple persistent systematic problems, using de-centralised command styles and an ability to exploit the clutter of heavily populated areas, are unlikely to present themselves in sterile battlespace for precision attack. Conflict is less likely to end in clear 'victory' and it will be the resilience and institutional agility as much as technological mastery that will define the Alliance's chances of success. History has shown that asymmetry is not 'new', but some of its modern manifestations are new. Traditionally the Alliance has referred to a spectrum of conflict, ranging from stable peace, via humanitarian assistance to general war. This implied that there are discrete types of conflict with traditional 'war' against near-peers as the professional benchmark. This binary, linear, sequential view overlooked the inevitable concurrency and unique challenges posed by conflicts that have different characteristics. Discrete operational themes actually overlap and merge. Conflict can now be seen as a blurring of the distinctions between adversaries and the way they use force to achieve political goals. Future conflict will blend the lethality traditionally associated with state-on-state conflict and the protracted nature of irregular warfare.

0220. At the extreme, NATO forces may be required to engage in conventional warfighting against well-resourced opponents, with technologically advanced weapon systems and equipment. NATO forces should therefore be prepared, equipped, and trained for the most complex and demanding of high-intensity warfighting campaigns. Interoperability is the key consideration for an effective alliance warfighting force.

0221. More likely, NATO forces may be confronted, possibly simultaneously, by groups or individuals operating in unpredictable and innovative ways, and employing tactics that have no regard for either International law or widely accepted norms of morality. Those engaging

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in this Irregular Activity[9] may exploit civilians in order to promote their aims and maximise the impact of their actions. Conducting operations where '*the people in the streets and houses and fields – all the people anywhere – are the battlefield*'[10] the so-called war amongst the people has significant implications for NATO forces. Positive identification and engagement of opponents, particularly in urban areas, will become more difficult and heighten the risk of collateral damage.[11] Furthermore, in complex political and social contexts where the will of the indigenous population becomes the metaphorical vital ground (i.e. it must be retained or controlled for success), there is a requirement to influence and shape perceptions through the judicious fusion of both physical and psychological means. In order for NATO forces to do this effectively, they need a detailed understanding of the situation, its human context, and the other agencies that could help to achieve a desired outcome.

0222. Intelligence collection, analysis, dissemination and sharing will be critical to anticipating and, possibly, preventing or containing conflicts. Intelligence processes include agencies not traditionally associated with military operations, for example law-enforcement agencies, and non-traditional sources, such as engagement with non-governmental actors. A full understanding of the operational environment and a proactive approach in the earliest stages of an emerging crisis will be required. This assessment will support increased situational awareness and aid enhanced intelligence sharing and collaboration in rapidly evolving situations. Improvements in all aspects of the decision making cycle may be necessary so that the time between the anticipation of a risk or threat, and the definition and subsequent execution of an operation can be shortened.

0223. A growing public awareness brought about by greater accessibility of information, coupled with the necessity to maintain domestic public support may lead to further constraints being placed upon the military, whilst simultaneously increasing the requirement to demonstrate rapid success. These factors and their legal codification will influence the military's application of force within a need for accountability and proportionality. Thus, the Alliance must be capable of operating under political, media and public scrutiny whilst maintaining the requirements for operational security.

0224. The Alliance's military posture will continue to adapt to respond to evolving threats and challenges. The posture provides the Alliance with a broad set of capabilities that enable the projection of stability, assure nations and partners, deter adversaries and other aggression across the continuum of conflict. The Alliance structures itself for the most likely operations with the agility to adapt to the most demanding.

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[9] Irregular Activity (IA) is the 'use or threat of force by irregular forces, groups or individuals, frequently ideologically or criminally motivated, to effect or prevent change as a challenge to governance and authority.' IA could include a mix of insurgency, terrorism, criminality, disorder and illegitimate regimes.
[10] Smith, General Sir Rupert, '*The Utility of Force - The Art of War in the Modern World*' (Penguin, London).
[11] Women, children, refugees, internally displaced persons, and other vulnerable groups are likely to be especially affected.

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0225. NATO forces might intervene in crises, for example, to strengthen, uphold or restore peace and security, to re-establish governance and authority, or to provide humanitarian assistance. NATO forces will usually be but one contributor; and while different participants' respective goals may be broadly aligned, each is nevertheless shaped by different perspectives, priorities, motivations, mandates, timeframes, cultures and processes. This complex of actors may include, in addition to multinational military forces, the indigenous population with their formal and informal authorities, media, diplomats, International Organisations such as the United Nations (UN), Non-Governmental Organisations (NGOs), private military and security companies, multinational companies and opportunists.

0226. NATO must seek to influence these complex situations through the application of Diplomatic, Information, Military and Economic instruments of power, and civil capabilities (see Chapter 1). Individually, each is limited in terms of its discrete influence and impact. The likelihood of a favourable and enduring outcome is therefore enhanced through the careful use of all instruments in concert, using the 'commonly understood principles and collaborative processes' of a Comprehensive Approach (described in the following paragraphs). What constitutes an appropriate combination of the instruments of power will depend upon the context.

NATO's Contribution to a Comprehensive Approach

0227. NATO experiences in Afghanistan, Kosovo and other operations confirm the complexity of contemporary crises. Complex crises do not lend themselves to simple definition or analysis. Today's challenges demand a comprehensive approach by the international community, including the coordinated action from an appropriate range of civil and military actors, enabled by the orchestration, coordination and de-confliction of NATO's military and political instruments with the other instruments of power. This needs to be a broader cooperation and planning in accordance with the principles and decisions of relevant senior NATO bodies. NATO's engagement in a comprehensive approach to crisis management is focused at three levels:

a. At the political and strategic level, NATO concentrates on building confidence and mutual understanding between international actors.

b. At the operational level, the priority is to cooperate with other international actors in the overall planning for complex operations in which a large degree of civil-military interaction will be required.

c. At the theatre level, NATO force commanders must be empowered to conduct effective cooperation and coordination with indigenous local authorities and other international actors in the execution of operations.

All 3 levels must function in a complementary manner to achieve success.

0228. NATO considers there to be three targets in the successful prosecution of a comprehensive approach:

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a. Improving the coherent application of the Alliance's own crisis management instruments, including its military and political planning procedures.

b. Improving the Alliance's practical cooperation at all levels with partners, the UN (and other relevant international organisations), governmental and non-governmental organizations (NGOs) and local actors in the planning and conduct of operations.

c. Enhancing the Alliance's ability to bring military support to stabilisation operations and reconstruction efforts in all phases of a conflict in concert with other actors.

0229. In the context of crisis management, the success of a comprehensive approach is dependent on a common sense of purpose and resolve, mutual understanding and collaboration, and appropriate resourcing. This is necessarily predicated by political agreement on the desired outcome.[12] A future desired outcome is likely to involve aspects related to security, governance, and economic development. The complexity or evolving nature of a crisis may preclude the definitive defining of the desired outcome. It may only be possible to look ahead months rather than years and reframing the problem and desired outcome may become necessary.

0230. Political agreement on a desired outcome is necessary for clarity on strategies and objectives; however complete agreement between different actors may be difficult to achieve and, in that case, developing a shared vision or unity of purpose should be pursued. Creating the conditions to achieve a desired outcome requires active involvement from each of the instruments of power (described at Chapter 1). It also requires effective collaboration between military and non-military actors, across both NATO and a broad range of multinational institutions, agencies and organizations. Although the implementation of this comprehensive approach may vary between the levels of operation (strategic, operational and tactical), and from one crisis to another, a number of guiding principles apply:

a. The need for proactive engagement between all actors, before and during a crisis.

b. The importance of shared understanding engendered through cooperative working, liaison, education and a common language.

c. The value of collaborative working based upon mutual trust and a willingness to cooperate – institutional familiarity and information sharing are key.

d. Thinking focused on outcomes, ensuring that all actors work towards a common goal (or outcome), and ideally mutually agreed objectives, underpinned, even in the absence of unity of command, by unity of purpose.

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[12] Defined as: 'a favourable and enduring situation, consistent with political direction, reached through intervention or as a result of some other form of influence'

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0231. From a military perspective, a comprehensive approach is founded on not only a shared situational understanding, but also recognition that sometimes non-military actors may support the military and conversely on other occasions the military's role will be supporting those actors. Recent NATO operations suggest that these elements are inter-dependent. A military plan is most likely to succeed (in making a significant contribution to the desired outcome) when it is nested within a comprehensive response, itself based upon a shared understanding of the problem and a universal commitment to resolve it. Unity of command may be elusive and, realistically, only unity of purpose can be achieved. In this case only through negotiation will commanders and other actors be able to confirm responsibilities, resolve differences, facilitate coordination and create unity of effort across a diverse multi-agency 'coalition'. Having terms or reference, memorandums of understanding or agreements at a high level provides some framework for coordination. Implementing the comprehensive approach requires sensitivity, rapport, respect, trust, patience and tact, as well as determination to collaborate in all actors, military and civilian, at all levels.

0232. The role of military force in achieving the desired outcome must be very carefully considered, and must be understood by those directing the strategy (see Chapter 3). If the successful use of force leads directly to the achievement of the desired outcome, then it can be said to be decisive. But if the military contribution simply enables, or supports, the achievement of the desired outcome by others, then it is not decisive. In the case of the latter, the importance of including from the outset those elements – diplomatic, civil, and economic – that are to be enabled by military success must not be underestimated. Failure to do so will at best lose the strategic initiative; at worst, it will result in strategic failure. This is the basic premise of a comprehensive approach, which NATO applies to its operations.

Cooperation, Confrontation and Conflict

0233. Even before conflict arises, demonstrable military capability and measured power projection will contribute to deterrence (to dissuade would-be aggressors from acting against the interests of any Alliance member). Faced with either an imminent crisis or a more gradual deterioration in relations within or between states, NATO forces may be required to prevent further deterioration in security towards armed conflict. Deterrence may be supplemented or replaced by more assertive coercion and conflict prevention activities, such as focused military intervention. During periods of cooperation and confrontation, the focus is likely to be on deterrence and coercion; once conflict develops however, emphasis shifts to compellence by the application of force.

0234. In broad terms the *striking* of an opponent, to remove his means and motivation to undermine security, must be combined with a subsequent (or possibly concurrent or over-lapping) *stabilization* of the overall crisis situation. To be genuinely successful, the removal of any threat must be accompanied by some level of assurance of future security.

0235. Immediate post-conflict military activity seeks to re-establish and maintain security in order to enable stabilization. Stabilization is not an exclusively military endeavour; it requires a comprehensive response, with the military likely to be in a supporting role. NATO military

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forces are likely to focus on reducing the causes of conflict and instability, and enabling the other instruments of power to restore host-nation governance, capacity and authority (thereby ensuring that conditions do not again foment conflict). The achievement of these inter-related objectives of security and stability will demand the application of military effort to a variety of potentially concurrent activities.

0236. The transition from conflict to stability is especially complex. As with security, the restoration of stability tends to be a relative and subjective matter (how stable is stable enough?). From a military perspective, the important criterion is likely to be whether the permissiveness of the environment will enable the activity of other actors in materialising the other instruments of power (International Organizations (IOs), NGOs, indigenous authorities and others) to fulfil their stabilization roles.

Campaign Evolution

0237. Each and every campaign is likely to involve a different, and shifting, balance between major combat operations to remove threats, security operations to enable and support the process of stabilization, and enduring peace keeping. Boundaries between the outcomes sought over time (and hence the role of NATO forces) may be blurred; they may change suddenly and very obviously, or more gradually, even imperceptibly. As the emphasis afforded to these different activities and purposes varies over time, so the situation changes, and the NATO force must modify its posture and approach in order to deliver the weight of effort to each as appropriate.

0238. It is important that NATO commanders resist the temptation to prejudge or prematurely classify a crisis. Rather NATO commanders should continually review the balance between types of operation over the course of a campaign, in terms of principal *purpose(s)* and the associated *weight of military effort* committed. The relationship between the purpose(s) of operations, described over time, defines the character of the campaign. Progress is measured in degrees of improving security and stability (to re-establish, on an enduring and self-sustaining basis, cooperation within and between states). Whilst NATO Commanders will focus on the military role within a campaign it must be understood that progress is always inter-dependent with that of non-military actors as part of a comprehensive response. Campaign evolution is considered in more detail in AJP 3-00.

Defining Characteristics of Operations

0239. In practice, the resolution of complex crises demands a deep understanding of:

a. Actors (conventional and irregular opponents, and a range of friendly, neutral and/or belligerent actors).

b. Operating environment, both psychological and physical (Individual and group motivations, objectives and other purposes, physical terrain).

c. Military and other tasks (with varying supporting/supported relationships).

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Rather than discrete labelling of different types of operation, crises (and the military contribution to their resolution) can best be understood in terms of *who* is involved, *why* and *what* is happening. It then leads to an identification of *what*, *when* and *where* actions need to be taken. NATO commanders should therefore consider their situation carefully, and continuously monitor the framing of the problem and environment, to ensure that they establish and maintain an accurate understanding of the '*kind of war on which [NATO might be] embarking*'.[13]

0240. Military activity should be perceived to be, legitimate, proportional and appropriate in a broader sense. This is especially important during peace support operations PSO and other NA5CRO, where there is a perceived legitimacy of a mandate for action by NATO forces, and that perceived legitimacy is reinforced by the manner in which those exercising that mandate conduct themselves. The best measure of effectiveness of this perception can be gauged by the extent to which factions and local populations consent to, comply with or resist the authority of the NATO forces executing the mandate and the extent to which the expectations and aspirations of factions, local populations and others are managed or met by the NATO forces executing the mandate.

0241. The paragraphs that follow describe operational themes in terms of their underlying purpose, and associated military activity. That they appear in succession should not be interpreted as suggesting that they are sequential in practice.

Combat (Operations to Neutralise Major Threats)

0242. Major combat operations may still be required in the direct defence of NATO against a major aggressor. This would normally involve conventional force-on-force combat of varying scale, frequency and intensity between opposing states' armed forces (that is to say, warfighting) where the armed forces of a state act principally to implement that state's national policy. States armed forces may also use irregular activities in order to support their conventional forces military objectives. Major combat operations may be further exacerbated, perpetuated, or exploited by irregular activists seeking to benefit from instability, whether through insurgency, terrorism, criminality or disorder.

0243. Major combat tends to be characterised by a series of battles and major engagements, and therefore tends to be characterised by intense combat activity and logistic consumption. Particular emphasis is placed upon maintaining freedom of action and denying that freedom to an enemy. The tempo of activities is usually high, with a need to prioritise resources and generate additional fighting power. Major combat operations more often than not involve large-scale manoeuvre by complex and multi-faceted joint forces, organised and commanded as functional components.

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[13] '*The first, the supreme, the most far-reaching act of judgement that the statesman and commander have to make is to establish....the kind of war on which they are embarking*' (Clausewitz, Carl Von, '*On War*' edited and translated by Michael Howard and Peter Paret, page 7 (Princeton, NJ: Princeton University Press, 1976).

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Security (Operations to Enable Stabilization)

0244. The transition from combat operations to multi-agency stabilization operations (to re-establish security, stability and prosperity (underpinned by the rule of law)) is hugely important. It is likely to be characterised not by the achievement of specific end-states (such as absolute victory) but by incremental conditions-based outcomes (albeit they may reflect political direction to achieve particular goals according to a rough timetable). The mix of actors, and their respective motivations, will be highly dynamic. Conventional opponents, even once defeated, may re-appear or be reinforced by irregular activists; the threat they pose may need to be countered at the same time that legitimate indigenous governance and authority are being re-established. Pursuing the gradual transition towards stability, NATO commanders are likely to support the activities of other actors in protecting, strengthening and restoring civil society, governance, rule of law and the economy.

0245. The long-term goal should be to resolve the underlying tensions that led to the inception or resurgence of conflict, and to create the conditions for successful longer-term development. The immediate contribution by NATO military forces, however, is likely to be to re-establish and maintain (sufficient) security for the local populace and civilian agencies to enable the stabilization process to advance. This will involve preventing or containing violence, and protecting people and key institutions. There will then be a need to promote those (largely political) processes which lead to lasting stability, through the development of indigenous capacity, rule of law and a robust civil society. The level of military activity required depends upon the context of the campaign and the ability of the other instruments of power and non-governmental organisations to operate with appropriate protection, despite perceived security risks.

Peace Support Operations

0246. Peacekeeping follows an agreement or ceasefire that has established a permissive environment where the level of consent and compliance is high, and the threat of disruption is low. The purpose is to sustain a situation that has already met the steady-state criteria established by international mandate; the use of force by peacekeepers is normally limited to self-defence. Typical peacekeeping activities include interposition and protection, the interim management of selected civilian administration, and humanitarian assistance.

0247. Peace enforcement is also predicated on the existence of a cease-fire or peace agreement, but the level of consent or compliance is uncertain, and the threat of disruption is considered to be high. Consequently, NATO military forces contributing to peace enforcement should be capable of applying credible coercive force, impartially, to ally the provisions of the peace agreement.

Other Activities

0248. In addition, NATO forces are likely to be required to support a broad range of activities:

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a. **Security Sector Reform**. Security Sector Reform (SSR) involves reforming security institutions so that, under the control of a legitimate authority, they can play an effective and accountable role in providing internal and external security. SSR can apply to any security institution, including police and militias, and may be preceded by Disarmament, Demobilisation and Reintegration (DDR). It encompasses: host nation defence ministry reform; training and development; education; and support for the enhancement of judicial and law enforcement institutions.

b. **Capacity Building**. Capacity building involves the enhancement of national and regional institutions in order to reinforce their credibility among, and authority over, an indigenous population. The aim is to cultivate sufficient authority within local, regional and national institutions that their governance becomes self-sustaining.

c. **Interim Governance**. Long-term governance must be indigenous. Where instability develops in ungoverned space, or an existing government has insufficient authority, then an intervention force may be needed to underpin some form of interim governance. The key will be to build authority, restore order, encourage respect for due political process, and then hand over to the indigenous authority as soon as possible. The precise form and function of governance institutions and the extent of any military contribution will be determined at NATO's strategic level (the North Atlantic Council (NAC)). In a comprehensive approach, SACEUR (as the military-strategic commander) will provide his operational level commander with direction on interim governance (including relevant objectives and the military contribution to them), agreed by the NAC, and where necessary by other relevant international institutions (e.g. the UN).

d. **Restoration of Essential Services**. In the immediate aftermath of a conflict, catastrophic incident or natural disaster when appropriate civil agencies may be unable to act quickly or operate with sufficient safety, the reconstitution of critical infrastructure and the restoration of essential services may fall to the military; within the means available. The aim is likely to be two-fold: to provide support to those in need, and to cement the support of the civil population. Services deemed essential will depend on the situation and the needs of the people. They may include the protection and/or restoration of medical care, the re-establishment of transportation systems, and the provision of potable water, electrical power and other utilities. As the security situation becomes more benign, non-military organisations (including indigenous ones) should (re-)assume responsibility for reconstruction, drawing upon international funding where appropriate.

e. **Military Outreach (MO)**. Interaction with other international actors will provide NATO the opportunity to shape and influence ideas and values. MO builds host nation strategic options, builds trust and understanding and can prevent or support failing states. It can be delivered rapidly through contact and exercises with partners of choice.

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ANNEX 2A – THE NORTH ATLANTIC TREATY

The North Atlantic Treaty

Washington D.C. USA - 4 April 1949

The Parties to this Treaty reaffirm their faith in the purposes and principles of the Charter of the United Nations and their desire to live in peace with all peoples and all governments.
They are determined to safeguard the freedom, common heritage and civilisation of their peoples, founded on the principles of democracy, individual liberty and the rule of law. They seek to promote stability and well-being in the North Atlantic area.
They are resolved to unite their efforts for collective defence and for the preservation of peace and security. They therefore agree to this North Atlantic Treaty:

Article 1

The Parties undertake, as set forth in the Charter of the United Nations, to settle any international dispute in which they may be involved by peaceful means in such a manner that international peace and security and justice are not endangered, and to refrain in their international relations from the threat or use of force in any manner inconsistent with the purposes of the United Nations.

Article 2

The Parties will contribute toward the further development of peaceful and friendly international relations by strengthening their free institutions, by bringing about a better understanding of the principles upon which these institutions are founded, and by promoting conditions of stability and well-being. They will seek to eliminate conflict in their international economic policies and will encourage economic collaboration between any or all of them.

Article 3

In order more effectively to achieve the objectives of this Treaty, the Parties, separately and jointly, by means of continuous and effective self-help and mutual aid, will maintain and develop their individual and collective capacity to resist armed attack.

Article 4

The Parties will consult together whenever, in the opinion of any of them, the territorial integrity, political independence or security of any of the Parties is threatened.

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Article 5

The Parties agree that an armed attack against one or more of them in Europe or North America shall be considered an attack against them all and consequently they agree that, if such an armed attack occurs, each of them, in exercise of the right of individual or collective self-defence recognised by Article 51 of the Charter of the United Nations, will assist the Party or Parties so attacked by taking forthwith, individually and in concert with the other Parties, such action as it deems necessary, including the use of armed force, to restore and maintain the security of the North Atlantic area. Any such armed attack and all measures taken as a result thereof shall immediately be reported to the Security Council. Such measures shall be terminated when the Security Council has taken the measures necessary to restore and maintain international peace and security.

Article 6[1]

For the purpose of Article 5, an armed attack on one or more of the Parties is deemed to include an armed attack:

- on the territory of any of the Parties in Europe or North America, on the Algerian Departments of France,[2] on the territory of or on the Islands under the jurisdiction of any of the Parties in the North Atlantic area north of the Tropic of Cancer.

- on the forces, vessels, or aircraft of any of the Parties, when in or over these territories or any other area in Europe in which occupation forces of any of the Parties were stationed on the date when the Treaty entered into force or the Mediterranean Sea or the North Atlantic area north of the Tropic of Cancer.

Article 7

This Treaty does not affect, and shall not be interpreted as affecting in any way the rights and obligations under the Charter of the Parties which are members of the United Nations, or the primary responsibility of the Security Council for the maintenance of international peace and security.

Article 8

Each Party declares that none of the international engagements now in force between it and any other of the Parties or any third State is in conflict with the provisions of this Treaty, and undertakes not to enter into any international engagement in conflict with this Treaty.

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[1] The definition of the territories to which Article 5 applies was revised by Article 2 of the Protocol to the North Atlantic Treaty on the accession of Greece and Turkey signed on 22 October 1951 (www.nato.int/docu/basictxt/bt-a1.htm).

[2] On January 16, 1963, the North Atlantic Council noted that insofar as the former Algerian Departments of France were concerned, the relevant clauses of this Treaty had become inapplicable as from 3 July 1962.

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Article 9

The Parties hereby establish a Council, on which each of them shall be represented, to consider matters concerning the implementation of this Treaty. The Council shall be so organised as to be able to meet promptly at any time. The Council shall set up such subsidiary bodies as may be necessary; in particular it shall establish immediately a defence committee which shall recommend measures for the implementation of Articles 3 and 5.

Article 10

The Parties may, by unanimous agreement, invite any other European State in a position to further the principles of this Treaty and to contribute to the security of the North Atlantic area to accede to this Treaty. Any State so invited may become a Party to the Treaty by depositing its instrument of accession with the Government of the United States of America. The Government of the United States of America will inform each of the Parties of the deposit of each such instrument of accession.

Article 11

This Treaty shall be ratified and its provisions carried out by the Parties in accordance with their respective constitutional processes. The instruments of ratification shall be deposited as soon as possible with the Government of the United States of America, which will notify all the other signatories of each deposit. The Treaty shall enter into force between the States which have ratified it as soon as the ratifications of the majority of the signatories, including the ratifications of Belgium, Canada, France, Luxembourg, the Netherlands, the United Kingdom and the United States, have been deposited and shall come into effect with respect to other States on the date of the deposit of their ratifications.[3]

Article 12

After the Treaty has been in force for ten years, or at any time thereafter, the Parties shall, if any of them so requests, consult together for the purpose of reviewing the Treaty, having regard for the factors then affecting peace and security in the North Atlantic area, including the development of universal as well as regional arrangements under the Charter of the United Nations for the maintenance of international peace and security.

Article 13

After the Treaty has been in force for twenty years, any Party may cease to be a Party one year after its notice of denunciation has been given to the Government of the United States of America, which will inform the Governments of the other Parties of the deposit of each notice of denunciation.

[3] The Treaty came into force on 24 August 1949, after the deposition of the ratifications of all signatory states.

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Article 14

This Treaty, of which the English and French texts are equally authentic, shall be deposited in the archives of the Government of the United States of America. Duly certified copies will be transmitted by that Government to the Governments of other signatories.

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CHAPTER 3 – ALLIANCE STRUCTURE AND MILITARY FORCES

Section I – Alliance Permanent Structure

0301. One of the keys to the Alliance's durability is the solidarity guaranteed by a consensual decision-making process which demands unanimity. This often necessitates protracted consultation and discussion[1] before an important decision can be taken. This process, whilst it can appear cumbersome, has two major advantages in application: firstly, the sovereignty and independence of each member nation is respected; secondly, when a decision has been made, it has the full backing of all member countries and their commitment to implement it.

Delegations, Councils, Committees and Staffs

0302. The principal forums for Alliance consultation and decision-making are supported by a committee structure which ensures that each member country is represented at every level in all fields of NATO activity in which it participates. All NATO committees take decisions or formulate recommendations to higher authorities on the basis of exchanges of information and consultation leading to consensus. There is no voting or decision by majority.

0303. **North Atlantic Council**. The NAC has effective political authority and powers of decision, and consists of permanent representatives of all member countries meeting together at least once a week. The Council also meets at higher levels (involving foreign ministers, defence ministers or heads of state); regardless of the level at which it meets, it has the same authority and powers of decision-making. The Council is the only body within the Alliance which derives its authority explicitly from the North Atlantic Treaty. Normally, the NAC meets to discuss issues of common concern or issues requiring collective decisions but there are no restrictions on subjects that the Council may discuss. The NAC provides a forum for wide ranging consultation between member governments. All member countries of NATO have an equal right to express their views and retain complete sovereignty and responsibility for their own decisions. Decisions are the expression of the collective will of member governments based on unanimity.

0304. **NATO Secretary General**. NATO is headed by a Secretary General who is appointed for approximately four years. A senior international statesman from one of the member countries, the Secretary General chairs meetings of the North Atlantic Council (NAC) and other important NATO bodies and helps to build consensus among the member nations. In managing the day-to-day activities of the Alliance, the Secretary General is supported by an international staff of experts and officials from all NATO countries.

0305. **National Delegations**. To facilitate consultation, each member country is represented by a permanent delegation at NATO's political headquarters in Brussels. Each delegation consists

[1] Unanimity demands a positive 'Yes' from all member nations; simple consensus is insufficient and an abstention inappropriate. Decisions are regularly made under 'Silence Procedure'. Any nation breaking silence procedure will hold up a unanimous decision. If changes are made to the issue, then the issue must be re-submitted to the procedure anew.

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of a Permanent Representative with Ambassador rank at its head, and a Military Representative. Each of them is supported by a staff of civilian and military advisers, who represent their countries on different NATO committees.

0306. **Subsidiary Bodies**. The NAC was given responsibility under the Treaty for setting up subsidiary bodies. Many committees and planning groups have since been created to support the work of the Council, the key ones being:

a. The **Nuclear Planning Group (NPG)**, chaired by the Secretary-General, is the principal authority on Alliance nuclear policy.

b. The **Military Committee (MC)**, whilst subordinate to the NAC, the DPC and the NPG, is the senior military authority in the Alliance. Its principal role is to provide direction and advice on military policy and strategy. It is composed of member states' Chiefs of Defence, who are represented by senior military officers who serve as national Military Representatives to NATO and as members of the MC in permanent session, under the leadership of an elected Chairman. The MC is an integral part of the policy and decision-making process of the Alliance. It provides the essential link between the political decision-making process and the integrated command structures of NATO.[2] During periods of crises, the MC advises the NAC and DPC of the military situation, and makes recommendations on the use of military force, the implementation of contingency plans and the development of appropriate rules of engagement. Furthermore, in the framework of the Euro-Atlantic Partnership Council (EAPC) and Partnership for Peace (PfP), the MC meets regularly with EAPC/PfP partner countries to deal with military cooperation issues. There are similar meetings with Russia and with Ukraine, the Mediterranean Dialogue countries and the European Union (EU).The MC is supported by the **International Military Staff (IMS)**.

c. The **Senior Political Committee (SPC)** is the senior advisory body of the NAC on political and specific politico-military questions.

d. The **Defence Policy and Planning Committee (DPPC)** is the senior advisory body to the NAC on defence matters concerning the member countries.

0307. **Support to Councils and Committees**. There are three key bodies which act as executive agencies for the range of Alliance councils and committees:

a. **The International Staff (IS)**. The IS provides political guidance for the implementation of policy areas. They also provide advice, guidance and administrative support to the national delegations at NATO Headquarters.

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[2] These structures, because they tend to change fairly frequently, are outlined in Annex 3A.

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b. **The International Military Staff (IMS)**. The IMS is headed by the Director General of the International Military Staff (DGIMS), a three-star general or flag officer, selected by the MC. Under his direction, the IMS prepares assessments, studies and reports that form the basis of discussion and decisions in the MC. It is also responsible for planning, assessing and recommending policy on military matters for consideration by the MC, and ensuring that the policies and decisions of the Committee are implemented as directed. The IMS retains close links with the civilian IS.

c. **NATO Situation Centre**. The NATO Situation Centre assists the NAC, the DPC and the MC in fulfilling their respective functions in the field of consultation. It serves as a focal point within the Alliance for the receipt, exchange and dissemination of diplomatic, military and economic information, with a key role in crisis management.

0308. **NATO Command and Force Structure**. NATO's command and force structures are explained in Annex 3A.

Section II – Role of Alliance Forces

0309. The primary role of Alliance military forces is to promote peace and to guarantee the territorial integrity, political independence and security of member states. Alliance forces should therefore be configured to deter and if necessary defeat adversaries, either to defend or restore the territorial integrity of Alliance nations or to enable security and stabilization operations.

0310. To maintain the security and stability of the Euro-Atlantic area, an important aim of the Alliance and its forces is to keep risks at a distance by dealing with potential crises at an early stage. In the event of crises that jeopardize Euro-Atlantic stability or could affect the security of Alliance members, the Alliance's military forces may be called upon to conduct operations outside the NATO area which may require an expeditionary capability. They may also be called upon to contribute to the preservation of international peace and security by conducting operations in support of other international organizations (such as the UN), complementing and reinforcing political actions within a broad approach to security.

0311. In contributing to the management of crises through military operations, the Alliance's forces will have to deal with a complex and diverse range of actors, risks, situations and demands. In a comprehensive approach, actors will include international organizations, non-governmental organizations (NGOs) and multinational government agencies. Cooperation and coordination between the Alliance and international organizations within a framework of the comprehensive approach must occur in all phases of operations in accordance with agreed NATO decisions and procedures. Robust force structures to meet the full range of contingencies, at appropriate readiness, are essential in providing efficient military contributions. The Alliance should also be prepared to support operations under the strategic direction of other organisations such as the UN.

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0312. Alliance military forces also promote stability during peacetime, through Military Outreach (MO) by providing military-to-military contacts and cooperation activities to the PfP, and to deepen NATO's relationships with the Mediterranean Dialogue countries and Middle Eastern countries through the Istanbul Cooperation Initiative. Contributions might include participation in confidence-building activities, including those that enhance transparency and improve communication, as well as in verification of arms control agreements and in humanitarian de-mining. Key areas of consultation and cooperation could include *inter alia*: training and exercises, interoperability, civil-military relations, concept and doctrine development, defence planning, crisis management, proliferation issues, armaments cooperation as well as participation in operational planning and operations.

0313. The Berlin-Plus arrangement allows the EU to call on NATO resources. In some circumstances, following appropriate political decisions, SACEUR may provide an operational headquarters capability for EU-led operations from within SHAPE based on the NATO-EU framework agreement.

Interoperability

0314. The effectiveness of Allied forces in peace, crisis or in conflict, depends on the ability of the forces provided to operate together coherently, effectively and efficiently. Allied joint operations should be prepared for, planned and conducted in a manner that makes the best use of the relative strengths and capabilities of the forces which members offer for an operation. Interoperability of formations and units of a joint and multinational unit has three dimensions, technical (e.g., hardware, systems,) procedural (e.g. doctrines, procedures) and human (e.g. language, terminology, and training). Forces commit to information sharing through the lessons learned process, in particular about interoperability shortfalls.. At the operational level, emphasis should be placed on the integration of the contributing nations' forces and the synergy that can be attained; the success of the process will determine the ability of a joint force to achieve its commander's objectives.

0315. In contemporary operations it is possible that NATO forces may operate alongside non-NATO nations military forces, possible even within a NATO command structure. Non-NATO states can add political authority and legitimacy to an operation as well as providing additional force elements. The benefit of the participation of non-NATO forces will often outweigh any issues with interoperability.

Command Organizations

0316. The NATO military structure allows for 3 command models. Each model offers a C2 option that may be appropriate to specific operations:

a. **Fully Integrated**. This model integrates forces on the basis of 'proportional shares'. This may result in a bi- or multi-national construct for operational and component level headquarters. The working language and procedures are agreed by the contributing nations. Commanders of such multinational formations are usually appointed on a rotational basis.

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b. **Lead Nation**. This model sees one nation assume responsibility for the planning and execution of an operation. The commander, staff, C2 capability, information and communications capacity, doctrine and logistic[3] coordination of the force is provided by one nation (the lead nation). Other nations can assign contributions to this force, and fill staff positions within the Lead Nation headquarters.

c. **Framework Nation**. This model sees one nation provide the C2 framework. The key elements of the staff and the headquarters support come from the framework nation. The working language and procedures however are based on Alliance standards.

0317. **Methods of Control of Forces**. Commanders are able to command and control resources more effectively with assistance from Joint staffs. Specialist or liaison/staff officers, as well as the commanders of subordinate, supporting or higher elements may provide military advice. Political-military advice may also be provided by the respective national contingent commanders appropriate to their force contribution or contingent capabilities. There are 2 models commonly employed in NATO operations:

a. **Component Method**. For most Allied Joint operations, force elements provided by nations would be grouped under component commanders subordinate to the Joint Force Command[4] who would exercise authority over these elements through Component Commands.

b. **Direct Method**. For small-scale operations, a JFC may exercise command authority directly. When he does so, he should be provided with an appropriate multinational joint staff.

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[3] According to AJP-4, a Lead Nation model's logistic support might be separately carried out by a nation without being responsible for the total planning and execution of an operation.

[4] Throughout this publication Joint Force Commander (JFC) is used when referring to the operational-level commander of a joint force, regardless of how it has been constructed. The commander himself may also be the commander of a Joint Force Command, depending on the situation. To avoid confusion, the term 'Joint Force Command', unabbreviated, is used when referring to the 3 joint commands Lisbon, Brunssum and Naples.

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ANNEX 3A – NATO COMMAND AND FORCE STRUCTURE

NATO Command Structure

3A1. The NATO Command Structure (NCS)[1] is centred on two strategic commands (SCs). One of these SCs, Allied Command Operations (ACO), has a number of subordinate operational level and component headquarters located across a number of different NATO member countries.

3A2. **Strategic Commands**. NATO's Strategic Commands are:

a. **Allied Command Operations**. ACO is commanded by the Supreme Allied Commander Europe (SACEUR)[2] whose headquarters, Supreme Headquarters Allied Powers Europe (SHAPE),[3] is based near Mons, Belgium. ACO's core task is to assess risks and threats, conduct military planning and identify and request the forces needed to undertake the full range of Alliance missions as and when agreed upon by the North Atlantic Council (NAC). In accordance with MC 53/3, its Key responsibilities include:

(1) Ensuring that the NATO Force Structure (NFS) (see below) is provided with effective combined or joint military headquarters.

(2) Contributing to stability throughout the Euro-Atlantic area by participating in military-to-military cooperation with Partnership for Peace (PfP) nations, and with Russia, Ukraine and Mediterranean Dialogue, Istanbul Cooperation Initiative (ICI) countries and Contact Countries (CC).

(3) Conducting strategic level analysis to identify capability shortfalls and assign priorities and where appropriate resources to them.

(4) Managing the resources allocated by NATO for operations and exercises, and accomplishing the missions and tasks assigned by the NAC.

(5) In conjunction with Allied Command Transformation (ACT), develop and conduct training programmes and exercises in combined and joint procedures for the military headquarters and forces of NATO and partner countries.

(6) Providing direction and coordination through NATO Special Operations Headquarters (NSHQ) for all NATO Special Operations-related activities in order to optimize employment of Special Operations Forces, to include

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[1] MC 324/2, *The NATO Military Command Structure*.
[2] SACEUR is dual-hatted as the Commander of US European Command (EUCOM).
[3] This historic acronym Supreme Headquarters Allied Powers Europe (SHAPE) continues to be used despite recent changes to the NATO military command structure.

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providing an operational command capability when directed by SACEUR. NSHQ is positioning within the Allied Command Operations (ACO) structure.

b. **Allied Command Transformation**. Allied Command Transformation (ACT) is commanded by the Supreme Allied Commander Transformation (SACT)[4] whose headquarters, HQ SACT, is based in Norfolk, Virginia, USA, although it has a 'footprint' in Europe.[5] ACT's core task is to lead the transformation of NATO's military structures, forces, capabilities and doctrine in order to improve the military effectiveness of the Alliance. Its key responsibilities, in accordance with MC 58/3, include:

(1) **Defence Planning**. Conducting operational analysis at the strategic level, in cooperation with ACO, in order to identify and prioritise the type and extent of future capability and interoperability requirements.

(2) **Joint Combined Concepts and Doctrine**. Leading, at the SC level, the development of NATO Joint and Combined concepts, policy, and doctrine.

(3) **Communications and Information Systems**. At the SC level, leading the development of future CIS strategy, concepts, capabilities and architecture.

(4) **Training, Exercises, Evaluation and Experimentation**. Leading education, individual training and associated policy in NATO. Conducting experiments and supporting the research and acquisition processes. Supporting SACEUR in the education and training of functional commands and staff elements.

(5) **Scientific Research & Development**. At SC level, leading in the area of scientific research and development, acting as the clearinghouse for candidate solutions to meet critical, joint and combined requirements.

(6) **Military Outreach**. Along with SACEUR, providing the direction, control and co-ordination of military cooperation activities across the Alliance.

3A3. **NATO Command Structure**. The NATO Command Structure (NCS)[6] functions at three levels: strategic, operational and component.

a. At the strategic level, Allied Joint Forces are employed within a political-military framework endorsed by the MC and approved by the NAC. Overall command of any operation at the strategic level is assumed by SACEUR.

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[4] From 09/09/2009 SACT is a French General/Flag Officer.
[5] This includes: a staff cell in HQ ACO; the SACT Representative Europe (STRE); the Joint Warfare Centre in Stavanger, Norway; the Joint Force Training Centre in Bydgoszcz, Poland; the Joint Analysis and Lessons Learned Centre in Monsanto, Portugal; and the Undersea Research Centre in La Spezia, Italy.
[6] As outlined in MC 342/2, '*The NATO Military Command Structure*'.

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b. At the operational level, the planning and conduct of operations, based on the strategic military guidance received, is in the hands of the designated operational commander who exercises his responsibilities through a joint permanent or deployable headquarters.

c. At the component command level, one or more component command headquarters provide service-specific expertise for JFCs, as well as advice on joint operational level planning and execution.

3A4. Details on the three NATO operational-level commands and the subordinate component commands can be found in AJP-3(A)

NATO Force Structure

3A5. In general, NATO does not have independent military forces, other than those contributed by the member countries to military operations. There are exceptions, most significantly the NATO Airborne Early Warning and Control capability.

3A6. This dependence on Alliance members for forces means that, when the NAC decides to launch an operation, forces have to be made available from member countries through a force generation process. This may include forces from outside NATO, such as PfP and Mediterranean Dialogue countries. Once these forces have completed their mission, they are returned to their national military structures.

3A7. The NATO Force Structure (NFS)[7] is therefore composed of allied, national and multinational forces, together with the affiliated headquarters, which are placed at the Alliance's disposal on a permanent or temporary basis under specified readiness criteria. National contributions are made available to the Alliance under both the agreed mechanisms for the Transfer of Authority[8] and by coordination and cooperation agreements, supplemented by common assets for specific capabilities and scenarios. Whilst the NATO Command Structure is primarily intended to enable C2 of the Alliance's joint operations, the NFS will provide additional C2 capabilities at the single environment level.

3A8. **Types of Force – NATO Force Structure**. The NFS comprises In-Place Forces (IPF) and a pool of Deployable Forces (DF). Both elements are held at graduated readiness levels in order to afford a high degree of flexibility in meeting any requirement to conduct and sustain operations.

a. **In-Place Forces**. IPF are predominantly required for collective defence within or near the territory of the nation providing them. Therefore, whilst those headquarters/forces need not be fully deployable, they are held at appropriate readiness levels. Their High-Readiness Force portion provides the initial response to

[7] For more information see MC 317/1, '*The NATO Force Structure*'.
[8] See MC133/3 Annex C paragraph 11.

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emerging threats to Alliance territory. Based on their tactical mobility they may also contribute to other missions in their vicinity. They are primarily sourced by individual nations.

b. **Deployable Forces**. DF are available for the full range of NATO missions, fully deployable throughout Alliance territory and beyond, composed of headquarters and forces – held at the appropriate readiness level. They are organized into a pool of national and headquarters/forces and provide the capability for rapid reaction and reinforcement of IPF in case of any collective defence operation as well as for rapid reaction and headquarters/force rotation for other missions.

3A9. **Readiness Levels – NATO Force Structure**. In order to have forces available to meet the full range of Alliance missions, within the Level of Ambition set by the NAC, the NFS (which consists of both DF and IPF) is divided across discrete readiness levels.

a. **Graduated Readiness Forces (GRF)**. This readiness level is further divided into:

(1) **High Readiness Forces (HRF)**. HRF are a pool of land, air and maritime forces, capable of responding rapidly to the full range of Alliance missions, including a short-notice attack on any ally.

(2) **Forces of Lower Readiness (FLR)**. FLR provide the bulk of the forces required for collective defence, for further reinforcement of a particular region, and for rotation of forces to sustain other operations.

b. **Long-Term Build-Up Forces (LTBF)**. LTBF provide the Alliance with an augmentation capability for the worst-case scenario of large-scale defence operations, thereby enabling the Alliance to build-up larger forces, both for limited requirements and in response to any fundamental change in the security environment.

3A10. **National Assignment of Forces**. In peacetime, the NFS is categorised against 6 Force Designation Categories (FDC).[9] This FDC indicates the declared availability, by member countries, of headquarters/forces to the NCS. FDC declaration is made in conjunction with the type of force (IPF/DF) and readiness level (HRF/FLR/LTBF). In summary:

a. **NATO Committed Forces** are national forces and capabilities, or national contributions to multinational forces/headquarters, which nations have placed under the command or control of a NATO commander or committed to NATO operations.

b. **NATO Affirmed Forces** are national forces and capabilities, or national contributions to multinational forces/headquarters, which nations have offered to NATO, subject to case-by-case political decisions, for future operational rotations.

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[9] SG(2006) 0244 Rev 1 *Force Declarations and Designations*.

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c. **Other Committed/Affirmed Forces** are national forces committed/affirmed to non-NATO operations.

d. **NATO Sustainable Forces** are national forces and capabilities, or national contributions to multinational forces/headquarters, which nations potentially have available for the full range of Alliance missions and which, subject to the appropriate political decisions, can be deployed and sustained for an extended period of time through national rotation. These units and headquarters should be adequately manned, structured, trained, equipped and supported, and sufficient financial resources planned to facilitate deployment, if necessary.

e. **NATO Deployable Forces** are all deployable national forces and capabilities, or national contributions to multinational forces/headquarters, adequately manned, structured, trained and equipped. They should be available for the full range of Alliance missions.

f. **Other Forces** are all those forces and capabilities in national inventories, which may be employed for military operations, subject to the appropriate political decisions.

3A11. NATO policy has identified 2 broad options for C2 arrangements for NATO operations:

a. A deployable Operational level of Command and Control is essential to assure that the NCS can conduct NA5CRO. Operational level command is normally exercised by a Joint Force Commander from a Joint HQ (JHQ), which can be split between a static non-deployable Main HQ and a deployable forward HQ provided by a Deployable Joint Staff Element (DJSE), through the use of Reach Back.

(1) Joint Headquarters Main (JHQ Main) may be required to command more than one concurrent operation.

(2) DJSE is an operational level HQ element designed to be in theatre as the deployed joint staff for an operational level commander either on an afloat command platform or ashore. When deployed, the DJSE provides the operational level commander the flexibility to either deploy into theatre or to command the operation from his static HQ. Each DJSE will consist of a Joint HQ Forward Element, a Joint Logistic Support Group HQ element, and a forward Support Element, forming a fully integrated, trained staff using Reach Back as a command and control tool to enhance efficiency and minimize the deployed footprint. There are four trained and integrated NCS DJSE's, two from each NATO Force Command HQ's (FC HQ).

(3) In the event that the DJSE capacity is inadequate to cope with the scale of an operation it will have to be augmented so that the Joint HQ Forward Element can provide a HQ scaled to accomplish the mission.

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b. The **NATO Response Force (NRF)** gives an operations commander the option to reduce his footprint in theatre by deploying a forward element of his headquarters – the deployed joint task force (DJTF). This forward element of his headquarters, the DJTF Headquarters, would bring a dedicated staff (not dual-hatted with rear-based issues) and cover the J1-J9 functional disciplines. The DJTF would fulfil those tasks set by COM JFC which require a physical presence in theatre. COM JFC would be directly subordinate to SACEUR. The NRF relies on the use of Reachback. Details can be found in AJP-3(A).

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CHAPTER 4 – THE STRATEGIC LEVEL

Section I – The Political-Military Interface

0401. **The Relevance of the Levels of Operations**. Defined levels of operations provide a useful framework for the planning and execution of operations, in particular as a tool for coordinating and orientating political/military activity. The key difference between military commanders at the strategic and operational levels is that the military strategic commander, SACEUR, is concerned with translating guidance from relevant political direction, thereby establishing strategic military objectives and, finally, generating, deploying and sustaining a military force able to achieve those objectives through military operations. This allows the operational level commander to focus on ordering the activities of his assigned forces in pursuit of the campaign plan.

Strategy

0402. **Grand or National Strategy**. A successful national strategy sets out a path using organic instruments of power to maintain political independence, achieve the long-term aims of the nation and/or protect its vital interests.

0403. **Comprehensive Approach**. The success of the Alliance's role in preserving peace and preventing war depends on deterrence, the effectiveness of preventive diplomacy and on the successful management of crises. The political, economic, social and environmental elements of security and stability are thus taking on increasing importance. NATO's Strategic Concept[1] describes how the assets of member nations must be coordinated and focused to achieve security goals using its diplomatic and military instruments of power. It also recognizes that coherence of economic components of strategy between member nations is key. The increasing frequency with which the Alliance's military response to a crisis is integrated into an overall strategic framework, a comprehensive approach (as described in Chapter 1) is key to achieving the desired outcome in any crisis or conflict.

The Military Component of Strategy

0404. **Military Strategy**. Military strategy is 'that component of national or multinational strategy, presenting the manner in which military power should be developed and applied to achieve national objectives or those of a group of nations'.[2] Documents setting out a military strategy must contain an explanation of how the military strategy is to be integrated with other non-military elements of the strategy, and how the achievement of military strategic objectives relates to the achievement of the strategic end-state.

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[1] C-M(99)21 '*The Alliance's Strategic Concept*'.
[2] AAP-6,'*NATO Glossary of Terms and Definitions*'.

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0405. **The Relationship between Political and Military Objectives**. Political objectives will shape the military contribution to the solution to a conflict and may specify military priorities.[3]

0406. **The Role of Military Force**. The role of military force in achieving the political objectives and end-state must be very carefully considered by those directing the multinational strategy, and be clearly understood by both the strategic and operational level commanders. The military will often be responsible for creating and maintaining the conditions needed by other agencies to achieve the strategic end-state; but it is extremely unlikely that this will be achievable by military activity alone. As part of a collective strategy it is vital to include those measures, be they diplomatic or economic, which will reinforce military success and thereby maintain the strategic initiative.

0407. **Ends, Ways and Means**. A winning military strategy hinges on the successful union of **Ends** (objectives), **Ways** (broad approaches) and **Means** (resources). Having decided on the strategic Ends and the role of military force in achieving them, the Means are allocated and the Ways they are to be used decided.

a. **Ends**. The identification of a clear and unambiguous objective is the core issue. However at the strategic level, identifying a clear and enduring objective is not always possible. It is also practically difficult in an Alliance founded on the principle of unanimity to reach agreement on a strategic end-state quickly. When strategic objectives are not clearly defined initial planning must be conducted against broad guidance and informed assumption. It is also important to remember that a strategic end-state may not coincide with a completed exit strategy. Another possible complication is that nations in support of the Alliance may enter after the conflict has started (once certain conditions have been met) or leave a conflict before the coalition ends have been achieved.

b. **Ways**. Given the objective and the resources, a plan is developed to make best use of the available Means, which should include guidance on the application of force in pursuit of the strategic objectives (for example Rules of Engagement). Planning should take into account the likelihood of changes to either Ends or Means, and contingencies prepared.

c. **Means**. The Means at a commander's disposal will be those forces or capabilities allocated to him following the force generation process and preparation of a Statement of Requirement (SOR),[4] although additional forces may be requested by a commander if he feels they are necessary. These Means should be employed in ways that are coherent with strategic objectives within the given political climate.

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[3] Political objectives are not necessarily military specific (although some may be). As such, the NATO (political) end-state, political objectives and the other guidance on specific military actions contained in the NAC Initiating Directive will all be used by the strategic commander when determining military strategic objectives.

[4] See AJP-3 *Allied Joint Doctrine for the Conduct of Operations* and AJP-4 *Allied Joint Doctrine for Logistics* for detail.

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Modern Politics and the Political/Military Interface

0408. Building and maintaining mutual trust and confidence between political decision-makers and military commanders is critical, especially in times of crisis or war. Both politics and war concern human interaction and it is important that military staffs provide intelligible and apolitical professional military advice, and receive, as far as possible, clear and unambiguous political direction in return. Open and honest communication is the key.

0409. Political leaders in previous centuries conducted business with a small staff that was capable of maintaining a firm grasp on the details of the issues at hand. Due to increasing complexity of modern legal, economic and ethical framework governments now require a large body of experts and consultants to support the political decision-makers within them. To know how to take such advice (on invariably complex issues), use it to make effective decisions and then persuade non-specialist leaders (as well as the general population and the international community) of the coherence of those decisions is a daunting challenge. The politician today operates under intense media attention in rapidly changing situations and must therefore remain agile. The effort required to maintain Alliance cohesion, maintain a steady course and satisfy the demands of public opinion creates significant tensions at the political level.

Section II - The NATO Crisis Response System

NATO's Approach to Crisis Management

0410. The Alliance's Strategic Concept[5] identifies crisis management as a fundamental security task under Article 7 of the North Atlantic Treaty. To this end, the Alliance has developed crisis management arrangements, military capabilities, and civil emergency planning procedures "for the maintenance of international peace and security".[6]

0411. An important part of NATO's crisis management ambitions is the contribution to efforts by the wider international community to preserve or restore peace and prevent conflict. In this context, NATO can offer to support peacekeeping and other operations on a case-by-case basis under the authority of the United Nations (UN) Security Council or the Organisation for Security and Co-operation in Europe (OSCE), including the committal of Alliance resources and expertise.

0412. In August 2001, the North Atlantic Council (NAC) approved policy guidelines[7] to develop a single, fully integrated NATO Crisis Response System (NCRS). The terrorist attacks on the United States in September 2001 brought new urgency to this task and established a direct link between NATO's crisis management framework and the principle of collective defence. In December 2002, the Council approved a Military Concept for Defence Against Terrorism.[8]

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[5] C-M(99)21.
[6] Article 7 of the North Atlantic Treaty – see Annex 1A.
[7] C-M(2001)63, *NATO Crisis Response System (NCRS): Policy Guidelines*.
[8] MC 472, *NATO Military Concept for Defence Against Terrorism*.

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The NAC also approved NATO Civil Emergency Planning (CEP) roles[9] in support of operational contingencies and in case of civil emergencies or disasters, including the management of consequences resulting from the use of chemical, biological, radiological or nuclear (CBRN) devices. The latest edition of the NCRS Manual was approved by the NAC in September 2009.

0413. The purpose of the NCRS is to provide for required preparedness and support for crisis and conflict prevention and crisis management across the range of Article 5 and non-Atricle 5 operations. The system improves the ability of the Alliance, and where appropriate non-NATO nations, to prepare for and respond top the full range of measures to enable the alliance to react in a timely, coordinated and discriminate manner.[10]

Components of the NATO Crisis Response System

0414. **The NATO Crisis Response System Manual**. The aim of the NATO Crisis Response System Manual (NCRSM) is to provide a compendium of the NCRS components and to describe, in detail, the procedures for their use in times of crisis. The NCRSM also serves as a basis for Alliance member states to develop parallel national systems, and as a foundation for supplements from NATO headquarters at the operational level of the NATO Command Structure. The NCRS consists of five complementary components:

a. **Preventive Options**. The Preventive Options are broad orientations or courses of action, for consideration by the senior NATO committees with designated crisis management responsibilities.[11]

b. **Crisis Response Measures**. Crisis Response Measures (CRMs) are detailed pre-planned actions available for immediate implementation at the appropriate levels.

c. **Counter Surprise**. Counter Surprise comprises those defensive military and civil actions that must be taken quickly to ensure safety of forces, populations and/or key installations, both military and civilian, in case of attack or imminent attack with limited warning.

d. **NATO Security Alert States**. Security Alert States are those counter-terrorist and counter-sabotage measures that may be adopted by NATO commands and member states to counter specific security threats.

e. **Counter Aggression**. Counter Aggression comprises actions intended for, but not exclusive to, Article 5 operations. It marks the transition from a condition of preparation or readiness to one of authorized employment of NATO military force

[9] PO(2000)30-REV2, *Role of Civil Emergency Planning in NATO*.
[10] MC 133/4 NATO's Operational Planning System (Draft 18 Dec 09).
[11] Political Committee (PC), Policy Coordination Group (PCG), Military Committee (MC), Senior Civil Emergency Planning Committee (SCEPC).

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against an adversary or adversaries who are conducting or actively supporting aggression against NATO territory and/or forces.

NATO's Crisis Management Process

0415. The NATO Crisis Management Process is primarily designed to allow the relevant staffs and NATO Committees to coordinate their work and to submit any advice to the NAC in a timely and coherent way to facilitate grand strategic decision making. It also allows SACEUR to undertake prudent preparatory planning activities in light of a developing or actual crisis and subsequently to provide strategic assessments and advice including operational planning.

0416. In an emerging crisis, NATO's crisis management process consists of the following phases that generally conforms with the cycle of a crisis:

a. **Phase 1**. Indications and Warning (I&W) of a potential or actual crisis.

b. **Phase 2**. Assessment of the developing, or reassessment of an ongoing crisis situation, and of its potential or actual implications for Alliance security.

c. **Phase 3**. Development of recommended response options to support NAC decision making throughout the crisis.

d. **Phase 4**. Planning.

e. **Phase 5**. Execution of Council decisions and directives.

f. **Phase 6**. Transition and Termination of NATO's Crisis Management Role.

Translating Strategic Intent into Actionable Objectives

0417. The political decision for NATO to intervene in a crisis is addressed through the NAC. The output of the NAC is broad agreement, between all member nations and often with international organisations such as the UN, as to what can realistically be achieved, by whom and in what timeframe. The NAC's aspirations are then translated into a firm intent, or NATO end-state. The product of this process is the NAC Initiating Directive.

0418. NATO's strategic objectives are achieved through NATO's political and military instruments. Military Strategic Objectives (MSOs) are derived (or extracted) from the strategic objectives; these MSOs are then 'owned' by SACEUR.

0419. National and NATO Military Authorities (NMAs) must ensure that an operational commander receives the resources and command authority required to achieve operational objectives. They should also ensure that he is allowed sufficient flexibility and freedom of action to flex operational planning to match changing circumstances within the JOA.

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0420. National and NMAs have a collective responsibility for the planning and execution of NATO's operations. NMA responsibilities include the precise definition and interpretation of political objectives in order to facilitate the development of military-strategic objectives, and to sustain operations. NMAs should also prepare contingency plans to cover possible changes in the political and military-strategic situation.

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CHAPTER 5 – CAMPAIGNING

Section I – Features of the Operational Level

0501. The operational level is 'the level of operations at which campaigns and major operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations'.[1] The operational level provides the vital link between strategic objectives and the tactical employment of forces. Without this link, it is unlikely that tactical actions will lead to the achievement of strategic end-state. So appropriate activities must be linked by the operational level to the aims of the overall strategy, but the strategy should also be linked through the operational level to what is tactically realistic. Of prime importance is for the operational level Commander to understand clearly how his activities mesh with other strategic lines of operation.

Levels of Operations

0502. The levels of operations are explained in Chapter 1. Of particular relevance, tactical level activity can have strategic and operational effect and consequence, and vice versa. Conversely, the pursuit of strategic objectives will not, in all cases, require the deployment of large and heavily equipped forces. Furthermore, not all military assets engaged within the Joint Operations Area (JOA) will necessarily be commanded or controlled by the Commander of a task force. Some assets, such as forces held in reserve for strategic attack and Special Operations Forces, may be controlled at the strategic level.

0503. The complexity of Command and Control (C2) increases during operations when there is a significant presence of non-military participants who are reluctant, even hostile, to accept a unified chain of command, particularly one with military leadership. What is certain is that the Commander of a joint force must remain aware of his position at the centre of a 3-dimensional web that extends upward to the strategic level, downward to the tactical level and laterally to a range of military and civilian groupings and organizations.

0504. Although there is a common agreement on the importance and relevance of the principles for joint and multinational[2] operations, they are not absolute and the operational situation may demand greater emphasis on some rather than others. For Commanders the principles are important guidelines in forming and selecting a course of action at the operational level and in the conduct of operations.

The Joint Approach to Operations

0505. NATO recognises that military success relies on a joint effort, usually with components and other force elements brought together under a unified command structure. Few modern operations are carried out, let alone won, by one component alone. The essential point is that

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[1] Modified AAP-6 definition.
[2] The term *combined* rather than *multinational* is often used in other NATO publications, for the purposes of this Chapter they can be regarded as synonymous.

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a successful joint campaign requires a holistic approach to maximise the overall operational effect of the joint force, making best use of the complete range of capabilities. It is not simply about separate operations in stovepipes organised under a single point of command.

0506. In the force generation process, the capabilities needed for the operation are selected for those components based on national capabilities and agreements to provide specific forces (for example commitments to the NATO Response Force). The contributions of the components and other force elements to joint operations, and the force generation process are described in detail in AJP-3 *Allied Joint Doctrine for the Conduct of Operations*.

Stages of a Joint Operation

0507. A joint operation normally consists of a number of stages some of which occur at the military strategic level (for example force generation). Typical stages at the operational level, which may overlap depending on the situation and mission, are:

a. Knowledge Development/Analysis (Framing the Problem and Environment).

b. Development of a campaign plan/Operation Plan (OPLAN).

c. Force preparation, including build-up, assembly and pre-mission training.

d. Build-up of logistic support, including host-nation support and transit of non-participating nations.

e. Deployment to the area where operations are to be conducted or the reinforcement of in-place forces.

f. Execution of operations.

g. Operation (Mission) termination and transition.

h. Re-deployment of forces.

i. Lessons learned and review doctrine.

0508. A Commander should have, within the constraints imposed by the initiating authority, the greatest possible freedom of action in the planning and execution of operations in a designated JOA.

Joint Functions

0509. Joint Functions need to be considered by the Commander in determining the capabilities required for a Joint Force. Although not exhaustive, the principal joint functions are listed below with a detailed description in AJP-3.

a. Manoeuvre and Fires

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b. Command and Control.

c. Intelligence.

d. Information Operations.[3]

e. Sustainability.

f. Force Protection.[4]

g. Civil Military Co-operation (CIMIC).[5, 6]

Multinational Cooperation

0510. Multinationality is the reality at the operational level because it reflects the political necessity of seeking international consensus and legitimacy for military action. NATO should always be prepared to operate with traditional members and partners, but should also be capable of operating with other, less familiar, forces in a coalition. Mutual confidence is essential when working in a multinational environment. This confidence stems from the following elements:

a. **Rapport**. Military personnel at all levels, but especially senior officers, should strive to achieve a sympathetic rapport with their multinational counterparts. The personal relationships amongst military leaders and personnel will influence every aspect of multinational cooperation.

b. **Respect and Trust**. Mutual trust in the professional ability, and respect for the culture, history, religion, customs and values, of participants will serve to strengthen relationships. Respect and trust cannot be assumed or quickly implemented; they must be developed over time.

c. **Knowledge of Partners**. In multinational operations, it is important to be as knowledgeable about friendly forces as about those of the adversary. Time taken to understand the doctrine, capabilities and aspirations of partners will pay dividends during joint operations.

d. **Patience**. Effective cooperation may take time to develop. Differences of opinion and perspective will require patience to resolve into a focused and unified approach.

0511. **Advantages of Multinational Cooperation**. Whilst the reasons may vary for establishing a commitment to a common military goal, the aim is usually to accomplish an objective that a

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[3] See AJP-3.10 *Allied Joint Doctrine for Information Operations*, for detail.
[4] See AJP-3.14 *Allied Joint Doctrine for Force Protection* for detail.
[5] See AJP-9, *NATO Civil-Military Co-operation (CIMIC) Doctrine*, for detail.
[6] *The coordination and cooperation, in support of the mission, between the NATO Commander and civil actors, including the national population and local authorities, as well as international, national and non-governmental organizations and agencies*. (AAP-6)

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nation could not achieve unilaterally, or to achieve through multinationality a more efficient result. Depending on the circumstance, there are differing degrees of national interest at stake and this will dictate the extent and nature of a nation's contribution to the multinational operation. Contributions should therefore be judged not only on the capability of the forces provided, but also by the full range of political and military benefits they bring to the multinational alliance or coalition operation. The advantages of multinational cooperation include sharing political risks, demonstrating economic, diplomatic, military or political support to other regions and influencing national and international opinion. The military advantages are that cooperation adds both depth (strength in numbers) and breadth (additional capabilities) to a force as well as providing, in certain circumstances, access to high value information and intelligence products. It enables an efficient use of logistic resources, and invariably enhances the perceived legitimacy of an operation.

0512. **Challenges of Multinational Cooperation**. However well a force is organized, multinationality poses a number of key challenges whose resolution is crucial to military effectiveness and thereby the success of the campaign. These include the formation of an effective command system, an intelligence system architecture that can draw and share data from a number of multinational and national sources, the existence of national caveats on employment that may affect the utility of force elements, and a logistic system that acknowledges national responsibilities for support but also caters for multinational needs. Multinational command may lead to slower response times than purely national command arrangements, and the speed of decision making may become adversely affected. Such detrimental effects can be minimized through the establishment of a shared situational awareness, adoption of common doctrine and procedures, and realistic training. Differences in force capabilities and operating procedures may impact on a multinational force's ability to operate effectively. Some of the challenges that may need to be addressed are:

a. **Shared Situational Understanding**. It is important to establish and maintain a common understanding of the operating environment and the problem that must be addressed in the operation to which NATO forces are assigned to. For longer duration campaigns, it is especially important for campaign continuity to maintain the understanding of the overall campaign design, including the underlying logic from which plans are developed, through rotations of key personnel (commanders and planning staff), headquarters or unit rotations.

b. **Mission Creep**. Mission creep is the adoption of additional tasks to a mission that may not conform to the original purpose. In such situations there is a danger of disconnection between strategic objectives and the realities in the JOA resulting in poorly defined, unrealistic or inappropriate missions. This is distinct from deliberate reframing of the problem as the commander's understanding of the environment or problem changes.

c. **Interoperability**. The complexity of an operation and of the force assigned to it will determine the appropriate level of interoperability. A lack of interoperability in the areas of doctrine, organization, training, materiel, leadership, personnel, and facilities is likely to have a negative effect on force cohesion and capability:

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d. **Force Protection**. Nations have differing Force Protection (FP) philosophies, policies, and priorities. Essentially the differences focus on the ultimate reason for FP: enabling the force to conduct its mission unimpeded by the actions of an adversary. In a multinational force these differences should be reconciled into an overall joint force protection[7] policy.

Factors and Considerations in Multinational Joint Operations

0513. Although factors and considerations in multinational joint operations vary with the nature of the operation, they will become evident in each operation and their identification will assist in its planning and execution.

0514. **Political Military Interface**. The MC, as the interface between the civil and military levels of NATO, provides military advice upward and converts policy and political guidance into military direction downwards. It is at this level that strategic political objectives are converted into supporting strategic military objectives, with a desired military end-state. In a purely NATO context these issues should be covered in the NAC Initiating Directive. It then becomes the head of mission or strategic commander's responsibility, with the assistance of all the major contributing agencies (including those of the host nation when appropriate) to develop the political/military plan for the operation. Military authorities should prepare Contingency Plans (CONPLANs) and Concepts of Operations (CONOPS) to cover possible changes in the political and military strategic situation. Military activity at the strategic and operational level will clearly be influenced, and ultimately directed, by political considerations including national caveats. Less obviously, military activity at all levels may adversely affect the local or international political situation. The need to consider the political dimension applies equally across the range of operations. With this in mind, a commander at the operational level may well require political advice, which could be provided either by a nominated adviser on the spot or by strategic guidance provided through the chain of command.

0515. **Civil-Military Interface**. In a comprehensive approach, joint forces will invariably conduct operations in cooperation with governmental and non-governmental agencies. Where the conditions for military success can be achieved without force, or the threat of force, the military commander's aims and methods should be harmonized with those of supporting civilian agencies as part of a collective strategy. In a large and complex operation involving major civilian elements and a civilian political head of mission, the military campaign plan or OPLAN will be just one of several functional plans. Complex crises tend to demand a wide range of political bodies and civilian agencies, typically including International Organizations (IOs) and non-Governmental Organizations (NGOs). The Alliance will need to coordinate its intended activities with the civilian agencies already working in the JOA. In a hostile environment or a high intensity conflict it may be impossible to achieve harmony between the civilian considerations of IO/NGOs and the requirements of the military mission. In these situations, CIMIC will still be a major consideration because of the need to obtain local resources and facilitate eventual transition to civilian government.

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[7] See AJP-3.14. *Allied Joint Doctrine for Force Protection* for details.

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0516. **Media**. Joint forces will deal with the media at all levels, and will need a supporting NATO Information Strategy.[8] Positive media coverage will play a key role in maintaining public support and the international endorsement, which in turn benefits the morale and cohesion of the joint force. It is critical to remember that adverse media reporting of joint force activities can have a detrimental impact on the overall NATO Information Strategy. The media have a powerful influence on public opinion within the international community, on an adversary and at home. A proactive well-managed approach to the media will therefore be an important consideration in multinational and joint operations. International news media interest will be intense during all phases of an operation. The number of press in the JOA will be dependent in part on accessibility, the degree of potential interest, the intensity of violence and on what is going on elsewhere in the world. This media presence requires a Media Information Centre (MIC) which is a properly established, resourced and empowered organization to manage, register, brief, transport, escort the media and monitor informal media activities such as on-line blogs. The information strategy and associated media access must not compromise operational security requirements.

0517. **Strategic Context**. The employment of the whole force through the conception, planning and execution of campaigns and operations is addressed at the operational level. Operational level activity must contribute directly towards achieving previously defined military strategic objectives, which are themselves drawn from the overarching political aims of the operation. Tactical activity cannot take place purposefully outside this context.

0518. **Freedom of Action**. The operational level commander will attempt to dictate the nature of operations, battles and engagements. To be successful, and to anticipate unforeseen situations or exploit emerging opportunities, he must be empowered with the freedom of action to deploy reserves, set priorities and allocate maritime, ground, air, special operations, space and support assets. However, the degree of freedom at the operational level will depend upon the nature of the conflict, the interaction of military and non-military lines of operation within the overall collective strategy and the decisions of NATO's, and contributing nations', strategic leadership. While recognising these constraints, the commander must convey a clear statement of intent, outlining his concept of operations and establishing the objectives to be achieved by subordinate commanders, thus enabling freedom of action at subordinate levels.

0519. **Application of Resources**. The resources a commander is given may be tangible, such as ships, land and air formations or support assets, or intangible, such as delegated authority over the time allocated to achieve the given objectives. Resources should be held at the level that ensures their most effective use. Diplomatic activity will be necessary to allow the commander to have the use of local resources such as services, facilities and materiel. Within the NATO area, these host nation arrangements have already been agreed. However, in deployed operations outside the NATO area expeditious negotiations will be required supported by timely NATO to government or bilateral agreements. The principle of concentration of force, together with its corollary economy of effort, is of particular importance at the operational level. As the commander is unlikely to have a surfeit of

[8] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.

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resources, the accurate identification of where he can be economical will be vital in order to permit concentration of resources to generate effect.

0520. **Legal Aspects**. The conduct of Allied military operations is governed by international law, and the domestic law of the participating nations. Within this framework NATO sets out the parameters within which its military forces can operate. Legal considerations play a key role in the decision making process and during the conduct of an operation. The perceived legitimacy of an operation and its conduct will also depend on its compliance with applicable law, including international law. It is essential that all participating nations have a clear understanding of the legal grounds for an operation and that these are also broadly understood at lower levels. This is particularly important at the operational level where campaigns are designed and directed. International law provides limitations and opportunities for operations as a whole as well as for individuals. These include neutrality, use of weapons, targeting, war crimes, self-defence, combatants and non-combatants,[9] immunity and environmental limitations.

0521. **Rules of Engagement**.[10] Military actions are controlled by Rules of Engagement (ROE), which are authorized by the NAC on approval of the OPLAN. Subsequent changes to the ROE profile for whatever reason will need to be proposed to higher command by the operational level commander for NAC approval. ROE define the degree and manner in which force may be applied and are designed to ensure that such application of force is carefully controlled. Conformity of any action within any ROE profile in force does not guarantee its lawfulness, and it remains the commander's responsibility to use only that force which is necessary and proportionate under the prevailing circumstances.

0522. **Environmental Protection**. Environmental protection is the application and integration of all aspects of environmental considerations as they apply to military operations. Factors that are considered include pollution prevention, waste management, conservation heritage protection (natural and man-made) and protection of flora and fauna.

Section II – Introduction to Campaigning

0523. A campaign is a: 'a set of military operations planned and conducted to achieve a strategic objective within a given time and geographical area, which normally involve maritime, land and air forces'.[11] It demands a way of thinking and specific processes that together enable the effective use of military capability, usually as part of a comprehensive response, to achieve favourable outcomes. It is underpinned by a number of guiding principles:

a. Take a long-term view about both the underlying causes and symptoms of conflict.

b. Focus on strategic and operational outcomes as well as the conditions required to realise them.

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[9] The terms combatant and non-combatant require the legal situation of an international armed conflict.
[10] See MC 362/1 '*NATO Rules of Engagement*' for detail.
[11] AAP-6.

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c. Plan and execute a campaign in concert with the other instruments of power where practicable.

d. Embrace collaborative engagement with those multiple agencies sharing the intent to improve the situation.

e. Consider the whole situation and recognise that it is complex, adaptive, non-linear, and to a certain extent unpredictable.

f. Conduct continuous analysis and assessment to deepen understanding of changing environments and to modify planning and execution.

Operational Art

0524. Operational Art is the orchestration of an operation, in concert with other agencies, to convert strategic objectives into tactical activity in order to achieve a desired outcome. Although developed in the context of force-on-force operations, the concept is equally applicable to contemporary operations in which crisis resolution does not necessarily hinge on military success. It embraces a commander's ability to take a complex and often unstructured problem and provide sufficient clarity and logic (some of which is intuitive) to enable detailed planning and practical orders. It is realised through a combination of a commander's skill and the staff-assisted processes of Operational Design and Operational Management, illustrated in Figure 5.1. This diagram also describes the Analyse-Plan-Execute-Assess cycle, and aligns it to the relevant AJPs.

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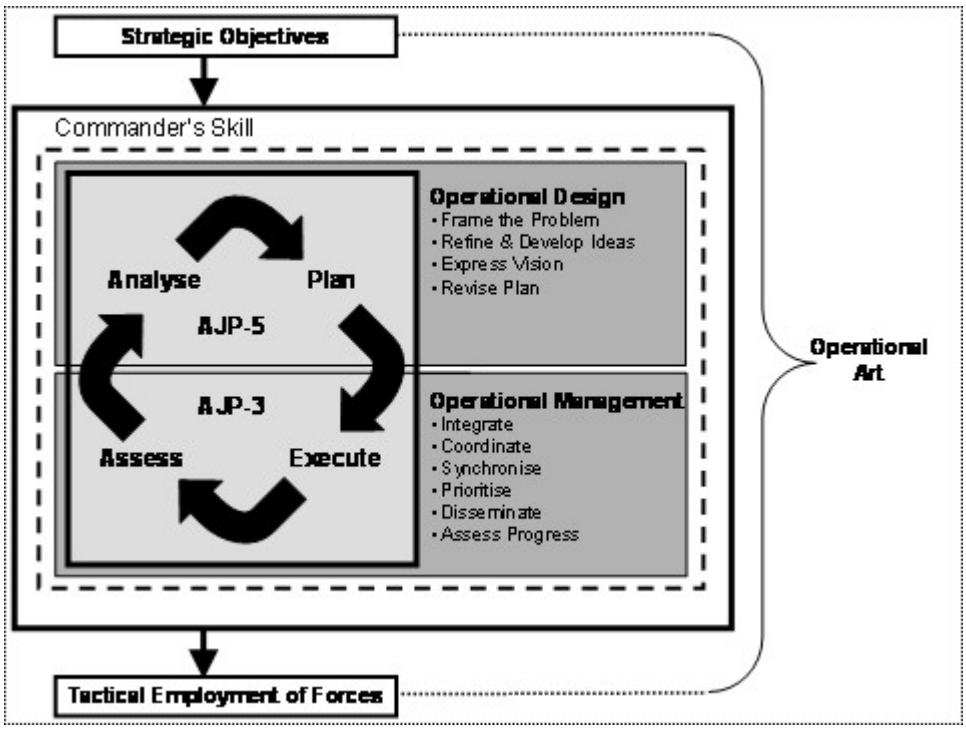

Figure 5.1 – The Relationship between Operational Art, Design and Management

0525. **Operational Design** frames the problem, and then develops and refines a commander's operational ideas – his vision of how he sees the campaign unfolding – to provide detailed and actionable plans. Operational design continues, often interrupted by changes in strategic guidance, throughout the duration of a campaign; it should not be deemed complete or immutable from the outset and never simply implemented as a given without adaptation in the face of changing circumstances. Review and refinement are critical aspects of continuous operational *re*-design, as a situation changes or the commanders understanding of the problem or environment changes, in response to military intervention, the actions and reactions of other actors (including opponents), and the unavoidable consequences of chance and friction. Operational re-design, to include reframing the problem and environment, and adjusting the end-state if required, is likely to be the norm rather than an exception. It is for this reason that a Commander should become accustomed to uncertainty, and should thrive on turning chaos to his advantage. To that end, he should exploit assessment (including the invaluable contributions from his own battlefield circulation, dialogue with allies and collaboration with other actors) as an integral part of his campaign design process.

0526. **Operational Management** integrates, coordinates, synchronises and prioritises the execution of operations and assesses progress. Because conflict is inherently adversarial, an opponent's responses will inevitably affect the course of an operation. Assessing the course of the

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operation and then acting (in order to modify the plan to meet assigned objectives in light of changed circumstances) should be the main way in which a Commander commands the joint force. It should be recognised that the tempo of an operation varies across the strategic, operational and tactical level and, to maintain the initiative, should be judged against the adversary's tempo of activity and the commander's planning horizon.

0527. Operational art indicates considerations at the operational level which should reflect more than just the employment of procedures and techniques based on knowledge of doctrine and manuals. It should be applied with a broad knowledge and understanding of the complicated relationships between all the factors influencing the planning and execution of an operation:

a. It includes the effective use of planning tools and seeks to ensure that Commanders use forces, space, time and information effectively through the design of campaigns and operations. Such a design provides a framework to help Commanders order their thoughts and understand the conditions for success.

b. It should take account of the full range of potentially simultaneous military operations, across the continuum of conflict with predominant campaign themes shifting over time. This aids Commanders and staffs in understanding that:

(1) All major operations are combinations of tasks executed simultaneously.

(2) Operations change over time.

(3) Operations conducted over one phase of a campaign directly impact on subsequent phases.

c. It also requires broad vision, the ability to anticipate, a careful understanding of the relationship of means to ends and an understanding of the inherent and effective synergy that flows from properly coordinated joint operations.

0528. **Ends, Ways and Means**. Operational art seeks to match 'ends, ways, and means' in planning and conducting operations. It requires that a Commander and his staff appreciate the strategic context and answer:

a. **Ends**. What conditions should be attained in the operational area to achieve the strategic objectives? If the political objective changes over time or in response to changing events, that new objective will invariably create a requirement for reframing the problem.

b. **Ways**. What broad approaches will establish these conditions? Which instruments of power combine within these approaches?

c. **Means**. What capabilities and other resources are available and should be applied, within established limitations, to produce these conditions? How are the military and non-military instruments integrated to achieve these conditions? The Commander

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considers the nature of the force, what objectives are within its grasp, and the nature of the risks, and their possible mitigation, inherent in pursuing that objective with the given force.

Operational Level Framework

0529. There are five key functions at the operational level which assist the Commander in both execution and visualisation. The five functions are: shape, engage, exploit, protect and sustain. They help the Commander to visualise how major operations, battles and engagements relate to one another within the overall campaign. They should not be viewed as sequential or separate and distinct phases; the key is to maintain a clear focus on success, balancing the need to be bold and decisive within the constraints and limitations of modern operations. The functions also enable a Commander to describe how subordinates' missions relate to each other in time, space and purpose.

0530. **Shape The Operational Environment**. Shaping is the manipulation of the operational environment to the Alliance's advantage and to the disadvantage of an adversary. Successful shaping operations may also have the effect of deterring an adversary and thereby preventing a developing crisis. Shaping includes identifying those areas where Alliance strengths can be exploited and information superiority attained while the adversary's strengths are minimised. Deterring an adversary, or appearing to threaten him, throughout his depth, while using coordinated Information Operations (Info Ops) can seriously undermine his understanding of the environment and reduce his freedom of action.[12] Simultaneously, and acting within the wider political context, the legitimacy and justification for the use of force should be conveyed in order to build and maintain support for own actions in home and other audiences. The difficulties of doing this should not be underestimated and illustrate the importance of a detailed understanding of the nature of the problem. In fact, so important is placing the crisis in the correct context to maximise understanding that the process of problem and environment framing may be considered a separate function in its own right.

0531. **Engage, to Attack the Adversary's Will and Cohesion**.[13] The decisive element of a campaign will usually involve some form of offensive action against the will and cohesion of adversaries. By breaking an adversary's cohesion, he is unable to coordinate and organise military and other actions; usually it is then much easier to defeat him piecemeal. By undermining his will, an adversary will be less able to motivate his forces to take risky action, and may be more willing to accept political or other compromise. Will and cohesion are inter-connected: if an adversary's will is undermined his force will be less cohesive; if his cohesion is shattered his will to continue is likely to be reduced. It may be difficult to determine how to attack the cohesion of non-traditional military forces such as dispersed insurgent groups; nevertheless there will normally be some form of coordinating organization, however loose knit and dispersed. Understanding the organization of such

[12] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.
[13] In a situation where there is no clear adversary, this might be the *object* of the mission, i.e. the thing which provides the greatest resistance to the mission and in this sense is 'affect' rather than 'attack'.

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groups, and how they adapt to survive, is the key to attacking their cohesion. Will and cohesion can be attacked through:

a. **Synchronization**[14] **of Fires, Influence Activities and Manoeuvre**. Although they can create significant effects on their own, the synchronized use of fires, influence activities and manoeuvre has devastating potential.

(1) Firepower destroys, neutralizes, suppresses and demoralizes. Firepower effects are the sum of volume, accuracy, lethality, suddenness and unpredictability, and these are magnified by synchronising joint firepower in time and space. The effects of firepower must be exploited by manoeuvre and where possible by influence activities if the results are to be more than transitory.

(2) Influence activities seek to affect understanding and thus the character or behaviour of an individual, group or organisation. They do so by manipulating information ahead of its receipt, or perceptions of information once received.

(3) Operational manoeuvre seeks to place the adversary at a disadvantage and may be physical or conceptual in nature. In the physical sense the psychological effect may be so great as to render fighting unnecessary. In the conceptual sense, manoeuvre may be applied in such a way as to present the adversary with such a poor choice of options that he is forced to concede.

b. **Tempo and Simultaneity**. Tempo is the rhythm or rate of activity of operations, relative to the adversary.

(1) Tempo comprises three elements: speed of decision; speed of execution; and speed of transition from one activity to the next. Greater tempo will overload the adversary's decision-making process at critical moments and is likely to cause paralysis, inaction and a breakdown of resistance to the point where he loses the cohesion needed to continue the fight. This can be achieved by speeding up or slowing down, or changing the type of activity.

(2) Simultaneity seeks to overload the adversary by attacking or threatening him from so many angles at once that he is denied the ability to concentrate on one problem at a time, or even establish priorities between problems. He faces dilemmas about how and where to react, he is torn in different directions and even if he is not paralysed, he finds it hard to respond coherently. Simultaneity should be seen through the eyes of the adversary and its use judged by the effect on his cohesion.

If the effect of simultaneity and tempo is repeated concurrently against a number of levels of command, a cumulative effect on cohesion is felt throughout the adversary

[14] Synchronization is discussed in detail in Allied Joint Publication (AJP)-3.

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force. By using the full range of friendly capabilities, the adversary's problems are compounded, his response to one form of attack either making him vulnerable to another, or exacerbating a different problem.

c. **Surprise**. Surprise is built on speed, security and deception and is fundamental to the shattering of an adversary's cohesion. As with tempo, time is the key factor. It is not essential that the adversary is taken unaware but only that he becomes aware too late to react effectively. Absolute surprise may totally paralyse the adversary, but partial surprise will also degrade his reaction. Surprise involves identifying, creating and exploiting opportunities, which may be fleeting. It means doing the unexpected or reacting in an unexpected manner, playing on the adversary's perceptions and expectations.

d. **Relative Advantage**. In joint operations the aim of a Commander should always be to achieve a relative advantage over his adversary. This can be achieved by:

(1) Overwhelming force.

(2) Enhanced decision making.

(3) A favourable shaping of the operational environment.

Exploiting an opponent's weakness is fundamental to success, just as is the identification of own forces' weaknesses that an opponent might potentially be able to exploit.

e. **Information Operations**.[15] Exploitation of the other methods of attacking will and cohesion is a critical role for Info Ops. Military or other success can have a much greater impact if the Info Ops staff understands the motivation and psychology of the target audience to ensure that will is actually undermined, as opposed to building their spirit of resistance.

0532. **Exploit Opportunity**. A Commander should exploit opportunities to seize and retain the initiative (the ability to dictate the course of events), or regain it once lost, in order to achieve his mission. Making the most of such opportunities, whether they be created through successful engagement or arise through chance, relies upon a Commander's ability not only to identify them in advance but to be able to generate the means to exploit them. More broadly, it involves not only identifying or creating opportunities, but having or obtaining the means and will to exploit them and achieving a higher tempo relative to the adversary.

a. The use of manoeuvre and offensive action is fundamental to seizing and holding the initiative, which is the key to being able to exploit opportunities. Mission Command allows Component Commanders (CCs) or subordinates to exploit opportunities that present themselves, providing they are within the overall intent.

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[15] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.

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b. The ability to do this successfully relies on continuous planning, including accurate risk analysis and management. Both subjective and objective risk analysis is required and intuition has a role to play. The Commander should promote a culture that is risk-aware, rather than risk-averse. This approach requires that Commanders at all levels are able to identify those areas where significant risk lies and then choose to accept, avoid or mitigate against them. The Commander who analyses, assesses and actively manages risk is frequently able to seize opportunities and take bold decisions. Key events or effects are identified in each phase of the Course of Action (COA) that are judged to be: of significant operational concern; could provide a potential opportunity for exploitation; or of unknown quantity whose outcome could be significant.

0533. **Protect Alliance Force Cohesion**. At the same time as attacking the adversary's cohesion, that of the Alliance force must be protected. Cohesion of multinational operations poses a particular challenge, especially in the case of *ad hoc* coalitions. Contributing nations may have differing agendas and provide forces with varied degrees of fighting power, including different doctrine and incompatible equipment. Personalities and political influence are likely to have a disproportionate effect on the cohesion of a multinational force. Cohesion is maintained through:

a. **Maintenance of Morale**. The adversary will make every effort to identify and attack weaknesses in the Alliance force, to reduce morale and thus erode cohesion. In multinational operations, the adversary may try to inflict disproportionate casualties on one particular nation's forces, or exploit religious or cultural differences. The Commander should attempt to mask these vulnerabilities and focus the force on the maintenance of the aim, whilst ensuring a comprehensive and co-ordinated approach to Force Protection[16] based upon risk management and a measured assessment of the threat.

b. **Unity of Purpose**. Unity of Effort is a key contributor, in concert with the other instruments of power, to the effective employment of military forces. It demands that they be directed relentlessly towards the achievement of a common aim or mission. Commanders play a key role in focusing their commands on achieving the mission and in generating a common sense of purpose by developing a clear, concise Commander's intent. Within multinational operations, individual goals and interests will need to be harmonized to ensure a common purpose, and consensus will need to be maintained to ensure political and military cohesion.

One of the key contemporary challenges within the realms of protection is defensive information operations, specifically cyber, communications and command and control systems' protections. This is an area of increasing vulnerability, directly proportional to NATO's levels of dependence on such systems.

[16] See AJP-3.14.

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0534. **Sustain**. Sustaining operations underpins the freedom of action available to a Commander to shape, engage, exploit and protect. From a Commander's perspective they include deployment and recovery, the assembly and movement of reserves or echelon forces, the redeployment and replenishment (or reconstitution or rehabilitation) of forces out of contact, host nation support, and the establishment of operating bases and lines of communication. They are most readily associated with the physical component of fighting power, but have equal impact on the moral component. Multinationality and interoperability present the Alliance with particular challenges to sustainment. Sustaining operations represent an obvious target for an opponent's operations; an appropriate balance of force protection, in accordance with both the perceived risks and the necessary priorities afforded to shaping and engaging operations, should ensure a Commander's continued freedom of action.

Section III – Operational Design

Operational Ideas

0535. Operational Art demands creative and innovative thought to find broad solutions to operational problems, solutions that might be termed Operational Ideas. Its output is the source of the Commander's Intent and subsequent Concept of Operations. The output represents the basis of the Plan and is further refined by the process of Operational Design. As such it is the domain of the Commander and the foundation of a command-led staff system. The key to Operational Art is to identify beforehand what is going to be decisive in bringing about the downfall of the adversary. Identifying that decisive act comes from an analysis of Centre of Gravity (COG).

0536. **The Principal Elements of Operational Design**. The application of operational art requires a sound understanding of many different operational design concepts and tools. They are useful in analysing strategic and operational factors, understanding operational requirements, enhancing creativity and imagination, and ensuring a logical relationship and balance between *ends*, *ways* and *means*. Operational Design is a process which further develops and refines Operational Ideas. Three things together comprise the principal elements of Operational Design: the Operational Estimate, the Operational Design Concepts (ODCs), and the Plan. The Plan, which articulates the operational level Commander's overall scheme for operations, results from the Operational Estimate and is largely constructed using a number of theoretical building blocks collectively known as the Operational Design Concepts.

0537. **Visualization**. The centrality of the Commander to the process of operational design, with his unique blend of intellect, experience and instinct, cannot be overstated. For every mission, the Commander determines what should be achieved and begins to develop plans for the force to accomplish the mission. His visualization embodies the intent for the conduct and outcome of the operation. It is a mental picture of the current situation and intended end-state, and how (based on the higher Commander's intent, on the information available and on intuition) to move from one to the other. The Commander's Intent is an expansion and expression of how a mission is to unfold. It must include a succinct statement of a mission's overall purpose, the desired end-state, and any essential information on how to get to that end-state; it should be clearly understood by all subordinate commanders for adequate

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preparation of their own OPLANs and/or orders, and perhaps more importantly to provide the foundation for effective Mission Command.

0538. **Focus on Results**. The intent defines the end-state in relation to the factors of mission; adversary, operating environment, terrain, forces, time and preparation for future operations. As such, it addresses what results are expected from the operation, how these results might enable transition to future operations, and how, in broad terms, the Commander expects the force to achieve those results. Its focus is on the force as a whole. Additional information on how the force will achieve the desired results is provided only to clarify the Commander's intentions.

0539. **Unifying Concept**. The Commander's Intent is the unifying concept for all elements of the force. It provides an overall framework within which subordinate commanders may operate. It pertains even when a plan or concept of operations no longer applies, or circumstances require subordinates to make decisions that support the ultimate goal of the force as a whole rather than a set of sequenced events that may no longer reflect what 'makes sense' at that time or place. In this way Commander's Intent enables Mission Command.

Planning Influences

0540. Planning should be viewed as intellectual activity that drives a process, not a process that drives intellectual activity. The drive in this sense comes from the Commander and comprises a combination of intuition, experience and effective decision making.

0541. Figure 5.2 shows the fundamental elements of joint operations; it is codified for practical implementation in the Operations Planning Process (OPP). It illustrates the principal activities of a Commander and his staff in planning and executing an operation or campaign, irrespective of the nature of the problem at hand, the scale of the forces involved, or the technological sophistication of available CIS. The Commander focuses on the identification of that which is likely to prove decisive and chooses a COA that has the greatest chance of success. Working with specific guidance and an understanding of his intent, his staffs develop the details and provide focus for the execution of command responsibilities. Both Commander and staff are involved in the detailed management.

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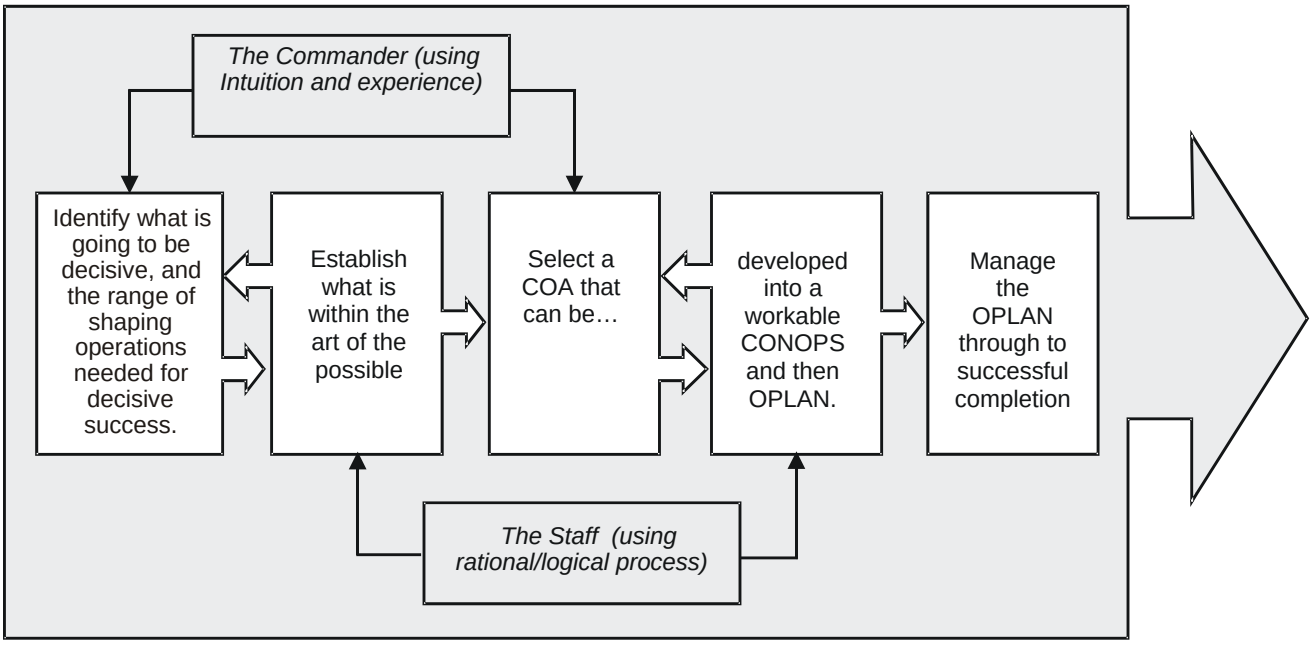

Figure 5.2 – Planning and Execution – Command and Staff Influences Plan Execution

The Operational Estimate[17]

0542. The Operational Estimate is a problem solving process described, practically implemented in AJP-5/ACO Comprehensive Operations Planning Directive (COPD) and is central to the formulation of the Commander's OPLAN and subsequent updating of plans in an Allied joint operation. However, the process has an application at all levels of command. The process is applied to often ill-defined problems in uncertain and dynamic environments, in high-stakes and time-pressured situations. It combines objective, rational analysis with the commander's intuition (a combination of experience and intelligence, creativity and innovation). Its output is a visualisation, design and decision about what to do, when and where to do it. In practice and especially in situations where Alliance military forces and commanders are involved with other agencies and actors, that decision may reflect a judgement or compromise balanced against other parties' interests. Guided and energised by the Commander, the Operational Estimate is a mechanism designed to draw together a vast amount of information necessary for the thorough analysis of a set of circumstances, in order to allow the development of feasible courses of action and the subsequent translation of a selected option into a winning plan. It is, essentially, a practical, flexible tool formatted to make sense out of confusion and to enable the development of a coherent plan for action.

0543. The operational estimate is based upon:

[17] See AJP-5 for detail.

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a. **Understanding the Problem and Environment**. The problem is of prime importance and is composed of two parts; the assigned mission; and the object of that mission. The object is the thing on which the mission bears or which provides the greatest resistance to that mission; often, particularly in major combat operations, it will be the adversary's military forces. Framing the operational environment is equally important as it places the problem in context. Detailed analysis of the mission, object and environment, early in the planning process, should enhance the prospect of designing a winning concept.

b. **Establishing the Art of the Possible**. A thorough understanding of the problem and environment establishes a logical basis for the commander to develop his operational design, his big idea, and then to provide direction to his staff. The focus is to establish the art of the possible, using planning factors tailored to the problem rather than a predetermined or assumed generic check list.

0544. **Mission Statement**. The mission analysis is a logical process for extracting and deducing, from a superior's order and planning guidance, the specified and implied tasks necessary to fulfil a mission. Further it establishes constraints and identifies whether further guidance is required. As such it is a dynamic process that triggers and then regulates the remainder of the estimate process. Having confirmed an understanding of the operation/mission directive issued by higher authority, and its feasibility within allocated resources, leads to the issue of the Commander's mission statement. The Mission Statement is one of the key outputs of the Mission Analysis. It is formulated to provide a clear, concise statement detailing **who** will conduct the operation, **what** is to be done, **when** it will take place, **where** it will occur, and **why** it is being conducted (i.e. the purpose of the operation). However, the Mission Statement does not state **how** the operation will be conducted. It must be scrutinised to ensure that it identifies the command's mission-essential tasks to achieve the higher authority's military objectives and strategic end-state. Simplicity and clarity should be overriding considerations in the creation of the mission statement.

Operational Design Concepts

0545. The Operational Design Concepts (ODCs) are used to build the structure within which operations take place, and can be seen as a bridge between Operational Art and Operational Design. In seeking to conduct operations, battles and engagements in pursuit of the strategic objective, the operational level Commander will design the plan of campaign around the ODCs as described generally in Annex 5A and in detail in AJP-5, which help visualise how the campaign will unfold and manage the development of operations. The Commander uses them to articulate a vision or concept of operational design, a statement of intent for the plan and a command structure for executing the plan. In broad terms, the ODCs serve three purposes: to focus effort during the Operational Estimate, to help describe in plans and directives what is required to be achieved, and to assist in monitoring the execution of a campaign or major operation.

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The Plan

0546. Following the commander's articulation of his intent and concept of operations (CONOPS) the detailed planning of operations within the campaign is conducted by the staffs.[18] The purpose of the plan development stage is to identify in more detail the forces required to implement the CONOPS, to provide for their sustainment as well as protection and to organize and coordinate their timely deployment into the JOA. It also includes the further consideration of, and requests for, any supporting Crisis Response Measures for the effective implementation of the CONOPS.

0547. The Plan, is the practical expression of Operational Art, conveys the operational level Commander's vision for how he sees the operation unfolding and is translated into actionable detail by operations orders and directives. It is essential in providing the crucial common understanding across the joint force of the Commander's Intent and his overall conduct of operations.

0548. **Plan Approval**.[19] All SC-level COPs will normally require MC approval while SC-level OPLANs and SDPs require approval by an appropriate Alliance political committee or group. All subordinate COPs, OPLANs and Support Plans (SUPLANs) require the approval of the initiating authority.

0549. **Concept of Operations**. The concept of operations is at the heart of the Plan and belongs to the Commander who should be focused on forming the essence of the Plan, and then communicating it to his subordinates. The concept of operations describe how the actions of the joint force components and supporting organisations will be integrated, synchronised, and phased to accomplish the mission, including potential branches and sequels. The ultimate test being that subordinate commanders can act independently as though they were directly ordered by the Commander. A concept of operations has 5 main elements:

a. **Situation**. A description of the circumstances that have led to a requirement for the CONOPS. Where appropriate it would also include details of political objectives, limitations and assumptions.

b. **Mission**. A clear, concise definition of the purpose and nature of the operation, the responsible military Commander, the operation's location and likely execution timeframe. A mission should contain a clear, concise statement of the task and its purpose and be expressed in terms of: *Who* (the subordinate command), *What* (what the command is to achieve), *When* and *Where* (the parameters) and *Why* (the purpose). Mission statements should always have a unifying purpose (i.e. the 'in order to') and these should fall logically out of the concept of operations. The unifying purposes of subordinates' missions should, when collectively achieved, enable the Commander to achieve his own mission.

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[18] See AJP-5.
[19] See AJP-5.

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c. **Execution**. A description of the Commander's view of how the operation will be executed, detailing:

(1) Planning assumptions.

(2) A summary of the key elements of the mission analysis.

(3) A summary of the Commander's intent and purpose of the plan including military objectives, desired military end-state and the criteria for success. The Commander's intent should focus on the overall effect the force is to have on the adversary. It should be a concise and precise statement of how the Commander intends to achieve the operational end-state by defeating the adversary's COG, and should not be a synopsis of the operation. In effect it provides the driving logic behind the whole plan.

(4) A description of how operations will be conducted and any phases envisaged.

(5) A description of military key and supporting tasks.

(6) A summary of force and capability requirements.

(7) Identification of any coordination requirements with other operations.

d. **Service Support**. A description of the support requirements necessary for mission accomplishment, including outline concepts for logistics, Communications and Information Systems (CIS), movements, medical and host nation support.

e. **Command Arrangements**. A description of command arrangements.

Section IV – Operational Management

0550. Modern joint operations are complex and require careful organization. A number of control mechanisms exist that are used to order activities in time and space, and to ensure that priorities are clearly understood. AJP-3 describes in detail the integration, coordination and synchronization of operations. The following paragraphs concentrate on those areas in which the operational level Commander should play a significant role.

0551. **Supported and Supporting Commanders**. The supported/supporting principle described in Chapter 6 is fundamental to joint operations. It is the principal means by which the Commander designates cross component support and makes clear his resource priorities (within the overall assignment process). Successful management of these relationships will allow the Commander to shift support for a particular phase, or element of an operation, and maintain operational tempo.

0552. **Sustainability**. The Commander should plan to organise his command and conduct his operation to ensure he obtains the optimum fighting power with the greatest reach from his

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forces and resources with the least expenditure and waste. In doing so, the principles of logistics[20] provide the framework, but while making these plans the Commander should bear in mind that the business of supply, maintenance and administration are not the problem; they are part of the solution to the problem. Such plans are vital to the success of an operation, but without the Commander's leadership and direction from the outset, they are unlikely to be as effective as they need to be, and under pressure risk collapse and hazard the force.

0553. **Monitoring and Assessment of Campaign Progress**.[21] The measurement of progress or success is a fundamental aspect of military operations that should be foremost in the mind of every Commander. The Commander will have specified criteria for success in his COPs and OPLAN; these must be achievable and measurable. The aim is to take a broad view of the operation and determine if the required effects, as envisaged in the plan, are being created, which in turn determines if objectives are being achieved. This monitoring is much wider than observing whether an individual target has been destroyed. It is particularly relevant in activities where the emphasis is on changing the attitudes of the adversary rather than on his physical destruction. Whatever the nature of the operation, the Commander should ensure that a monitoring and assessment process is rigorously conducted and that his staff does not get distracted by tactical level events and so lose sight of the operational end-state. Assessment is the 'evaluation of progress, based on levels of subjective and objective measurement in order to inform decision making'. It must reflect not just the impact of Alliance activities but also those of other actors including the host nation and adversary. There are three broad categories:

a. **Measurement of Activity**. Measurement of activity is the 'assessment of performance of a task and achievement of its associated purposes'. Effectively have the planned activities been carried out successfully?

b. **Measurement of Effectiveness**. Measurement of effectiveness is the 'assessment of the realisation of specified effects'. Have the planned activities, carried out successfully, been effective?

c. **Campaign Effectiveness Assessment**. Campaign effectiveness assessment is 'the evaluation of campaign progress, based on levels of subjective and objective measurement towards the campaign end-state'. Do the effects of the planned and successfully executed activities, and the decisive conditions thereby created, indicate progress towards the achievement of operational objectives and ultimately the campaign end-state.

0554. Assessments support decision-making by drawing together information and intelligence to inform auditable judgements on the progress of operations. Judging progress is a fundamental review and feedback function within the Commander's decision cycle. If correctly assessed, this process will allow the Commander to make judgments on:

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[20] See AJP-4 *Allied Joint Doctrine for Logistics* for an explanation of these principles.
[21] See AJP-3 for advice on the assessment process and AJP-5 for advice on reviewing plans.

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a. **Apportionment**. The process should assess the likelihood of achieving individual DCs and so inform the Commander's apportionment of effort between CCs.

b. **Contingency Planning**. The process should be able to gauge whether the campaign plan is on track and so identify the need for contingency plans, in the form of branches and sequels.

c. **Confirming Adversary Centre(s) of Gravity**. The process should confirm that the correct COG(s) and associated vulnerabilities have been selected. The Commander should be alert to the possibility that new vulnerabilities may be exposed, or that previously identified vulnerabilities may be too well protected to be attacked. Thus COG analysis should be an iterative process for planning staff and the COG(s) should be reviewed periodically.

0555. **Managing Lines of Operation**. Lines of operation show the interrelationship between decisive conditions and as such, they are a way of visualizing the overall activity within a force, and coordinating and deconflicting component activities. Careful management of lines of operation allows the realization of the full potential of the force. Two tools [22] which can assist in this are the Campaign Plan Schematic and the Synchronization Matrix. The Campaign Plan Schematic enables the overall plan to be visualized at a glance and can be used to monitor its progress. The Synchronization Matrix is the method for planning the coordination of activity between components, in time and space, along the path to the objective.

0556. **Operational Rhythm**. Where a Commander can consistently decide and act quicker than his opponent, he will generate greater tempo and gain a significant advantage. Operational rhythm should therefore be focused on enabling effective and timely decision-making within and between headquarters. It is the principal means by which time, information and activity are managed and directed at providing the right information at the right time so that the right decision can be made. It should never become a self-fulfilling prophesy, it is a means to an end not an end in its own right. Operational rhythm is key to creating a 'Command Advantage', i.e. orders and directives that are designed to seek tactical opportunity plus a command structure that has a clear and common view of the situation can communicate quickly and direct operations.

Integration, Coordination and Synchronization of Operations

0557. Clausewitz noted that "*War has a grammar of its own but no logic*". Understanding this grammar is not the same as imposing a false sense of order on a complex and constantly evolving situation. Rather, the Commander should seek to turn this chaos to his advantage by having a clear understanding of the impact of tactical activity on the campaign plan, and ultimately the political objectives. Such an understanding will establish an advantage over an adversary who is unable or unwilling to recognize this essential linkage. As such he should

[22] See AJP-5.

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be closely involved in the measurement of campaign progress in order to assess success – to know if he is 'winning'. Campaign management is accomplished largely through a series of boards and meetings organized under the banner of Campaign Rhythm. Exactly how this is achieved will vary with the nature of the operation, especially in multinational operations, but whatever the circumstances, the Commander should be clear about what information he needs and how it should be presented to him. His role is to guide the process, directly or through the COS, so that he can make timely and effective decisions.

0558. **The Force**. To exploit fully the complementary nature of the CC relationships, and the potential synergy for the successful prosecution of joint operations, integration, synchronization and coordination[23] of effort is of paramount importance:

a. **Integration**. Integration is the process by which the capabilities of the entire force, together with other organizations and agencies, are merged within the force headquarters. The result is a headquarters with robust linkages to the strategic and tactical levels, staffed by officers of all Services, with representation from all contributing nations, and forces merged into joint and multinational components. The consequence is an integrated approach to operations driven by mutual understanding, trust and a common purpose and is a fundamental goal of the Commander. An effective method of achieving high levels of integration is to conduct a mission rehearsal prior to an operation. The aim of the rehearsal is to synchronize battlespace systems and to identify operational issues and concerns sufficiently early to inform corrective action and reduce planning friction. The rehearsal allows for interaction between the Commander's staff and the various component staffs across the full span of the concept of operation. These efforts will help harmonize the staff and the components in the execution of key military tasks, under time pressure, and thereby identify issues and concerns.

b. **Coordination of Effort**. All forces under command should proactively consult, cooperate, and deconflict in order to achieve the Commander's intent in a coordinated manner. CCs, when assigned an Area of Operations (AOO), are tasked to plan operations in their area; the choice of AOO dictates the coordination required. When a CC conducts operations, coordination with the other CCs will be needed in order to complement their shaping of the battle space and execution of operations. If AOOs border each other, cooperation is needed for cross or close border operations, synchronization and manoeuvre. Supporting/supported relationships can also direct coordination.

c. **Synchronization of Effort**. Synchronization concerns the focusing of resources and activities for maximum effect and can only be achieved when there is effective integration and coordination. It is usually governed by time and space and is assisted greatly by the foundation of a shared and in-depth understanding of the joint

[23] See AJP-3(B) for details on synchronization and coordination processes.

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operational situation and the Commander's intent. To direct the main effort of the campaign, the Commander may designate a supported Commander to synchronize subordinate operations throughout his designated JOA, or within the limits of an AOO, and for a given time. The Commander will also designate those components or elements that will play a supporting role.

0559. **Other Organizations**. The Commander will need to make a careful assessment of other organizations operating within the JOA. This may include diplomatic and military agencies under political authorities other than his own, as well as a potentially large number of international organizations (IOs) and non-governmental organizations (NGOs). Many of these organizations are under no obligation to coordinate their activities with those of the military and may be operating to a different set of objectives and values. Coordination, in order to achieve unity of effort, will be a difficult challenge, but it should not be viewed as a civil/military *transition*; rather as a *partnership* from the very outset

Preparing for Opportunities and Reverses

0560. To dominate his adversary the Commander should monitor the progress of the campaign and adapt the plan to exploit opportunities to his advantage – he should be ready for success. There should always be a flank to exploit or the possibility to create one (flank in its widest sense, not just physical). There should be an element capable of exploiting this flank to the point of decision; that element should be appropriately resourced. At the same time the Commander should attempt to anticipate reverses and plan to overcome setbacks. To do this effectively he should retain time to think, to step back, take the longer-term view and not be distracted by short-term expediency. There is a risk that the urgency of the Commander's actions can distract his attention from the activities and intentions of the adversary.

0561. Success can breed complacency, particularly when dealing with an outclassed adversary, which can lead to disastrous consequences. Care should be taken to prevent stagnation, to avoid becoming predictable. The Commander must weigh the need for restraint against the consequences of failing to exploit advantage, possibly leading to an incomplete victory.

0562. In considering the committal of the operational level reserve, the following questions should be addressed:

a. During the planning stage, what kind of reserve is required? Can it be afforded?

b. Under what circumstances would the reserve be committed? What effect is required by its use? What size does it need to be and what capabilities does it require? The reserve should not be thought of necessarily in a conventional sense.

c. Where does it need to be placed (consider each element separately)? In which environment is it most likely to be used?

d. Under what conditions will it need to move to be ready for employment (for example a significant change in the weather)?

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e. How long does it take to launch (in total or in part)? At which level should authority for its committal be kept?

f. How should its location, purpose and movement be concealed from the adversary?

Plan Review

0563. During an operation, the plan should be continually reviewed. This is essential to react to changes in the situation, from the strategic right down to the tactical. The maintenance of a running intelligence estimate will enable an accurate appreciation of the opposing force's situation. If it has changed markedly, the existing plans should be reviewed to determine if additional plans are required or if revisions to current plans will suffice. This review links to the monitoring of operation or campaign progress described above, which will determine whether the required effects are being created to achieve strategic objectives and the operation or campaign is advancing towards the end-state.

Transition and Termination

0564. Alliance operations inherently have both political and military goals; as such, exclusively military lines of operation will invariably not achieve the strategic end-state. While every campaign or major operation is directed towards a goal, at some point military action is no longer the main effort.

0565. Some key considerations for the Commander are:

a. A clear idea of the conditions that should exist, and how to measure them, before the end-state can be said to have been achieved is required.

b. What structures, capabilities and postures are required next?

c. How to change the organization and focus of the staff? Too early and there is a danger that they lose focus, too late and a period of instability may occur as readjustment takes place.

d. How to avoid a resumption of hostilities? What state should the indigenous forces or warring factions be left in? How will responsibilities be transferred to indigenous or follow-on forces, or other organizations?

Section V – NATO's Operations Planning System

Purpose of Planning within NATO

0566. The purpose of the operations planning process is to prepare the Alliance to meet future or developing crisis. This is the process by which NATO initiates, develops, approves, executes, reviews, revises and cancels all categories of Alliance operational plans, and specifies force activation and deployment procedures. Consideration must be given to

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expanding and including the internal NATO civil-military interface for use in operational planning. In line with NATO policy, military planners will integrate CEP planners, as well as liaison with other relevant agencies and organisations, into the appropriate steps of the operations planning process.

Operations Planning Process

0567. Within NATO, the Operational Art and Design process described in Chapter 5 is codified as the Operations Planning Process (OPP). NATO policy for the OPP is set out in MC 133 and further described in detail in AJP-5.[24]

Planning Categories[25]

0568. In order for the Alliance to be able to undertake the full range of its roles and missions, two operations planning categories are used: Advance Planning and Crisis Response Planning.

0569. **Advance Planning**. Advance planning is conducted with a view to preparing the Alliance to deal with possible future security risks, and calls for two distinct types of plan, a Contingency Plan (CONPLAN) and a Standing Defence Plan (SDP).

a. **Contingency Plan**. A CONPLAN is designed to cater for a possible future security risk (under Article 5 and Non-Article 5), and would normally be based on one or more of the Planning Situations (PS) identified in the Bi-SC Capability Requirements Review (CRR) underpinned by a number of planning assumptions. Should a foreseen crisis materialize, the appropriate CONPLAN would then require review and further development to take account of actual circumstances. To this end, a CONPLAN should address the potential future force (Representational Force List/Representational Disposition List (RFL/RDL)) and capability requirements necessary for the conduct of the mission, out to an agreed and understood planning horizon. In this way, CONPLANs can significantly accelerate the defence planning process. SACEUR will also develop generic CONPLANs, in advance, which can be applied to a variety of mission types and which would facilitate a rapid adaptation to a specific situation in the early stages of an emerging crisis. Generic CONPLANs will eventually cover most situations for rapid deployment forces, such as the NATO Response Force (NRF). Such plans are prepared with a corresponding draft Combined Joint Statement of Requirement (CJSOR) and a draft Rules of Engagement Request (ROEREQ) attached.

b. **Standing Defence Plan**. A SDP is designed to cater for a long-term, short/no-notice Article 5 collective defence security risk. The purpose of a SDP requires that it be a fully developed operational plan capable of rapid execution, with command forces assigned and execution authority delegated to the appropriate level of command.

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[24] MC 133/4 is currently at the 'mature draft' stage.
[25] See AJP-5 for detail.

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Consequently, for SDP development, there is a requirement for coordination with subordinate-level commands, international organisations and other state and non-state actors.

0570. **Crisis Response Planning**. Crisis response planning is conducted in response to an actual or developing crisis, whether Article 5 or non-Article 5, and requires the development of an Operation Plan (OPLAN) as directed by the NAC. If a crisis was foreseen the OPLAN might be developed from an appropriate CONPLAN although it is still necessary to follow the OPLAN development process in order to test and validate earlier planning assumptions; if the crisis was not foreseen the OPLAN must be developed in response to the prevailing circumstances. An OPLAN is a detailed and comprehensive plan capable of execution, which has forces assigned for which preparations will be complete.

0571. **Supporting Plan**. Depending on circumstances, such as the complexity of an operational plan (CONPLAN/SDP/OPLAN) and/or the requirement to provide support to concurrent multiple operations, it may be necessary to develop a single or series of supporting plans (SUPLAN(s)) to the main plan in order to address all aspects of operations at an appropriate level of detail.

0572. **Defence Planning**. Defence planning, through the Force Planning process, identifies the forces, force capabilities and force structures required to respond to the most demanding situations. This is usually expressed as a combination of the CRR Planning Situations needed to occur concurrently to meet NATO's Level of Ambition. The results of the CRR process are briefed to the MC/Defence Review Committee (DRC) for notation, and subsequently they serve as the primary input for the next Force Goal cycle. Force Planning looks to the medium-term future, addressing NATO's requirements for the next 10 years.

0573. **Policy and Strategy**. Irrespective of the circumstances, policy must be identified first. The MC plays a key role in shaping policy at the political/military strategic level. Once policy is established the following key questions need to be answered to formulate strategy: what and why; with whom; scale and risk; for how long; where and when; concurrent with; against whom; and, at what cost?

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ANNEX 5A – OPERATIONAL DESIGN CONCEPTS

5A1. **Operational Design Concepts**. The ODCs are used to build the structure within which operations take place, and can be seen as a bridge between Operational Art and Operational Design. In seeking to conduct operations, battles and engagements in pursuit of the strategic objective, the operational level Commander will design the plan of campaign around the ODCs, described in Annex 5A and their use in detail in AJP-5, which help him visualise how the campaign will unfold and manage the development of operations. The Commander uses them to articulate a vision or concept of operational design, a statement of intent for the plan and a command structure for executing the plan. In broad terms, the ODCs serve three purposes: to focus effort during the Operational Estimate, to help describe in plans and directives what is required to be achieved, and to assist in monitoring the execution of a campaign or major operation.

a. **End-state**. The end-state is 'The political and/or military situation to be attained at the end of an operation, which indicates that the objective has been achieved'.[1] It is the political and/or military situation that needs to exist when an operation has been terminated on favourable terms and should be established before execution. An understanding of the end-state is a crucial element of any plan without it there is no focus for campaign planning. All activities and operations should be judged against their relevance to achieving the end-state.

b. **Objectives**. Joint multinational operations should be directed towards a clearly defined and commonly understood objective that contributes to the achievement of the desired end-state. In simplest terms an objective is an aim to be achieved. Commanders establish objectives at their level to focus the actions of subordinates and to provide a clear purpose for their tasks. Objectives are therefore established at each level of operations. At the operational level an objective is a clearly defined and attainable goal. Operational level objectives are achieved through the realisation, sequenced in time, of one or more decisive conditions. It is likely that at the operational level, objectives will require action from multiple instruments simultaneously, for example establishing a secure environment might require both military action and civil reconstruction. It is a primary responsibility of joint Commanders to coordinate military activity with that of other organizations, seeking unity of purpose in achievement of the objective.

c. **Centre of Gravity**. The COG is that element of the adversary's overall capability or system that most resists the achievement of the Alliance's end-state and which, if defeated or neutralised, will lead inevitably to the achievement of our objectives. A COG is defined as those '*characteristics, capabilities or localities from which a nation, an alliance, a military force or other grouping derives its freedom of action, physical strength or will to fight*'.[2] COGs exist at all levels of operations, and there

[1] AAP-6.
[2] AAP-6.

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may be more than one at any level. As well as determining COGs of adversary forces, it is also necessary to determine Alliance COGs and assess their vulnerability to attack by opposing forces in order to provide for their protection. The initial analysis[3] of friendly and adversary COGs requires constant re-appraisal both during the planning and execution phases of an operation, as does the protection of friendly COGs.

d. **Effect**. Generally an effect can be considered a result, outcome or consequence of one or more actions or other causes, that will influence the physical or behavioural state of a system (or system elements) thereby contributing towards the realisation of one or more decisive points or conditions.

e. **Decisive Condition**. While it may be possible to defeat or neutralise the adversary's COG, it is more likely that a series of coordinated actions will be required; the cumulative effect of these actions are described as Decisive Conditions (DCs). A DC is a new term that augments the extant term Decisive Point and is defined as '*A combination of circumstances, effects, or a specific key event, critical factor, or function that when realised allows commanders to gain a marked advantage over an opponent or contribute materially to achieving an operational objective*.[4] DCs are the keys to unlocking COGs and can be attacked directly by the Commander designating the most important decisive conditions as objectives and allocating resources to protect, control, destroy or neutralise them. DCs are logically determined from the COG analysis process. DCs are arranged along Lines of Operation leading to the adversary's COG. A DC can be a place, a precise moment or a distinctive characteristic or quality upon which a COG depends to maintain its freedom of action and power. They need not necessarily constitute a battle or physical engagement, nor need they have a geographical relevance. The ability to establish favourable decisive conditions allows the Commander to retain freedom of action, maintain momentum and gain or retain the initiative.

f. **Decisive Point.** A point from which a hostile or friendly centre of gravity can be threatened. This point may exist in time, space or the information environment.

g. **Line of Operation**. '*In a campaign or operation, a line linking decisive conditions in time and space on the path to the centre of gravity*'.[5] Lines of Operation establish the relationship which may not always be sequential in time and space, between DC/DPs and the COG and can be functional or environmental. With a focus on the desired end-state, commanders use them to apply the instruments of power toward a desired end-state, applying force throughout the 3 dimensions of space, over time and in a

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[3] See AJP-5 for principles and advice on COG Analysis.

[4] A new term and definition augmenting the extant term *decisive point*. The definition of the term decisive condition is broader than that of decisive point, is more suited to contemporary operations and better reflects the NATO contribution to the comprehensive approach.

[5] AAP-6.

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logical design that integrates all the military capabilities of a joint force in order to converge upon and defeat the COG of adversary forces.

h. **Sequencing**. Sequencing is the arrangement of events within an operation or campaign in the order most likely to achieve the defeat or neutralization of an adversary's COG. It usually is best to undertake simultaneous operations on multiple lines of operation to achieve synergy across all instruments of power and to overwhelm an adversary's ability to resist; but within those lines of operation some operations will depend on the successful conclusion of others before they can be initiated. For example, forward operating bases may need to be secured before initiating offensive operations. A Commander may also wish to sequence his operation due to lack of resources or capability, or to limit the risk. Once the overall sequencing of the operation has been determined, the Commander may choose to divide his operation into phases.

i. **Phases**. Phasing is a method of describing where an operation cannot be developed until set activities are complete or a change to task organization is required. Phases are sequential but may overlap, particularly in peace support operations. In some cases the beginning of a phase may be contingent on the successful completion of a preceding phase. The aim in phasing an operation or campaign is to maintain continuity and tempo and to avoid unnecessary operational pauses.

j. **Contingency Planning (Branches and Sequels)**. For every action there are a range of possible outcomes that may or may not create conditions necessary to accomplish the objectives to reach the end-state. Outcomes that are more favourable than expected may present opportunities that can be exploited while outcomes that are worse than expected may pose risks that can be mitigated. However, the ability to exploit opportunities and mitigate risks depends first on anticipating such situations and second on developing contingency options for effectively dealing with them. Commanders should anticipate possible outcomes and ensure that options are provided in their operational planning in order to preserve freedom of action in rapidly changing circumstances and to allow them to keep the initiative despite the actions of the adversary. There are two broad approaches to contingency planning, branches and sequels, which are developed both during initial operational planning and during the execution of the plan.

(1) Branches are contingency options within a particular phase, planned and executed in response to an anticipated opportunity or a reversal within that phase, in order to provide the Commander with the flexibility to retain the – initiative.

(2) Sequels are options for the next phase, one of which may be the next pre-planned phase. They are planned based on the likely outcome of the current operation or phase, in order to provide the Commander with the flexibility to retain initiative and/or enhance operational tempo.

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k. **Culminating Point**. Culmination has both offensive and defensive applications. In the offence, the culminating point is that point in time and location when the attacker's combat power no longer exceeds that of the defender and the attacking force should transition to the defence or risk counter attack and defeat. A defending force reaches its culminating point when it no longer has the capability to mount a counter offensive or defend successfully and is forced to disengage or withdraw or face defeat. Identification of the Culminating Point allows full exploitation of the event, or the planning of Operational Pauses in order to avoid it. Sequencing and phasing should be designed to ensure that operations by opposing forces culminate well before they can achieve their objective while ensuring that friendly operations achieve their objective well before any culmination.

l. **Operational Pause**. An operational pause is a temporary cessation of certain activities during the course of an operation to avoid the risk of culmination and to be able to regenerate the combat power required to proceed with the next stage of the operation. As activities cannot be conducted continuously, there may be a need for periodic pauses, while initiative is retained in other ways, perhaps in other environments and it is sometimes necessary to pause on one Line of Operation in order to concentrate activity on another. Ideally, the Operational Pause should be planned in order to minimise any overall loss of tempo. Implicit in the term 'pause' is the ability to re-activate the Line of Operation in order to maintain momentum and the initiative.

m. **Termination[6] and Transition**. The term 'termination' in this context is really more about transition than traditional notions of cease fires and victory parades. Instead the Commander seeks to focus on what happens when the operational end-state has been achieved - how to preserve that which has been gained, how to make it enduring. As military objectives may be achieved well before the strategic end-state is realised (particularly in a peace support operation), a follow-on force may be required. This has been particularly true of the Alliance's recent experience, with an Alliance operation terminating and being followed by another operation conducted by the EU or UN.

n. **Direct or Indirect Approach**. While it may be possible to defeat the opposing COG by direct attack, it is more likely that a series of operations at DC/DPs will be required to neutralise it. There are 2 alternative approaches for dealing with opposing COGs:

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[6] Termination is more than just 'conflict termination', although conflict termination is one example. An example is NATO's involvement in Bosnia Herzegovina. The 1995 Implementation Force (IFOR) NATO-led mission under the UNSC 1031 mandate terminated and was replaced by a NATO-led multinational Stabilisation Force (SFOR) under a revised UNSC mandate 1088 in 1996. SFOR in turn terminated in 2004 and was replaced by an EU-led force under a new UNSC mandate 1575.

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(1) **Direct Approach**. The direct approach is a sequential or simultaneous, uninterrupted approach against an adversary's COG, often by way of DC/DPs. This approach may mean engaging the adversary's strengths (the protection of his COG and DC/DPs). The direct approach is appropriate when a force has superior strength compared to the opposing force and the risk is acceptable.

(2) **Indirect Approach**. The Manoeuvrist Approach described in Chapter 6 is an example of an indirect approach. The indirect approach seeks to exploit the adversary's physical and moral vulnerabilities whilst avoiding its strengths. The indirect approach is appropriate when a force lacks sufficient capability to operate directly against an advisory's COG, or if the risks of a direct approach are deemed unacceptable. Commanders should concentrate on exploiting the adversary's critical vulnerabilities that will eventually lead to the defeat of the COG.

o. **Criteria for Success**. For each objective the Commander establishes criteria for success that provide measurable or observable requirements with respect to the essential conditions or effects that should be created, as well as any conditions or effects that cannot exist for the objective to be successfully accomplished.

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CHAPTER 6 – COMMAND AND CONTROL OF OPERATIONS

Section I – Command Philosophy

0601. Command is the authority vested in an individual to influence events and to order subordinates to implement decisions; command is exercised by, or on behalf of, commanders. It comprises three closely related elements: leadership, decision-making (including risk assessment) and control. The commander's role in command (employing the art of war) is critical, regardless of the technological and other improvements in control (the science of war).

0602. Military command at all levels is the art of decision-making, motivating and directing to accomplish given missions. It requires a vision of the desired outcome(s), an understanding of concepts, mission priorities and allocation of resources, an ability to assess people and risks, and involves a continual process of re-evaluating the situation. A commander requires, above all, to decide on a course of action (COA) and to lead his command. Thus leadership and decision-making are his primary responsibilities. Command also involves accountability and control. However, control is not an equal partner with command but merely an aspect of it. The execution of control is shared between the commander and his staff.

0603. Command is an intrinsically forceful, human activity involving authority as well as personal responsibility and accountability. Command philosophy has four facets: a clear understanding of superior commander's intent; a responsibility on the part of subordinates to meet that intent; the importance of making a timely decision; and a determination, on the part of the commander, to see the plan through to a successful conclusion. This philosophy requires a style of command that promotes decentralised command, freedom and speed of action, and initiative – but one which remains responsive to superior direction.

0604. Effective employment and support of military forces is however, dependent on the Command and Control (C2) arrangements established, from the highest to the lowest levels of authority. The balance of this Chapter describes the principles on which the C2 of Allied joint operations are based.

Command and Control Terminology

0605. The terms command and control are closely related and regularly used together; however, they are not synonymous:

a. **Command**. Command is the authority vested in an individual by the Alliance to direct, coordinate or control armed forces. It can be described (but not defined)[1] as the process by which a commander impresses his/her will and intentions on

[1] See the Lexicon for the AAP-6 *NATO Glossary of Terms and Definitions* definition.

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subordinates to achieve particular objectives. It encompasses the authority and responsibility for deploying and assigning forces to fulfil their missions.

b. **Control**. Control is the authority exercised by a commander. It can be described (but not defined)[2] as the process through which a commander, assisted by the staff, organizes, directs and coordinates the activities of the forces assigned to implement orders and directives.

0606. To exercise C2 authority in joint operations, a joint force commander (JFC) and staff should use standardized procedures[3] and the Alliance's Communications and Information System (CIS). Together, these procedures and the CIS form a C2 system that the JFC, the joint staff and their subordinates use to plan, direct, coordinate, control and support operations.

Principles of Joint and Multinational Command

0607. **Unity of Command**. At the military strategic, operational and tactical levels of command, a fundamental tenet of C2 is unity of command, which provides the necessary cohesion for the planning and execution of operations; this was identified earlier as a significant part of a principle of operations – unity of effort. Command relationships, by which this authority is achieved, will be determined when a joint force is established. These relationships will acknowledge the constraints that may be placed on the use of national force components and supporting national assets and the extent of military activities of other authorities in a designated Joint Operations Area (JOA). As a minimum, a commander would normally have Operational Control (OPCON) over all NATO or attached forces within a JOA. When unity of command (for forces or agencies outside the Joint Force) cannot totally be achieved, unity of effort has to be assured by establishing clear coordination arrangements.

0608. **Continuity of Command**. Unity of command is further enhanced by the continuity of command for the duration of a campaign or major operation. In principle, 'he who plans should execute'; however, circumstances may not permit this. Command should be continuous throughout a campaign. The higher command authority, in consultation with operational commander, should arrange a succession of command; an operational commander should in turn arrange an alternate headquarters to meet operational contingencies.

0609. **Clear Chain of Command**. The structure of a C2 system is hierarchical and should be defined and understood by all levels of command, so that at every level there is a complete understanding of command responsibilities up and down the hierarchy. Where necessary and appropriate, direction and orders to a subordinate commander may include tasks for specific force elements, subject to any limitations imposed by nations.

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[2] See Lexicon.

[3] The various degrees of command (Operational Command (OPCOM), Operational Control (OPCON), Tactical Command (TACOM) and Tactical Control (TACON)) and delegated authority at different levels are defined in AAP-6 and described fully in AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.

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0610. **Integration of Command**. The command structure should ensure that the capabilities of the nations, or those of several nations, can be brought to bear decisively to achieve the Commander's operational objectives in the most effective way. Component commands, to which national contingents contribute, are normally environmental or functional, but the specific task organization will be 'tailored' to each operation by the higher command. Integration between components is strengthened by a clear chain of command. If separate single national contingent headquarters are required, they should be established to complement the joint force chain of command. An efficient and comprehensive liaison structure, linking the Joint Force Headquarters, all force elements and other organizations, such as non-governmental organizations (NGOs) or international organizations (IOs), is an essential element of the C2 structure.

0611. **The Manoeuvrist Approach**. The Manoeuvrist Approach focuses on shattering the adversary's overall cohesion and will to fight, rather than his materiel. It is an **indirect** approach, which emphasizes targeting the adversary's moral component of fighting power rather than the physical. The approach involves a combination of lethal and non-lethal means to create effects, which shape an adversary's understanding, undermine his will and shatter his cohesion. It aims to apply strength against identified vulnerabilities. Significant features are momentum, tempo and agility, which in combination lead to shock and surprise. It calls for an attitude of mind in which doing the unexpected, using initiative and seeking originality is combined with a relentless determination to succeed. It is applicable to all types of military activities across the spectrum of conflict. It:

a. Emphasizes defeat and disruption of the adversary rather than, for example, taking ground for its own sake and depends on the precise application of force against identified points of weakness.

b. Aims to defeat the adversary's will and desire to continue by seizing the initiative, and applying constant and unexpected pressure at times and places which the adversary least expects.

In combat, the Manoeuvrist Approach invariably includes elements of movement, firepower and positional defence. There will usually be a requirement to fix the adversary, to deny him access to routes and objectives, and secure vital ground and key points. However, any such defensive measures should only be seen as part of the means to the end, which is the adversary's defeat. The Manoeuvrist Approach is underpinned by centralized planning and decentralized execution that promotes freedom of action and initiative – Mission Command.

0612. **Mission Command**. A commander's responsibility for mission accomplishment is total, but delegation of authority to subordinates and their responsibility to act in support of the higher commander's intentions are included in the principle of decentralization. Through mission command, commanders generate the freedom of action for subordinates to act purposefully when unforeseen developments arise, and exploit favourable opportunities. Mission command encourages the use of initiative and promotes timely decision-making. Commanders who delegate authority to subordinate commanders need to state clearly their

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intentions, freedoms and constraints, designate the objectives to be achieved and provide sufficient forces, resources and authority required to accomplish their assigned tasks. Although the emphasis given to a mission command style in the doctrine and practice of different services and nations may differ, commanders and their staffs should employ the principle of mission command. Successful mission command has the following prerequisites:

a. Commanders and staffs should concern themselves primarily with joint operational matters, taking account of component issues only as necessary.

b. The subordinate commander must understand fully the operational commander's intentions and what he is required to achieve, and be free to exercise initiatives based on that understanding, within a minimal level of control imposed from the higher level of command.

c. There should be an active involvement in the doctrine development process by the nations and a common understanding of the operational doctrine governing the employment of forces. The latter is achieved through education, training and exercises.

d. Trust (total confidence in the integrity, ability, and good character of another) is one of the most important ingredients in building strong teams. Trust expands the commander's options and enhances flexibility, agility, and the freedom to take the initiative when conditions warrant. Trust is based on the mutual confidence that results from the demonstrated competence of each member of the team. The opportunity to observe each member's capabilities in training builds trust and confidence in a Joint Force.

0613. In stating his intent, the Commander provides subordinates with the freedom to operate within the broader context of the mission, rather than within the restrictions of a particular CONOPS or scheme of manoeuvre. The Commander's Intent provides subordinates with the flexibility to adapt their actions to achieve success. By focusing on the end-state rather than sequential events, it allows Commanders to operate with increased speed and confidence in decision-making. This allows subordinate forces, and hence the whole force, to operate faster, and with greater agility, than the adversary, which keep him off-balance and unable to respond coherently. This end-state focus supports the initiative of Commanders at all levels by freeing them to focus on the desired results, even when the CONOPS should be adapted to changing events, when communications are disrupted, or additional guidance or directives are lacking. The Commander's Intent also provides subordinates with the platform to develop a vision of their end-state, as it supports that of the force as a whole.

0614. Without unity of effort and the necessary trust to plan and execute a joint and multinational campaign or major operation, there can be little chance of success. Shared operational understanding of the problem and environment couples with a mutual understanding of

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strengths and weaknesses provides the foundation of cooperation and trust, which is vital in the planning and successful execution of joint and multinational operations. This should stem from the highest levels. Mutual understanding also rests on a common application of joint doctrine. Familiarity with the procedures of each service and nation is best achieved through joint and multinational training. A common approach should be inherent in thought and practice; joint and multinational training should be undertaken whenever possible, but it is particularly important, should time be available, prior to any operation. The greater the degree of standardization (in terms of both equipment and doctrine), the better the prospects are for fruitful cooperation, mutual understanding, and ultimately, for success.

Command and Control Responsibilities

0615. **Allied Command Authority**. SACEUR will always be in the chain of command for a NATO-led operation. The actual operational chain of command best suited for the planned mission and the specific force structure will be approved by the appropriate political level. SACEUR is ultimately responsible for all operational matters, coordinating logistic support, rotation of units and manpower for extended deployments and for providing the operational interface at the political/military level in NATO Headquarters. When developing the military-strategic OPLAN, SACEUR should:

a. Recommend to the Military Committee (MC) the most appropriate command structure/arrangement to satisfy the operational requirement. In doing so, SACEUR might nominate a Joint Force Command/Joint Headquarters, or Joint Force Command/Joint Headquarters-based CJTF Headquarters to lead the operation as the operational commander (in which case some of the tasks that follow might be delegated) and appropriate Component Commanders (CC).

b. Propose a commander and specify his command authority to the MC.

c. Define a JOA for approval through the MC.

d. Issue, after the approval of the strategic COPs, Commander's Planning Guidance to the operational commander. This should specify the tasks to be accomplished, the scope of action to be taken and the degree of authority granted to him as a supported commander.

e. Establish an intelligence architecture linking NATO Headquarters with national intelligence centres to provide the JFC with a common, timely and accurate picture of the situation during all phases of the campaign.[4]

f. Recommend to the MC, based on the commander's needs and the development of the operation, the appropriate force and C2 architecture to accomplish the mission. In consultation with Headquarters NATO, develop sustainment requirements and request support from national authorities and international entities to support the joint

[4] See AJP-2.1, *Allied Joint Doctrine for Intelligence Procedures*.

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force by sending Activation Warning and Activation Request messages for action by nations. Following receipt of national responses, coordinate the force balancing process with nations and establish the supporting deployment architecture.

g. Recommend to NATO authorities the Rules of Engagement (ROE) to be used, based on the commander's needs and the development of the operation.

h. Obtain and promulgate diplomatic clearances.

i. Establish a Status of Forces Agreement (SOFA) or Memorandum of Understanding (MOU) with Host Nations (HNs) as appropriate.[5]

j. Establish an integrated CIS linking Allied Command authorities, the commander, national, environmental and functional components and supporting commanders/authorities. The Command and Control Communication System (C2CS) should provide timely, reliable, interoperable and secure communications for planning, direction and control of the activities of the joint force.

k. Establish liaison as required for the conduct of operations.

l. Monitor the development of the situation and the commander's operation/campaign and provide the MC with appropriate information.

m. Formulate an Information Operations (Info Ops) policy for the joint force based on the North Atlantic Council (NAC)-agreed NATO Information Strategy.[6]

n. Formulate a Public Affairs (PA) policy, based on the NAC-agreed NATO Information Strategy, including Master Media Messages and tasks, for the joint force.[7]

0616. **The Operational Commander**. The Commander should be appointed as early as possible so that he can have the greatest influence on the way in which the campaign is constructed. On appointment, he will be given formal or informal guidance from SACEUR.[8] In addition, he will usually receive a series of briefings produced by an Operational Planning Group (OPG)[9] as part of the first stage of the NATO Operations Planning Process (OPP).

0617. At this point, he will be the focus of attention and there will be a number of competing demands placed on him. He will be receiving a flood of information from a wide range of sources and there will be some key issues that he must address:

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[5] See AJP-3, *Allied Joint Doctrine for the Conduct of Operations*, for detail.
[6] See MCM 41/10 dated 20 July 2010 and NATO StratCom Policy PO(2009)0141.
[7] MC 0457/1 2007 – NATO military policy on Public Affairs.
[8] SACEUR's Military Assessment, see AJP-5.
[9] A J5-led planning group drawn from the wide range of expertise available in the headquarters, together with external expertise drawn from other headquarters, including subordinate headquarters, operational analysis and agencies. See AJP-5.

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a. How does he completely analyse this problem so that he fully understands it?

b. Who is dealing with what?

c. What work has been produced and what is in hand?

d. Who are the key personalities?

e. How does he get the right information feeds?

0618. The nominated operational commander will:

a. Exercise the command and control (normally OPCON), as delegated by SACEUR/Joint Force Command Headquarters, over all force components provided to him. The commander should also exercise coordinating authority over all forces remaining under national control that are operating in or transiting a JOA. Coordinating authority should be granted for, as a minimum, security, positioning and reporting, logistics, movement control and ROE.

b. Determine, in coordination with the providing commands and authorities, the joint command organization that is best suited to undertake the campaign (i.e., the need for the establishment of CCs, supporting boards, agencies etc).

c. Assign, within the limits of his C2 authority, tasks to CCs as required to accomplish their objectives and approve their CONOPS.

d. Establish liaison with the commands and authorities operating in support of the campaign or independently in a JOA, as well as between the components of the force.

0619. Time, inevitably, will be short and he cannot do everything and be everywhere. His intellectual effort in these early stages is critical and he must do for himself, or control, those activities where his experience and expertise are most relevant. It is imperative that his team is quickly gathered and given clear and early direction, including priorities, to achieve focus and purposeful work. The key staff are: the Chief of Staff (COS); Deputy Chief of Staff (DCOS); Assistant Chief of Staff (Plans and Policy) (ACOS Plans and Policy); Legal Adviser (LEGAD) and Political Adviser (POLAD).

0620. **Supported/Supporting Relationships in Joint Operations**. With the wide range of operational requirements to be covered with minimal assets, the execution of NATO military operations will often be guided by supported/supporting relationships when one organization should aid, protect, complement or sustain another force. This key relationship provides the establishing authority with an effective means of weighting the phases and sub-phases of operations with a subordinate commander typically receiving support from, and providing support to, other commanders. The number and importance of these relationships, in particular that support provided to a supported commander tasked with achieving the

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operational commander's primary objectives in an operation, require the close attention of the operational commander and his subordinate commanders in the planning and execution of operations.

0621. The supported/supporting relationship principle allows the strengths and capabilities of the headquarters and forces of the military command structure to complement each other to best overall effect. Within a force, components or elements can support, or be supported for the achievement of a particular task. Subordinate commanders may be supported and act as supporting commanders concurrently. The supported/supporting relationship is not a command relationship, but is a operational command-directed relationship through which the mission requirements of supported commanders are met.

0622. A subordinated commander will normally be assigned responsibility for achieving the primary objectives or for a specific phase of an operation, and thus may be the designated supported commander for all mission elements. He then has the primary responsibility for execution of the military tasks assigned by the operational commander, and the authority for the general direction of the supporting effort. At the operational level, it may be more appropriate to designate different supported commanders for different mission areas.

Section II – The Nature of Operational Level Command

0623. **The Personal Dimension**. Command at the operational level, where the stakes are high, requires a combination of cerebral, moral and physical qualities. Command is personal and different types of commanders are required for different circumstances; there is no unique formula or right combination of qualities. Important though a commander's personal qualities may be, it is by his actions that he will invariably be judged. It is important, therefore, that strategic level commanders have a choice of whom they select for operational level command to fit the circumstances. To be effective, an operational level commander should have at least the confidence of his superiors and subordinates and his allies to get the job done. In other circumstances trust, the ability to build or contribute to a disparate coalition may be more valuable. Ideally, a combination of trust and confidence is required. These difficult considerations may also affect the tasks an operational level commander gives his subordinates and are especially sensitive in a multinational context.

0624. The Alliance approach to command described in Section I emphasizes initiative and determination to succeed. These themes relate directly to command at the operational level and are worthy of emphasis:

a. The commander who endeavours to outwit his opponent is the one most likely to achieve success on operations, remembering always that he is seeking to surprise and confuse the adversary, not his own command. The use of imagination and innovation to be unpredictable has enormous potential benefits, but is completely reliant on a true understanding of the opponent.

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b. He should be calm and cool-headed when the situation is confused and the effects of friction are at their greatest. High personal morale and a spirit that triumphs in the face of adversity are valuable qualities.

c. The ability to think quickly and take difficult decisions is the mark of a strong commander and rests on the ability to cut to the essentials, plus a timely recognition of the circumstances and moment demanding a new decision. Although judging when to make a quick decision is important, so is recognising when not to.

d. The approach requires commanders who seek the initiative, who act boldly, identifying and exploiting fleeting opportunities while balancing the potential pay-off with the risk involved.

e. Once engaged, his focus must be on achieving his object come what may. In a confused and highly charged situation, the will to win calls for determination and relentlessness: an ability to drive through difficulties, to be strong willed, but not stubborn. Important as slick and effective operational procedures and clear doctrine are, fundamental is the generation and fostering of fighting spirit.

0625. **Joint and National Considerations**. Having spent the majority of his career in a single Service, it is inevitable that the operational level commander will be conditioned by the ethos and culture of his own Service and nation. His leadership style will have been adapted to the particular needs of his Service and his understanding of one of the components will be greater. His training and education, although increasingly joint at later stages, will have been focused on enabling him to be an effective member of his own national Service, for nations recognize that for an officer to be effective in the joint environment requires professionalism in his parent Service. Under stress, he may revert to familiar patterns or language (the 'comfort zone'), which may be unfamiliar to others and cause some misunderstanding. The commander should recognize this, as should his subordinate commanders and his staff, and adjust accordingly. This is not a difficult or complicated issue, simply an aspect of command relationships in a joint environment that should be recognized and accommodated.

0626. **The Multinational Dimension**. It is very difficult to lead another nation's forces. Welding together the elements of a multinational force into an effective team is the responsibility of the operational level commander and requires political acumen, patience and tact. Allies will often have a different reason for being there and there is no place for prejudice or preconceptions.

a. An understanding of relative strengths and weaknesses (contingent capabilities) and national political objectives and perspectives is essential, as well as a deeper feeling for the effect of previous wars and operations on national ethos and culture, to understand the deeper reasons behind national caveats.[10] The commander should

[10] National caveats are essentially vetoes over possible or actual aspects of the operation in which a nation will not agree to participate.

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balance the capabilities of his force elements and play to their strengths, consistent with national constraints. At the same time, he should balance the burden and risk sharing in order to ensure that no one nation either sustains a disproportionate loss of life or, conversely, receives disproportionate credit, both of which may weaken the cohesion of the alliance or coalition.

b. The approach to this problem will depend largely upon personalities, but success is more likely if, within the coalition, all problems are addressed within the context of the military strategic objectives and, specifically, the operational or campaign plan. If it can be established that although political problems may exist, the real task of the commander and his allied subordinates is to produce a military solution to a military problem, cooperation can still be maximised without offending national sensitivities.

c. Cooperation is enhanced through knowledge, trust, mutual understanding and respect, the seeds of which are sown by contacts, liaison and exchange postings before the operation. Moreover, the operational level commander should do all he can to discuss military problems on an individual basis with Ministers and senior officers from contributing nations who visit the JOA.

0627. **The National Contingent Commander**. In an Alliance force, the commander would have to take note of the views of the National Contingent Commanders (NCC). The NCC is a 'fighting commander', indeed he may occupy a key position in the overall command hierarchy, but he is a key decision-maker and plays a pivotal role alongside the operational commander in building the coalition. Although the NCC does not share the same command responsibility or authority within the force as the operational commander, he should understand the operation to the same extent in order to provide effective advice and support.

a. In general terms,[11] the role of the NCC is to integrate his own national contingent[12] into the Alliance force, promoting cohesion, trust and understanding while implementing his own nation's policies and caveats. He would also act as a national figurehead; a conduit back to his nation on tactical incidents and operational developments; matters of support to, and force protection of, his contingent; and media issues.

b. The NCC will implement national caveats, although he will usually delegate elements to his national commanders within each component so that issues can be resolved early at lower levels, thus minimizing the overall impact on coalition cohesion. Any issues that are likely to cause friction should be identified beforehand and discussed with the operational commander in an effort to resolve the problem.

[11] Details in AJP-3.
[12] National approaches to the nomination and role of the NCC differ. Some nations appoint a separate NCC outside the force C2 structure, others 'dual-hat'.

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Section III – Command Relationships

0628. **Military**. In essence, the role of the operational commander is to ensure, wherever and whenever possible, that subordinate commanders are not distracted from their role in the planning and execution of the campaign or operation. This relies on mutual trust and complete frankness between the two. This relationship should be based on professional trust and mutual understanding between commanders to ensure unity of effort. A superior commander should not see his subordinates as a 'set' and should ensure that each has the necessary access to him and that he displays no national or single-Service preference. Subordinate commanders should be involved fully in the campaign planning process and allocated the necessary resources and freedom of action to achieve their mission. Subordinates should be confident in their superior commander's decisions and follow his direction in the understanding of its spirit. A clear grasp of the capabilities, strengths and weaknesses of each component and its constituents, and fostering a spirit of mutual understanding and trust, is critical to achieving success, and is a key task for the operational commander.

0629. **The Supported Regime**. Where a commander's mission is in support of another government, he will have a close relationship with the political and military elements of that regime. In some instances, these regimes will be fractured and unstable, or established by a peace agreement, and one of his key roles will be to support and empower them. This may require the establishment of liaison with various civilian factions, warlords and other paramilitary groups as well as NGOs that may be present on humanitarian or other missions. As such, it will be critical that he fully understands the political context in which he operates, for which he should draw on political advisers, legal advisers and CCs with relevant experience.

0630. **Political**. NATO may be invited to act in support of an internationally recognized organization such as the United Nations (UN) or Organization for Security and Co-operation in Europe (OSCE). In exceptional circumstances, the NAC may decide to take unilateral action. That authority will issue a mandate, for example a UN Security Council resolution, which provides direction and authority to the participants. If NATO agrees to support a mission under the auspices of another organization, the NAC retains the direction and authority for the deployment of NATO forces. The international organization will nominate a senior political authority in the JOA. In the case of the UN, this individual will normally be designated as the Special Representative of the Secretary General (SRSG), while in the case of the OSCE the designation will be Head of Mission and in other cases a High Representative. The senior political authority will coordinate with the activities of all elements in theatre to achieve coherent progress towards the political end-state. NATO forces will be one of those elements, with a military strategic objective and OPLAN approved by the NAC, which contributes towards achievement of the political end-state. While the NAC always remains the political authority for NATO forces, the operational commander will need to liaise closely with the senior political authority to ensure unity of effort for the overall mission.

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Section IV – Decision-Making at the Operational Level

0631. Effective decisions are critical to operational success. The operational commander alone makes the decisions and his focus should be on the quality, timing, and the understanding of that decision by subordinates and staff, rather than the method used to reach the decision.

0632. **The Decision-Making Process**. Even when a very rapid decision is required, some method in the decision-making process is essential. Commonly understood decision-making tools enable commanders and staffs to work together effectively, in particular when headquarters are assembled at short notice. The 4 stages of the decision-making process are:

a. **Direction**. The operational level commander's first act should be to determine the nature of the decision required and the time available to him in which to make it. He then needs to issue sufficient planning guidance to his staff and subordinates to set in hand all the action required to enable him subsequently to arrive at his decision in an orderly and timely fashion.

b. **Consultation**. In the second stage, if time allows, consultation occurs at 3 levels:

(1) Upwards to the strategic level commander to seek guidance if required and to ensure he is kept abreast of the operational level commander's intentions and vice-versa.

(2) Sideways, in particular to senior national representatives and diplomatic staff, other organizations and his own specialist advisers and senior staff.

(3) Downwards to his CCs to ensure that they understand his decision, have the opportunity to contribute to it and feel a sense of ownership of it.

c. **Consideration**. Before reaching his decision, the operational commander should consider the contributions of his CCs and the work of his staff from the direction stage, and then apply his judgement, influenced by any consultation upwards that has been possible.

d. **Decision and Execution**. The operational commander should make decisions personally and express these decisions clearly and succinctly; this is the cornerstone of effective command. Thereafter, he should ensure that his direction is disseminated in the manner he requires and that his decision is executed correctly.

0633. **The Process in Practice**. Consultation, consideration and decision-making will frequently be compressed and activities undertaken concurrently rather than consecutively. The time by which a decision has to be taken may be self-evident from the circumstances but, if not, it should be clearly established during the direction stage. Consultation and consideration may become inseparably blended, leading to decisions being taken on the spot. Reaching a decision will invariably involve the operational commander exercising his own judgement on incomplete information. Risk cannot be avoided; to wait in hopeful anticipation of

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complete clarification will result in paralysis. The risk can be reduced if critical information requirements are identified early in contingency planning in both peacetime and the lead-up to conflict and regularly refined by the operational level commander. Commanders should possess the judgement to know what to delegate and to whom. They should be clear that whilst they may delegate their authority, they always retain responsibility.

0634. **Decision-Making in a Multinational Environment**. Effective decisions in a multinational environment can be viewed as a combination of quality thinking and acceptance. In a situation where many nations are present, the importance of acceptance and the difficulty of performing quality thinking quickly are obvious, particularly in a headquarters that may be *ad hoc* or inexperienced. The key is not to wait until the decision has been made before working on acceptance, but to obtain early agreement by as much collaborative planning as is possible.

0635. **Understanding the Nature of the Problem**. It is only by understanding the true nature of the problem that the commander will be able to make the high quality decisions required of him. Strategic guidance, knowledge development, the operational estimate and the result of the intelligence process will help the commander in this respect. However, a true understanding of the intangible and wider factors surrounding the issue will come only from research, study, visits and discussions with key military and non-military people. Some of this will come from previous experience but this insight should be developed rapidly from the moment the operational commander is appointed and continues throughout the campaign. Developing an instinctive awareness of the operational environment will help the commander in deciding when to make decisions and in the making of those decisions.

Section V – The Mechanics of Command

0636. **Command, Control and Communications Architecture**. The Alliance's command architecture is explained in AJP-3. It sets out the standard arrangements for command and control of joint operations. However, it is only one approach and should not be applied rigidly. The major considerations when deciding on, and subsequently adjusting, the C2 architecture both external to and within a force are detailed in a non-exhaustive list. Internal and external C2 architectures are closely interlinked and should be considered as a set. Although the operational commander may not have any influence on the arrangements, he should understand the reasoning behind the in-place arrangements.

a. **The Problem**. The operational commander should consider the scale, nature, range and likely duration of the operation, noting especially that the problem will continue to evolve. Concurrency may also be an issue; there may be a number of operations running, at different states of maturity and with different profiles.

b. **Influence**. The identification of the point (or points) where the greatest influence can be brought to bear is vital in a multinational operation. It will not always be self-evident, and it will fluctuate as the operation develops. Once identified, the best

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approach should be decided, bearing in mind that what works for one level may not be appropriate elsewhere.

c. **Command**. The operational commander should decide where and how best to exercise command of the force within the Alliance's command philosophy. This philosophy, described in Section I, highlights the importance of Mission Command.

d. **Communications**. Another factor is the capacity of the available CIS assets, including any redundancy. In principle, modern CIS assets enable the implementation of a reach-back capability and will enhance information exchange and support decision making. However, even with modern communications there will be occasions where face-to-face discussions are required. Whatever the situation is, communications should enable the exercise of C2 to the maximum possible.

0637. **A Commander's Relationship with his Staff**. The force of the commander's personality, leadership, command style and general behaviour will have a direct bearing on the morale, sense of direction and performance of his staff. Thus, commanders should:

a. Set standards and be clear as to what they expect from the staff.

b. Create and maintain a climate that encourages subordinates to think independently and to take the initiative. Encourage timely action. Ensure that the staffs understand that they serve those subordinate to them.

c. Create a climate of mutual loyalty and respect rather than one that is sycophantic and unquestioning, the ability to tolerate 'loyal opposition'.

d. Foster a sense of involvement in decision-making and of shared commitment; empower where appropriate. Pay particular attention to the delegated authority and responsibility within the core team (Chief of Staff, Assistant Chief of Staff (Plans and Policy), Deputy Chief of Staff, Political Adviser, Legal Adviser, Chief Public Affairs Officer and the Deputy Commander if one is present).

In response, the first duty of the staff, at any level, is to assist the commander in decision-making by acquiring, analysing, and coordinating information, and most importantly, presenting essential information to the commander with a recommendation so that he can make the best decision.

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LEXICON

PART I – ACRONYMS AND ABBREVIATIONS

The Lexicon contains abbreviations relevant to AJP-01(D) and is not meant to be exhaustive. The definitive and more comprehensive list of abbreviations is in AAP-15.

AAP	Allied Administrative Publication
ACO	Allied Command Operations
ACOS	Assistant Chief of Staff
ACT	Allied Command Transformation
AFL	Allied Force List
AJP	Allied Joint Publication
AOI	Area of Interest
AOO	Area of Operations
AOR	Area of Responsibility
C2	Command and Control
C2CS	Command and Control Communication System
C2IS	Command and Control Information Systems
C3I	Command, Control, Communications and Intelligence
CAOC	Combined Air Operations Centre
CBRN	Chemical, Biological, Radiological and Nuclear
CC	Contact Countries/Component Commander(s)
SCEPC	Senior Civil Emergency Planning Committee
CCIR	Commander's Critical Information Requirement
CEP	Civil Emergency Planning
CIMIC	Civil-Military Cooperation
CIS	Communication and Information System
CJSOR	Combined Joint Statement of Requirement
CJTF	Combined Joint Task Force
COA	Course of Action
COG	Centre of Gravity
COMCJTF	Commander Combined Joint Task Force
CONOPS	Concept of Operations
COP	Contingency Plan
COPD	Comprehensive Operations Planning Directive
COS	Chief of Staff
CPG	Commander's Planning Guidance
CRM	Crisis Response Measure
DC	Decisive Condition

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DCOS	Deputy Chief of Staff
DDR	Disarmament, Demobilisation, Reintegration
DF	Deployable Force
DGIMS	Director General of the International Military Staff
DJSE	Deployable Joint Staff Element
DJTF	Deployable Joint Task Force
DPPC	Defence Policy and Planning Committee
EAPC	Euro-Atlantic Partnership Council
EU	European Union
FDC	Force Designation Category
FLR	Force of Lower Readiness
FP	Force Protection
GRF	Graduated Readiness Force
HN	Host Nation
HNS	Host-Nation Support
HRF	High-Readiness Force
IA	Irregular Activity
ICI	Istanbul Cooperation Initiative
I&W	Indications and Warning
IMS	International Military Staff
Info Ops	Information Operations
IO	International Organisation
IPF	In-Place Force
IS	International Staff
JHQ	Joint Headquarters
JFACC	Joint Forces Air Component Commander
JFC	Joint Force Commander
JFLCC	Joint Forces Land Component Commander
JFMCC	Joint Forces Maritime Component Commander
JOA	Joint Operations Area
LEGAD	Legal Adviser
LTBF	Long-Term Build-Up Force(s)
MC	Military Committee
MIC	Media Information Centre
MO	Military Outreach

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MOE	Measure of Effectiveness
MOU	Memorandum of Understanding
MRO	Military Response Option
MSO	Military Strategic Objective
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organisation
NA5CRO	Non Article 5 Crisis Response Operations
NCC	National Contingent Commander
NCRS	NATO Crisis Response System
NCRSM	NATO Crisis Response System Manual
NCS	NATO Command Structure
NFS	NATO Force Structure
NGO	Non-Governmental Organization
NID	NAC Initiating Directive
NIWS	NATO Intelligence Warning System
NMA	NATO/National Military Authority
NPG	Nuclear Planning Group
NRF	NATO Response Force
NSHQ	NATO Special Operations Headquarters
ODC	Operational Design Concepts
OPCOM	Operational Command
OPCON	Operational Control
OPG	Operational Planning Group
OPLAN	Operation Plan
OPP	Operations Planning Process
OPSEC	Operations Security
OSCE	Organization for Security and Cooperation in Europe
PA	Public Affairs
PC	Political Committee
PCG	Policy Coordination Group
PfP	Partnership for Peace
PME	Political-Military Estimate
POLAD	Political Adviser
PSO	Peace Support Operation
RDL	Representational Disposition List
RFI	Request for Information
RFL	Representational Force List
ROE	Rules of Engagement
ROEREQ	Rules of Engagement Request
SACEUR	Supreme Allied Commander Europe

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SACT	Supreme Allied Commander Transformation
SC	Strategic Command(er)
SCEPC	Senior Civil Emergency Planning Committee
SDP	Standing Defence Plan
SHAPE	Supreme Headquarters Allied Powers Europe
SOF	Special Operations Force
SOFA	Status of Forces Agreement
SOR	Statement of Requirements
SPC	Senior Political Committee
SRSG	Special Representative of the Secretary General (UN)
SSR	Security Sector Reform
SUPLAN	Support Plan
TACOM	Tactical Command
TACON	Tactical Control
UN	United Nations
UNSC	United Nations Security Council
WMD	Weapon of Mass Destruction

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PART 2 – TERMS AND DEFINITIONS

Terms and Definitions either *modified* or introduced by AJP-01(D) are annotated accordingly.

area of influence
A geographical area wherein a commander is directly capable of influencing operations, by manoeuvre or fire support systems normally under his command or control. (AAP-6)

area of intelligence responsibility
An area allocated to a commander in which he is responsible for the provision of intelligence, within the means at his disposal. (AAP-6)

area of interest
The area of concern to a commander relative to the objectives of current or planned operations, including his areas of influence, operations and/or responsibility, and areas adjacent thereto. (AAP-6)

area of operations
An operational area defined by a joint commander for land or maritime forces to conduct military activities. Normally, an area of operations does not encompass the entire joint operations area of the joint commander, but is sufficient in size for the joint force component commander to accomplish assigned missions and protect forces. (AAP-6)

area of responsibility
The geographical area assigned to the NATO strategic command Allied Command Operations. (This term and definition is being staffed within the context of this publication for ratification and will be proposed as a *modification* to the existing term in AAP-6)

asymmetric threat
A threat emanating from the potential use of dissimilar means or methods to circumvent or negate an opponent's strengths while exploiting his weaknesses to obtain a disproportionate result. (AAP-6)

campaign
A set of military operations planned and conducted to achieve a strategic objective within a given time and geographical area, which normally involve maritime, land and air forces. (AAP-6)

centre of gravity
Characteristics, capabilities, or localities from which a nation, an alliance, a military force or other grouping derives its freedom of action, physical strength, or will to fight. (AAP-6)

civil-military co-operation
The coordination and cooperation, in support of the mission, between the NATO Commander and civil actors, including the national population and local authorities, as well as international, national and non-governmental organisations and agencies. (AAP-6)

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combined
Adjective used to describe activities, operations and organisations in which elements of more than one nation participate. *See also multinational*. (AAP-6)

combined joint task force
A combined joint task force is a combined and joint deployable task force, tailored to the mission, and formed for the full range of the Alliance's military missions. (A *new* term and definition which is being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)

combined operation
An operation conducted by forces of two or more Allied nations acting together for the accomplishment of a single mission. *See also multinational*. (AAP-6)

command
1. The authority vested in an individual of the armed forces for the direction, co-ordination, and control of military forces.
2. An order given by a commander; that is, the will of the commander expressed for the purpose of bringing about a particular action.
3. A unit, group of units, organisation or area under the authority of a single individual.
4. To dominate an area or situation.
5. To exercise a command. (AAP-6)

communication and information system
Collective term for communication systems and information systems. (AAP-6)

component command
1. In the NATO military command structure, a third-level command organization with specific air, maritime or land capabilities. It is responsible for region-wide operational planning and conduct of subordinate operations as directed by the NATO commander.
2. A functional component command or environmental component command responsible for the planning and conduct of a maritime, land, air, special or other operation as part of a joint force. (This term and definition is being staffed within the context of this publication for ratification and will be proposed as a *modification* to the existing term in AAP-6)

component commander
1. A single-Service or functional component commander at the third level of the NATO military command structure.
2. A designated commander responsible for the planning and conduct of a maritime, land, air, special or other operation as part of a joint force. (AAP-6)

concept of operations
A clear and concise statement of the line of action chosen by a commander in order to accomplish his mission. (AAP-6)

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conduct of operations
The art of directing, coordinating, controlling and adjusting the actions of forces to achieve specific objectives. (AAP-6)

contingency plan
A plan which is developed for possible operations where the planning factors have been identified or can be assumed. This plan is produced in as much detail as possible, including the resources needed and deployment options, as a basis for subsequent planning. (AAP-6)

control
That authority exercised by a commander over part of the activities of subordinate organisations, or other organisations not normally under his command, which encompasses the responsibility for implementing orders or directives. All or part of this authority may be transferred or delegated. (AAP-6)

course of action
In the estimate process, an option that will accomplish or contribute to the accomplishment of a mission or task, and from which a detailed plan is developed. (AAP-6)

decisive condition
A combination of circumstances, effects, or a specific key event, critical factor, or function that when achieved allows commanders to gain a marked advantage over an opponent or contribute materially to achieving an operational objective. (A *new* term and definition which is being staffed within the context of this publication for ratification and will be proposed for inclusion in AAP-6)
Note: A combination of circumstances, effects, or a specific key event, critical factor, or function that when realised, allows commanders to gain a marked advantage over an opponent or contribute materially to achieving an operational objective.

decisive point
A point from which a hostile or friendly centre of gravity can be threatened. This point may exist in time, space or in the information environment. (AAP-6)

desired outcome
A favourable and enduring situation, consistent with political direction, reached through intervention or as a result of some other form of influence. (A *new* term and definition which is being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)

doctrine
Fundamental principles by which the military forces guide their actions in support of objectives. It is authoritative but requires judgement in application. (AAP-6)

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effect
A result, outcome or consequence of one or more actions or other causes, that will influence the physical or behavioural state of a system (or system elements) thereby contributing towards the realisation of one or more decisive points or conditions. (A *new* term and definition which is being staffed within the context of this publication for ratification and will be proposed for inclusion in AAP-6)

end-state
The political and/or military situation to be attained at the end of an operation, which indicates that the objective has been achieved. (AAP-6)

fires
The physical effects of lethal and non-lethal weapons. (A *new* term and definition which is being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)

force protection
All measures and means to minimize the vulnerability of personnel, facilities, equipment and operations to any threat and in all situations, to preserve freedom of action and the operational effectiveness of the force. (AAP-6)

functional command
A command organisation based on military functions rather than geographic areas. (AAP-6)

host nation
A nation which, by agreement:

a. Receives forces and materiel of NATO or other nations operating on/from or transiting through its territory;
b. Allows materiel and/or NATO organizations to be located on its territory; and/or
c. Provides support for these purposes. (AAP-6)

host-nation support
Civil and military assistance rendered in peace, crisis or war by a host nation to NATO and/or other forces and NATO organisations which are located on, operating on/from, or in transit through the host nation's territory. (AAP-6)

impartiality
An operation that impartially makes use of diplomatic, civil and military means, normally in pursuit of United Nations Charter purposes and principles, to restore or maintain peace. Such operations may include conflict prevention, peacemaking, peace enforcement, peacekeeping, peace building and/or humanitarian operations.' (AAP-6)

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influence activities
The capability or perceived capability to affect the understanding and thus the character or behaviour of an individual, group or organisation. (A *new* term and definition which is being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)

intelligence
The product resulting from the processing of information concerning foreign nations, hostile or potentially hostile forces or elements, or areas of actual or potential operations. The term is also applied to the activity which results in the product and to the organisations engaged in such activity. (AAP-6)

interoperability
The ability to operate in synergy in the execution of assigned tasks. *Related term: standardisation.* (AAP-6)

irregular activity
The use or threat of force by irregular forces, groups or individuals, frequently ideologically or criminally motivated, to effect or prevent change as a challenge to governance and authority.' (A *new* term and definition which is being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)
Note: Irregular activity could include a mix of insurgency, terrorism, criminality, disorder and illegitimate regimes.

joint
Adjective used to describe activities, operations, organisations in which elements of at least two services participate. (AAP-6)

joint operations area
A temporary area defined by the Supreme Allied Commander Europe, in which a designated joint commander plans and executes a specific mission at the operational level of war. A joint operations area and its defining parameters, such as time, scope of the mission and geographical area, are contingency - or mission-specific and are normally associated with combined joint task force operations. (AAP-6)

line of operation
In a campaign or operation, a line linking decisive conditions in time and space on the path to the centre of gravity. (This term and definition is being staffed within the context of this publication for ratification and will be proposed as a *modification* to the existing term in AAP-6)

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logistics
The science of planning and carrying out the movement and maintenance of forces. In its most comprehensive sense, the aspects of military operations which deal with:

a. Design and development, acquisition, storage, movement, distribution, maintenance, evacuation, and disposal of materiel.
b. Transport of personnel.
c. Acquisition or construction, maintenance, operation, and disposition of facilities.
d. Acquisition or furnishing of services.
e. Medical and health service support. (AAP-6)

measurement of effectiveness
The assessment of the realisation of specified effects. (A *new* term and definition being staffed for ratification within the context of this publication, and will be proposed for inclusion in AAP-6)

military strategy
That component of national or multinational strategy, presenting the manner in which military power should be developed and applied to achieve national objectives or those of a group of nations. (AAP-6)

mission
1. A clear, concise statement of the task of the command and its purpose.
2. One or more aircraft ordered to accomplish one particular task. (AAP-6)

multinational
Preferred term: combined. (AAP-6)

national command
A command that is organised by, and functions under the authority of, a specific nation. It may or may not be placed under a NATO commander. (AAP-6)

national commander
A national commander, territorial or functional, who is normally not in the Allied chain of command. (AAP-6)

national component
Any national forces of one or more services under the command of a single national commander, assigned to any NATO commander. (AAP-6)

NATO military authority
The Military Committee, the Supreme Allied Commander Europe or the Supreme Allied Commander Transformation. (AAP-6)

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operation
A military action or the carrying out of a strategic, tactical, service, training, or administrative military mission; the process of carrying on combat, including movement, supply, attack, defence and manoeuvres needed to gain the objectives of any battle or campaign. (AAP-6)

operation order
A directive, usually formal, issued by a commander to subordinate commanders for the purpose of affecting the coordinated execution of an operation. (AAP-6)

operation plan
A plan for a single or series of connected operations to be carried out simultaneously or in succession. It is usually based upon stated assumptions and is the form of directive employed by higher authority to permit subordinate commanders to prepare supporting plans and orders. The designation 'plan' is usually used instead of 'order' in preparing for operations well in advance. An operation plan may be put into effect at a prescribed time, or on signal, and then becomes the operation order. (AAP-6)

operational art
The employment of forces to attain strategic and/or operational objectives through the design, organisation, integration and conduct of strategies, campaigns, major operations and battles. (AAP-6)

operational command
The authority granted to a commander to assign missions or tasks to subordinate commanders, to deploy units, to reassign forces, and to retain or delegate operational and/or tactical control as the commander deems necessary. (AAP-6)
Note: It does not include responsibility for administration.

operational control
The authority delegated to a commander to direct forces assigned so that the commander may accomplish specific missions or tasks which are usually limited by function, time, or location; to deploy units concerned, and to retain or assign tactical control of those units. It does not include authority to assign separate employment of components of the units concerned. Neither does it, of itself, include administrative or logistic control. (AAP-6)

operational level
The level of operations at which campaigns and major operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations. (AAP-6)

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peace support operation
An operation that impartially makes use of diplomatic, civil and military means, normally in pursuit of United Nations Charter purposes and principles, to restore or maintain peace. Such operations may include conflict prevention, peacemaking, peace enforcement, peacekeeping, peacebuilding and/or humanitarian operations. (AAP-6)

readiness state
The measure of the capability of forces at a given point in time to execute their assigned missions. (AAP-6)

rules of engagement
Directives issued by competent military authority which specify the circumstances and limitations under which forces will initiate and/or continue combat engagement with other forces encountered. (AAP-6)

special operations
Military activities conducted by specially designated, organized, trained and equipped forces using operational techniques and modes of employment not standard to conventional forces. These activities are conducted across the full range of military operations independently or in coordination with operations of conventional forces to achieve political, military, psychological and economic objectives. Politico-military considerations may require covert or discreet techniques and the acceptance of a degree of physical and political risk not associated with conventional operation. (AAP-6)

standardization
The development and implementation of concepts, doctrines, procedures and designs in order to achieve and maintain the compatibility, interchangeability or commonality which are necessary to attain the required level of interoperability, or to optimise the use of resources, in the fields of operations, materiel and administration. (AAP-6)

strategic level
The level at which a nation or group of nations determines national or multinational security objectives and deploys national, including military, resources to achieve them. (AAP-6)

supported commander
A commander having primary responsibility for all aspects of a task assigned by a higher NATO military authority and who receives forces or other support from one or more supporting commanders. (AAP-6)

supporting commander
A commander who provides a supported commander with forces or other support and/or who develops a supporting plan. (AAP-6)

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sustainability
The ability of a force to maintain the necessary level of combat power for the duration required to achieve its objectives. (AAP-6)

tactical command
The authority delegated to a commander to assign tasks to forces under his command for the accomplishment of the mission assigned by higher authority. (AAP-6)

tactical control
The detailed and, usually, local direction and control of movements or manoeuvres necessary to accomplish missions or tasks assigned. (AAP-6)

tactical level
The level at which activities, battles and engagements are planned and executed to accomplish military objectives assigned to tactical formations and units. (AAP-6)

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