

**AJP-3 (B)**

**ALLIED JOINT DOCTRINE FOR**

**THE CONDUCT OF OPERATIONS**

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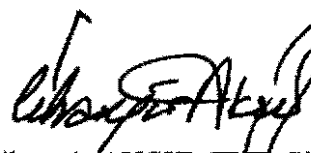
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**NORTH ATLANTIC TREATY ORGANIZATION**  
**NATO STANDARDIZATION AGENCY (NSA)**  
**NATO LETTER OF PROMULGATION**

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Cihangir AKSIT, TUR Civ  
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## RECORD OF CHANGES

<b>Change Date</b>	<b>Date Entered</b>	<b>Effective Date</b>	<b>By Whom Entered</b>

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## PREFACE

1. The successful execution of military operations requires a clearly understood doctrine, and this is especially important when operations are to be conducted by allied or coalition forces. Although Allied Joint Publication (AJP)-3 (B) '*Allied Joint Doctrine for the Conduct of Operations*' is intended primarily for use by NATO forces, the doctrine is equally applicable to operations conducted by a coalition of NATO with partners, non-NATO nations and other organizations.
2. AJP-3(B) is intended for use primarily by commanders and staff at operational level, but could be used at any level as a reference. This AJP describes the fundamental operational aspects of joint operations and provides guidance on the conduct of joint operations at the operational level. These operations are complex and contain all the different tasks that span the range of military operations, from humanitarian assistance to combat. Most operations will take place in all environments (maritime, land, air and space, information including cyberspace) while some will predominantly favour a single one, such as maritime. The level of joint participation may vary and is likely to include non-military agencies, institutions or organizations. The guidance is authoritative and as such this doctrine should be followed except when in judgement of the commander circumstances dictate otherwise.
3. The main difference between AJP-3(A) and AJP-3(B) is that this publication better reflects the linkage between the newly revised capstone joint doctrine document AJP-01(D), with which it should be used in conjunction. Further it better links to the other doctrinal keystone documents, especially the AJP-5 (under development), and the level 2 supporting joint doctrine publications.
4. The key theme in this publication remains: '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 the whole spectrum of conflict, from combat actions to humanitarian assistance. AJP 3(B) focuses on the synchronization and coordination of activities, during the preparation, execution and termination of an operation.

POC for AJP-3 (B) is Joint Doctrine Branch (NLD MOD, Comm: +31-70-316 7159, Email: [doctrine.cds@mindef.nl](mailto:doctrine.cds@mindef.nl) )

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## CHAPTER 1 – PRINCIPLES

### Section I – Introduction

0101. AJP-3(B) ‘*Allied Joint Doctrine for the Conduct of Operations*’ describes the fundamental principles of joint operations and provides guidance on the conduct of joint operations at the operational level.
0102. In seeking to conduct major operations, battles and engagements in pursuit of the strategic objective, the operational commander will design his operations around a number of key doctrinal elements. These elements will help him visualize how the campaign will unfold. The applications of such elements form the essence of operational art and they are described below.

### Section II – A Comprehensive Approach

0103. Nowadays, the complexity of operations is increased since a significant presence of non-military participants is more common than in the past. The Alliance seeks to achieve its objectives through a *comprehensive approach* that requires effective coordination and cooperation among national governmental departments and agencies, non-governmental organizations (NGOs), international organizations (IOs), and the private sector in any alliance or coalition throughout an entire operation. In all circumstances, the commander and his/her task force find themselves to be part of an inter-related network that extends upward to the strategic level, downward to the tactical level and laterally to a range of military and civilian groupings and organizations. In such complex multi-agency situations, which involve a multitude of civilian organizations and possibly a civilian political head of mission, military planning addresses only one element of the desired overall outcome. While it is unlikely that absolute consistency will be achieved between civilian and military activities, commanders should nonetheless encourage, as far as is militarily sensible, a comprehensive response.
0104. Although the implementation of a 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. **Proactive Engagement.** Proactive engagement between actors, if possible ahead of a crisis, enables coordinated approaches to complex situations and allows more sensitive responses. Significantly, this requires a shared approach to the collection and interpretation of crisis indicators and warnings in order to inform planning and increase the time available for reaction.
  - b. **Shared Understanding.** A shared understanding between parties, including the military, is essential to optimize the effectiveness of their various capabilities. Each contributes distinct professional, technical and cultural disciplines, together with

discrete values and perceptions, which offer additional perspectives, depth and resilience. Where possible, shared understanding should be engendered through cooperative working practices, liaison and education in between crises.

- c. **Outcome-based Thinking.** All NATO participants involved in crisis resolution need to base their thinking on outcomes and what is required to deliver a favorable situation, when planning and conducting activities. Leadership, cohesion and coherence will be required to ensure that all NATO actors work towards agreed objectives that are outcome-based and consistent with the various national strategic aims. NATO planning and activity should be focused on a single purpose and progress judged against mutually agreed measures of effectiveness.
- d. **Collaborative Working.** Institutional familiarity, generated through personal contact and human networking, enhances collaborative working and mutual trust. Integrated information management, infrastructure and connectivity enable information sharing, confidence building and common working practices across communities of interest, including shared review and reporting.

0105. Above all, a comprehensive approach requires those dealing with a crisis to be predisposed to cooperation and structured to develop a shared understanding of a situation and its dynamics. This approach should aid the formulation of an agreed collective intent and output-focused objectives, leading in turn to the implementation of mutually supporting activities. Where it is not possible to coordinate or regulate all participants, actions and effects, then steps should be taken to achieve deconfliction at least.

### Section III – The Operational Level of War

0106. Three levels of war are distinguished. At the strategic level, Allied forces are employed by SACEUR<sup>1</sup> within a political-military framework endorsed by the Military Committee (MC) and approved by the North Atlantic Council (NAC) in order to achieve the strategic objectives of the Alliance. At the tactical level, battles and engagements are planned and executed within an overall campaign. Between these levels, the operational level, on which this section focuses, is positioned.

0107. The levels of warfare provide a framework within which to rationalize and categorize military activity. This is also useful in clarifying the inter-relationships between the various levels, although these should not be seen as strictly hierarchical. The framework of strategic, operational and tactical levels recognizes the inevitable compression and blurring between them, and reflects their dynamic inter-relationship and non-linear interaction. For example, tactical events can have strategic repercussions, just as strategic decisions will inevitably have tactical implications.

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<sup>1</sup> MC 53/4 'Terms of Reference for the Supreme Allied Commander Europe (SACEUR)' April 2010



0108. The operational level of war is ‘the level at which campaigns and major operations are planned, conducted, and sustained to achieve strategic objectives within theatres or areas of operations’.<sup>2</sup> Activities at this level link tactics and strategy by establishing operational, or ‘campaign objectives’, needed to achieve the strategic objectives, sequencing events to achieve the operational objectives, initiating activities, and applying resources to bring about and sustain these events.
0109. **Predominant Campaign Themes and Types of Conflict.** Experience demonstrates that a wide range of military activities is required simultaneously, rather than a single focus or sequential progression. Campaign success is therefore likely to depend on understanding such simultaneity, how it evolves through the campaign, and how it affects the planning and execution of operations.
0110. Military operations occur across a spectrum of conflict. However no conflict will be at just one point on this spectrum. At any particular time there may be a humanitarian crisis in one place, an insurgency in another, and intense fighting between armoured forces nearby, while at any one location there may be house-to-house fighting one day, collection of forensic evidence the next day, and restoration of electricity and water supplies the day after, or a return to fighting. States of peace, tension, conflict and combat may be local or widespread, as well as transient or prolonged.
0111. As stated in AJP-01(D), 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 reconstruction, and enduring peace keeping. Boundaries between the outcomes sought over time (and hence the role of NATO forces) may be blurred; changes may be sudden and very obvious, or more gradual and even imperceptible. 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.
0112. Nevertheless, at the operational level it is possible to describe identifiable predominant themes. These predominant campaign themes are a guide and can only be the result of deep analysis of actors involved, their motivations, objectives and other purposes and the military and other tasks required.
0113. Future conflict is more likely to be characterised by an increased blurring of the distinctions between adversaries and also between their various modes of engagement. Discrete predominant campaign themes will overlap and merge. This complexity requires a more sophisticated, non linear model, with all types of conflict existing simultaneously, each coming to the surface at certain times.

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<sup>2</sup> AAP-6 ‘NATO Glossary of Terms and Definitions’.

0114. Predominant campaign themes are *combat*, *security* (operations to enable stabilization, including counter insurgency as probably the most demanding variant),<sup>3</sup> *peace support operations* and *peacetime military engagement*, explained in more detail in the subsequent paragraphs. The character of the campaign themes could demand different intellectual approaches and may require different force packages, though all themes consist of essentially the same range of military activities: *offensive*, *defensive*, *stability* and *enabling*.
0115. **Combat.** Major combat operations may arise from the direct defence of the NATO territory against a major aggressor or, more likely, during a large-scale military out of area intervention. This usually involves conventional force-on-force combat, of varying scale, frequency and intensity, between opposing states' armed forces. Belligerents act principally as instruments of NATO or national policy, are readily identifiable as combatants, and generally abide by the laws of armed conflict. Even major combat operations, however, may be exacerbated, perpetuated, or simply exploited by those seeking to benefit from instability, through insurgency, terrorism, criminality or disorder.
0116. Major combat tends to be characterized by a series of battles and major engagements with intense combat activity and high 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 prioritize resources and generate additional fighting power. Major combat operations often involve large-scale manoeuvre by complex and multi-faceted joint forces, organized and commanded as functional components.
0117. **Security (Operations to Enable Stabilization).** The transition from combat operations to defeat an opponent, to multi-agency stabilization operations to reestablish security, stability and prosperity underpinned by the rule of law and good governance is a critical period. It may be characterized by the achievement of specific end-states (such as absolute victory) but, more likely, by incremental conditions-based outcomes (albeit ones that reflect significant political imperatives, for example to achieve particular goals according to a set timetable). The mix of actors, and their respective motivations, is also likely to be complex and constantly changing. Conventional opponents, even once vanquished, may re-appear or be reinforced by irregular activists; the threat they pose must be countered often at the same time that legitimate indigenous governance and authority are being reestablished in order to address the underlying causes of internal conflict. In countering such irregular threats, a joint force commander (JFC) may also contribute to protecting, strengthening and restoring civil society and the rule of law.

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<sup>3</sup> See AJP-3.4.4 'Allied Joint Doctrine for Counterinsurgency' for details. Insurgency can be considered to be an irregular activity, carried out by an organised group or movement. This specific activity is part of a larger group of irregular activities, that all may be the cause of considerable threats to states and human societies, especially in the less stable regions of the world. Insurgency, however, may be considered to be the most fundamental activity, because of its nature and the character of its causes. It may use all other kinds of irregular activities in order to reach its desired end state. AJP-3.4.4 defines the term irregular activity as: 'Behaviour that attempts to effect or prevent change through the illegal use, or threat, of violence, conducted by politically, ideologically or criminally motivated non-regular forces, groups or individuals, as a challenge to authority.'

0118. Typically, irregulars operate against the armed forces, security agencies, national administration, civilian population and economic assets of established states. They do not conform to accepted national or international norms of behavior and use methods that are often perceived to be illegal, unethical or immoral in order to achieve their objectives. Identification of irregular activists is made difficult by the nature of their organization, the complex terrain and population within which they tend to operate, and their diverse character. For instance, an insurgency can take several constantly shifting forms, with the belligerents involved motivated by a mixture of ideology, disaffection and grievance, often bolstered by the belief that there is no alternative to their chosen course. The long-term goal should be to soothe the underlying tensions that led to the inception or resurgence of conflict, and to create the conditions for successful longer term development. The immediate military contribution, however, is likely to be to reestablish and maintain sufficient security for the local populace and civilian agencies to enable the stabilization process to advance. This involves preventing or containing violence, and protecting people and key institutions. The long-term goal is 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 requirement for military activity depends upon the context of the campaign and the ability and willingness of non-military organizations, such as IOs and NGOs, to operate, with appropriate protection, despite perceived security risks.
0119. In addition to providing security (until indigenous forces are capable of containing the residual threats), military forces may be required to support a broad range of other initiatives, such as security sector reform (SSR), capacity building, interim governance and restoration of essential services.
0120. **Peace Support**<sup>4</sup> Peacekeeping follows an agreement or cease-fire 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-defense. Typical peacekeeping activities include interposition and protection, the interim management of selected civil administration, and humanitarian assistance.
0121. Peace enforcement is also predicated on the existence of a cease-fire or peace agreement, but the level of consent and compliance is uncertain, and the threat of disruption is considered to be high. Consequently, military forces contributing to peace enforcement should be capable of applying credible coercive force, impartially, to apply the provisions of any peace agreement.
0122. **Peacetime Military Engagement.** Peacetime military engagement encompasses those military activities involving other nations that are intended to shape the peacetime environment (for example confidence building measures including, where appropriate, the

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<sup>4</sup> Commonly known as Peace Support Operation(s) (PSO); '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)

deployment of combat forces) to encourage local or regional stability. Routine activity, such as bilateral or multinational training and exercises, and the provision of advisers and specialist training teams, may have both an immediate and a longer-term cumulative impact, reinforcing cooperation and promoting stability. Military effort may also be required, quite separately, to support disaster relief and non-combatant evacuation operations (NEOs), focused on preserving the security of the civilian population.

0123. All types of military activities can be conducted simultaneously, although some may be sequential – such as attack followed by defence. The balance among types of military activity gives a campaign its predominant character; a combat campaign theme may consist primarily of offensive activities, while security has a complex mix of all 4 types and requires the measured application of offensive, defensive, stability and enabling tasks, cognisant of the effect one type of activity may have on the relative success of another. Stability tasks must be planned for and resourced prior to the commencement of any campaign, as it is an inevitable phase at a relatively early stage of any campaign.
0124. The importance of the range of military activities is to aid commanders and staffs in understanding that:
- a. Most major operations are comprised of a combination of activities.
  - b. The characteristics of operations change over time.
  - c. Campaigns are conducted not only to defeat a military opponent, but also to create the environment for transition to civil authority, and the military should be prepared to have a significant role in this effort, even after major hostilities have ended.

#### **Section IV – Principles of Allied Joint and Multinational Operations**

0125. An understanding of key principles for joint and multinational operations, which is based on warfighting theory and practical experience provide a foundation for doctrine development. These principles are not absolute and nations may place greater emphasis on some rather than others, but there is common agreement on their importance and relevance. For commanders the principles are important guidelines in forming and selecting a course of action and in commanding and controlling operations. The operational situation may demand greater emphasis on some of them rather than others; for example, the principles of surprise and concentration of force may have a different connotation in a stabilization operation than their application in the context of a full-scale combat operation.
0126. The principles are listed below. They are further described in AJP-01(D), Chapter 1.
- a. **Definition of Objectives.**
  - b. **Unity of Effort.**

- c. **Sustainment.**
  - d. **Concentration of force.**
  - e. **Economy of Effort.**
  - f. **Flexibility.**
  - g. **Initiative.**
  - h. **Maintenance of Morale.**
  - i. **Surprise.**
  - j. **Security.**
  - k. **Simplicity.**
  - l. **Multinationality.**
0127. In addition to the principles identified above, which apply to all operations, predominant campaign themes such as peace support, stabilization operations or humanitarian assistance may also require a number of additional considerations, which are further described in AJP-01(D), Chapter 1:
- a. **Impartiality.**
  - b. **Consent.**
  - c. **Restraint in the use of Force.**
  - d. **Perseverance/Long-term View.**
  - e. **Legitimacy.**
  - f. **Credibility.**
  - g. **Mutual Respect.**
  - h. **Transparency.**
  - i. **Freedom of movement.**
  - j. **Environmental Protection.**

## Section V – The Joint and Multinational Approach to Operations

0128. **Joint Approach.** An understanding of the capabilities and limitations of each component in a joint force is crucial to achieving ‘jointness’. The JFC applies his joint capabilities in time and space, with considerations of allocated forces, the civil environment, and information aspects to accomplish the mission. A joint operation endeavours to synchronize the employment and integration of the capabilities provided by land, maritime, air, space, cyber space, special operations and other functional forces.
0129. While a JFC may wish to influence the activities of non-military actors, to meet particular shared outcomes, this can only be achieved through dialogue rather than direction. In doing so, a JFC should acknowledge the distinctive cultures of different agencies; he should be aware of variations on such issues as priorities of effort, tempo, the acceptability of risk and rules of engagement (ROE). Irreconcilable differences may need to be referred up the chain of command for resolution at the strategic level. Where, ultimately, the situation precludes active cooperation, then a JFC should put in place mechanisms for coordination, or deconfliction as a minimum.
0130. A joint operation is oriented on the adversary’s strategic and operational centres of gravity (COGs), regardless of the environment.
0131. In the force generation process the capabilities needed for the operation are selected from the components on the basis of national capabilities and agreements to provide specific forces. Nations contributing in a task force (TF) would nominate forces, on a temporary basis, using mechanisms employed for NATO missions.
0132. **Maritime Component Contribution to Joint Operations.**<sup>5</sup> Maritime operations include any actions performed by surface, subsurface and/or maritime air forces to gain or exploit command of the sea, sea control or sea denial and/or to project power from the sea. Sea control may also include naval cooperation and guidance of shipping, protection of the sea lines of communication, blockades or embargoes against economic or military shipping and maritime interdiction operations. This includes operations to locate, classify and track surface vessels, submarines and aircraft and, if required, applying force against them. Amphibious operations with their inherent flexibility increase the commander’s options for manoeuvre.
0133. Maritime forces directly participate in operations ashore through the projection of power. They can enable or support missions ashore by influencing land operations through deterrence, sea basing of land assets, moving land forces into the operational area via sealift and/or providing access to the operational area. They also can be employed in littoral waters for the conduct of sea control or denial, and function as joint force or component command and control (C2) platforms. On the other hand, land-based forces can support maritime operations with surveillance, logistics, military engineering and air assets.

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<sup>5</sup> See AJP-3.1 ‘*Allied Joint Doctrine for Maritime Operations*’ for detail.

0134. **Land Component Contribution to Joint Operations.**<sup>6</sup> The nature of land operations reflects the diversities and complexities of the environment. The number and variety of participants, combatants, non-combatants, IOs, NGOs, observers (e.g. the media) and other interested parties, factions and agencies, with the potential for error, confusion and friction, will be greater in land operations than in other operations. This complexity requires an approach that emphasizes decentralized command, freedom of action, tempo and initiative, in order to contend with the multitude of activities and rapidly changing situations.
0135. Land forces roles normally entail the holding of terrain, destroying enemy forces, occupying territory and regaining lost territory. They need to be able to conduct simultaneously various types of operations, utilizing fires and manoeuvre to apply overwhelming combat power, achieve decisive results, protect the force, and facilitate future operations. A wide variety of missions may be executed, ranging from security tasks in support of stabilization activities and reconstruction efforts to combat operations. Furthermore, the impact of physical presence and intimate interaction achieved through proximity of land forces should not be underestimated. Land forces require substantial logistic supply, which normally requires sealift, airlift and ground transportation. The multiplicity of actors and the large number of functional land specialities that must be coordinated for the successful conduct of ground warfare make land operations complex.
0136. **Air Component Contribution to Joint Operations.**<sup>7</sup> Control of the air shapes the operational area wherein friendly operations can proceed at the optimum place and time without prohibitive air interference. Gaining control of the air is not an end in itself, but should be seen in the context of the desired end-state. Once sufficient control of the air has been achieved, air power provides the possibilities to project military power where and when needed, unlimited by natural barriers. Air power's reach and concentration of force allow it to be employed at all levels of operations. The speed, reach, ubiquity and flexibility of air power offers opportunities for wresting the initiative and to support other forces in different lines of operations and different levels of war concurrently.
0137. Persistent air operations normally require the availability of secure airbases sufficiently close to the joint operations area (JOA), over-flight rights, flexible use of airspace and the necessary support. Naval aviation may ameliorate some or all of the requirements for secure airbases ashore and over-flight rights. Especially for expeditionary operations in regions with no or very limited host nation support, extensive military engineering measures may be required to provide the required facilities. Air assets are often scarce; moreover, like all forces they are vulnerable from air attack when on the ground. The effective prosecution of all types of air operations depends on a wide range of supporting functions. These activities fall into two major categories: combat support related and support related.
0138. **Use of Space.** Space superiority is crucial to the outcome of most conflicts. NATO only owns and operates a limited number of space assets, but space assets owned and operated by

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<sup>6</sup> See AJP-3.2 'Allied Joint Doctrine for Land Operations' for detail.

<sup>7</sup> See AJP-3.3(A) 'Allied Joint Doctrine for Air and Space Operations' for detail.



NATO nations and commercial entities can provide a range of capabilities that integrate into mission planning and execution at all levels of warfare. Capabilities and products facilitated by space assets include space battlefield characterization; intelligence, surveillance and reconnaissance (ISR); environmental and space weather monitoring; satellite communications (SATCOM); friendly force situational awareness; global positioning and navigation (POSNAV) services; and early warning systems. A significant portion of space support will be made available from outside the operational area. The JFC will either manage space resources within the command through his staff or will designate a component to perform the function.

0139. **Special Operations Forces Component contribution to joint operations.**<sup>8</sup> Special operations are military activities conducted by specially designated, organized, trained, and equipped forces using operational tactics, techniques, and modes of employment not standard to conventional forces. These activities are conducted across the spectrum of conflict independently, integrated with, or in coordination with operations of conventional forces to achieve political, military, informational, and economic objectives. Politico-military considerations may require low prominence, covert or discreet techniques, and the acceptance of a degree of physical and political risk not associated with conventional operations. Special operations differ from conventional operations in degree of physical and political risk, operational techniques, mode of employment, independence from friendly support, and normally depend on detailed operational intelligence and indigenous assets.
0140. The NATO special operations forces (SOF) are organized in a joint manner with aviation, maritime, and land units from the troop contributing nations (TCNs), constituting a mission-specific combined joint force special operations component command (CJFSOCC), with a joint staff to plan and direct special operations. SOF offers the Alliance an additional and unique capability to achieve military objectives and perform tasks that no other forces in NATO are able to conduct while creating strategic effects. If, however, they perform tasks that may be conducted by other Alliance forces, they do so to a unique set of conditions and standards.
0141. **Multinational approach.** Nowadays, the vast majority of operations take place in a multinational environment since 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 others, less familiar, forces in a coalition. The intangibles, advantages and challenges of multinational cooperation are described in AJP-01(D), chapter 3. Also covered in the same chapter are the factors and considerations to be taken into account when planning or conducting multinational joint operations.

## Section VI – Joint Action

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<sup>8</sup> See AJP-3.5 'Allied Joint Doctrine for Special Operations' for detail.



0142. The ability of any actor – opponent, friend, neutral, belligerent or spoiler – to effectively use force, or the threat of force, to achieve a desired outcome is dependent upon his *will* to act, his *understanding* of the situation, and his *capability* to act decisively. Together, these elements determine an actor's military effectiveness.
- a. **Will.** At the strategic level, will is influenced by factors such as national culture, ideology and political resolve; at the operational and tactical levels it is based upon the social unity of communities of interest or armed groups, their morale, *esprit de corps*, and cohesion. Once an actor loses the will to act, he relinquishes his ability to actively influence events.
  - b. **Understanding.** An actor's understanding of his situation originates from the information he receives, but is shaped by his thoughts, experience and senses. As a result, an actor's perception of his situation is as important as reality in determining his actions and, indeed, in affecting his will to act at all.
  - c. **Capability.** An actor's capacity for action is dependent upon his physical capabilities and their utility in a particular situation. Although quantity and quality tend to confer advantage, a variety of other factors also impact upon effectiveness. Some, such as geospatial factors, are situation-dependant but others, such as prioritized resource allocation to achieve competing tasks, are subject to a commander's discretion and influence.
0143. The cohesion within an organization is also an important facet of operational effectiveness. For example, it is collective will or resolve, ranging in strength from tacit acceptance through to absolute allegiance, which mobilizes a group of individuals in pursuit of a common goal. A group's cohesion reflects the extent to which those motivations bind individuals together, and inspire them to act in unison.
0144. Joint action involves the deliberate use and orchestration of military capabilities and activities to realize effects on other actors' will, understanding and capability, and the cohesion between them. It is implemented through the coordination and synchronization of the joint functions.

## Section VII – Joint Functions

0145. Joint functions provide a sound framework of related capabilities and activities grouped together to assist JFCs to integrate, synchronise, and direct various capabilities and activities in joint operations. Using joint functions, commanders, in conjunction with the strategic level of command, can determine force requirements. Common to joint operations at all levels of warfare are the functions *command and control*, *intelligence*, *manoeuvre* and *fires*, *force protection*, *information operations (Info Ops)*, *sustainability*, and *civil-military cooperation (CIMIC)*.

0146. A number of subordinate tasks and related capabilities help define each function and some of them could apply to more than one function. For example, military engineering capabilities are applied across the joint functions and independently. In any joint operation, the JFC may choose from a wide variety of joint and service capabilities and combine them in various ways to perform joint functions and accomplish the mission. The operation plan/order describes the way forces and assets are used together to perform joint functions and tasks. However, forces and assets are not characterized by the functions for which the JFC is employing them. A single force or asset can perform multiple functions simultaneously or sequentially while executing a single task.

### **Command and Control (C2)**

0147. Command and control (C2) encompasses the exercise of authority and direction by a commander over assigned and attached forces in the accomplishment of the mission.
0148. Command includes both the authority and responsibility for effectively using available resources to achieve desired outcomes. Command at all levels is the art of motivating and directing people and organizations into action. The art of command lies in conscious and skillful exercise of command authority through decision-making, and leadership. Using judgment and intuition acquired from experience, training, study, and creative thinking; commanders visualise the situation and make sound and timely decisions. Effective decision-making combines judgment with information; it requires knowing if to decide, when to decide, and what to decide. Timeliness is the speed required to maintain the initiative over the adversary. Decision-making is both art and science.
0149. Control is inherent in command. To control is to regulate forces and functions to execute the commander's intent. Control of forces and functions helps commanders and staffs define requirements, allocate means, and integrate efforts. Control allows commanders freedom to operate, delegate authority, and place themselves in the best position to observe, assess and lead. Ultimately, it provides commanders a means to effectively and efficiently employ joint forces to achieve objectives and attain the end-state.
0150. The joint C2 should include all forces contributing to the operation and take into account coordination and cooperation with IOs and NGOs. Operations are normally characterized by centralized planning and direction to achieve unity of effort, whereas authority for execution should be decentralized, i.e., delegated to the lowest level appropriate for the most effective use of forces. To enable the execution of such direction a joint C2 structure is required, that must be fully understood at all levels, and thus facilitate the clear, timely and secure passage of guidance/orders, situation reports and coordinating information. Because of the joint nature of the force, the characteristics, doctrine, procedures and equipment of each of the components have to be taken into consideration.
0151. The joint C2 system must enable the staff to manage their time and information flow and must also afford a commander the environment in which to make his decisions. Furthermore, the joint C2 structure and all command relationships must have built-in

redundancy, be robust, be flexible and be capable of development and adaptation throughout the course of the operation. Last but not least the joint C2 system should have a robust communication and information architecture.<sup>9</sup>

- 0152. Effective communications and information systems (CIS) support is fundamental to the success of any campaign. Timely deployment and appropriate establishment of robust CIS capability is a decisive factor for successful deployed operations. It is imperative that secure and interoperable deployable CIS assets are available at all levels of command in the joint area of operations.
  
- 0153. Planning is a part of C2 and is the structured activity that translates the commander's intent into an executable plan. In order to prepare for and conduct military operations it is necessary to develop operational plans, which address all relevant factors applicable to the efficient and successful conduct of an operation. This includes non-military actors like IOs, NGOs and/or local organizations. Only through this comprehensive approach can integrated and well balanced planning be made achievable. During joint operations the integration of numerous planning cycles at various levels therefore requires careful coordination. The purpose of joint planning is to draw expertise from this wide range of military and non-military disciplines, in order to produce a coherent view of the situation and produce plans coordinated with other instruments of power. They should identify the military role in achieving the military objectives. AJP-5 '*Allied Joint Doctrine for Operational Planning*' provides detailed guidance on the planning process and the coordination of plan development.
  
- 0154. Joint targeting supports C2 and is both an operational level and tactical level command function.<sup>10</sup> Joint targeting is the process of determining the effects necessary to achieve the commander's objectives, identifying the actions necessary to create the desired effects based on means available, selecting and prioritizing targets, and the synchronization of fires with other military capabilities and then assessing their cumulative effectiveness and taking remedial action if necessary. At the operational level, targeting focuses on determining specific actions to take, physical and psychological, to create the desired effects and realize the JFC's operational objectives. While carrying out an action, either physical or psychological, on a target remains a tactical event, the effect must be relevant to the JFC's operational objectives. The targeting process is crucial to the application of joint fires.

### **Intelligence (INTEL)<sup>11</sup>**

- 0155. The joint INTEL process should support understanding (analysis) and assessment as well as the planning, execution and support of all operations by provision of timely, tailored and

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<sup>9</sup> Properly planning the communication and information architecture is an essential and integral part of the planning process for any operation. To do this, it is essential that properly defined information exchange requirements (IERs) are produced. This is not only a J6 function, but each functional area staff must be able to define its own information requirements to ensure appropriate CIS capabilities are provided in order to meet the Commanders C2 requirements.

<sup>10</sup> See AJP-3.9 '*Allied Joint Doctrine for Joint Targeting*' for detail.

<sup>11</sup> See AJP-2 '*Allied Joint Doctrine for Intelligence, Counterintelligence and Security*' for detail.

accurate intelligence in relation to the commander's mission. The joint INTEL process should allow a rapid flow of INTEL from all available sources to, from, and within the JOA. It will provide the framework for the delivery of INTEL, and should therefore be flexible and tailored to the demands and circumstances of the operation. It needs to be secure, robust, and include an operational framework, both within and beyond the JOA.

0156. The manner in which the INTEL process is developed, and the interrelationships between its components, particularly where these cross national lines, will be crucial to the process of meeting the commander's critical information requirements (CCIRs). For the JFC, the key will be identifying those CCIRs which are required to formulate his operation plan, and subsequently support the process of developing the operation and its execution. This will be an ongoing priority from the outset.
0157. To deal with all the available information, to identify the relevant part in relation to the CCIRs (the formulation of the priority intelligence requirements (PIRs)), to seek for what is not present, and then to process the right information into intelligence before distributing it, requires a series of structured tasks. The INTEL process is the framework within which four discrete tasks are conducted, culminating in the distribution of finished intelligence. These tasks, more usually described as stages or steps, are direction, collection, processing, and dissemination.
0158. All contributing nations providing forces in a campaign must be centrally involved in providing intelligence capabilities and information to the commander and staff. Partner nations should be proactive in providing intelligence to the JFC. Information received from all sources should be fused together by the JFC's intelligence staff to conduct a thorough intelligence preparation of the battlespace (IPB) product. IPB uses a standard methodology to describe in holistic terms the operational environment, both physically and culturally; identify any barriers to mission success, including adversary threat forces; and determine probable adversary courses of action, to include the most likely and most dangerous courses of action. This effort is essential to establish shared situational awareness among contributing nations.

## **Manoeuvre and Fires**

0159. Ultimately, the JFC and his forces must be capable of attacking the adversary, either directly or indirectly, creating desired and avoiding undesired physical and psychological effects, and be able to sustain such operations for as long as necessary to achieve operational objectives. This is normally accomplished through the combination of joint manoeuvre and joint fires in conjunction with, where appropriate, other operational capabilities and a range of mechanisms and control measures.
0160. The principal purpose of manoeuvre is to gain positional advantage in respect to the adversary from which force can be threatened or applied. Manoeuvre seeks to render adversaries incapable of resisting throughout all dimensions of the operational area effectively by shattering his cohesion rather than destroying each of his components through

incremental attrition. Joint manoeuvre involves the assets of more than one component and may even involve strategic assets, temporarily made available for the operation. At the operational level joint manoeuvre is the means by which a commander sets the terms in time and space, declines or joins combat or exploits emerging developments. Joint manoeuvre is more than just movement with fires. It is the process by which combat power is focused where it can have decisive effect, to pre-empt, dislocate, or disrupt adversary operations. It involves trade-offs (e.g. speed versus time, width versus depth, concentration versus dispersion), and thus requires an acceptance of risk.

- 0161. The skillful use and exploitation of available joint fires assets will maximize synergy and leverage and enable decisive manoeuvre, particularly now that the several components increasingly possess weapon systems able to fire into each other's areas of operations (AOOs). Joint fires may be used to balance capabilities, to better shape the operation area and attack the adversaries' cohesion. By their nature, joint fires require synchronization and coordination in order to avoid conflicting fires, and to use the available firepower as efficiently as possible.
- 0162. Joint fires may create effects in such a way as to have a synergistic impact on operations. Physical effects include those from naval surface fire support, indirect fire support, SOF direct action operations, direct fire weapons and air operations. Psychological effects include inter alia those from related activities such as electronic warfare (EW), psychological operations (Psy Ops), and computer network operations (CNO). But it must be clear that using psychological means may imply secondary effects that could be physical. In order to use the available firepower as effectively and efficiently as possible, the process of selecting and prioritizing targets is key to the application of fires.

### **Force Protection<sup>12</sup>**

- 0163. Force protection is defined as 'measures and means to minimize the vulnerability of personnel, facilities, materiel, operations and activities from threats and hazards in order to preserve freedom of action and operational effectiveness thereby contributing to mission success.' The notional force protection capabilities include security, military engineering support to force protection, air defence, health protection, consequence management and chemical, biological, radiological and nuclear (CBRN) defence. At JFC-level, the following elements are of particular importance.
  - a. **Air Defence (AD).**<sup>13</sup> Joint air defence (JAD) seeks an appropriate level of control of the air, and, thus, the protection of friendly forces from air threats. This is achieved by integrating the assigned AD assets of all components, while meeting the requirements of the individual component commanders (CCs). The JFC will normally designate the air component commander (ACC) as the air defence commander.

<sup>12</sup> See AJP-3.14 'Allied Joint Doctrine for Force Protection' for detail beyond AD and CBRN.

<sup>13</sup> See AJP-3.3.1(B) 'Allied Joint Doctrine for Counter Air Operations' (under ratification) for detail.

- b. **Chemical, Biological Radiological and Nuclear (CBRN).**<sup>14</sup> CBRN-weapons and devices, to include Toxic Industrial Materials (TIM) which might cause similar effects, offer the potential to inflict much greater harm than high explosive conventional weapons. Their proliferation continues worldwide, despite sustained efforts at arms control and verification. Consequently, the possibility remains that deployed military forces may be required to operate in areas where there are CBRN risks, through either the deliberate or accidental release of CBRN material by any means other than the employment of CBRN weapons authorized for use by a nation state. These forces may also be exposed to TIM as a consequence of friendly action, adversary action or incidents. Accordingly, joint operations must be planned, conducted, and supported, against these possible threats, keeping in mind the following aspects:
- (1) There will be a number of complex, and potentially sensitive, CBRN policy issues which will involve the JFC and require consultation at the highest levels. Individual nations may adopt different approaches to medical countermeasures and regulations regarding the exposure of personnel. The levels, availability, and quality of CBRN defence equipment may vary, particularly if non-NATO nations are contributing to the operation. There may be a requirement to extend CBRN physical protection beyond the JF, to include civilians in support of the operation, or neutrals in the JOA. Media attention will also be intense, and the identified or perceived threat of CBRN hazards will generate considerable disquiet both in the operational area and at home. Clearly, these factors will have a significant impact upon the JFC's operational planning and the manner in which he employs his forces. Commanders at all levels will have to assess what specific actions and activities they can order to achieve their objectives, allowing at the same time a reasonable safeguard against hazards presented to CBRN material.
  - (2) A JF should be self-sustainable in CBRN defence. Each individual and unit should be equipped and trained. Specialist CBRN units, with detection and identification systems, a deployable analytical CBRN field laboratory, and capabilities for the reconnaissance, survey, sampling and identification of biological, chemical and radiological agents, collective protection and thorough decontamination should be available to the JFC and component commanders to allow adequate and flexible response, including early warning, to CBRN threats.

### Information Operations (Info Ops)<sup>15</sup>

0164. Info Ops is a military function to provide advice and coordination of military information activities in order to create desired effects on the will, understanding and capability of adversaries, potential adversaries and other NAC approved parties in support of Alliance

<sup>14</sup> See AJP-3.8 'Allied Joint Doctrine for NBC Defence' for detail.

<sup>15</sup> See AJP-3.10 'Allied Joint Doctrine for Information Operations' for detail.



mission objectives. Info Ops and public affairs (PA) are separate, but related functions. They directly support military objectives, counter adversary disinformation and deter adversary actions. They both require planning, message development and media analysis, though the efforts differ with respect to audience, scope and intent. All military information activities must be closely coordinated with PA in order to ensure consistency in the messages to external audiences and to promote overall effectiveness and credibility of the campaign.

0165. Information activities are actions designed to affect information and/ or information systems. They can be performed by any actor and include protective measures. Info Ops is an integrating function focused on the information environment that involves the selective combination of capabilities to create physical and psychological effects, to achieve operation or campaign objectives. The commander's personal involvement drives Info Ops, and exercises control over all Info Ops activity within a framework of timely decision-making and consultation up and down the chain of command.
0166. The focus of Info Ops is on the decision makers. A decision-maker's effectiveness is a function of will, understanding and capability. If any one of these elements is not in place, the decision-maker's ability to act in the way he wants to will be affected.
0167. Information activities coordinated through Info Ops are an integral part of the campaign plan aimed specifically at affecting the will and understanding of decision-makers and affecting those capabilities that directly enable the application of their will or aid their understanding. They therefore have applicability across the range of military operations. Effects in the information environment can be created by a variety of military activities, the close coordination of which will contribute to the achievement of the overall objective. Info Ops comprises three inter-related activity areas:
- a. Information activities that focus on changing, influencing, or reinforcing perceptions and attitudes of adversaries and other NAC approved parties (Influence activity).
  - b. Information activities that focus on preserving and protecting Alliance capabilities and initiative in the information environment by defending the data and information that supports Alliance decision-makers and decision-making processes (Information Protection Activity).
  - c. Information activities that focus on countering command functions and capabilities, by affecting the data and information that support adversaries and other NAC approved parties, and are used in command and control, intelligence, surveillance and target acquisition, and weapon systems (Counter Command Activity).
0168. Info Ops is an integrating function focused on the information environment rather than a capability in its own right. The three inter-related activity areas described above can make use of all or any capability or activity that can exert influence, affect understanding or have a counter-command effect; the extent is only limited by imagination, availability, policy and legal constraints. However, there are several capabilities, tools and techniques that form the basis of most Info Ops activity. Clearly, many of these tools and techniques have a much

wider application than Info Ops (and when not used to support Info Ops the potential unintended information effects of such activity must be considered), but can be drawn upon by Info Ops. AJP-3.10 further explains the typical capabilities, tools and techniques used in support of Info Ops. These are:

- a. Psychological Operations.
- b. Presence, Posture and Profile.
- c. Operations Security.
- d. Information Security.
- e. Deception.
- f. Electronic Warfare.
- g. Physical Destruction.
- h. Key Leader Engagement.
- i. Computer Network Operations.

## Sustainability

0169. **Sustainability** provides for personnel, logistics and other support required to maintain and prolong operations until successful mission accomplishment.

- a. **Military Engineering.**<sup>16</sup> Engineer activity, comprising both force support engineering and combat support engineering, undertaken regardless of component or service to shape the physical operating environment. As such, it is a joint activity which requires a joint force engineer and engineer staff at all levels and components. Although some engineer units are better suited for particular tasks, based on circumstances they can be used for those military engineering tasks associated with the direct support to current or imminent operations (combat support engineering) or for tasks that require a deliberate, long-term preparation for and indirect support to ongoing or future operations, as well as the sustainment of a force throughout all stages of an operation (force support engineering). This allows for better employment of a scarce resource. Military engineering is conducted by the military engineers of any service or component to support land, air, maritime, information, space and SOF. It incorporates support to maneuver and to the force as a whole, including military engineering functions such as engineer support to force protection, counter-improvised explosive devices, environmental protection, engineer intelligence and military search.

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<sup>16</sup> See MC 0560 'MC Policy for Military Engineering' for detail.



- b. **Logistics.**<sup>17</sup> Nations and NATO have a collective responsibility for logistic support in operations. This should encourage the cooperative provision and use of logistic capabilities and resources to support the force effectively and efficiently. Standardization, cooperation and multinationality in logistics build together the base for flexible and efficient use of logistic support. Nations are ultimately responsible for the provision of resources to support their forces.
- (1) Joint logistics encompasses the planning and execution of the movement and sustainment of forces and includes the disciplines of movement and transportation, contracting, supply/maintenance/services management and host nation support (HNS)<sup>18</sup> coordination. The JFC will ensure that the logistic force structure is capable of supporting the operation, and will coordinate support among contributing nations and the host nation to ensure operational success. To accomplish this, the JFC should be given sufficient authority over the logistic resources necessary to enable him to employ and sustain the forces under his command in the most effective manner.
  - (2) Allied operations require that the JFC fulfil a coordinating role in all JOA movement and transportation<sup>19</sup> for the assigned forces. Operational area movement systems and the JFC's transportation resources, including airlift assets, must be able to respond to force deployment and logistic support requirements set out in the operational plan. The JFC should ensure that the logistic bases of the JF are secure. The JFC should develop and implement movement and transportation plans and directives, and prioritize movement requirements within the JOA.
- c. **Medical and Health Support.**<sup>20</sup> Medical and health support encompasses the full range of medical planning and provision of medical assets to maintain the forces strength through prevention, evacuation, and rapid treatment of the diseased, injured, and wounded. The principal components of operational health care, around which the medical system is built, are medical force protection, emergency medicine, primary health care, secondary health care and evacuation. These medical capabilities should be proportionate to the JF strength and the assessed risks to the deployed forces; operational risk management should be conducted in consultation with the relevant medical authorities.

### Civil Military Cooperation (CIMIC)<sup>21</sup>

0170. CIMIC is defined as the coordination and cooperation, in support of the mission, between the

<sup>17</sup> See AJP-4 'Allied Joint Doctrine for Logistics' for detail.

<sup>18</sup> See AJ- 4.5 'Allied Joint Doctrine for Host Nation Support' for detail.

<sup>19</sup> See AJP-4.4 'Allied Joint Doctrine for Movement & Transport' for detail.

<sup>20</sup> Detailed information on Joint Medical & Health Support is described in AJP-4.10 Allied Joint Doctrine for Medical and Health Support.

<sup>21</sup> See AJP-9 'Allied Joint Doctrine for Civil-Military Cooperation' for detail.

NATO commander and civil actors, including the national population and local authorities, as well as international, national and non-governmental organizations and agencies.

0171. CIMIC enables the commander to create, influence and sustain conditions that will promote the achievement of operational objectives, and thereby maximise the effectiveness of the military contribution to the overall mission, being a central part of every type of mission. The joint force may be partially dependent on the civilian population for resources and information, and rely on the civil authorities to provide security in certain areas. It may even be impossible to gain full freedom of action and movement without their cooperation. Reaching the desired end-state of any operation demands closest cooperation with all contributors within an operation area. This can only be achieved by close cooperation, harmonization and de-confliction, aiming for the full cooperation of the civilian population and institutions in order to create conditions that offer the Alliance forces the greatest possible moral, material, environmental and tactical advantages. Implicit in this aim is the denial of such advantages to an adversary. CIMIC requires the comprehensive integrated application of all means of Alliance power; both military and non-military, to create effects that contribute to the desired outcome. Besides these considerations, commanders have a moral and legal responsibility towards the civilian populations in their area that can only be met by cooperating with the government and international bodies.

## Section VIII – Public Affairs

0172. **Public Affairs (PA).**<sup>22</sup> The role of PA is to disseminate public information to increase the knowledge and promote further understanding of military activities among key audiences, both within and beyond the JOA. Through the dissemination of timely and accurate information, PA serves to help shape the information environment, and minimize adverse effects upon joint operations from inaccurate media reporting/analysis, violations of operations security (OPSEC) and the promulgation of disinformation and misinformation. Effective PA planning and execution requires that PA be fully integrated into the operational planning process at all levels. The operation could attract international media interest, although this may ebb and flow in response to operational tempo and the general situation. The media are likely to be already present within the JOA prior to the deployment of NATO troops, and the style and nature of their reporting will have a predominant effect upon public perceptions and the utility of such forces.
- a. **Information Release.** During the initial stages of planning, information release specific to the operation under consideration may be retained at the strategic level. During this same period, JFCs may employ PA to develop and implement communication strategies that inform national and international audiences and adversaries about the impact of potential Allied operations. Making audiences aware of Allied capabilities and resolve to employ them can enhance support from allies and friendly countries and deter potential adversaries supporting the JFC's shaping

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<sup>22</sup> See MC 457/1 'NATO military policy on Public Affair' for detail.

activities. Following official approval to execute an operation, an active PA policy for the operation in general, and at all NATO military levels, should be considered.

- b. **PA Guidance.** Development and dissemination of a PA strategy approved by political authorities ensures that all PA activities and policy is consistent and that all participating organizations maintain a consistent line on the major issues. The JFC's PA staff should use the overarching information strategy as well as assessment of the operational environment and the commander's intent to develop more detailed directives and instructions as well as PA plans.
- c. **News Media Access.** The media will report on Allied operations regardless of accessibility. It is incumbent upon JFCs and their PA staffs to assist the media whenever possible in order to disseminate accurate and timely information to the public, ensure that the media does not put out inaccurate information because of the military's failure to communicate and to counter adversarial propaganda or erroneous information. Establishment of media information centres (MICs) is only the initial step in developing the right relationship with the media. The JFC should fully support access of news media to widely dispersed units consistent with OPSEC requirements, by planning transportation and logistic support. The JFC should ensure subordinate units are staffed with trained PA personnel. Commanders and their units at all levels should be ready to respond to detailed information requests concerning JF involvement, capabilities and immediate actions and objectives.

## Section IX – Operational Framework

- 0173. Operational frameworks provide a way of understanding and communicating the activities that the commander will need to plan, direct and coordinate. They allow the commander to visualise effects and to articulate his intent. Particularly in stabilization, such a framework allows the commander and other actors conducting the campaign to share a common language and understanding of what is required to be done. It helps to 'operationalise' analysis and planning, and assists with decision support. Understanding the framework and their contribution to it allows actors to achieve unity of effort. For the military commander and his staff, it also highlights the links between the effects sought and the tactical activity needed to create them. It has utility across all levels of command.
- 0174. The precise type of framework selected is less important than the shared understanding of what it means. Many operational frameworks have been used,<sup>23</sup> the preferred one being *shape – engage – exploit – protect – sustain*. The five broad functions of the framework, briefly introduced below and further described in AJP-01(D), chapter 1, can be used to describe how subordinates' missions relate to each other in time, space, function or purpose,

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<sup>23</sup> Within the proposed framework above, other operational frameworks can be applied, such as: *clear – hold – build* or *understand – shape – secure – hold – build* or *engage – secure – hold – develop*. At tactical level one may find the framework *deep – close – rear*, which is basically geographically oriented.

and (sometimes) geography. They are, however, neither necessarily sequential nor separated into discrete phases.

- a. **Shape.** Shaping operations seeks to create, or preserve, the conditions for the decisive act or engagement. These conditions may relate to the environment, an opponent, or to own or friendly forces. Frequently, shaping operations are aimed at the perceptions of one or more parties; influence activities play a significant role.
- b. **Engage.** Decisive engagement is that which a JFC envisages will make a highly significant contribution to achieving campaign objectives. Successful engagements, based upon joint action, should exploit tempo (the rhythm or rate of activities relative to an opponent, or object), simultaneity (which seeks to overload an opponent or win over the uncommitted by attacking or threatening him from so many angles at once that he cannot concentrate on one problem at a time, or even establish priorities between them) and surprise (a principle of war, and one of the most significant contributors to success at all levels of warfare, built on speed, security and deception, and fundamental to shattering an opponent's cohesion). The key is not necessarily to engage an enemy who is unaware, but to engage him at a point in which he is too late to react effectively.
- c. **Exploit.** A JFC 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 JFC's ability not only to identify them in advance but to be able to generate the means to exploit them.
- d. **Protect.** Protection preserves the capabilities of a joint force so that they can be applied as planned, perhaps decisively, in time and space. The same components against which a JFC seeks to engage an opponent – will, understanding and capability – are also those that must be protected, as it is these upon which an opponent is likely to focus his hostile activities.
- e. **Sustain.** Sustaining operations underpin the freedom of action for a JFC to shape, engage, exploit and protect. From a JFC's perspective they include reception, staging, onward movement and integration (RSOM&I), 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(HNS), and the establishment of operating bases and lines of communication.

## Section X – Operational Environment Geometry

0175. The area in which operations will be conducted is organized and labelled in such a way that all elements of a JF have a common understanding of its principal boundaries. However, it is widely recognized that the operational environment is expanding, becoming more dispersed and non-linear. Distinctions between forward and rear areas are becoming less clear-cut and

the use of urban conflict, terrorism, and irregular forces with their inherent asymmetric characteristics are becoming more commonplace.

- 0176. **Boundaries and Areas.** In the NATO structure boundaries are contingency/mission-dependent. They will be used to enhance flexible military activities by delineating areas, limited by defining parameters such as time and scope. With the exception of Supreme Allied Commander Europe (SACEUR's) area of responsibility (AOR), all boundaries would be mission related, temporary and limited by agreed defining parameters, such as time and scope.
- 0177. **Joint Operations Area (JOA).** A JOA is a temporary area defined by SACEUR, in which a designated joint force commander plans and executes a specific mission at the operational level. A JOA and its defining parameters, such as time, scope of the mission and geographical area, are contingency- or mission-specific and are normally associated with a JF. The designated JFC would plan and conduct military operations within a JOA to accomplish a specific mission.
- 0178. **Area of Operations.** An operational area defined by a JFC for land or maritime forces to conduct military activities. Normally, an area of operations does not encompass the entire JOA of the JFC, but is sufficient in size for the JFC to accomplish assigned missions and protect forces.
- 0179. **Theatre.** A broad geographical area defined by SACEUR, which includes and surrounds the JOA, where strategic and operational activity may take place in support of the JFCs' mission.
- 0180. **Area of Responsibility.** The AOR is the geographical area assigned to SACEUR, who is responsible for all military action taking place in the area encompassing NATO borders. SACEUR is also responsible for NATO/NATO-lead operations outside NATO borders when directed by the NAC. Subordinate JFCs do not have an AOR but SACEUR defines their geographic JOA and AOO as required by their mission.
- 0181. **Area of Interest (AOI).** The AOI is 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.
- 0182. **Area of Intelligence Responsibility (AIR).** The AIR is an area allocated to a commander, in which he is responsible for the provision of intelligence, within the means at his disposal.

## **Section XI – Stages of an Operation**

- 0183. All campaigns and operations normally consist of a logical order of events. Successive steps may overlap and can occur in parallel at the same time and on different levels of operation depending on the situation and mission. Knowledge development will normally be heading all stages of an operation, especially the operational planning process, by beginning well in advance of a NATO response to a crisis and continue in support of all subsequent stages. A typical joint operation could include:

- a. Intelligence preparation of the operational environment and operations planning.
  - b. Preparation of the force, including (logistic) build-up.
  - c. Deployment of the force.
  - d. Execution of operations.
  - e. Operation (mission) termination and transition.
  - f. Redeployment of the force.
  - g. Lessons learnt and review doctrine.
0184. The subsequent steps are broadly defined and can be further detailed for each of the joint functions. Preparation, for example, will consist of force preparation, including build-up, assembly and pre-mission training. In addition, it will also include logistic activities such as the build-up of logistic support, host-nation support as well as *en route* transit through non-participating nations. Preparation is also likely to include specific activities in support of the intelligence function.
0185. The order should help commanders visualising the course of the operation. The JFC 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. All stages of an operation require continuous coordination and review. Except where specifically restricted by agreements with nations, the JFC may reassign operational command and/or forces under his command as deemed appropriate. The following guidance applies; **all** command relationships **must** facilitate the smooth transition of all stages.
0186. The various stages are supported by the NATO Crisis Response System (NCRS) and its crisis response measures (CRMs). These CRMs are especially designed to speed up the preparation process, including the force activation process, and to initiate actions to face crises that require quick reaction, including consequence management following an attack or a major disaster.

## Section XII – Supported/Supporting Relationships

0187. With the wide range of operational requirements to be covered with minimal assets, the execution of NATO military operations will often be guided by the supported/supporting relationship 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 NATO 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 JFC's primary objectives in an operation, require the



close attention of the JFC and his subordinate commanders in the planning and execution of operations.

0188. The supported/supporting relationship allows the strengths and capabilities of the headquarters and forces of the military command structure to complement each other. 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.
0189. A supported commander may be designated for the entire operation, a specific phase of an operation, a particular function, or a combination of phases, stages, events and functions. Unless limited by the establishing directive, the supported commander has the authority for the general direction of the supporting effort. General direction includes the designation and prioritization of targets or objectives, timing and duration of the supporting action, and other instructions necessary for coordination and efficiency. The establishing authority is responsible for ensuring that the supported and supporting commanders understand the degree of authority that the supported commander is granted.
0190. The supported/supporting relationship is clearly a 'two way street'. The supported commander must be able to participate and comment on the development of support plans of supporting commanders. A complete understanding of the supported commander's mission, assigned tasks and intent is critical to enable the supporting commander to meet his responsibilities flexibly. Conversely, a common understanding of the supporting commander's capabilities by the supported commander is crucial.
0191. **Supported commander.** Supported commanders should provide supporting commanders as much latitude as possible in the planning and execution of their operations. However the supported commander will determine the priority, timing and effects of operations conducted within the assigned AOO. The supporting commanders plan and execute their operations with only that coordination required by the supported commander.
0192. The degree of authority granted to a supported commander should be specified in the JFC's establishing directive. These directives are essentially an order that specifies the purpose of the support relationship, the effect desired and the scope of action to be taken and should include, but is not limited to the following:
- a. Time, place and duration of the supported effort.
  - b. Priority of the supported mission relative to other missions of the supporting commanders.
  - c. Authority, if any, of the supporting force to depart from its supporting mission in the event of an exceptional opportunity or emergency.
  - d. General or special authority for any operational or other instructions to be issued by the forces being supported or by other authority in the operational area.

- e. Degree of authority granted to the supported commander over the supporting commander.
- f. Establishment of air, sea, and ground manoeuvre control measures and cyberspace operations protocols.
- g. Development of joint tactical air strike requests and air support requests.
- h. Development of target nominations, establishment of fire support coordination measures, integration of air defence, and the role of coordination centres.
- i. Development of the intelligence collection plan.
- j. Nonorganic logistic support.
- k. Force protection responsibilities.

0193. **The supporting commander.** The supporting commander determines the forces, tactics, methods, procedures, and communications to be employed in providing this support. The supporting commander will advise and coordinate with the supported commander on matters concerning the employment and limitations (e.g., logistics) of such support, assist in planning for the integration of such support into the supported commander's effort as a whole, and ensure that support requirements are appropriately communicated throughout the supporting commander's organization. The supporting commander has the responsibility to ascertain the needs of the supported force and take full action to fulfill them within existing capabilities, consistent with priorities and requirements of other assigned tasks. When the supporting commander cannot fulfill the needs of the supported commander, the establishing authority will be notified by either the supported or supporting commander. The establishing authority is responsible for determining a solution.

### Section XIII – Degrees of Authority in an Operation

0194. A common understanding of the degrees of authority is a prerequisite for effective co-operation under NATO military command structures. The following definitions form the basis for this common understanding. Command arrangements must accommodate the situation prior to and after transfer of authority (TOA).

- a. **Full command (FULLCOM)** is the military authority and responsibility of a superior officer to issue orders to subordinates. It covers every aspect of military operations and administration and exists only within national Services. The term 'command', as used internationally, implies a lesser degree of authority than when it is used in a purely national sense. No NATO or coalition commander has full command over the forces assigned to him since, in assigning forces to NATO, nations will delegate only operational command or operational control.



- b. **Operational command (OPCOM)** is the authority granted to a commander to assign missions or tasks to subordinate commanders, to deploy units and to reassign forces, and to retain or delegate operational and/or tactical control as it may be deemed necessary. It does not of itself include responsibility for administration or logistics. OPCOM may also be used to denote the forces assigned to a commander.
  - c. **Operational control (OPCON)** is 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 and to deploy units concerned, and to retain or assign tactical control to 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.
0195. SACEUR will normally delegate OPCON to an appointed JFC at an appropriate moment, once the force has been constituted. Unless otherwise specified, the JFC can sub-delegate OPCON based on contingency/mission-dependent operational requirements. National forces (generally maritime or air) operating under a NATO commander outside of the NATO AOR may remain under national OPCON as required by the nation(s) concerned.
- a. **Tactical command (TACOM)** is the authority delegated to a commander to assign tasks to forces under his command for the accomplishment of the mission assigned by higher authority.
  - b. **Tactical control (TACON)** is the detailed and, usually, local direction and control of movements or manoeuvres necessary to accomplish missions or tasks assigned.
  - c. **Administrative control (ADCON)** is the direction or exercise of authority over subordinate or other organizations in respect to administrative matters such as personnel management, supply, services and other matters not included in the operational mission of the subordinate or other organizations.
  - d. **Logistic control (LOGCON)** is the authority granted to a NATO Commander over assigned logistics units and organizations in the JOA, including national support elements (NSEs), that empowers him to synchronise, prioritise, and integrate their logistics functions and activities to accomplish the joint theatre mission. It does not confer authority over the nationally owned resources held by a NSEs, except as agreed in the TOA or in accordance with NATO Principles and Policies for Logistics.
0196. **Coordinating Authority or DIRLAUTH (Direct Liaison Authority)** is the authority granted to a commander or individual assigned responsibility for coordinating specific functions or activities involving forces of two or more countries or commands, or two or more Services or two or more forces of the same Service. He has the authority to require consultation between the agencies involved or their representatives, but does not have the authority to compel agreement. In case of disagreement between the agencies involved, he should attempt to obtain essential agreement by discussion. In the event he is unable to obtain essential agreement he shall refer the matter to the appropriate authority.

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## CHAPTER 2 – FORMING THE FORCE

### Section I – Introduction

0201. This chapter provides a basic layout of a headquarters (HQ) at operational level in order to ensure that every nation that contributes augmentees to such a HQ will have a common understanding of its structures and processes. Furthermore this chapter will elaborate on NATO's process of generating required forces for an operation. A focus should be put on the moment of transfer of authority (TOA), because, until this moment, NATO commanders have no authority and are unable to conduct any action besides planning activities.
0202. The applicable principles of joint and multinational command and control (C2) are described in AJP-01(D), Chapter 6.
0203. Ideally, the construct of a force, its desired order and means of arrival in theatre should be driven by careful analysis of the specific situation. Set within a context of clear political direction, this analysis should be informed through estimates at both the military strategic and operational levels. However, such clarity is rare. In practice the diplomatic situation will be dynamic as NATO is subjected to both internal and external pressures. This may obscure any early articulation of strategic intent or the means to achieve it. It may also preclude an early display of commitment or, alternatively, demand ongoing adjustments to policy and direction. As a consequence, military planning and preparations may have to be made with ambiguous strategic direction. This may constrain the military options available. Alternatively, diplomatic requirements might demand a rapid demonstration of intent or intervention that compresses military planning timelines, with options driven by readiness profiles. Even when time is available, resource and financial constraints may be key determinants for shaping the force structure, rather than military logic alone. Therefore, the generic model for *forming the force* described in this chapter is a guideline only and will require much judgment in its application. Throughout, an appreciation of the political context and the flexibility to work within it will be crucial.
0204. Combining the military capabilities of different nations brings depth and breadth to a force. It also generates complexity, uncertainty and risk, in almost direct proportion to the number of nations involved. In practice, international consensus and legitimacy, rather than military preference or operational necessity, may drive multinational involvement and a commander must occasionally be prepared to accept the former at the expense of the latter.

### Section II – Command and Control Architecture<sup>1</sup>

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<sup>1</sup> See MC 324/2 'NATO Command Structure' and AJP-1(D) 'Allied Joint Doctrine' for detail.

0205. From an operational perspective, there is no fundamental difference between the architecture of a military C2 structure for any kind of operation. All operations will be met by a combination of NATO Command Structure (NCS) and NATO force structure (NFS), mission-tailored deployable and static assets, optimized for a specific operation. In principle, the NCS has three levels of command: strategic, operational and tactical level.

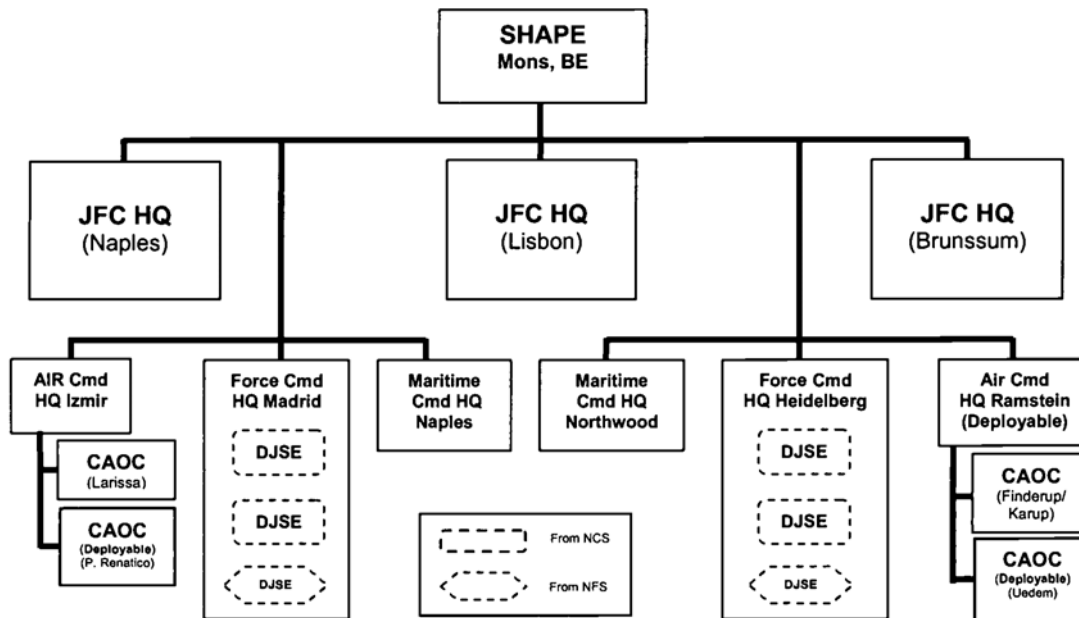


Figure 2.1 - ACO C2 structure

0206. **Strategic Level.** At this level, Allied Forces are employed within a political-military framework endorsed by the Military Committee (MC) and approved by the North Atlantic Council (NAC) in order to achieve the strategic objectives of the Alliance. SACEUR assumes the overall command of the operation at the strategic level. SACEUR issues strategic military direction to the subordinate commanders. SACEUR is responsible for the preparation and conduct of all Alliance military operations, including routine operational activities and other non-operational tasks in accordance with the division of responsibilities. SACEUR also coordinates multinational support and the reinforcement and designation of supported/supporting commands.
0207. Following appropriate political decisions, SACEUR will provide an operational HQ, open to the participation of all Allies, for EU-led operations from within its HQ on the basis of the NATO-EU framework agreement. Partner nation involvement in the command arrangements is set out in the principles and modalities of the Political-Military Framework for NATO-led Partnership for Peace (PfP) operations.
0208. Allied Submarine Command (ASC), a nationally funded HQ, is subordinate to SACEUR and has the lead responsibility for the overall coordination of Alliance submarine matters in

conjunction with the maritime component command (MCC) HQ, as appropriate. ASC is the coordinating authority for NATO submarine policy, procedures and doctrine. ASC is also the principal advisor to SACEUR on strategic submarine issues and is dual-hatted with the US Naval Submarine Force Command.

0209. **Operational Level.** At this level, based on the strategic military direction, military campaigns are planned, conducted, sequenced, directed and sustained in order to achieve the required military strategic objectives. During an operation, the designated operational level commander exercises his responsibilities through a joint force HQ. Air and maritime heavy smaller joint operations (SJOs) do not require a deployed operational HQ element in-theatre and this function could be fulfilled by an augmented component command HQ. For the remaining operations, a deployed operational HQ element is required for at least the initial phase. During the sustainment phase, a composite HQ or an augmented component command HQ could replace it.
0210. The Alliance has three operational level standing joint force command headquarters, each capable of utilizing component level HQ and deployable joint staff elements (DJSEs). In order to achieve NATO's LoA, each joint force command commander may be tasked to conduct multiple operations concurrently. Two joint force commands at Brunssum (Netherlands) and Naples (Italy) are each structured and manned to command up to one major joint operation (MJO) and two SJOs. Joint force command Lisbon (Portugal) is structured and manned to command up to two SJOs.
0211. NATO has two NATO Force Command HQ (FC HQ), one in Heidelberg (Germany) and one in Madrid (Spain). The two headquarters are manned to provide four trained and integrated NCS DJSEs,<sup>2</sup> two from each HQ. For further detail on DJSEs, see section III of this chapter.
0212. The use of reach back by a joint HQ forward element<sup>3</sup> is mission tailored to the specific demands and circumstances of a specific operation. Consequently, the structure of the joint HQ forward element, when deployed, may vary.
0213. Two joint force commands have subordinated a FC with DJSEs, a maritime command and an air command. To fulfill operational requirements, SACEUR can task the FC/CCs to provide a C2 capability under the command of any of the three operational commands.
0214. **Tactical Level.** At this level, battles and engagements are planned and executed within an overall campaign. In principle, the operation dictates the type of command and formation deployed. The FC/CC HQ provide the Service specific expertise for the JFC, as well as operational level Service specific advice on joint operational planning and execution. They are available as FC/CC HQ for operations. CCs exercise their responsibilities from static or deployed HQ, depending on the characteristics and requirements of the operation.

<sup>2</sup> See MCM-0001 -2008 'Military Concept for NATO's Deployable Joint Staff Elements', 14 Mar 08, for detail.

<sup>3</sup> See MCM-001 9-2008 'NATO Reach Back Concept at Operational Level', 27 Mar 08, for detail.

0215. Land component command (LCC) HQs are normally provided by graduated readiness force (land) HQ from the NFS. However, each FC HQ has a staff that forms the core of a deployable LCC for full activation, when required for a MJO(+) at very low readiness. The FC HQ has a predominantly land-heavy manning in order to increase synergies and tailor DJSEs for MJOs and land-heavy SJOs. This structure allows the deployment of major land formations, composed of manoeuvre elements and the requisite support and breadth of assets to allow it to conduct the appropriate land tasks within its capabilities. It should contain an appropriate mix of movement and manoeuvre, intelligence, fires, sustainment and protection elements to support the entire force or any tailored package. Fires, sustainment and protection elements could include aviation, artillery, engineer, electronic warfare (EW), supply and maintenance, communication, air defence, chemical biological radiological nuclear (CBRN) defence, transportation, psychological operations (Psy Ops) capability, civil military cooperation (CIMIC), legal advisor, military police, medical and public affairs.
0216. Two NATO air command HQ are established to have the capability to have one air command HQ dedicated to each MJO. NATO Air Command HQ Ramstein is structured and manned to command Air components for up to one MJO through a deployable joint forward air component command (JFACC). This HQ, augmented as required, is also able to manage the air component of an MJO(+). NATO Air Command HQ Izmir is structured and manned to command air operations up to and including MJO size from its static location. The air command HQs are supported by:
- a. Two static combined air operation centres (CAOCs) in Larissa (Greece) and Finderup (Denmark) and two CAOCs with the ability to deploy in Poggio Renatico (Italy) and Uedem (Germany). If deployed, the respective CAOCs retain a residual capability to maintain standing peacetime functions.
  - b. Deployable Air Control Centre/Recognized Air Picture Production Centre/Sensor Fusion Post (DARS) based in Moron (Spain) and Nieuw Milligen (The Netherlands).
0217. The air command HQ would provide a continuous operating capability to conduct appropriate air tasks, including a planning capability to use advanced air-to-air and precision guided air-to-surface munitions. Missions for the air command HQ include but are not limited to, the functions of air defence, offensive counter air, air reconnaissance, close air support, air interdiction, combat search and rescue, target acquisition, EW, airborne early warning, tactical airlift, and air-to-air refueling.
0218. Two NATO maritime command HQs are established, one in Naples (Italy) and one in Northwood (United Kingdom), each structured and manned to command and control the maritime component up to a MJO(+) from their static location. Deployed C2 capabilities at component level for maritime operations are normally provided by graduated readiness force (maritime) HQ from the NFS, as deployed MCC HQ. To fulfill their functions, NCS MCC HQ are supported by specialized entities for C2 of submarine operations and C2 of maritime air operations.

0219. The maritime command HQ would comprise a scalable force, sized to meet mission requirements, including surface, subsurface, amphibious forces, naval mine countermeasures and auxiliary support vessels. Such a force should be able, as part of a combined and joint force, to conduct the appropriate maritime tasks, including naval escort, anti-submarine warfare, naval mine counter-measure warfare, naval air strike missions, and over the shore assault. The four standing naval forces would play a significant role as elements of a NATO task force (TF).
0220. **Functional Components.** Depending on the nature of the operation, there could be a need for functional CCs. The C2 of these specialist functions could be integrated into the force as a separate component, such as a combined joint force special operation component command (CJFSOCC).<sup>4</sup>
0221. **Augmentation and Sustainment.** The NCS HQ at the operational and tactical level are robustly established to cater for the most demanding operational scenario in the initial stage of an operation and allow for an increased augmentation in the sustainment stages.
0222. **National Contingents.** In an alliance force, the JFC would have to take note of the views of the national contingent commander (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 JFC in building the coalition. Although the NCC does not share the same command responsibility or authority within the force as the JFC, he must understand the operation to the same extent in order to provide effective advice and support.
- a. In general terms, the role of the NCC is to integrate his own national contingent into the Alliance force, promoting cohesion, trust and understanding while implementing his own nations' 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 FP 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 JFC in an effort to negotiate the problem away.
0223. Specific tasks for a NCC could be to:
- a. Coordinate and cooperate with FC/CC and contingent commanders to ensure unity of effort, and establish liaison accordingly.

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<sup>4</sup> The CJFSOCC is a multinational, joint component command tailored to command and control its assigned SOF. CJFSOCCs are not standing headquarters in the NATO command structure, but formed during implementation planning on an agreed SOF framework nation augmented by staff personnel from the nations whose forces are being employed.



- b. Ensure the administrative and logistic support of own forces required to achieve and sustain their operational readiness.
- c. Advise the JFC on specific capabilities of own forces and constraints limiting their employment.
- d. Ensure that cross-component support is provided as arranged by the JFC and agreed by own national authorities.
- e. Provide liaison support to the joint force command HQ.
- f. Keep own higher commander(s) and own national authorities informed on the situation and developments that may require changes in the concept of operations, additional national resources or support from other force components or national contingents.
- g. Ensure that provision is made within the intelligence architecture for the integration of national contributions to the overall intelligence picture for the JFC.
- h. Harmonize the national C2 information (C2I) systems with other components and contingents of the JF.
- i. Implement the JFC's PA directives.

### Section III – Deployable Joint Staff Elements

0224. The establishment of six DJSEs provides SACEUR the capability to meet the LoA; it also provides him the flexibility to determine the most suitable and efficient C2 arrangements for a specific operation. Four DJSEs, which have predominantly 'land-heavy' manning structures in order to allow them to be more readily tailored for MJOs and land-heavy SJOs, come from the NCS, while two come from the NFS.
0225. The DJSE is an operational level headquarters element designed to be in theatre as the deployed joint staff for an operational level commander. Each DJSE consists of:
- a. A **joint headquarters forward element** which forms the core of the deployed staff of the joint operational headquarters. This forward element complements the static operational level main headquarters staff by performing those operational level functions that need to be performed in theatre. Between them, and operating as a single staff, they enable a JFC to maintain effective C2.
  - b. A **joint logistics support group (JLSG) headquarters core staff element (CSE)** which is responsible for ensuring effective and efficient theatre level logistics support. When directed, the JLSG also provides the focus for the organization, training and command of a JLSG headquarters and assigned units. The JLSG headquarters CSE will be augmented and task organized to match the mission. The



resultant functional logistics staff elements will be operation-specific and tailored to meet the logistics framework of operations.

- c. A **forward support element** which plans, organizes and provides the integral support to the joint headquarters forward element and JLSG when they are collocated. This capability is to be able to support a joint headquarters forward element collocated with a JLSG
0226. **Command and Control of DJSEs.** The MC, in addition to endorsing the designation to the NAC of an operational commander for a specific operation, will approve the associated DJSE. Both will be based on SACEUR's proposal. Each NCS and NFS DJSE is affiliated with one joint forces command headquarters as determined by SACEUR. Further C2 arrangements are:
- a. NATO force commands are responsible for the individual and collective training up to the JHQ forward element, the JLSG HQ CSE and the forward support element including augmentation. JFCs are responsible for the collective training of the JHQ including the static JHQ main and the DJSE elements in order to achieve capability.
  - b. In theatre component commanders are directly subordinate to the operational commander. A deployed DJSE may require changes to the staff-to-staff interaction between the joint forces command headquarters and the CC-level headquarters, but this must not impact on C2 responsibilities; a DJSE is not a level of command – it is a forward deployed staff element of the joint force command. DJSE are integral part of the JF HQ.
0227. **DJSEs from the NFS.** The NFS provides two DJSEs. These DJSEs offer the same capability as those provided by the NCS. This allows a seamless integration of DJSEs onto any preferred C2 framework. Nations providing NFS DJSEs ensure the readiness and availability of DJSEs through permanent arrangements, articulated in memorandum of understanding (MOU). This enshrines Bi-Strategic Command (Bi-SC) responsibility for training, operational planning and evaluation.
0228. **DJSE Readiness.** As mandated by the NRF Concept, one DJSE will be designated, on a rotational basis, in support of the NRF. The remaining DJSEs will maintain tiered readiness levels as directed by SACEUR.

## Section IV – The NATO Response Force

0229. The NATO Response Force (NRF) is a high-readiness, joint and combined force whose purpose it is to provide an immediate military response to an emerging crisis as part of the Alliance comprehensive crisis management system for both Article 5 and crisis response operations. The NRF mission is to provide a rapid demonstration of force and early establishment of a NATO military presence. The NRF consists of three pillars of

operational-level command and control, an immediate response force (IRF) and a response forces pool (RFP).

0230. Where possible, appropriate and prudent planning will take place as a crisis develops. However, response operations are more likely to be mounted under conditions of some uncertainty that may make planning difficult. Unless the environment is hostile, and probably beyond the capability of indigenous forces to provide adequate security, and when approved by Council, the initial phase of an NRF deployment will be to deploy operational level C2. Its purpose is to gain and provide situational awareness, liaise and assess requirements, support collaborative planning and to conduct NATO C2 of follow on elements. Selection and generation will then tailor available forces against the mission requirement, matching political intent with appropriate military capability. Identified force elements will then be deployed in line with the commander's requirements, availability, readiness and logistic constraints. In the first instance these are likely to be drawn from the IRF and then, as necessary, the RFP.
0231. The initial response for the NRF will be provided by a JFC, from his main HQ in its peace time location and a deployable joint staff element (DJSE) with supporting NATO CIS Services Agency (NCSA) sponsored communication and information systems. This HQ could also be supported by elements from the NATO Special Operations Headquarters (NSHQ), the Intelligence Fusion Centre (IFC), Joint Electronic Warfare Core Staff (JEWCS) and assets from the NATO Airborne Early Warning and Control Force (NAEW&CF).
0232. During the planning and preparation phase of an operation, the force requirements would be listed on a mission specific combined joint statement of requirements (CJSOR) and, if required, theatre capabilities statement of requirement (TCSOR). Nations would be invited to confirm their forces participation. SHAPE will subsequently seek to generate any mission specific shortfall not available from the IRF or RFP.
0233. The aim of the NRF training and combat readiness certification process is to produce a combat-ready joint force capable of contributing to the full range of NATO operations. The NRF is trained and certified for operations to standards set by the SC and approved by the MC<sup>5</sup>. The NRF is also designed to be a catalyst for the development of capabilities in the Alliance. The rotation of units through the NRF readiness windows will assist in disseminating enhanced capabilities and experience in joint operations into a broad segment of Alliance forces.

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<sup>5</sup> MCM-052-04 dated 13 Jul 04 authorizes SACEUR NRF Preparation Control (PREPCON) so that he can issue direction, guidance and objectives to harmonise the training and the certification of the designated forces in accordance with NRF Standards and procedures. Oversee the readiness and operational capabilities of the designated forces and conduct and control the training, and evaluation of these forces in order to certify them at component and joint levels or verify their certification by nations at unit level. Once certified, propose at the appropriate level the required measures to maintain the NRF combat effectiveness and preparedness in order to ensure it can carry out at very short notice the full scope of potential NRF missions.

0234. The NRF IRF is configured to provide the minimum joint force in order to provide an immediate response capability for the Alliance. The RFP can be as big or small as nations are willing to make it based upon operational tempo at the time.

## Section V – Deployed Headquarters

0235. The JFC will need to establish itself with a consultation, command and control (C3)<sup>6</sup> capability as early as possible. Depending on the situation in the JOA, the deployed HQ can be positioned within or outside the JOA. The initial HQ consists of the deployment party of the designated DJSE. It may be expanded by a survey team that will contribute to selecting its location. The initial priority will be to establish a capability to monitor and possibly influence the flow into the JOA, as controlled by an allied movement coordination centre (AMCC), and exercise of C2 over the force build-up and preparation for onward deployment. The priority will be to establish the means for exercising C2 in the operational area.
0236. All HQ's should be modular, which implies that their size and structure can be adapted to the requirements of the operation. The HQ nucleus staff will be formed by the joint HQ forward element, JLSG HQ element and the forward support element of a DJSE, which is designed to be further augmented, when required, during the subsequent phases of the operation, and to be downsized when the operation no longer requires a fully established HQ presence.
0237. A number of criteria could be used to determine the location of the HQ. Afloat or on land, inside or outside the JOA, mobile or fixed, are just a few of the options from which to choose from. However, it must be understood that each option does not only have operational implications, but also provides the nations or parties involved in the conflict with a message from NATO's strategic and operational commanders.
0238. The decision regarding the location of the HQ is a crucial one that has to be made early and, considering its possible impact, in close conjunction between the military and political authorities. Another reason for a timely decision on the positioning of HQ is that the movement of the established HQ within the JOA during an operation must be regarded as difficult.
0239. Land-based HQ, while less mobile than a sea-based HQ, possess the organic capability to move themselves on short notice. Operationally configured with multiple operations centres, the HQ can transfer operations quickly while maintaining the operational tempo. The sea-based HQ must also adjust their FP measures as it moves about the JOA. However, the sea-based HQ inherently remains mobile throughout the campaign. Additionally, it can remain within sight of the coast or disappear over the horizon as required by the military and political situation.

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<sup>6</sup> See AJP-6 *'Allied Joint Doctrine for Command, Control Information System'* (under development) for detail.

0240. The communications capability of the operational HQ should be mobile, deployable, scalable, roll-on roll-off air transportable, rail and sea transportable, secure and robust<sup>7</sup>. Scalable means that the architecture can change in size or scale, and robust refers to a system that holds up well under exceptional conditions. In order to meet these requirements, deployable communications and information systems (CIS) in support of a JF HQ should match appropriate readiness requirements, be flexible, sustainable, separate and separable and well trained. It should be resilient, modern, and interoperable with participating nations' CIS systems, in accordance with appropriate STANAGS. Early identification of the Information Exchange Requirements at all levels would ensure timely CIS planning, deployment and activation.<sup>8</sup>
0241. Furthermore, the initial HQ capability must include a liaison capacity to make timely contact with (host) nations' governments and non-military agencies possible and should include an ability to monitor media reports. It should be kept in mind that any communications network used to communicate with host nation governments and non-military agencies will more than likely require the employment of commercial equipment.

## Section VI – Integrating the Components

0242. Optimum coordination between all FC/CCs is only achieved when each FC/CC knows the intentions and capabilities of the other components and also understands the impact of its actions on them. Currently, this is enabled through the resource-heavy establishment of liaison and communications networks. Each component has evolved its particular way of conducting its tactical business and these differences are accentuated cross-nation.
0243. **Location of the Component Commands.** The JFC should not regard his JF as a 'set' and should ensure that each CC has necessary access to him and that he displays no national or single-Service preference. In their turn, the CC's must strike the balance between the advantages of face-to-face contact with the JFC and the need to exercise their tactical responsibilities within their AOOs. As the ACC has no specific AOO but is operating within the whole JOA, it is normally collocated with the JFC. CIS enablers to some extent mitigate the disadvantages of separation but these do not replace the quality of understanding that arises through personal contact.
0244. **Components' Representation in the Joint Force Command.** Each CC will have a senior representative, vested with authority to make recommendations and facilitate decision-making at the main joint operations planning group (JOPG) and joint coordination board (JCB). At the working level, CCs may also need specialists to represent their interests at the various sub-boards, meetings and other coordination mechanisms that make up the Battle Rhythm. When a CC is collocated with JF HQ, this remit may be reduced. However, the JFMCC and JFACC will almost certainly require dedicated staff permanently placed within

<sup>7</sup> 3000 TC -530/Ser : NR 0034 // 2100/SHPPX/10/05-102978, NATO Response Force Minimum Military Requirements

<sup>8</sup> See AJP-6 '*Allied Joint Doctrine for Command, Control Information System*' (under construction).

the JF HQ. This liaison function has to be met by high quality LOs, selected for the appropriate and authoritative level.

0245. **Liaison between Component Commands.** In addition to the liaison link up to the JF HQ, the liaison web between all CC's is absolutely vital. Inter-component coordination and liaison staff teams act as the principal method of coordination in ensuring critical information is rapidly assessed and disseminated up and down the chain of command. They also have an essential role to play in their host component's plans and execution, particularly regarding the synchronization of overall component activity. While liaison teams should be fully integrated into their host HQ structure, they are nonetheless ultimately responsible to their parent CC. The requirement for LOs is likely to soak up large numbers of high quality individuals, and at present is only partially offset by advances in CIS.
0246. **Interagency Coordination.** Increasingly, military operations must be coordinated and synchronized with those of other agencies and regional authorities. A comprehensive approach at the onset of, and further throughout operations is a powerful catalyst in ensuring effective coordination is established. This is especially pertinent for humanitarian/disaster relief operations. There is a requirement to develop agreed cross-agency procedures although it must be recognized that many agencies will resist any encroachment on their own freedom of action. The JFC should take a close personal interest in the establishment of close relationships with all the agencies, and to establish what, in terms of assistance, the JF is able to provide. The political advisor (POLAD), legal advisor (LEGAD) and CIMIC Staff will all have key supporting roles.

## Section VII – NATO Forces Activation Procedure<sup>9</sup>

0247. In order to conduct an operation, it is necessary to activate and deploy mission-specific forces from within NATO forces and, where appropriate, from the forces of non-NATO contributing nations (NNCNs). The force activation and deployment process can be tailored to satisfy specific circumstances pertaining to each crisis situation. Force activation is the responsibility of SACEUR, whose HQ is structured in such a way to facilitate this process.
0248. The following outline procedures apply to the activation and deployment of forces for the execution of military operations within a strategic campaign and constitute the key events in the NATO force activation and deployment process. Although the procedures are shown as a consecutive sequence, in some cases the process will involve concurrent actions.
0249. The activation process starts with a force activation directive or based on parameters in a standing defence plan (SDP),<sup>10</sup> which directs SACEUR to initiate force activation. Normally, in the interests of completing planning within the minimum possible timeframe, it will be highly desirable that the force activation directive be issued coincident with concept

<sup>9</sup> MC133/4 'NATO's Operations Planning'.

<sup>10</sup> See AJP-5 'Allied Joint Doctrine for Operational Planning' (under development) for detail.

of operations (CONOPS) approval, such that force activation procedures can be undertaken in parallel with OPLAN development.<sup>11</sup>

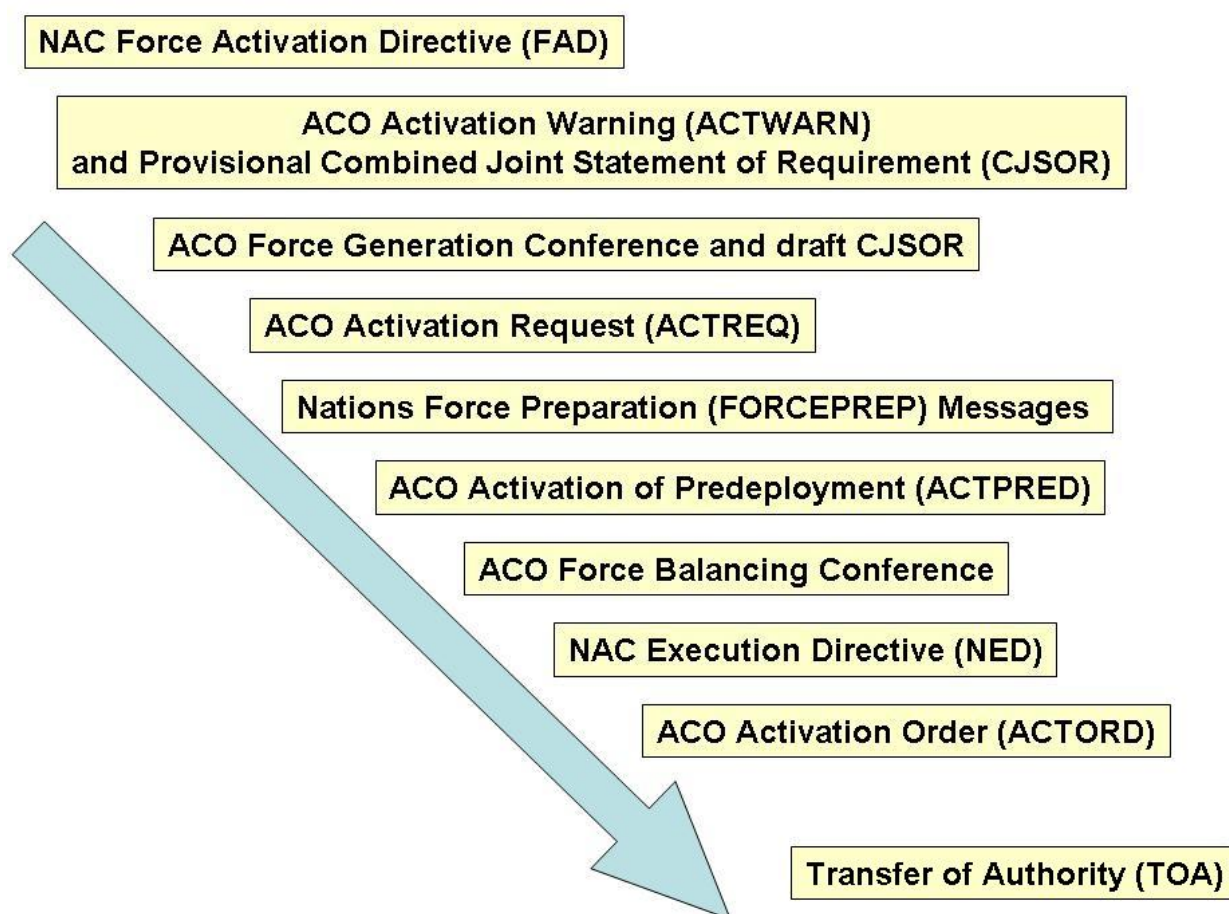
0250. Whenever possible, to take account of a potential requirement to deploy forces at short notice, a provisional statement of requirement, including preliminary deployment information, should be developed in parallel with the CONOPS, ready to be forwarded to nations as soon as possible following CONOPS approval and issue of the NAC Force Activation Directive. Under certain circumstances, where deployment times are likely to be protracted and there is an urgent requirement to establish an early NATO presence in the JOA, for political and/or military reasons, the pre-deployment of an operational level HQ and enabling forces could be authorized, including deployment of an operational liaison and reconnaissance team (OLRT) and authorization of NATO common funding for eligible forces, as soon as they are available and prior to OPLAN approval. To this end, it may be necessary for SACEUR to conduct informal, exploratory force activation consultations with nations, prior to issue of the force activation directive.
0251. As a next step SACEUR commences the formal force activation process derived from a troops-to-task analysis. SACEUR informs NATO joint force commands and nations that a force is required, outlines the mission and identifies key dates. During the course of the military estimate process, it may be possible to make an early identification of a likely requirement for a HQ at operational level. The earliest opportunity to do so would be when SACEUR has identified the preferred COA and it seems likely that this COA could require the C2 capabilities of an operational level HQ, static or deployed.
0252. C2 arrangements will be recommended by SACEUR as part of the operations planning process and laid down within the OPLAN. When a joint force command needs to deploy, a JF HQ will be generated in accordance with the DJSE concept. Appropriate CCs will be selected depending upon the circumstances of the operation based upon those that have been certified on the NRF long term rotation plan.
0253. After having received nations' informal force offers, SACEUR calls a force generation conference, with all potential troop contributing nations and appropriate NATO commands in attendance. Upon completion of the force generation conference, SACEUR develops a summary, which reflects nation's force offers and details the proposed force package for the operation. In the context of this conference force movement and deployment aspects are discussed with nations in order to contribute to the development of SACEUR's multinational detailed deployment plan (MN DDP).
0254. Once the Alliance political authorities approve the OPLAN and a force list has been released an execution directive can be issued to initiate mission execution. SACEUR will issue a message for the operation to all participating nations, which initiate release of national

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<sup>11</sup> An OPLAN is designed to counter an actual or developing crisis. If a crisis was foreseen the OPLAN may be developed from an appropriate COP/GCOP; if the crisis was not foreseen the OPLAN must be developed in response to the prevailing circumstances.



forces and TOA to SACEUR as well as authorizing the deployment of NATO HQ and forces and the release of necessary NATO common funding.



**Figure 2.2 – Force activation procedure<sup>12</sup>**

0255. If pre-deployment of enabling forces has been authorized, SACEUR will issue a message to initiate the deployment of those forces and authorize the release of necessary NATO common funding for eligible forces to support such pre-deployment. If pre-deployment of enabling forces has not been authorized, any pre-positioning of national forces is carried out under national authority. Under certain circumstances, where there is an urgent requirement to establish a robust NATO presence in the JOA, for political and/or military reasons, the pre-deployment of the entire force could be authorized, prior to issuing the execution directive. In any event, the pre-deployment/deployment of all forces should be conducted in accordance with SACEUR's MNDDP and, on arrival in JOA, nations should authorize TOA of forces to SACEUR.

<sup>12</sup> See MC 133/4, 'NATO's Operations Planning' for more detail

0256. The force activation procedures for forces and capabilities provided by NNCN for a NATO-led operation are broadly similar to those described above. Thus, the following paragraphs will address only the specific differences applicable to the force activation process for non-NATO nations. Political approval will be an essential pre-requisite for the involvement of any non-NATO nation in a NATO-led operation.
0257. Should NAC have determined, as a result of political consultations, the desirability of participation by non-NATO nations at this stage, this should be included in the initiating directive. Non-NATO nations would be kept informed of Alliance intentions through the Euro Atlantic Partnership Council (EAPC), Policy Coordination Group (PCG), Euro Atlantic Partnership Military Committee (EAPMC) and other EAPC forums.
0258. The NAC will authorize the participation of partners and other non-NATO nations in the NAC initiating directive. Should SACEUR consider participation by non-NATO nations either desirable or necessary, this will be clearly identified in the CONOPS. At this point the CONOPS is amended, if necessary, to satisfy appropriate NATO security considerations, and would be released to those potential NNCN, that have expressed in writing a positive interest in participation, to allow them to enter into national decision-making procedures.
0259. The NNCN participation would be clearly confirmed in the force activation directive. If appropriate, this should specify those potential NNCN with whom SACEUR is permitted to engage in the force activation process.
0260. Once NNCN have made initial force offers, it is necessary to evaluate the suitability of those forces for the mission. The precise timing of this evaluation will be situation dependent. However, if authorized by NAC, SACEUR could initiate the initial certification prior to the force generation conference, on the basis of initial force offers. Consultations between SACEUR and potential NNCN would be affected through the appropriate national LO, as required in the OPLAN. If the forces being offered already have a valid NATO certification, there is no requirement for further evaluation.
0261. Force certification procedures will determine the following information:
- a. Any military and/or political limitations under which the forces may be required to operate.
  - b. Details on the forces' organization, manpower, training, armament and equipment, communications, logistics and medical facilities.
  - c. An assessment of the forces' military effectiveness (i.e. the ability to conduct missions and tasks as specified in the appropriate OPLAN).
  - d. An assessment of the forces' ability to conduct all external operational communication in the English language and to achieve interoperability in key functional areas.



- e. Recommendations to SACEUR on how the forces can best be employed.
0262. Additional guidance on the criteria for selection, certification and participation of NNCN may be included in the OPLAN. On completion of force certification procedures, the NATO command, or sponsor nation, performing the evaluation will forward a report to SACEUR, which identifies capability shortfalls and makes appropriate recommendations regarding suitability for employment.

## **Section VIII – Transfer of Authority (TOA)**

0263. To ensure the properly coordinated deployment of forces into the JOA, including their transit to NATO-designated staging or bed-down locations, nations should authorize TOA of all forces on arrival in the JOA. The issue of the NAC execution directive and following NATO activation order initiates release of national forces and TOA to SACEUR, as well as authorizing the deployment of NATO forces. If pre-deployment of enabling forces has been authorized, the issue of NAC force activation directive and following activation of pre-deployment (ACTPRED) will initiate the release of enabling forces and TOA to SACEUR, as well as authorizing their deployment.<sup>13</sup>
0264. Since NNCN are not signatories to NATO procedures and agreements, it will be necessary for them to sign formal letters of agreement concerning their participation in the operation, as well as finance and security arrangements. Upon receipt of the letters of agreement SACEUR will invite NNCN to set up liaison at appropriate NATO military HQ.

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<sup>13</sup> MC 133/4. For the particular case of the NATO Response Force, MC 477 *'Military concept for the NATO response force'* states: 'While performing exercises and operations, forces are under the operational command/control of the strategic commander for operations who will delegate control as appropriate to the designated JF commander. Transfer of Authority (TOA) will take place before the commencement of deployment.'

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## ANNEX 2A – JOINT STAFF FUNCTIONS

- 2A1. The circumstances surrounding the establishment of a JF HQ, its relationship with any existing NATO HQ in the JOA, the assigned forces' mission and the environment in which the mission is to be conducted will dictate the staff requirements and functions. The JFC should organize its staff, as he deems necessary to optimize its ability to plan, conduct and support the operation successfully. The following staff functions will usually be established.
- 2A2. The JFC usually has three principal advisers: the chief of staff (COS), the political advisor (POLAD) and the legal advisor (LEGAD). Beside these advisers the JFC can add additional functional advisors if required, such as for example a tribal or cultural advisor. Furthermore, usually a deputy commander (DCOM) and deputy/assistant chiefs of staff (ACOS/DCOS) are appointed, which also advise the JFC.
- 2A3. **Chief of Staff (COS).** The COS should be an experienced commander in his own right and, with the understanding he possesses, would coordinate the work of the staff divisions by giving clear direction and setting priorities. He should also coordinate and fuse the work of the wider HQ including the JF elements. It is his role to ensure the staff pulls together as a team and has good esprit de corps, making the headquarters feel more like a family than a large impersonal organization, especially in a multinational environment.
- 2A4. **Political Adviser (POLAD).** POLADs are civil servants or military personnel selected to advise the JFC, but they rarely form a cell or branch within the JF HQ. Principally they advise on:
- a. NATO policy.
  - b. Local, national, regional and international political issues.
  - c. Political issues specifically related to Allies, partners, NNCNs and host nation (HN).
  - d. The relationship with international organizations (IOs) such as the UN as well as NGOs.
- 2A5. **Legal Adviser (LEGAD).** LEGADs can be either civil servants or military lawyers selected to advise the JFC. Principally they advise on:
- a. International law and mandates.
  - b. The legal aspects of rules of engagement (ROE).
  - c. Operational law issues specifically related to Allies, partners, NNCN and HN.
  - d. All legal matters arising from the presence of the JF in the JOA.

- 2A6. **Personnel and Administration.**<sup>1</sup> The personnel and administration staff's principal role is to advise JFC and his staff on the personnel policies and manpower management systems and procedures established by national authorities for their force components. Personnel and administration staff responsibilities include personnel management, accounting, entitlements and benefits, morale, welfare, recreation, postal services, safety, prisoners of war administration and casualty reporting. Personnel and administration staff should also coordinate personnel matters with the personnel staffs of the national contingents. Personnel and administration is responsible for the establishment of a joint personnel, resources and finance centre (JPRFC).
- 2A7. **Intelligence.** The intelligence staff is responsible for the provision of accurate, timely and relevant intelligence to meet the JFC's operational and security requirements within the JOA and maintaining situational awareness in the JFC's area of intelligence interest and area of intelligence responsibilities (AIR).<sup>2</sup> As such the intelligence staff is usually responsible for establishing a joint all sources information centre (JASIC).
- 2A8. **Operations.** The essential role of the operations staff is to act as the focal point through which the JFC directs the conduct of an operation, ensuring unity of effort and the most effective use of resources supporting immediate and planned operations. As such the operations staff is usually responsible for establishing a joint operation centre (JOC).
- 2A9. The operations staff may comprise sections/cells that cover maritime (MAROPS), land (LANDOPS) including Military Police and air operations (AO) plus sections/cells to cover special operation forces operations, space operations (SPACEOPS), information operations (Info Ops), Psy Ops, CBRN activities, CIMIC, targeting coordination, refugee support (REFSUP).
- 2A10. The operations staff is responsible for:
- a. Coordinating and synchronizing the execution of an operation.
  - b. Monitoring FC/CCs plans and operations supporting JF's operation within the JOA as well as the organization of the JOC:
    - (1) MAROPS<sup>3</sup> including surface, subsurface, air, amphibious, afloat support, sealift and mine warfare.
    - (2) LANDOPS<sup>4</sup> including manoeuvre, fire support, communications, aviation, mobility, and logistics.

<sup>1</sup> The staff functions as mentioned in paragraphs 2A-6 through 2A-21 reflect the classical J1 through 9 staff structure.

<sup>2</sup> See AJP-2 'Allied Joint Doctrine for Intelligence, Counterintelligence and Security' and subordinate documents.

<sup>3</sup> See AJP-3.1 'Allied Joint Doctrine for Maritime Operations' and subordinated documents.

<sup>4</sup> See AJP-3.2 'Allied Joint Doctrine for Land Operations' and subordinated documents.

- (3) AO<sup>5</sup> including counter air operations, strategic, operational and tactical air operations and supporting air operations.
- c. Assessing the status and capabilities of assigned forces, as a pre-condition for the JFC's decision on a course of action (COA) and his concept of operations (CONOPS).
  - d. Specifying the tasks for FC/CCs, based on JFC's CONOPS.
  - e. Producing and distributing operation orders (branch plans) and fragmentary orders (FRAGOs).
  - f. Assembling the JF HQ and, if necessary, deploying a HQ to an approved site.
  - g. Recommending force organizations for planned operations.
  - h. Advising the JFC on applicable ROE and suggesting changes/additions he may wish to consider.
  - i. Organize a joint coordination board (JCB).
  - j. Coordinating across the staff the updating and the dissemination of the commander's critical information requirements (CCIRs).
  - k. Coordinating the conduct of SPACEOPS within the JOA, as well as the organization of the SPACEOPS cell. SPACEOPS includes reconnaissance and surveillance, communications, positioning and navigation device and warning systems.
  - l. Coordinating the conduct of special operations forces operations (SOFOPS) within the JOA, as well as the organization of the SOFOPS cell.
  - m. Coordinating the conduct of CBRN activities and damage control<sup>6</sup> within the JOA, as well as the organization of the CBRN cell.
  - n. Coordinating joint fires and targeting activities,<sup>7</sup> as well as the organization of the Targeting cell.
  - o. Coordinating the execution of information activities,<sup>8</sup> as well as the organization of the Info Ops cell and the Info Ops coordination board (IOCB).
  - p. Coordinating the execution of Psy Ops activities,<sup>9</sup> as well as the organization of the Psy Ops cell.

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<sup>5</sup> See AJP-3.3(A) 'Allied Joint Doctrine for Air & Space Operations' and subordinated documents

<sup>6</sup> See AJP-3.8 'Allied Joint Doctrine for Chemical Biological Radiological and Nuclear Defence' for detail.

<sup>7</sup> See AJP-3.9 'Allied Joint Doctrine for Joint Targeting' for detail.

<sup>8</sup> See AJP-3.10 'Allied Joint Doctrine for Information Operations' for detail.

- q. Coordinating the execution of CIMIC activities as well as the organization of the CIMIC cell.
- r. Coordinating and monitoring REFSUP, as well as the organization of the REFSUP cell.
- s. Coordinating or appointing liaison officers (LO) and coordinating the activities of LOs appointed to the JFC.
- t. Coordinating routine and emergency reporting, including staff inputs to reporting as appropriate.
- u. Specify and coordinate air defence area operations.
- v. Specify and coordinate airspace control.
- w. Coordinate security/detention plan.
- x. Force protection.

2A11. **Joint Force Engineer (JFENGGR).**<sup>10</sup> The JFENGGR is the principal engineer advisor to the JFC and his staff on all engineer issues. Although he will not act as a commander, he should have coordinating and technical authority over the military engineer assets throughout the JF in order to ensure capabilities and resources are used most effectively. The JFENGGR will usually establish a JFENGGR centre (JFEC) within the HQ. The JFEC should normally be an independent cell within the JF HQ, but if this is not possible it should be embedded in the JOC with authority to coordinate with the remainder of the coordination centres in the HQ.

2A12. **Provost Marshall.**<sup>11</sup> The Provost Marshall is JFCs adviser on security, order and discipline inside the force. Together with the multinational specialized unit (MSU) commander (if established), he is responsible for matters related to the civilian population security issues and police matters.

2A13. **Logistics.**<sup>12</sup> The logistics staff is responsible for assessing the logistics required for achievement of the JFC's objectives, and for ensuring that these support requirements are met throughout the operation. Based on this assessment, the logistics staff develops the logistic concept and plans in support of operations and coordinates the overall logistic effort. The size and complexity of operations, component participation and force contribution of the nations as well as the degree to which national and/or multinational logistics are to be integrated into the logistics concept may require specific logistic coordinating activities. If

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<sup>9</sup> See AJP-3.10.1 'Allied Joint Doctrine for Psychological Operations' for detail.

<sup>10</sup> See AJP-3.12 'Allied Joint Doctrine for Joint Engineering' for detail.

<sup>11</sup> See AJP-3.2.3.3 'Allied Joint Doctrine for Military Police' for detail.

<sup>12</sup> See AJP-4 'Allied Joint Doctrine for Logistics' for detail.

appropriate, an MJLC in support of the JFC's logistics staff may be activated to coordinate support between FC/CCs, national support elements (NSE), the HN and NGOs.

2A14. **Medical.**<sup>13</sup> In order to ensure proper medical planning and support for the forces under command, the JFC needs an adequate medical staff structure to enable him to make medical assessments and to plan and deal with the national medical support. The medical advisor (MEDAD) in a JF HQ is responsible for ensuring that the commander and his staff are properly aware of the health and medical implications of their actions and any issues connected to the operation. As a special staff officer, he maintains direct access to the commander. The MEDAD may also be the force medical director.

2A15. **Plans.**<sup>14</sup> The plans staff assists the JFC in the preparation of his campaign plan and the planning for future operations. It coordinates these planning efforts within the JF HQ and with higher, subordinate and adjacent commands and civil authorities. The plans staff is responsible for establishing, and forming the core of a joint operation planning group (JOPG).

2A16. The operational planning staff may subdivide into staff parts of the joint HQ elements also needed for the conduct of continuous operations.

- a. **Joint Operations Planning.** A joint operations planning element, established as a cross-functional working group, will be responsible for the process of operational level planning to develop the operational design and plans. It plans in close coordination with cooperating relevant international actors. It includes planners, subject matter experts and liaisons, representing all the required functional areas and disciplines. It is responsible for the coordination and production of all planning throughout a given operation, to include the continued development of the CONOPS, the CJSOR, the OPLAN, including branches and sequels, and the SUPLANS.
- b. **Joint Effects Management.** A joint effects management element supports the operations planning process. It ensures that military effects are consistent with the political, economic and civil efforts within a comprehensive approach. It provides a focal point for coordination of efforts by cooperating military and non-military organizations to accomplish strategic objectives and establish the conditions required to achieve the desired end-state.
- c. **Joint Coordination and Synchronization.** A joint coordination and synchronization element coordinates and synchronises execution and adjustments of joint operations by components and other subordinate commands by recommending mid-term priorities for targeting and resource allocation and by issuing orders and supporting products.

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<sup>13</sup> See AJP-4.10 'Allied Joint Doctrine for Medical Support' for detail.

<sup>14</sup> See AJP-5 'Allied Joint Doctrine for Operational Planning' (under development) for detail.

- d. **Joint Assessments.** A joint assessment element monitors the operation and leads the operational level campaign assessment of effects and associated actions within the theatre to measure the progress towards the achievement of operational and strategic objectives and the conditions required to attain the desired end-state.

2A17. The plans staff should:

- a. Determine, on the basis of the intelligence assessments, with the background of wider encyclopaedic knowledge about the situation, the military conditions for successful accomplishment of the JFC's assigned objectives, including action to be directed against the opponents' centres of gravity (COGs) and that required to protect friendly COGs.
- b. Develop COAs to accomplish the JFC's mission.
- c. Provide planning guidance for the phased execution of the campaign, with particular emphasis on the delineation of the FC/CC's areas of operation (AOO) within the JOA and the time/phase synchronization of forces to achieve the campaign objectives.
- d. Promulgate the JFC's decisions on the COA for the operation through CONOPS, planning directives, and the OPLAN.
- e. Assist the JOC during execution.
- f. Review the OPLANs of FC/CCs.
- g. Identify additional forces and capabilities needed to perform the mission, and determine the required order of arrival and initial employment of forces.
- h. Conduct combat assessment in cooperation with intelligence and operations execution elements of the joint headquarters staff by using operational analysis of operations as directed by the JFC.
- i. Conduct long-term targeting planning in cooperation with intelligence and operations execution elements of the joint headquarters staff.
- j. Plan, in consultation with the CIMIC staff, for emergency and disaster relief assistance in accordance with NATO policies.

2A18. **Communications and Information Systems (CIS).**<sup>15</sup> The CIS staff should ensure that adequate CIS support is provided for operations, and that interoperable CIS procedures are used at all levels in the JF. Furthermore, to enable the JFC's C2 requirements, the CIS staff should be included in the planning, coordination and execution of C3 architectures and in-

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<sup>15</sup> See AJP-6 'Allied Joint Doctrine for Command, Control Information System' (under construction) for detail.



JOA CIS systems. The CIS staff is usually responsible for establishing a joint C3 support centre (JC3SC) to facilitate CIS management and network control. Activities which are critical to the NATO CIS must be fully coordinated between the Info Ops cell within the JOC and JC3SC using the framework of the IOCB.

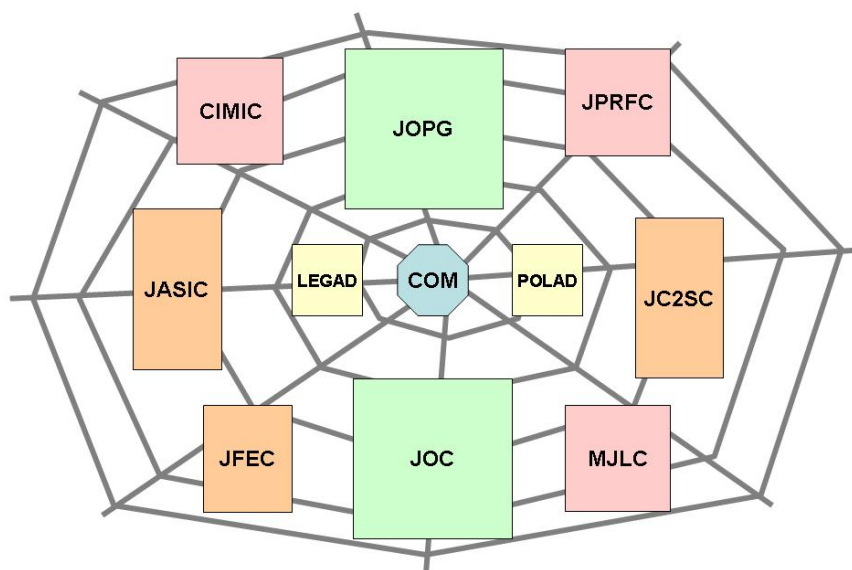
- 2A19. **Training.** The training staff is responsible for advising and managing in-JOA training during the JF work-up period prior to the commencement of the operation, and conducting training for augmentation forces added to an ongoing operation. The training staff would also liaise with a relief force to ensure a smooth transition and that lessons learned in-JOA are passed to the incoming force. If the operations are bound in time such that relief on site will not be required, or if the level of training to be provided is such that it can be handled by the operations staff alone, or if a training phase is not required by the JF, the training staff may not be established, or may be disbanded after initial in-JOA training is completed. When necessary the training staff may be integrated as a separate cell in the JOC.
- 2A20. **Budget and Finance.** The budget and finance staff, under the lead of an appointed JOA financial controller, is responsible for preparing and executing the common funded mission budget for the operation on behalf of the JFC. This includes the functional supervision of FC/CCs. The budget and finance staff, responsible for procurement and fiscal issues, usually needs to be first in and last out and will need to coordinate closely with nations. The other functional areas need to cooperate closely with budget and finance staff through appointed fund managers to provide appropriate funding for the requirements of the mission. The budget and finance staff is usually integrated in the JPRFC.
- 2A21. **Civil-Military Cooperation.**<sup>16</sup> The civil-military cooperation staff would be responsible for civil-military liaison activities and advising the JFC on the implications of all activities undertaken which directly concern the relations between the armed forces, local government, civil population, IOs, NGOs, and other agencies of the countries where the JF is deployed, employed and supported. In particular the civil-military cooperation staff takes a leading role in the assessment of the civil situation within the planning process. The civil-military cooperation staff members are not necessarily individual specialists with skills applicable in a civilian environment. However, they should have broad military experience, understand CIMIC principles and procedures, understand the environment in which they will operate and understand the workings of NGOs and IOs. They should be capable of explaining military requirements to civilian organizations and vice versa. Finally, they should be able to carry out accurate assessments and provide tactical advice to the commander..
- 2A22. **Public Affairs (PA).** The mission of NATO military PA is to support commanders by communicating accurate information in a timely manner to audiences to improve public awareness and understanding of the military aspects of the Alliance's role, aims, operations, missions, activities and issues, thereby enhancing organizational credibility. Audiences can be allied, international, regional, local or internal, depending on the issue or activity.

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<sup>16</sup> See AJP-9 '*Allied Joint Doctrine for Civil-Military Cooperation*' (under development) for detail.

Therefore, the PA office advises the JFC on all media-related matters, taking guidance on NATO's overall information strategy from the highest political level through his line of command. To ensure synergy of effort, the PA offices should closely coordinate at all command levels with all other information disseminators and collectors, including Info Ops, Psy Ops and Intelligence. It must be noted however, that, in order to safeguard the integrity, credibility and efficiency of NATO military PA, such close coordination must not result in either organizational or direct integration of PA with other tools of the common information effort.

- 2A23. PA staff should maintain a close liaison with CIMIC; therefore the media information centre (MIC) may be collocated with the JCIMICC. The MIC will coordinate with the PA cells from associated IOs in the JOA (e.g. the United Nations and the European Union). The MIC will interface with the international and local press, and will be responsible for implementing the public information strategy. The chief PA officer is, in principle, the JFC's spokesperson, and as such should have direct access to the commander as required. As the success and credibility of the spokesperson relates to continuous interaction and established trust with the media, frequent change of the JFC's spokesperson should be avoided.



**Figure 2A.1 - Basic composition of a JF HQ**

- 2A24. With appropriate CIS, centres and cells need not be collocated and can operate in a network. This gives the maximum flexibility especially in deploying a JF. It is possible for some cells to be located close to their respective main focus areas, for example, the MJLC

close to the NSEs and CIMIC Staff in the neighbourhood of major HN governmental departments, NGO and IO's HQ. Alternatively, cells may be disposed throughout the JOA or even outside the JOA to create better FP. On the other hand, personal contact and direct interaction between cells could force them to collocate. The final location and disposition of the deployed HQ will be a part of the decision making process.

- 2A25. **Liaison.** All operations require significant coordination and liaison. Liaison personnel<sup>17</sup> should be exchanged between: the joint force command, higher command, adjacent units, HN, NATO contributing nation (NCN), NNCN, IOs involved in the operation and supporting forces assigned to the JFC. Within the JF, exchange from liaison elements between the functional components is critical to facilitate coordination of the FC/CCs.
- 2A26. Differences in language, culture, equipment, capabilities, doctrine and procedures are some of the challenges that require close cooperation. The JFC should identify additional requirements and request them at the earliest opportunity. The maximum use of liaison personnel, especially in operations involving NNCN that may employ different doctrine or procedures, will enhance interoperability and contribute significantly to mission success.
- 2A27. The establishment of a liaison network throughout the JF, indigenous population, major aid agencies and international organizations will be a major supporting 'enabler'. During initial force generation planning, the appropriate operational requirement should be quantified in terms of quality personnel, communications and transport, and then included in initial force generation planning. The JFC will need to set policies and priorities to ensure a deliberate and structured allocation takes place at the earliest opportunity and certainly before the arrival of the main body.
- 2A28. If initial risks are high and main body forces are taking some time to deploy, there may be merit in deploying special LO teams in order to identify key players and gain initial access, before handing over to main body forces, once they are established.
- 2A29. LO generally represent the interests of the sending commander to the receiving commander, but can greatly promote understanding of the commander's intent at both the sending and receiving headquarters. They should have the authority to speak for their commander and be of sufficient rank to influence the decision-making process at the level they are assigned. Liaison personnel should have sufficient knowledge of the capabilities and limitations of the staff/unit they represent. They should also be innovative and tenacious, but at the same time diplomatic and sensitive in respect of the force element to which they are detailed.
- 2A30. The sending commander is responsible for ensuring that liaison personnel have sufficient communications equipment at their disposal to permit instantaneous communications with his command. This communication is especially important during the early stages of JF formation and planning. The receiving commander is responsible for providing the required equipment when liaison elements have to communicate on nets within the receiving command.

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<sup>17</sup> The requirement for liaison personnel is identified by STANAG 2101 '*Establishing liaison*'.

## **CHAPTER 3 – PREPARATION**

### **Section I – Introduction**

0301. Before actually conducting a military operation, NATO should conduct several preparatory activities. Both NATO and the troop contributing nations (TCN) are responsible for and should work closely together to prepare the assigned troops for the imminent operation. It is not always possible to determine a point at which a specific activity starts or ends. These are governed by the political decision-making process of each TCN.
0302. At the higher strategic level, it will be vital to prepare the wider operational environment and shape it in a way that will support the conduct of operations. Primarily, the legitimacy of intended actions and the general support of the international community must be self evident to all. Achieving this state of affairs will depend to a large extent upon the political and diplomatic activity and direction through NATO from the nations that are involved in, or directly supporting, the operation. Preparing the operational area also includes consideration of the overall information strategy, which must consider boundaries that are not the same as those of the JOA. Strategic communication are an integral part of the efforts to achieve the Alliance's political and military objectives. The solid stance of the international community will influence the adversary's perception of his own chances of success, although it may not necessarily discourage him from pursuing his own aims.
0303. At the operational level, the JFC should seek to prepare and shape the JOA by realizing effects on the adversaries' will, understanding and capability, and the cohesion between them. He should aim to erode the adversary's resolve, persuading him that military action is unlikely to be successful. To achieve this, the JFC and his staff will draw on Allied intelligence assets in order to identify the adversary's vulnerabilities and weaknesses, and then attack them. Offensive action (for example, interdiction) is just one means of shaping the operational area.
0304. It is counter-productive to try to over-regulate what is an inherently complex activity; placing absolute faith in closely sequenced plans made in advance does not work. However, what is vital is the close synchronization of strategic, operational and tactical planning in the build-up, and to have a series of robust mechanisms in place to both keep the preparation on track and to cope with the unexpected. An important and parallel consideration is to include sufficient flexibility in the JF composition to cope with changes.

### **Section II – General**

0305. During the preparatory process, nations and, depending on TOA, an assigned joint forces command will deploy the forces; establish lines of communications (LOC) and liaison with HN, IOs and relevant agencies. The JFC has to shape the JOA, in order to facilitate the actual conduct of the operation.
0306. Activities the JFC may consider as part of the preparatory process are:

- a. Establish C2 for the JF and communications arrangements with the NATO HQ and through SACEUR with the TCNs.
  - b. Ensure that strategic communication are integrated in all levels of planning from the earliest stages of operations.
  - c. Create and protect the LOC.
  - d. Coordinate the deployment of the forces.
  - e. Build-up the forces.
  - f. Build-up logistic support, including HNS.
  - g. Prepare and execute combined training to integrate the forces within the JOA and rehearse key aspects of the plan.
  - h. Sustain forces during build up and preparation for operations.
  - i. Protect and secure the forces.
  - j. Install, when required, a liaison network.
  - k. Conduct, when required, preliminary operations.
  - l. Request an enabling budget and prepare a mission budget.
  - m. Gain and maintain space superiority.
0307. Many of the activities that are conducted during the preparatory process are not the JFC's primary responsibility. Quite often, he depends on SACEUR or the TCNs to facilitate the activities of the JF. For example, the strategic deployment is a national responsibility, with SACEUR in a coordinating role and the JFC often only monitoring progress.
0308. The JFC has limited influence over initial preparation and training of the national troop contributions, although he can be asked to issue directives and guidance on the focus of the preparation and training program. After TOA of the national troop contributions, the JFC will be, among other aspects of the operation, in charge of the protection and security of the forces, their build-up (including in-JOA preparation and training) and, when required, the conduct of preliminary operations. However, a number of constraints may be placed upon the JF by ACO and the TCNs. Additionally, the activities of the adversary or adversaries and the media will have an effect on the conduct of operations during the preparatory activities.

### Section III – Specific Dynamics and Characteristics

0309. **Basis of Success.** Preparatory activities present the JFC with an opportunity to create a relatively favourable starting position prior to the actual conduct of an operation. However,

these activities can easily be disturbed or disrupted by an adversary, a fact anyone within the staff of the JF HQ and the force command/component command (FC/CC) HQ should be aware. Clear and unhindered access to the JOA is also fundamental to the success of an operation. It is essential that the LOC are secured and maintained whenever possible. However, the number and type of assets assigned to this mission will clearly be dependent upon the operational and political environment.

0310. **Assessment of Capabilities.** The earliest accurate assessment of the infrastructure capabilities within the JOA is vital to the operation. The organization of a liaison network, especially with the HNs providing support, allies, coalition partners and the many other agencies likely to be operating in the JOA, can assist in gathering information to facilitate the analysis of the capabilities and shortfalls of the reception facilities within the JOA. By identifying the shortfalls, JFC can, in close conjunction with ACO, enhance the infrastructure capabilities within the JOA with military and/or commercially hired installations and facilities.
0311. **Main Effort.** The main effort of the operation is focused initially on intelligence and logistics. The early development of an intelligence architecture greatly facilitates the actual conduct of the operation. This requires the JFC to determine as soon as possible his CCIRs and the intelligence community to put in place a robust and versatile intelligence network. The creation of an adequate sustainment capability for the operation is a vital part of the preparatory activities and determines whether the operation can be conducted at all and at what moment. It greatly depends on the levels of stock that have been brought into the JOA, the level of efficiency of that specific part of the operation and on other preparatory logistic measures that facilitate subsequent activities by the forces.
0312. **Preserving the Force and Force Protection.**<sup>1</sup> Preserving the force and force protection (FP) is crucial to the successful build up of the JF. In order to preserve and protect his fighting power, the JFC must be able to protect the cohesion of the JF in both the moral and physical sense. Establishing an integrated approach in a multinational JF will present particular challenges to the JFC. Some nations will impose more restrictive measures on their deployed forces than others and national policy may change unexpectedly during operations. Close liaison, particularly at senior command and national contingent levels, will reduce the detrimental effects of these different approaches.
0313. FP aims specifically at conserving the fighting potential of the deployed force by countering the wider threat to all its elements from adversary, natural and human hazards, and fratricide. It minimizes and mitigates the effects of the threat from overhead attack systems, weapons of mass destruction and environmental hazards. It also reduces the interference with military operations by the civil population, and the threat of attacks by extremists. FP should be guided by the following principles:

- a. **Measured Assessment of the Threat.** A threat assessment based on accurate and

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<sup>1</sup> See AJP-3.14 'Allied Joint Doctrine for Force Protection' for detail.



timely all-source intelligence must be conducted as the basis for selection of force protection measures.

- b. **Risk Management.** FP should be based on risk management, not risk elimination. Casualties, deliberate or accidental, are a reality of military operations, and the desire to avoid them totally may well impact adversely on the achievement of the mission. A balance of risk is required.
  - c. **Joint and Multinational Concept.** FP must embrace all force components, including civilian support within the JOA, and address all aspects of the threat.
  - d. **Prioritization.** Notwithstanding the above, it is unlikely that the capability to protect all force elements to the same degree will exist. Priority should be given to own centre(s) of gravity (COG), both tangible (e.g. logistics), and intangible (such as operation cohesion or political will as influenced by public opinion).
  - e. **Flexibility.** The FP policy and measures must be flexible and capable of responding to a rapidly changing threat, although availability of resources may limit that flexibility.
0314. **Public Support.** The JFC must use all relevant channels, including the traditional media, internet-based media and public engagement, to build awareness, understanding and support for his decisions and operations.<sup>2</sup> During the preparatory stage of an operation, the JFC will initiate PA activities with the aim of accurately and rapidly informing the population of the international community and within the JOA of NATO's mission, thereby gaining their understanding and support. The main effort of this element of the JFC's overall operation will be to ensure and promote the legitimacy of the forces' presence and objectives. To achieve the desired aim, the JFC should direct all available and relevant elements and functions of the JF to conduct their part of an overall information strategy. Since timing is of essence, the former could imply that elements of the enabling forces would also be involved in these operations and activities. This in turn means that the structure of the enabling forces is partly determined by the demand for elements that are capable of conducting these operations. Evidence of public support within the JOA could have a positive effect on the support by the TCN's parliaments and general public and thereby facilitate both the conduct and the outcome of the operation.

## Section IV – Preparatory Activities

0315. **Establishment and Protection of Lines of Communications (LOC)**<sup>3</sup>. The LOC are all the land, water and air routes that connect an operating military force with one or more bases of

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<sup>2</sup> See PO(2009)0141 'NATO Strategic Communications Policy' for detail.

<sup>3</sup> See AJP-3.13 'Allied Joint Doctrine for Deployment of Forces' for detail.



operations, and along which supplies and reinforcements move. Operational LOC are the responsibility of the JFC and should be established as early as possible. Operational LOC, particularly road and rail, are rarely uniquely available to NATO forces. The indigenous population, aid agencies and local forces will all rely on them too. Early clarity concerning responsibility and authority for the coordination of their use and for their maintenance and development will be required. The important nodes in the LOC are:

- a. **Port of Debarkation (POD).** The POD is likely to be a sea, air or rail port of debarkation through which forces and supplies can be deployed into/close to the JOA. However, movement may also be by road. The POD is usually, but not necessarily, inside the JOA. Expected disruption by adversary elements may influence the selection of PODs. The selection of PODs is mainly a responsibility of the TCNs. As it is a crucial matter for SACEUR and the JFC, they may advise on the selection as appropriate. De-confliction will take place in movement conferences on strategic and operational levels.
- b. **Forward Mounting Base (FMB).** A FMB is a base, frequently a port, airfield or railhead, from which an operation may be launched into the JOA, particularly if the JOA is at the end of a long or vulnerable strategic LOC. A FMB is normally within SACEUR's AOR, but not necessarily within the JOA. A FMB must be secured and not be directly exposed to, or at risk from, adversary action. An essential stepping stone into the JOA, the FMB should have the capacity for an insertion force to form-up within it, and subsequently should be able to handle reinforcements, reserves and evacuees. Its selection and occupation is a strategic matter for SACEUR with advice of the JFC.
- c. **Forward Operating Base (FOB).** A FOB is a locality within the JOA from which subsequent operations are projected. Its selection and use is an operational matter for the JFC and his FC/CCs and forms part of the OPLAN.
- d. **Staging Area.** The staging area is an area located between the mounting area and the POD through which all or part of the forces pass after mounting, for the purpose of refuelling, regrouping, training, inspection and distribution of troops and materiel. It is a general locality established for the concentration of troop units and transient personnel between movements over the LOC. If the flow of incoming resources is greater than the handling capacity of the receiving unit then multiple assembly areas (AAs) have to be established.
- e. **Transit Nation.** The deployment of JF elements from their respective home bases to the JOA will often depend on the use of the infrastructure of non-NATO nations. Early liaison by ACO with the nations identified as being critical to the successful deployment of the forces facilitates the actual use of these transit nations' infrastructures. Legal and financial aspects must be negotiated between NATO representatives and the transit nations' authorities, but equally important are arrangements concerning the safety and security of personnel and equipment while on

the transit nation's territory. These negotiations should be closely coordinated with the International Staff (IS) at NATO HQ, and if required preceded by diplomatic activities.

0316. Before deployment of a force, or the staging of forces in or through another state, it will normally be necessary to obtain clearance from the HN. Once this has been granted, the more detailed coordination of relations with the HN will start in earnest. The provision of HNS<sup>4</sup> will often involve bilateral or multilateral agreements to detail the agreed levels of support. The JFC is likely to be granted authority to implement and manage existing HNS arrangements. The early incorporation of HNS capabilities into the force logistic support system, which CC logistic elements can 'plug into', will be one of the JFC's top priorities.
0317. Operations are conducted multinationally and the JF consists of a number of national contingents, therefore the JFC should seek to ensure that HNS plans are coordinated with these national contingents in addition to the HNS. This close coordination assists with the management of in-JOA resources and cost control and avoids double-counting of resources.
0318. **Diplomatic Clearance.** The requirement to obtain clearance prior to entering or transiting a nation's airspace, territory or territorial waters affects all aspects of force planning and deployment. Overflight constraints have often undermined air power's access to required airspace. The 1944 Chicago Convention on Civil Aviation declared that every state has complete and exclusive sovereignty over the airspace above its territory. No Alliance aircraft may fly over, or land on, the territory of a foreign nation without prior authorization, known as diplomatic clearance. Before TOA, diplomatic clearance is a national responsibility. After TOA diplomatic clearance for the forces is normally a responsibility for the relevant NATO command authorities. In periods of increased tension or conflict, it may not be possible to obtain diplomatic clearance from some nations. In order to prevent possible threats to aircraft or ship security and prejudicing diplomatic relations further, alternative routings should be used if practicable. However, in some circumstances, and permitted by international law, it is possible that establishing and maintaining LOC through potentially hostile environments may outweigh diplomatic concerns. This may also be the case for maritime assets and a certain degree of sea control may be required to allow safe transit along sea lines of communications (SLOC). This may be established during the transit phase by the dispatch of a sea control group in advance of the main force deployment. However, as detailed in the UN Conference on Laws of the Sea 3, naval vessels are entitled to exercise right of innocent passage through another nation's territorial seas. During this passage the vessels must undertake no military activity and use a recognized route. An alternative to gaining sea control is to employ the use of convoys to protect chartered or requisitioned shipping.
0319. **Entry Operations.** Entry operations may be required to gain a foothold in the JOA and establish secure PODs and HAs. One task for NRF, as an initial entry force, is to facilitate the arrival of follow-on forces in the JOA within a benign or hostile environment, with or without

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<sup>4</sup> See AJP 4.5 'Allied Joint Doctrine for Host Nation Support' for detail.

HNS. This arrival of follow-on forces can be planned at an early stage of the operation or if the situation dictates that the NRF needs to be replaced or expanded. The transition has an impact on the operational and component levels of command as well as on the forces.

0320. The establishment of the JF into the JOA hinges upon the successful initial entry of forces. It is possible that this entry could be hindered by the parties involved in the conflict (or even third parties), with the aim of creating a favourable adversary position relative to the JF prior to the commencement of its build up. In that case, the JFC could decide to conduct forcible entry operations, which would imply the employment of manoeuvre elements and combat power to establish a secure foothold in the JOA. A combination of special operation forces (SOF), airborne forces, air assault/helicopter borne forces, amphibious forces, and follow-on forces could be tasked to create such a foothold, which would subsequently be expanded and used to establish the JF in the JOA. However, these operations should not be confused with preliminary operations, as directed by the JFC, that could be performed prior to the conduct of the operation, and that are explained in more detail at the end of this section.
0321. **Deployment.**<sup>5</sup> The varied nature of military operations requires commanders to consider different options for deployment. The options selected depend on desired effects and a myriad of planning considerations, such as mission, security situation, components specific requirements, political environment, economic implications, and transport infrastructure. The desired effects of an operation depend heavily on the ability of the Alliance to conduct manoeuvre warfare through timely availability of mission-ready forces. Manoeuvre warfare requires the availability of mission ready forces and an ability to deliver them at the right time and to the right place. Therefore an appropriate mix of JF's elements must flow into the JOA to achieve the right balance of capability to task. However, in any emerging crisis, there will need to be a range of force options available to ensure quick and effective exploitation or reaction to changing events.
0322. Since the JF will only be able to conduct its subsequent operations when a sufficient sustainment capacity has been established, the JFC is forced to set initial priorities for the sustainment of the operations of the JF. This implies that the required sustainment capacity quite often determines the initial available manoeuvre capacity. Furthermore, even though Alliance political authorities may have approved an operation, further approval may be required for the deployment of assigned reinforcement forces; lead-time to obtain approval may impact on operational availability and must be highlighted in the deployment timeline.
0323. **Deployment Responsibilities.** The TCNs are primarily responsible, in close conjunction and coordination with SACEUR, for the deployment of their national contingents from the respective home bases to the PODs in the JOA. TCNs prepare for the deployment of their contributions by matching the unit readiness to the readiness of the strategic lift assets needed to effect the deployment. At the strategic level, SHAPE is responsible for deployment synchronization issues, strategic military guidance and direction to subordinate commanders and therefore coordinates national support. Specifically, SHAPE develops the MN DDP,

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<sup>5</sup> See AJP 3.13 'Allied Joint Doctrine for the Deployment of Forces' for detail.

monitors and coordinates the use of strategic lift with the nations through the AMCC, and coordinates, prioritizes and de-conflicts movements.

0324. **Transport Arrangements.**<sup>6</sup> For large scale operations, the NATO nations would need to provide significant strategic lift either from military resources or commercial charter. Another option, but one that is only likely to be implemented in an extreme situation, is the use of ships/aircraft taken up from trade (STUFT/ATUFT). STUFT/ATUFT differ significantly from chartering because they require government legislation, and the nations are required to return the vessel/aircraft back to its owner in its original state. When vessels or aircraft are chartered, the obligation/responsibility for their condition may be allocated to the owner, depending on the terms of the charter agreement.
0325. **Intra-Joint Operations Area Deployment.** The onward movement of the national land contingents and/or the established formations from the PODs via staging areas and AAs into AOOs requires an intra-JOA lift capacity, which is different in nature from strategic lift. The requirements of operational lift (for example size, dimensions, numbers, operational reach, protection, defensive capabilities) demand a different type of asset both in quality and quantity. As with the strategic deployment, the intra-JOA deployment would be facilitated by national lift capacity, usually provided to the national contingents. This lift can also be made available for other contingents and/or formations.
0326. Certain elements of the JF are capable of self-deployment within the JOA. The limits of this relative autonomy are determined by the scale of the supporting equipment, the distance between the reception facilities and the ordered new location, whether staging area, AA or AOO, as well as by the size of the formation. In specific operations however, an autonomous intra-JOA deployment may not be acceptable, e.g. for political reasons or for damage control purposes.
0327. **Enabling Forces.** The initial arrival of forces in the JOA must provide an early and viable capability, with the necessary logistic support, to meet the JFC's mission requirements. The arrival of these so-called 'enabling forces' is a vital part of the deployment process, as coordinated by the AMCC. This deployment is executed in accordance with SACEUR's Allied Disposition List, based upon the JFC's required date as well as the JFC's relevant direction and guidance. The assessment of the situation in the JOA and the appropriate mix of movement and manoeuvre, intelligence, fires, sustainment and protection elements within the enabling forces, based upon that assessment, is one of the most difficult and important challenges for the JF and the FC/CCs. This task is made more complicated by the constraints of the available strategic lift, both in capacity and dimension.
0328. The JFC should be granted coordinating authority at the earliest possible stage in order to facilitate the establishment of forces in the JOA and to enforce the commander's intent. Once selected, POD and FMB would need to be established prior to the deployment of the main force. To ensure the correct level of reception at the PODs or FMBs, it is essential that

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<sup>6</sup> See AJP 4.4 'Allied Joint Doctrine for Movement and Transportation' for detail.

advance logistic resources be deployed early, enabling speedy onward movement. The exact composition of the logistic enabling forces will be operation dependent, and therefore a pre-deployment survey is essential.

0329. **Build-up Forces.** RSOM & I<sup>7</sup> is the process that transforms deploying forces into forces capable of meeting the JFC's operational requirements. RSOM & I of forces is fundamental to the concept of operations that envisions the projection of mission-tailored combat power into and within a JOA at the right time and in the right sequence. For this reason the JFC must prioritize and exercise coordinating authority and, where granted, command and control over the RSOM & I process.
0330. During the build up of forces, the JF expands rapidly in size, which implies that the level of burden by the forces on the HN(s) will increase dramatically. The JFC should endeavour to keep relations with the leadership of the HN(s) as close and comfortable as possible and maintain support for the JF's presence at a high level. PA and information activities in the JOA can possibly facilitate the achievement of this aim. The JF should avoid adversely influencing life in the HN(s) to such a degree that public and political support within the HN(s) is weakened or lost. This requires restraint, consideration for local customs and traditions and a flexible conduct of all activities by all members of the JF.
0331. The build-up of forces should also be used as a show of force and power projection. It should directly influence an adversary's behaviour and his situational awareness. The build-up of forces should be closely considered in relation to Info Ops. Therefore the build-up of forces should be carefully planned and is not solely a logistic operation.
0332. **Preparation and Training.** JF's preparation and training, which is a responsibility of the JFC and the FC/CCs, should be preferably multinational and joint as well as involving the HN where possible. Preparation and training should be preferably conducted in the JOA, to confront the forces with the actual environment they will face (e.g., topography, geography and weather). The JF's preparation and training will provide adversaries and others with a signal of its intentions and capabilities and should therefore not just focus on manoeuvre elements and combat support elements, but should also include logistic elements and HQ. The scale and level of reality of the preparation and training program can be limited by OPSEC measures but must have close relation to the execution of the operation and should be used as rehearsals.
0333. **Training Responsibilities.** The JFC is responsible for the direction and guidance of the training programme in the JOA to be implemented if time and opportunity permit. The JFC should promulgate the directives for the training programme after consultation with the FC/CCs and SHAPE. These directives should include standardization requirements to ensure equal standards for all TCNs. The JFC, together with his FC/CCs, will oversee the training programme to verify the readiness of his forces.

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<sup>7</sup> See AJP 3.13 '*Allied Joint Doctrine for the Deployment of Forces*' for detail.

0334. The TCNs are responsible for providing trained and equipped forces at appropriate readiness to meet the operational requirements. The nature of an operation may create specific and unforeseen demands, particularly on logistic and equipment preparation, while unanticipated availability of HNS may simplify it. Prior information on these aspects should be validated by survey parties, and communicated to the JFC and TCNs as quickly as possible.
0335. **Training.** Ideally, forces should be fully trained prior to deployment, but operation-specific training within the JOA may be required. Training, which may of itself act as a deterrent, should be balanced against the possible escalation of tension in a region. The JFC should provide the operational level guidance on the conduct of training, although individual CCs should be responsible for the execution of the training programme and the measurement of performance. A balance should also be struck between security, training aspirations and the cumulative effects of fatigue from training and operating in an austere environment. The benefits gained from training should also be balanced against any penalties or costs involved as training will almost always require the deployment of specially qualified personnel and additional resources. Such an intention should be identified at the earliest opportunity and be brought to the attention of the JFC, SHAPE, and the TCNs, in order to ensure adequate financial provision.
0336. Training may be a continuing requirement during a more complex operation as forces are phased for different stages of the OPLAN, or require replacement or roulement. Training requirements may stem from political redirection or lessons identified from the current or other operations. Training under these circumstances should include the lessons learned during the initial phases of operations, and may be developed by an outgoing staff for execution by an incoming staff.
0337. **Exercises**<sup>8</sup>. The aim of NATO military exercises is to establish, enhance and display NATO's military capabilities across the Alliance's full mission spectrum; and to ensure operationally effective partner forces for NATO-led crisis response operations and deployable forces missions. NATO nations are responsible for ensuring that their national/multinational forces declared to NATO meet the essential operational capability (EOC), the NATO readiness criteria, the ACO forces standards, the readiness and sustainability parameters other relevant requirements. NATO is responsible, in cooperation with nations, for establishing the operational standards against which exercises and evaluations are executed. Nations have the responsibility for educating and training all personnel and units for deployment to current operations while NATO is responsible for providing mission specific training to the NCS. Commanders at all levels are responsible for the preparation of their HQ and allocated forces to accomplish assigned missions.
0338. Current operations have the highest priority with regard to support from NATO's education training exercise and evaluation (ETEE) resources. Key leader training (KLT) and individual pre-deployment training are very important for the success of the operation. In addition before going into a mission area a mission rehearsal exercise (MRE) may be organised as the

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<sup>8</sup> See MC 0458/2 'NATO Education Training Exercise and Evaluation Policy', 2009



culminating collective training event to ensure the HQ staff possesses an understanding of mission related doctrine, plans, systems, and tactics, techniques and procedures (TTPs) specific to their individual and collective functions.

0339. Based on MC endorsement and Council approval, NATO may be required to train host nation or indigenous security forces or individuals. In such circumstances, NATO may develop individual and collective training opportunities for Alliance personnel deploying in a capacity to support the training of those forces. If such a training opportunity exists, Alliance personnel are required to attend NATO-led training prior to deployment to ensure standardization and unity of effort.
0340. **Rehearsals.** The JFC should conduct a rehearsal prior to an operation. The aim of the rehearsal is to synchronize operational area systems and to identify operational issues and concerns. This rehearsal allows for the interaction amongst the JFC's Staff and the various component staffs across the full scope of the CONOPS. The FC/CCs and selected joint force command staff should brief their CONOPS and situational assessment. These efforts will collectively synchronize the joint force command and the components in the execution of key military tasks during a given time period and identify issues and concerns. Rehearsals provide substance to the written OPLAN and provide the foundation upon which effective synchronization of the elements of the JF is based.
0341. **Preliminary Operations.** The JFC may wish to conduct preliminary operations, prior to the engagement of his main forces or the commencement of hostilities. The aim of preliminary operations is to improve the effectiveness of his main force. They will frequently involve the deliberate application of unexpected capabilities or their use in unusual circumstances. The initiating Directive directive should give guidance to the JFC in the form of restraints.
0342. Activity at all levels, from the diplomatic, through sanctions and economic measures, to the exploitation of events inside and potentially beyond the JOA and the build-up of forces should be used to try to isolate the adversary from allies and sanctuary. The intent is to reduce his support and freedom of action. The JFC has a critical role to play by exploiting local opportunities and warning of looming difficulties.
0343. Establishing a highly visible and intimidating air and maritime presence and/or information superiority/supremacy prior to engagement in combat is likely to make the JFC's mission easier to achieve. These offer the further advantage that they can usually be sought prior to the engagement in combat and can therefore still allow substantial scope for diplomatic manoeuvre and hence a way out of confrontation, which could lead to a negotiated settlement before major casualties occur.
0344. If there is a substantial distance from the PODs to the actual JOA, or if any particular adversary vulnerabilities are identified early on, there may be merit in establishing FOBs, from which to strike at these points. FOBs may also be required for the build-up of sufficient logistic resources to sustain combat power for forthcoming operations. The disadvantage caused by the length of time it takes to establish strong logistic FOBs can be compensated by

the signal advantages gained in conducting deterrent, deception and Psychological Operations (Psy Ops).

0345. SOF operations may be required in the JOA prior to the full engagement of the JF. Special operations should be directed at the accomplishment of high value, critical objectives that may entail high risk but also high pay-off value. Likewise, politico-military considerations may require low prominence, covert or discrete techniques, and the acceptance of a degree of physical and political risk not associated with conventional operations.
0346. **Finance.** To support the execution of a mission it is crucial to have access to the necessary funds, and to have an organization in place capable of handling the financial aspects of an operation. Assuming that funds have been authorized against approved budgets, the commander needs necessary means to ensure requirements can be captured, assessed and submitted for payment. This requires a mobile and agile element capable of providing the basic financial functions. The JFC must accurately monitor the consumption of available funds and the emergence of requirements to support decision-making.



## CHAPTER 4 – EXECUTION, TRANSITION AND TERMINATION

### Section I – Introduction

0401. While FC/CCs have the means by which military action can be prosecuted and delivered at the tactical level,<sup>1</sup> their capabilities are most effective when applied in concert. This results in a synergy, which is greater than the sum of the parts, achieved through effective integration, coordination and synchronization of joint force capabilities. In this capacity the role of the JF HQ as the coordinator of the various component operations, is key. Having made his operation plan, the JFC will:

- a. Apply the military resources allocated to him to achieve the assigned mission within any constraints imposed.
- b. Identify and weigh up the effect of each action, in terms of the impact it will have on achieving his objectives, the risks that it entails, and the resources required for its success and means of minimizing the risk.
- c. Exploit the situation by adjusting and developing his plans in order to contend with changing circumstances and to take advantage of opportunities.
- d. Revisit the operational estimate at regular intervals or whenever there is a change in the operational situation or when operation effectiveness analysis dictates a change in emphasis is required.

0402. During the execution of an operation, tasks are executed to accomplish specific military objectives in order to achieve the desired strategic end state. To realize these objectives the JFC focuses his operation on the adversary's COG, which if attacked and eliminated, will lead either to his inevitable defeat or to his wish to pursue peace through negotiations. In a complex operating environment, where the goal is not simply victory in combat but changing the sociopolitical and economic dynamics of a society, a single enemy COG may not be appropriate. A JFC may nonetheless use COG analysis to help him understand the critical aspects of the situation, including the characteristics of key actors, in order to shape his decision-making and focus his resources. The use of the COG in complex crises also ensures that a JFC does not lose sight of the *military* contribution to the desired outcome. The nature of an operational level COG depends on individual circumstances and the type of military activity envisaged. During major combat operations, involving bipolar (friendly and opposing) forces, an enemy's operational COG is likely to be something physical from which he draws strength and which can be attacked via its critical vulnerabilities. In other situations, such as the provision of security to enable a process of post-conflict stabilization for example, there may be myriad different actors. It may then be appropriate to consider each actor's COG separately (generating multiple COGs). In particularly complex or

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<sup>1</sup> See details in AJP 3.1 '*Allied Joint Doctrine for Maritime Operations*', AJP 3.2 '*Allied Joint Doctrine for Land Operations*' and AJP 3.3 '*Allied Joint Doctrine for Air Operations*'.

ambiguous situations, a JFC may select an all-encompassing COG that encapsulates the significant circumstances, participants, surroundings and other influences, and provides a focus for further analysis. In more benign settings, such as disaster relief operations, there may not be a readily-discernible COG at the operational level. In order to eliminate the adversary's COG the JFC should execute his operation along lines of operation and through one or more decisive conditions (DC)/decisive points (DP).<sup>2</sup> Execution will be dominated by the synchronization of military activities. Therefore, the JFC must have a clear understanding of the relationship between objectives and activities in terms of time, space and resources.

- 0403. The JFC must understand the Alliance's strategic (political) objectives i.e. the purpose of the military action, before deciding which military objectives must be achieved at the operational level to reach the desired end-state. The design of subsequent operations is driven in part by the nature of the conflict itself.
- 0404. Military operations will normally conclude with attainment of the strategic end state for which the North Atlantic Council (NAC) has committed forces. In some cases, the strategic end-state will include military strategic objectives that, once achieved, allow transition to other instruments of power and agencies as the means to achieve broader aims.
- 0405. During the execution of a campaign the most important activities at the operational level are to coordinate and to synchronize all actions of the subordinated forces, in close cooperation with all other forces, agencies and entities operating in the joint operations area (JOA). The JF should always execute its actions in coherence with the overarching strategic level campaign plan.

## Section II – Command Factors

- 0406. **Commander's Intent.** This 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.
- 0407. **Mission Command.** Within the principle of mission command the JFC should seek to ensure that his FC/CCs, his COS and the functional heads in the JF HQ and the commanders of the subordinate formations and elements are all given appropriate freedom to act. How this is then implemented downwards will vary according to best practice in each of the sub-elements. The JFC's direction should include, as a minimum, the commander's intent and a clear statement on how he sees the operation unfolding. The JFC should also identify those operational level decisions, which rest with him, while offering maximum latitude to his subordinates in how they conduct their tactical activities, battles and engagements.

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<sup>2</sup> See AJP-01(D) 'Allied Joint Doctrine', Annex 5A1e and 5A1f.

Thereafter, while encouraging feedback to ensure balance is maintained, he should expect CCs to determine their implied tasks and keep him, and each other, informed of progress. In turn, they should disseminate their own operation orders to support the part they have to play along the various lines of operation as detailed in the concept of operations in the OPLAN. The JFC should insist on regular situation reports and should seek advice from the CCs in order to inform the operational level decisions that he has to make. This does mean that under exceptional circumstances, usually where fleeting opportunities for decisive exploitation present themselves, JFC may have to reach down to whatever level is necessary and take charge of the situation.

0408. In broad terms, the JFC should address three key operational functions if he is to be successful:
- a. He should be capable of preparing and shaping the operational area, in all dimensions, in a manner most likely to enable him to achieve the military objectives efficiently without adversely impacting campaign risk.
  - b. He should be able to successfully conduct the operation (which may or may not entail combat), ideally on his own terms and at a time and place of his choosing.
  - c. He should preserve and protect the military power of his own forces until his mission is concluded - which may be well after termination.
0409. Much of this can only be achieved by drawing together the constituent elements and components of the force, aided by a range of operational capabilities. Few, if any, of these activities are discrete. Shaping activities will continue throughout the entire operation. Relationships between the JFC and his FC/CCs' efforts, and the manner in which the emphasis and support can be shifted as the operation unfolds, are key to successful joint operations.
0410. **The Operational Environment.** The operating environment generally consists of factors and conditions that must be understood to successfully apply combat power, protect the force and complete the mission. It refers to a particular operation (its area of operations and area of interest) or to operations in general, depending upon the context. The operating environment includes the sea, land, air and space<sup>3</sup> the adversary, neutral and friendly actors, facilities, weather, terrain, electromagnetic spectrum (EMS), and the information environment, which includes cyberspace, within the JOA and areas of interest.
0411. Increasingly, military activities cannot be planned or conducted in isolation. Other elements also impinge upon and influence the environment traditionally exploited by maritime, land, and air components. For example, space, computer networks and the EMS, particularly in terms of the acquisition and control of information, are important constituents of joint operations.

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<sup>3</sup> *Environments* can be unlimited whereas *domains* have borders.

0412. Furthermore, there is now a greater range of actors and bystanders within the JOA and possibly beyond, who will be involved in, or will influence, the course of operations. This complex operational environment is why a comprehensive approach is required to coordinate the efforts of the JF with those of other organizations (for example, IOs and NGOs). This results in a greater synergy of the military, diplomatic, economic and humanitarian efforts at all levels. The needs of the indigenous population are also likely to be inextricably linked to the mission. Finally, the activities of the JF will be under constant media scrutiny; in many cases both the media and a range of civilian organizations will be present before the JF has deployed.
0413. The orchestration of capabilities and activities within a JOA requires a combination of integration, coordination, synchronization (in time and space), and prioritization. Depending upon circumstance, such orchestration may be required across all environments, throughout all domains, and in all dimensions, and is particularly important at the boundaries or seams that exist between them.
0414. Although, traditionally the operating environment is classified as maritime, land, air, space, information (including cyberspace), and electromagnetic environments, understanding the operating environment requires a comprehensive view of all factors and actors relevant to the crisis. Modern crises are characterized by complex combinations of historical, political, military social, cultural and economic issues. The operating environment can be initially viewed through the following six aspects (recognizing this list is not exhaustive)<sup>4</sup>.
- a. Political. Any grouping of primarily civil actors, organizations and institutions, both formal and informal, that exercises authority or rule within a specific geographic boundary or organization through the application of various forms of political power and influence. It includes the political system, parties and main actors. It must be representative of the cultural, historical, demographic and sometimes religious factors that form the identity of a society.
  - b. Military. The armed forces, and supporting infrastructure, acquired, trained, developed and sustained to accomplish and protect national or organizational security objectives. This also covers the internal security aspects of a country.
  - c. Economic. Composed of the sum total of production, distribution and consumption of all goods and services for a country or organization. It includes not only economic development of a country, but also the distribution of wealth.
  - d. Social. The interdependent network of social institutions that support, enable and acculturate individuals and provide participatory opportunities to achieve personal expectations and life-goals within hereditary and nonhereditary groups, in either

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<sup>4</sup> MCM-41-2010, 'MC Position On the Use of Effects in Operations', 21 July 2010

stable or unstable environments. It covers the social aspects such as religion, a society's structure, the legal and judicial system, policing and supporting infrastructure, humanitarian, etc.

- e. Infrastructure. The basic facilities, services, and installations needed for the functioning of a community, organization, or society. It includes logistics, communications and transport infrastructures, schools, hospitals, water and power distribution, sewage, irrigation, geography, etc.
- f. Information. The entire infrastructure, organization, personnel, and components that collect, process, store, transmit, display, disseminate, and act on information. It encompasses the information and communication media.

### **Section III – Commander's Critical Information Requirements**

0415. Properly developed information requirements ensure that subordinate and staff effort is focused, scarce resources are employed efficiently and decisions can be made in a timely manner. Information requirements focus on friendly forces, the operational environment or the adversary. The commander will identify only those information requirements, which are particularly important to him. Therefore CCIRs are limited since they must be linked to the critical decisions the commander anticipates making. This focuses the commander's subordinate commanders' and staff's planning and collection efforts.
0416. The CCIRs identify information on friendly activities, enemy activities, and the environment that the commander deems critical to maintaining situational awareness, planning future activities, and assisting in timely and informed decision-making. Commanders use CCIRs to help them confirm their vision of the operational area, assess desired effects and to support a decision to accomplish their mission or to identify significant deviations from that vision due to, for example, adversary actions. CCIRs help the commander to tailor his command and control organization. They are central to effective information management, which directs the processing, flow, and use of information throughout the force. While the staff can recommend CCIRs, only the commander can approve them. CCIRs are continually reviewed and updated to reflect the commander's concerns and the changing tactical situation. J2 plays a pivotal role in this process.

### **Section IV – Operational Management**

0417. Armed forces undertake a wide range of potentially simultaneous activities within an operation. Even though some transitions of activities may be easy to identify, such as the launch of a major attack, the changing balance between types of activities during an

operation will often change its character (the predominant campaign theme)<sup>5</sup> gradually over time. An adversary may grow increasingly effective over a period, or there may be a gradual lessening of violence. In such cases it will often be difficult to identify a single moment of transition. Judgment will be required to determine the most suitable philosophical approach. Different approaches may be required in different parts of the same JOA. Generally, all activities may be conducted simultaneously, regardless of the predominant campaign theme. For example, in a peace support operation, there may be a requirement to attack a recalcitrant element, or conduct a demonstration during the arrest of an alleged war criminal.

0418. **Monitoring Campaign Progress.** The measurement of success is a fundamental aspect of military operations that should be foremost in the mind of every commander. The JFC will have specified criteria for success in his CONOPS and OPLAN; these must be achievable and measurable. The aim is to take a broad view of the operation or campaign and determine if the required effects, as envisaged in the plan, are being created to support achievement of the objectives. 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 campaign, the JFC should ensure that a monitoring and assessment process is rigorously conducted and that tactical level events do not distract his staff thereby losing sight of the operational end-state. If correctly assessed, this process will allow the JFC to make judgements on:
- a. **Apportionment.** The process should assess the likelihood of achieving decisive conditions/ decisive points and so inform the JFC's apportionment of effort between FC/CCs.
  - b. 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 of Gravity (COG).** The process should confirm that the correct COG and associated critical capabilities, requirements and vulnerabilities have been identified and selected. The JFC should be alert to the possibility that new vulnerabilities may be exposed, or those previously identified critical vulnerabilities may be too well protected to be attacked. Thus, COG analysis<sup>6</sup> should be an iterative process for the planning staff and the COG should be reviewed periodically.
0419. **Managing Lines of Operation.** Lines of operation depict the relationship between decisive conditions/ decisive points and as such, they are a way of visualizing the overall activity within a force, and coordinating and de-conflicting component activities. Careful management of lines of operation allows the realization of the full potential of the force.

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<sup>5</sup> See AJP-01(D) 'Allied Joint Doctrine' for detail.

<sup>6</sup> See AJP-5 'Allied Joint Doctrine for Operational Planning' (under development) for details of COG Analysis.



Two tools, 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.

0420. **Campaign Rhythm.** Where a commander can consistently decide and act quicker than his opponent, he will generate greater tempo and gain a significant advantage. Campaign 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 prophecy - it is a means to an end, not an end in its own right. Campaign rhythm is the 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.

## Section V – Assessment

0421. The purpose of assessment is to provide an evaluation of actions and progress toward creating effects, achieving objectives and the NATO end-state. The assessment of the engagement space encompasses the strategic assessment, the operational assessment and the tactical assessment. Each of these levels supports the assessment of the next level. In order to attain the assessment as described the following activities must be conducted:
- a. The assessment plan, including the data collection and reporting plan for measures of effectiveness (MOEs) and measures of performance (MOPs) criteria defined during the planning process, is developed. MOEs measure the attainment of end-state, achievement of an objective, or creation of an effect, while MOPs measure task performance.
  - b. At different levels of command, purpose-driven assessment cycles that match the required timeline and level of the operation are conducted.
  - c. Through these cycles, the accomplishment of actions, creation of effects, and progress toward the attainment of the objective(s) and NATO's end-state is assessed.
  - d. Assessment results are reviewed by planning and execution staff to determine if plan adaptations are required.
  - e. Collaboration or close cooperation with non-Military actors to gain a better understanding of the engagement space should be considered.
0422. This assessment process will feed the commander's decision-making process.
- a. Strategic assessment answers the question: 'Is the Alliance achieving its strategic

objectives?’

- b. Campaign and operational assessment is conducted by the planning element in cooperation with intelligence and operations execution elements of the joint HQ’s staff, and focuses on operational level objectives of both Allied and adversary forces. It uses MOEs that support operational mission accomplishment. Operational-level assessment efforts concentrate on broader tasks, effects, objectives and progress toward the military end-state. It looks beyond 10 days at the operational end state. It answers the questions: ‘Is the JF achieving its objectives?’ ‘Is the adversary more likely than the JF to succeed in meeting its objectives first?’
- c. At tactical levels assessment uses MOPs to evaluate task accomplishment and seeks to answers the question: ‘Are the FC/CCs doing the right things to meet the commander’s intent and operational end state within the current phase?’

The results of the assessment feed the commander’s decision cycle either through the JCB or another decision-making board.

- 0423. Each FC/CC channels its combat assessment up the chain to the JFC, who is the final authority in the assessment process. The JFC is responsible for developing guidance on the conduct of assessment. This guidance will define the tactics, techniques, and procedures for all assessments within the JOA. It will include JFC requirements for people, training, and equipment, including contingency augmentation requirements. The output of the operational assessment will feed the strategic commanders assessment process.

## Section VI – Battle Rhythm

- 0424. The method used to fuse staff effort is the battle rhythm. This is a disciplined routine of meetings, briefings and miscellaneous gatherings contained within 24-hour cycles and used to maintain an optimum tempo for all levels of command, location and time zone. It is the essential mechanism for maximizing concurrent activity and aiding synchronization. Two broad principles underlie this JF HQ internal regulatory process. Firstly, it should not be a slave to the rate of flow of information and secondly it should maintain a rate of activity greater than that of the opponent. As operations commence, the battle rhythm should be established as quickly as possible and quickly bedded down into the most effective way to keep busy commanders and their staff up to-date. The battle rhythm is constructed on a hierarchical basis, which divides the day to permit a balance between necessary interaction and the progress of HQ business with the remaining time divided up and down the chain of command. Once established, the JF HQ internal rhythm will not necessarily be fixed, but the COS should be extremely cautious about making any major alterations to it.
- 0425. **The Commander’s Brief.** The commander’s brief symbolically represents the start of the daily cycle, setting the foundation for staff effort and the basis of briefing over the next period. The JFC is briefed on the last and next 24 hours in detail, and the next 48 hours in outline. It is given by the outgoing watch and should be attended by all available staff. It



usually concludes with the JFC who may wish to emphasize certain aspects. Once the JFC has departed, the COS should give further points of guidance and direction. Briefing material prepared for the commander's brief is usually archived for the official commander's war diary.

0426. **Joint Coordination Board (JCB).** The JCB is the JFC's principal meeting. Its aim is to assist the macro aspects of JF activity and effects synchronization, specifically to issue commander's priority guidance across the components, and to resolve potential areas of conflict. The JCB usually meets once a day. It comprises as a minimum the JFC, COS, FC/CCs (in person, by video teleconference (VTC), or represented by their senior liaison officers (LOs)), political adviser (POLAD), legal adviser (LEGAD), chief joint operation centre (JOC), the strategic communications advisor and other individuals as required.
0427. The JFC directs the JCB and under his authority the JCB assigns execution responsibilities, prioritizes, de-conflicts and synchronizes all aspects of tactical activities. It ensures that both Info Ops and the targeting effort are coordinated and focused on the commander's objectives and follow his direction and guidance. The board recommends joint objectives to the FC/CCs, supported/supporting relationship of the FC/CCs and apportionment of assets to the JFC for his approval. The JCB will also review target prioritization, restrictions, and allocation for execution. Other responsibilities include:
- a. Review and recommend JFC approval of the joint coordination order (JCO). Resolve any conflicts in the supported/supporting commander relations.
  - b. Provide proposals for JFC decision on the composition of and relationship between FC/CCs, and guidance for formations or units not delegated to subordinate commanders, especially those earmarked as operational reserves.
  - c. Review and recommend JFC approval of all products from the joint targeting coordination board (JTCB), information operation coordination board (IOCB) and other established working groups.<sup>7</sup>
  - d. Recommend to the JFC allocation of available strategic intelligence, surveillance and reconnaissance (ISR) assets to the appropriate FC/CC for tasking and provide oversight on their support to the joint targeting process.
  - e. Review and recommend JFC approval of the joint force air component commander's air apportionment recommendation.
  - f. Direct battle space management to ensure de-confliction between FC/CC assets.
0428. The JCB is directly supported by the JCB working group (JCBWG). The JCBWG is responsible for all required coordination with functional area representatives from those

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<sup>7</sup> ACO Directive 80-70 '*Campaign Synchronization and Joint Targeting in ACO*'. ACO has currently established a Joint Targeting Coordination Board, Joint Defended Asset Working Group and Daily Assets Reconnaissance Board.

divisions and FC/CCs that are involved in the particular JCB process. This working group will mirror the JCB at the action officer level to expedite the process of drafting and coordinating the JCO.

0429. **Joint Operational Planning Group (JFOPG) Meeting.** The aim of the JOPG meeting is to refine the development of the operation plan, monitor current force planning activity, approve completed force level plans and initiate additional direction for contingency planning. All staff division heads attend with specialist advisors as necessary.
0430. **Joint Targeting Coordination Board (JTCB).**<sup>8</sup> The JFC may establish and task an organization to accomplish targeting oversight functions or may delegate the responsibility to a subordinate commander. The JFC may create a JTCB with representatives from the JFC HQ and all components of the JF and, if required, national liaison representatives. If the JFC so designates, a JTCB would be an integrating centre providing a high-level targeting review mechanism. This should be a joint activity with representatives from the JFC and all components of the JF and, if required, their subordinate units. Typically, the JTCB would review target information, develop targeting guidance, priorities, and may prepare and refine joint target lists for recommendation to the JFC. During operations, the JTCB should also maintain a complete list of restricted targets and areas where SOF are operating to avoid endangering current or future operations.
0431. **Information Operations Coordination Board (IOCB).**<sup>9</sup> The IOCB facilitates the coordination of all information activities within the JOA and is responsible for coordinated Info Ops input to the JCB and JTCB, ensuring these activities are synchronized with the strategic communication plan. It also liaises with other functional areas such as PA, CIMIC and the LEGAD as required and with subordinate commands. Furthermore, the IOCB coordinates with outside agencies such as United Nations organizations and representatives, International Committee of the Red Cross/Crescent, and other IOs and NGOs.
0432. **Other Meetings.** In addition to the principal boards and meetings there are other gatherings, some temporary, some permanent, used by the COS to detail future staff action, allocate work priorities and to set deadlines. As with any other process, these meetings have to be tightly managed to prevent staff paralysis caused by having key members continually moving unproductively between meetings. It is for the COS to decide on the need for meetings and, once they have ceased to have relevance, to disband them. The principal aim of any ad-hoc gatherings should be to:
- a. Establish a minimum control mechanism necessary for all operational level activities.
  - b. Eliminate stovepipes and enhance information exchange.
0433. The relative importance of each meeting will depend on the type, scale and intensity of the operation. For example, humanitarian/disaster relief operations are highly unlikely to have

<sup>8</sup> Detailed information will be in AJP-3.9 '*Allied Doctrine for Joint Targeting*'.

<sup>9</sup> See AJP-3.10 '*Allied Doctrine for Information Operations*' (under development) for detail.

a requirement to cover the physical destruction aspects of the JTCB, but conversely the weight given to CIMIC is understandably much greater. Consequently, the internal battle rhythm is inherently flexible allowing the COS to decide that the business of some meetings can be incorporated into others. His aim should be to reduce the time spent by busy staff in meetings and to allow the JFC time to fulfil his other responsibilities such as coalition building, visiting components, briefing the media or having time to think.

0434. **Reports and Returns.** Apart from the various meetings and gatherings, a second important strand of activity within the battle rhythm is the production of formal daily reports and returns. The following are some illustrative types of reporting:

- a. **Assessment Report (ASSESSREP).** An ASSESSREP is the assessment, compiled from component ASSESSREPs from the JFC to SHAPE, dealing with his major issues of concern. In turn, JFC will have insight of SHAPE's ASSESSREP, showing the activity taking place at the strategic level, including the progress of issues he originally generated. All ASSESSREPs are used to inform the NAC.
- b. **Down Report.** A down report is the report from the JFC to FC/CCs/force elements. The purpose of these reports is to keep the components and force elements informed of the current situation including strategic decision-making, operational issues and intent and the activities of each component. It will also seek to answer staff issues raised in previous component ASSESSREPs and to clarify or reinforce issues previously raised with the components or force elements. It is informed by SHAPE's down report to the JFC, which seeks both clarifications on issues within the JOA as well as providing an update on issues raised by the JFC in previous ASSESSREPs.
- c. **Logistics, Medical and Personnel Reports.** The requirement for logistic and personnel reports is largely self-explanatory. However, logistics reports (LOGREPs) give the opportunity to emphasize high profile deficiencies or shortfalls that are subject to separate staffing effort. Personnel reports and medical assessment reports (MEDASSESSREP) provide a range of important personnel and medical facts and figures.
- d. **Operational Record Report.** The operational record reports ensure the regular and complete reporting of an ongoing operation. Information collected includes reports and returns as well as any other relevant material of use to operational analysis (OA), lessons identified and historical analysis.
- e. **Serious Incident Report.** The purpose of incident reports is to inform the chain of command in a timely manner of any occurrence, which may have operational, political, and/or media consequences.
- f. **Other Requests for Information.** Although the staffing of these formal reports and returns is a time-consuming activity, the staff will also find themselves involved in researching and answering a plethora of other questions and miscellaneous points of clarification to the point that, on occasion, it can become the dominant activity for

staff officers. The COS equivalents in all HQ are beholden to always ‘test’ a question before it is asked to ascertain if it will add real value, not just satisfy curiosity, and it has a realistic chance of being answered. Otherwise the staff will be distracted from the core activity of running the operation.

0435. **Routine Influences on the Battle Rhythm.** Like any process there must be a well-understood short cut system to the rhythm in order to enhance responsiveness. To prevent confusion arising, the COS, usually through the JOC, closely manages this aspect. Additional meetings, briefings, request for information and the productions of serious incident reports are all used as appropriate. The following factors have an influence on the battle rhythm:
- a. **Time Zones.** The battle rhythm must endeavour to balance the requirement to inform SACEUR’s battle rhythm with the diurnal battle rhythm of the components. This will be particularly complicated during multinational operations where the sometimes widely varying time zones cause significant dislocation, particularly as the lead nation’s requirements will always come first.
  - b. **National Imperatives.** For the Military Committee (MC) to meet its remit to both inform and advise political authorities, as well as take the decisions appropriate at that level, COS has to ensure the staff provides information in a timely manner through SACEUR to the MC.
  - c. **Political Considerations.** Because military activity is conducted under political authority, the two-way flow up the chain of command to politicians must be accurate and timely. However, military networks need to be highly responsive to near real-time media reporting, which enables politicians to be aware of incidents before the formal chain of command can draw in all the relevant facts.
  - d. **International Influences.** The international environment of operations adds to the briefing burden. The timing of briefings to international authorities or organizations such as the UN, Organization for Security and Cooperation in Europe (OSCE), as well as to coalition partners, will have significant influence on the JFC’s personal diary, to the extent that it can become his principal activity.
  - e. **Shift Changes.** Shift changes should take place within individual cells in the period prior to JFC’s brief. This ensures a smooth transition between outgoing and incoming staff and the maintenance of shared situational awareness.
  - f. **Human Factors.** The demands placed on individuals during intense and prolonged 24-hour military operations cannot be underestimated. It is vital that rest time, and where possible recuperation time, is factored into the lives of the staff. Individuals who are continually required to put in long days over prolonged periods will quickly lose their sharpness and objectivity. The result is a tired and sluggish HQ, less capable of responding to the unexpected and in identifying opportunities for exploitation. However, this needs to be carefully balanced with the requirement for

individuals to maintain currency. Therefore commanders at all levels have a vital role in watching their subordinates closely and ensuring their well-being. For good reason, operational welfare has a major part to play in the maintenance of morale.

- g. **Media.** While global communication technology advances has somewhat diminished the concept of specific media deadlines, there remains a need to be cognizant of the requirement to support specific key morning and evening time slots, and to factor into the battle rhythm. Often the staffing times required to support inquiries related to these programs would be tied to these deadlines.

0436. **Incident Management and Shortcuts to the Battle Rhythm.** Inevitably not everything will go as planned. It is the role of the COS to ensure that a process is in place to deal with unexpected activities. These include:

- a. **Significant Incidents.** Significant incidents will normally be reported up the chain of command, but increasingly, the capability of the media or anyone with internet access to provide information and images as fast as a situation unfolds, dictates the speed with which such information reaches the public. In exceptional circumstances and/or when timing is critical, the JFC will report incidents directly to ACO as soon as possible. The definition of 'significant' must be detailed in the OPLAN, generally linked to the CCIRs and varies according to the type of operation. This definition will be adjusted as the campaign progresses, insofar as that which is significant in the initial phases of an operation may be less significant in the latter stages of the same campaign. On notification of a significant incident, the JOC within the JFC will establish an incident team that will be responsible for monitoring and reporting on the incident. FC/CC LOs are an essential element of the incident team and will be the primary conduit between the FC/CCs and the JFC. Certain incidents (for example loss of an aircraft, mass casualties, fratricide etc) will have prescribed incident plans, whilst others will be managed as the incident develops. The incident team will keep the JOC informed, and they in turn will keep SHAPE, JFC, FC/CCs and national contingents informed.
- b. **Information Dissemination.** All incidents will generate a demand for information, possibly up to NAC level and often at short notice. During crisis JFCs often experience delays in obtaining real-time information; however, the dynamic information environment demands that JFCs be prepared to assume some risk in order to ensure that information is disseminated in time to minimize the spread of misinformation or disinformation. Depending on the nature of the incident, it may be necessary to hold an impromptu media briefing in addition to posting information on official websites and responding to individual media and public queries. A decision may be made to respond to the incident above the level of the JFC, however, it is prudent for commanders within the JOA to establish an incident team to assess the situation, develop information for release and be prepared to respond, rebutting erroneous reporting with accurate information.

- c. **National Public Affairs.** The PA staff in the JOA should coordinate with national authorities prior to the release of information concerning accidents, casualties or other incidents involving the forces of a single nation, in accordance with national policies and procedures. Statements by NATO release authorities or spokesmen will be made only after coordination with the PA authority from the country involved in the specific situation. The NATO PA office designated as the release authority for specific exercises, activities or operations is the release authority for PA concerning accidents, casualties or other incidents involving two or more nations. The nations involved will retain the authority for release of information concerning solely national aspects of the situation (i.e. casualty affairs including identity, medical treatment, salvage etc.).
0437. **Harmonization with Force Command/Component Commands' Battle Rhythms.** The operational tempo of each component will vary, for example the JFACC achieves high tempo by maximizing sortie rate. Target sets could include those with strategic as well as operational and tactical significance. The targeting process should include time for consultation with authorized decision makers if target sets are not already approved in advance. Thus, air operations and their associated air tasking orders (ATO) are typically planned and executed as a 72 hour cycle (48 hour planning period and 24 hour execution period). Other components have different cyclical requirements and action times and the extent to which the COS JF HQ can coordinate and synchronize the disparate component cycle rates will contribute greatly to force synergy. There is clearly more to this aspect than simply allocating slices of the daily battle rhythm not already used up, and the various liaison networks have a significant role to play in anticipating requirements and in thinking laterally.
0438. **Situational Awareness (SA).** SA – understanding the operating environment in the context of the mission or task – provides the key to both effective combat ID and to efficient battlespace management. Given the inevitable 'fog of war', perfect SA is unlikely and a JFC should judge for himself what represents *sufficient* SA in any given situation. SA is crucial to the efficient synchronization of activities. A timely, high fidelity, validated operating picture enables a commander to understand his environment and, drawing upon his intellect and experience, to make valid decisions based on the information available.
0439. SA is derived from intelligence and information from a variety of sensors and sources, correlating observed activities with relevant current orders (operations orders (OPORDs) and airspace control orders), and what may be known of other actors' movements and actions. SA should be updated on a continuous basis with particular emphasis upon areas of current or planned future activity. Wherever possible, SA should be shared across a joint force and with other relevant actors, thereby striving for shared SA.
0440. **Shared Situational Awareness.** Shared SA is essential because it significantly enhances decision-making, enables effective management of the operational environment and thus enhances the overall effectiveness of the JF. It supports the coordination and synchronization of military actions against an adversary, and is a key component of Force



Protection. The shared SA needs of commanders and staffs will vary at each level and within and between HQ, although many of the systems and displays will be common. Correct interpretation and use of the available data is a key consideration and its value is universally recognized. Taken to its natural conclusion shared SA would allow all friendly forces to know where all friendly forces are, where adversary forces are, and the location of neutral agencies and bystanders, as well as their intentions and the freedoms and constraints they are operating under. In broad terms, shared SA is:

- a. The common operational picture (COP).
- b. The status and possible intentions of the adversary.
- c. The status, posture and sustainability of own forces.
- d. The locations and actions of other groupings of interest within the JOA.
- e. Information on the physical environment (geography, meteorology, oceanography and hydrography).

0441. **Techniques Used to Aid Shared SA.** The real-time/near real-time exchange of tactical data via a network of tactical data links (TDLs) has been a fundamental aspect of operations for many years, particularly in the maritime and air environments. On multinational operations, however, security and other limitations of interoperability may restrict access to services such as TDLs, C2 networks and near real-time intelligence broadcasts, thereby diminishing universally shared SA. A variety of tools can be used to engender understanding, aid de-confliction, and enhance synchronization, such as:

- a. **Information Management (IM).** JFCs make decisions based on their understanding of the operational environment. The role of IM, then, is to provide a timely flow of relevant information that supports all aspects of planning, decision-making, and execution; to include all activities involved in the identification, collection, filtering, fusing, processing, focusing, disseminating, and using information. Information management officers (IMOs) assemble information that promotes understanding of the information environment and enable the JFC to better formulate and analyze COAs, make decisions, execute those decisions, and understand results from previous decisions.
- b. **Synchronization Matrix.** Synchronization matrices, derived as output from the estimate process, have traditionally proved to be a useful tool in showing the broad order activities that require to be sequenced, as well as indicating, at a glance, possible areas of de-confliction or uncertainty.
- c. **Mission Rehearsal.** At any level, a commonly used and well understood rehearsal technique is to conduct a walk-through, talk-through, mission rehearsal involving the key personalities in a stage or activity, but usually open to as wide an audience as is possible commensurate with OPSEC. Effectively, this is a verbal rehearsal where

participants become accustomed to the part they have to play, as well as understand the impact of their actions on others. These rehearsals require the participation of a multi-discipline unbiased red team who will consider events from the adversary's perspective.

- d. **Mission Essential Checklists.** A mission essential checklist is a detailed matrix of actions, and sequences (such as a tactical inload) that details the go/no go criteria for discrete activities within the operation, including anticipating actions that could cause the mission to be aborted. The lists are usually constructed in codeword format to preserve OPSEC, and to aid simplicity.
- e. **Wargaming.** Wargaming should not just be regarded as an aid to contingency planning; it can be conducted at any stage of execution, and can consider a wide range of eventualities. Normally based on action and consequence format, a range of manual and computer generated techniques can be used to great effect. However, it is important to appreciate that the solutions generated by operational analysis must be subjected to rigorous military judgement to be of real value.

0442. **Battlespace Management.** Battlespace management (BM) is the adaptive means and measures that enable the dynamic synchronization of activities. It fosters freedom of action. BM planning should be driven by a JFC and woven into his campaign plan (it should not be a mere adjunct to it). The extent to which force elements interact on operations, varying from close integration to well-separated independence, places correspondingly significant demands upon the levels of control required. A JFC can only exercise BM, with any certainty, over his subordinates; he can seek to involve other actors operating within his JOA, but cannot necessarily influence them.

0443. **Combat Identification (ID).** The JFC's aim should be to strive for a complete absence of casualties caused by friendly fire and collateral damage, or, at the very least, to reduce these casualties to an absolute minimum. An effective combat ID process<sup>10</sup> should aim to establish quickly and reliably the identity of any contact to a high degree of confidence, thus reducing the uncertainty associated with a commander's decision to engage to a level that is acceptable within the prevailing circumstances.

0444. In formulating the combat ID aspects of his operational plan the JFC must consider a number of factors:

- a. Friendly fire incidents and collateral damage will inevitably be controversial, risking criticisms of individual nations (where they can be identified as being to blame) and to NATO itself. More importantly, such incidents undermine the legitimacy of the operations being conducted.

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<sup>10</sup> Combat identification is the process of combining target identification, situational awareness, specific tactics, techniques and procedures to increase the operational effectiveness of weapon systems and reduce the incidence of casualties caused by friendly fire.



- b. Individual nations will have varying capabilities in respect to their ability to minimize the dangers of friendly fire and collateral damage. For example, some will employ a more restrictive set of ROE, or through their doctrine, training and technical approach, are less likely to be the cause of such incidents. Some nations may accept casualties as an inevitable consequence of military operations. Others may regard such incidents as highly controversial and a cause to doubt their continuing involvement in operations. The JFC should be aware of strengths, weaknesses, and perceptions in this respect and, where possible, should apportion missions, and allocate AOOs, appropriately.
  - c. Establishing a robust and effective approach to combat ID in multinational formations will pose particular challenges. An early identification of optimum measures, given the type and nature of the operation, the level of participation and interoperability, will be an important element of preparing the force. Training and liaison will be a key means of reducing the risks.
  - d. Adversaries may seek to maximize the propaganda potential of incidents of collateral damage, in some cases by deliberately encouraging the attack of military targets that will result in civilian casualties. In these circumstances, the potential military advantage of certain actions must be balanced against the wider effects of these actions. Such considerations will form part of the targeting process.
  - e. In all situations where there has been a possible case of fratricide or collateral damage, there is an absolute requirement for complete candor where genuine mistakes may have been made, together with the capability to quickly establish the facts surrounding the incident. Closely tied to this is the requirement for a responsive media approach, which is credible, informed, well coordinated and timely.
0445. **Synchronizing Joint Manoeuvre and Joint Fires.** The JFC will normally designate a main effort in order to concentrate its forces, accepting an economy of force elsewhere, while retaining the ability to shift his main effort rapidly to take account of the evolving situation. As circumstances change, so the main effort may shift, and it is the speed and poise with which this can be achieved that is the essence of successful joint operations. Generating a high tempo<sup>11</sup> will, in itself, present opportunities for decisive action. To achieve this degree of tempo will require the synchronization of JFs at all levels.
0446. A prerequisite for the coordination of joint fires is the JFC's selection of, and adjustments to, the AOOs allocated to his land and maritime FC/CCs. Within these AOOs, the land and maritime FC/CCs are the supported commanders and are responsible for the priority, timing and results of operations conducted within the AOO. Indeed, this is one of the means,

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<sup>11</sup> Tempo is the rhythm or rate of activity, relative to the adversary. Tempo comprises 3 elements: speed of decision (i.e. getting within the adversary's decision cycle); speed of execution; and speed transition from one activity to another, which includes the ability to shift the main effort rapidly and simultaneously provide safeguards for friendly forces.

together with designating command relationships, by which the JFC develops his operation. Fire support coordination measures (FSCM) and their associated procedures, are measures employed by land, maritime or special operations commanders within their AOOs to facilitate the rapid engagement of targets and simultaneously provide safeguards for friendly forces. FSCM may also protect forces and populations, critical infrastructure, sites of religious or cultural significance and set the stage for future operations. FSCM and the procedures associated with those measures assist in the actions and manoeuvre of joint forces.

0447. The coordination of joint fires requires extensive CIS support, augmented by liaison, so that approval can be obtained as rapidly as possible to maintain tempo. The CIS provided to the JFC should be capable of providing the necessary connectivity for most operations, although the resources for special links to facilitate specific joint fires, particularly between force elements temporarily reassigned to support different CCs, are inevitably limited.
0448. **Joint Targeting.**<sup>12</sup> Carefully directed engagements against key targets can have considerable benefits for the JFC's operation. However, due to political sensitivities surrounding targeting policy, direction for targeting will often be retained at the highest levels. Hence, where targeting decisions are made at the operational and tactical levels, they must conform to the strategic direction and framework. Modern technology is steadily increasing the effectiveness with which physical and psychological means can be used to affect strategic and operational targets. The targeting process has developed in parallel the mechanism by which political, strategic and operational level control is exercised over the application of physical and psychological activities. The targeting process defines what targets are to be engaged, by which assets, using which method and in which priority order. It also specifies targets that are restricted or may not be engaged at all. Above all, the process aims to ensure all involved are entirely clear about their targeting and coordination responsibilities and constraints, in time and space.
0449. The relationship between the selection of targets and the objectives is key. It is the focus which ensures that the application of force is both relevant and the most efficient means of conducting the operation. As with all actions, the conduct of target engagements must comply with the law of armed conflict (LOAC) and the use of force permitted by ROE approved by the NAC for a particular operation. Those assembling the attack plan (commanders, planners and legal staff) must consider the desired strategic and operational end-state when making targeting decisions and therefore need to be conscious of the political and presentational dimensions of the plan. Success or failure in this respect can influence the operation as much as failure to create the required effects on a target. Furthermore, not only will it be necessary to ensure that targeting is politically acceptable, militarily appropriate and legally permissible, but targeting must also be militarily effective in terms of its synchronization and de-confliction within the overall OPLAN.

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<sup>12</sup> See Chapter 1 for a definition and AJP-3.9 'Allied Doctrine for Joint Targeting' for detail.

0450. **Public Affairs Coordination.** Upon establishment of the JOA, the JFC assumes responsibility for all PA activities within. Some considerations are:
- a. A cross-functional committee should meet routinely to coordinate development and dissemination of public information within the JOA. Membership should include PA staff members from subordinate commands as available (in person or via a communications network), operations, intelligence, Info Ops, LEGAD, POLAD, CIMIC representatives, and others who may have a role in public communications activities. The plans and strategies agreed at these meetings must be consistent with higher level direction regarding strategic communication, to ensure a common and coherent approach.
  - b. An inter-agency working group may also be required, in order to develop linkages with international, non-governmental and other organizations operating in the JOA.
0451. **Evaluating Public Affairs Feedback.** Success of the PA effort is inextricably linked to overall mission success, and while PA cannot guarantee this, it can certainly be a significant factor in its failure. Objective assessment of media coverage, together with the monitoring of available public opinion polls, will give an indication of the success of the PA policy, and whether adjustments and improvements must be made.
0452. **Coordinating Building Partnerships.** Activities designed to enhance a partner nation's ability to govern, secure and conduct effective military operations against an insurgency may occur exclusively or in conjunction with military actions within a campaign. For the activities to be effective, they must be properly planned, controlled and coordinated to avoid inefficiencies and to prevent working at cross purposes. Furthermore, effective partnership building requires robust intelligence preparation of the operational environment (IPOE).
0453. **Lessons Learned.** The establishment of a lessons learned capability aims at enabling continuous improvement across the Alliance. The effectiveness of a JF will be enhanced by such a capability. Quality control of the way military forces operate is difficult to achieve but one of the most reliable measures must be their performance on operations. The identification of lessons for a multinational force can be difficult when some lessons will be a national responsibility and others will be for the Alliance to address. Commanders must recognize from the outset that provision must be made for monitoring and recording force performance in all its aspects for subsequent analysis and critical review.
0454. The purpose of a Lessons Learned procedure is to learn efficiently from experience and to provide validated justifications for amending the existing way of doing things, in order to improve performance, both during the course of an operation and for subsequent operations. This requires lessons to be meaningful and for them to be brought to the attention of the appropriate authority able and responsible for dealing with them. It also requires the chain of command to have a clear understanding of how to prioritize lessons and how to staff them.
0455. Assigned commanders at all levels from sub-unit upwards are required to produce post

operational reports. The JFC will be required to produce a lessons learned report to SACEUR, which in many cases will also serve as his post operational report. A lessons learned annex to the strategic OPLAN should give the JFC the necessary direction, timings and guidance. SACEUR can also debrief key commanders and staff officers and requires all operational and staff visitors to the JOA to provide him with visit reports.

0456. The JFC is responsible for ensuring his force takes into account the requirement to capture lessons learned during all stages of the operation and that an appropriate mechanism has been established from the beginning. All units must be given clear direction on the capture, forwarding and storage of relevant data. This might usefully be addressed in conjunction with the need for commanders to maintain war diaries.

## **Section VII – Termination and Transition**

0457. Alliance operations inherently have both political and military goals; as such, exclusively military lines of activity will usually 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. It may be necessary for one mission to change the campaign theme or terminate and be replaced by another as part of a wider strategic plan, perhaps directed by the United Nations (UN). 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, and how to make it enduring. As the military objectives will probably be achieved well before the Alliance’s strategic end-state is realized, a follow-on force will inevitably be required. This has been particularly true of the Alliance’s recent experience, with an Alliance mission terminating and being replaced by another mission.<sup>13</sup>
0458. JFC should plan for termination and the transition before deployment or as soon as possible during the initial phase. The units involved will present a seamless transfer of responsibility not only for efficiency and effectiveness, but also to prevent any incoherency that might be exploited. Transitions between military forces may take the form of relief-in-place, or transition-by-function, such as medical and engineer services, communications, logistics, and security.
0459. Possible transition and termination situations could be and are not limited to:
- a. Transition from Alliance to UN-led mission.
  - b. Transition from Alliance to non-NATO military forces.
  - c. Transition from Alliance directly to civilian control.

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<sup>13</sup> For example in the Balkans where Alliance missions terminated and were replaced by EU missions, or in Afghanistan where a non-NATO mission was replaced by a NATO-led mission.

- d. Transition from initial entry NRF to a follow-on force.
0460. The ultimate goal is to transition all the functions performed by the JFC in a smooth and orderly fashion. Some of these functions may develop into a combination of alliance, local security and governmental activities as transition advances. Whether functions are transitioned to international organizations or local organizations, they require detailed military planning. Once all transitions are complete, the Alliance force can depart.
0461. The keys to successful transition could include:
- a. Conducting early planning with HN, IOs and NGOs.
  - b. Establishing workable objectives, goals, and end states.
  - c. Providing for adequate intelligence and communications.
  - d. Ensuring unity of effort.
  - e. Harmonizing the civil with the military effort.
  - f. Establishing the appropriate command control to manage the transition.
0462. Similar to a traditional 'relief-in-place', the Alliance forces will carefully plan, coordinate, and manage the transition to the relieving force, agency, or HN through collaborative coordination mechanisms that must be established. Some key considerations for the JFC are:
- a. A clear idea of the conditions that should exist before the end state can be said to have been achieved is required. The NAC sets the strategic end state and should identify the conditions for that end state. This is a collaborative process and includes all of the non-military agencies that are responsible for the provision of long term development in the area. The conditions should be identified beforehand and a system of measuring them put in place, recognising that they may alter as the campaign progresses. Often there will be a considerable time gap between the achievement of the military end-state and the strategic end-state.
  - b. What structures, capabilities and postures are required next? Over the period of an operation a force will change, adjusting balance, configuration and posture, dictated by the evolving operating environment and conditions that exist at the time. It may look substantially different at the end of an operation to its original state. The difficulty of a large-scale change in posture and its adoption by a force configured mentally and physically for a different sort of operation should not be underestimated.
  - c. Plan and consider transition from the first phase of the operations to ensure that subsequent actions set the conditions for successful transition. To prevent a return

to the conditions that caused the crisis and required the involvement of the Alliance, the JFC, in cooperation with key civilian agencies must identify the 'high risk' critical transition points. These points occur when the JFC passes responsibility to NGO or IO or the HN and when the NGO and IO pass responsibility to the HN. Until these transition points occur, the JFC's mission is not completed.

- d. When 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.
- e. 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? Here, as much involvement by a wide range of key stakeholders as possible as part of a collective strategy is highly recommended.

0463. **Over-watch.** Some form of over-watch may be retained where it is considered that, while there is no longer any requirement for a JTF to be actively engaged in-theatre (indeed it may be counter-productive for it to do so), the developing indigenous capability is insufficient to ensure security. A reserve force is, therefore, retained until the situation is deemed sufficiently stable, or the indigenous capability sufficiently well-developed, to allow it to be drawn down. Over-watch can be provided at strategic, operational and tactical levels.

## Section VIII – Post Termination Activities

0464. **Redeployment.** The redeployment of forces after termination of an operation is a highly complex matter, politically, militarily, economically and environmentally. It is not simply a case of reversing the deployment plan, but rather a distinct operation in its own right. Redeployment may be directed when operations have terminated or higher authority directs movement of the assigned force. The JFC should give the same considerations to redeployment as for deployment in regard to phasing of C2 and the desired order of departure.
0465. Redeployment planning is directed towards the ordered and efficient movement of forces (units or individuals) and equipment out of the JOA. As a function of the overall redeployment, recovery planning will be an integral part of the JFC's plans. This section discusses recovery planning, including tasks, responsibilities and coordination of redeployment planning.
0466. One of the most important factors in planning the redeployment is timing. It will be extremely difficult to formulate a redeployment plan before the operational end-state has either been achieved or subsequent operations have been determined. Equally, it will reflect badly upon the conduct of the operation if the redeployment is seen to be a rushed, poorly planned affair. Therefore, it is vital that it is treated in the same thorough manner as the deployment and adequate time is given to its planning and preparation.



0467. Every operation has its own unique planning factors; however, the following factors apply to all operations and will need to be considered at the redeployment planning stage:
- a. Clear and detailed operational and logistic requirements to determine the scale of the redeployment.
  - b. The establishment of a planning team.
  - c. Residual commitments, for example specialist logistic personnel, may remain in the JOA in an advisory capacity, e.g. to help reconstruction.
  - d. 'Earliest move' and 'All out by' timings should be clarified at the earliest stage to identify lead times and enable strategic lift planning to proceed.
  - e. The establishment of specialist teams to staff the hand-over of HN assets and to coordinate termination of contracts. It must be remembered that if the JF has relied upon HNS, then a duty of care to the hosts exists. Every effort must be taken to ensure that environmental, political or financial difficulties do not degrade the relationship with the HN.
  - f. Additional enabling force elements and specialists will probably be required to deploy to the JOA to facilitate the redeployment.
  - g. Identifying the strategic movement assets to be made available by the TCNs.
0468. Irrespective of how well the operation was conducted, a poor redeployment, under full scrutiny of the media, may well be the lasting image of the operation. There may be considerable sensitivity about when and how planning is conducted, and its effects on own forces, local civilian and military morale. Also, HNS and multinational partners should be taken into account. It is therefore essential that the C2 of the redeployment is planned in advance and given careful consideration. SACEUR will retain operational command (OPCOM) of all assigned forces (except for nations non-delegating OPCOM due to specific restricted agreements) until TOA to the different contributing nations. TOA can be at the departure of forces from the JOA or their arrival at the PODs, dependent on the operation and the arrangements with the nations. The JFC should retain operational control (OPCON) of all assigned forces deployed in the JOA throughout the operation.
0469. **Accounting.** Accounting will attract close scrutiny from the audit authorities. As contracts with the HN will involve national contingents as well as the JFC, it is essential that accounting procedures are followed and implemented by Allied and national specialists, as appropriate. Accounting will occur throughout the operation, there will be a final reconciliation. The termination of contractual support and settlement of claims should be processed as expeditiously as possible after the operation. National contingents should close all financial obligations or make arrangements to close them as expeditiously as possible.

AJP-3(B)

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# LEXICON

## PART I – ACRONYMS AND ABBREVIATIONS

The Lexicon contains abbreviations relevant to AJP-3(B) and is not meant to be exhaustive. The definitive and more comprehensive list of abbreviations is in AAP-15.

AA	assembly area
ACC	air component command
ACO	Allied Command Operations
ACT	Allied Command Transformation
ACTPRED	activation of pre-deployment
AD	air defence
ADCON	administrative control
AIR	area of intelligence responsibility
AMCC	allied movement co-ordination centre
AO	air operation
AOI	area of interest
AOO	area of operation
AOR	area of responsibility
ASC	Allied Submarine Command
ASSESSREP	assessment report
ATUFT	aircraft taken up from trade
BM	battlespace management
C2	command and control
C3	consultation, command and control
CAOC	combined air operation centre
CBRN	chemical, biological, radiological and nuclear
CC	component command
CCIR	commander critical information requirement
CIMIC	civil-military cooperation
CIS	communication and information system
CJFSOCC	combined joint force special operation component command
CJSOR	combined joint statement of requirements
CJTF	combined joint task force
CNO	computer network operations
COA	course of action
COG	centre of gravity
CONOPS	concept of operation
COP	common operational picture
COS	chief of staff
CPAO	chief public affairs officer

CRM	crisis response measure
CS	combat support
CSS	combat service support
DCOM	deputy commander
DIRLAUTH	direct liaison authority
DJSE	deployable joint staff element
EAPC	Euro Atlantic Partnership Council
EAPMC	Euro Atlantic Partnership Military Committee
EMS	electromagnetic spectrum
ETEE	Education Training Exercise and Evaluation
EW	electronic warfare
FC	force command
FMB	forward mounting base
FOB	forward operating base
FP	force protection
FRAGO	fragmentary order
FSCM	fire support coordination measure
FULLCOM	full command
HN	host nation
HNS	host-nation support
HQ	headquarters
ID	identification
IER	information exchange requirement
IM	information management
INFOSEC	information security
Info Ops	information operations
INTEL	intelligence
IO	international organization
IOCB	information operations coordination board
IPB	intelligence preparation of the battlespace
ISR	intelligence surveillance and reconnaissance
JAD	joint air defence
JASIC	joint all sources information centre
JC3SC	joint command, control, communication and support centre
JCB	joint coordination board
JCBWG	joint coordination board working group
JCO	joint coordination order
JF	joint force

JFACC	joint force air component command
JFECC	joint force engineer centre
JFENGR	joint force engineer
JFC	joint force commander
JHQ	joint headquarters
JLSG	joint logistics support group
JOA	joint operations area
JOC	joint operations centre
JOPG	joint operations planning group
JPRFC	joint personnel resources and finance centre
JTCB	joint targeting coordination board
LANDOPS	land operations
LCC	land component command
LEGAD	legal advisor
LO	liaison officer
LOAC	law of armed conflict
LOC	lines of communications
LOGCON	logistic control
LOGREP	logistic report
LoA	level of ambition
LoO	lines of operation
MAROPS	maritime operations
MC	military committee
MCC	maritime component command
MEDAD	medical advisor
MEDASSESSREP	medical assessment report
MIC	media information centre
MJLC	multinational joint logistic centre
MJO	major joint operation
MN DDP	multinational detailed deployment plan
MOE	measures of effectiveness
MOP	measures of performance
MOU	memorandum of understanding
MPOPS	military police operations
MSUOPS	multinational special unit operations
NAC	North Atlantic Council
NCC	national contingent commander
NCN	NATO contributing nation
NCRS	NATO Crisis Response System
NCS	NATO Command Structure
NEO	non-combatant evacuation operations

NFS	NATO force structure
NGO	non-governmental organization
NNCN	non-NATO contributing nation
NNTCN	non-NATO troop contributing nation
NRF	NATO Response Force
NSHQ	NATO special operations headquarters
NSE	national support element
OA	operational analysis
OPCOM	operational command
OPCON	operational control
OPORD	operation order
OPLAN	operation plan
OPSEC	operations security
OSCE	Organization for Security and Cooperation in Europe
PA	public affairs
PCG	policy coordination group
PIR	priority intelligence requirement
POD	port of debarkation
POLAD	political advisor
POSNAV	positioning and navigation
PSO	peace support operation
Psy Ops	psychological operation
REFSUP	refugee support
RFP	response forces pool
ROE	rules of engagement
RSOM&I	reception, staging, onward movement and integration
SA	situational awareness
SACEUR	Supreme Allied Commander Europe
SATCOM	satellite communications
SDP	standing defence plan
SLOC	sea line of communication
SJO	smaller joint operations
SOF	special operation forces
SOFOPS	special operation forces operations
SPACEOPS	space operations
SSR	security sector reform
STUFT	ships taken up from trade
TACOM	tactical command
TACON	tactical control

TCN	troop contributing nation
TDL	tactical data link
TF	task force
TOA	transfer of authority
TCSOR	theatre capabilities statement of requirement
UN	United Nations
VTC	video teleconference

## PART II - TERMS AND DEFINITIONS

### **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 (AIR)**

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 (AOI)**

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 (AOO)**

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 Supreme Allied Commander Europe. (AAP-6)

### **battle damage assessment**

The assessment of effects resulting from the application of military action, either lethal or non-lethal, against a military objective. (AAP-6)

### **battlespace**

The environment, factors and conditions that must be understood to apply combat power, protect a force or complete a mission successfully. (AAP-6)

Note: It includes the land, maritime, air and space environments; the enemy and friendly forces present therein; facilities; terrestrial and space weather; health hazards; terrain; the electromagnetic spectrum; and the information environment in the joint operations area and other areas of interest.

### **battle space awareness**

Knowledge and understanding of the battlespace that enable timely, relevant, comprehensive and accurate assessments in order to successfully apply combat power, protect the force and/or complete the mission. (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 cooperation (CIMIC)**

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)

**combined (multinational)**

Adjective used to describe activities, operations and organizations in which elements of more than one nation participate. (AAP-6)

**combined operation (multinational operation (admitted))**

An operation conducted by forces of two or more nations acting together. (AAP-6)

**command**

1. The authority vested in an individual of the armed forces for the direction, coordination, 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, organization or area under the authority of a single individual.
4. To dominate an area or situation.
5. To exercise command. (AAP-6)

**communication and information systems (CIS)**

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

**communication system**

An assembly of equipment, methods and procedures and, if necessary, personnel, organized to accomplish information transfer functions. (AAP-6)

- Notes:
1. A communication system provides communication between its users and may embrace transmission systems, switching systems and user systems.
  2. A communication system may also include storage or processing functions in support of information transfer.

**component command (CC)**

1. In the NATO military command structure, a third-level command organization with specific air, maritime or land capabilities that is responsible for operational planning and conduct of subordinate operations as directed by the NATO commander.
2. A functional component command or service component command responsible for the planning and conduct of a maritime, land, air, special or other operation as part of a joint force. (AAP-6)

**component commander (CC)**

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)

**conduct of operations**

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

**contingency plan (CONPLAN)**

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 organizations, or other organizations 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 (COA)**

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 (DC)**

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 (This term and definition is being staffed within the context of this publication for ratification and will be proposed for inclusion in AAP-6)

**decisive point (DP)**

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)



**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)

**electronic warfare (EW)**

Military action to exploit the electromagnetic spectrum encompassing: the search for, interception and identification of electromagnetic emissions, the employment of electromagnetic energy, including directed energy, to reduce or prevent hostile use of the electromagnetic spectrum, and actions to ensure its effective use by friendly forces. (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)

**force protection (FP)**

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)

**host nation (HN)**

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 (HNS)**

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

**intelligence (Int, INTEL (admitted))**

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 organizations engaged in such activity. (AAP-6)

**interoperability**

The ability to act together coherently, effectively and efficiently to achieve Allied tactical, operational and strategic objectives.

**joint**

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

**joint fires**

Fires applied during the employment of forces from two or more components in coordinated action toward a common objective. (AAP-6)

**joint operations area (JOA)**

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/decisive points in time and space on the path to the centre of gravity. (AAP-6)

**logistics (Log)**

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; and
- e. medical and health service support. (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 (Msn)**

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 commander**

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

**NATO strategic communication**

The coordinated and appropriate use of NATO communications activities and capabilities – public diplomacy, public affairs, military public affairs, information operations and psychological operations as appropriate – in support of Alliance policies, operations and activities, and in order to advance NATO's aims. (PO(2009)0141)

**operation (Op, OP (admitted))**

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 (OPORD)**

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

**operation plan (OPLAN)**

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 command (OPCOM)**

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. Note it does not include responsibility for administration. (AAP-6)

**operational control (OPCON)**

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

**operations security (OPSEC)**

The process which gives a military operation or exercise appropriate security, using passive or active means, to deny the enemy knowledge of the dispositions, capabilities and intentions of friendly forces. (AAP-6)

**peace support operations**

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)

**public affairs**

The function responsible to promote NATO's military aims and objectives to audiences in order to enhance awareness and understanding of military aspects of the Alliance. This includes planning and conducting media relations, internal communications, and community relations. (MC457/1)

**Psychological operations (Psy Ops)**

Planned psychological activities using methods of communications and other means directed to approved audiences in order to influence perceptions, attitudes and behaviour, affecting the achievement of political and military objectives. (MC 402).

**rules of engagement (ROE)**

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)

**standardization**

The development and implementation of concepts, doctrines, procedures and designs in order to achieve and maintain the compatibility, interchange ability 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)

**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)

**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 (TACOM)**

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 (TACON)**

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

**targeting**

The process of selecting and prioritizing targets and matching the appropriate response to them, taking into account operational requirements and capabilities. (AAP-6)

**transfer of authority (TOA)**

Within NATO, an action by which a member nation or NATO Command gives operational command or control of designated forces to a NATO Command. (AAP-6)

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ORIGINAL

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