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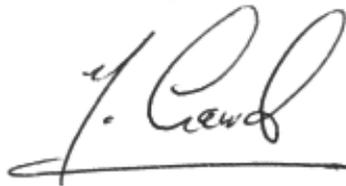
Joint Doctrine Note 1/15
Defence Engagement



Joint Doctrine Note 1/15

Defence Engagement

Joint Doctrine Note (JDN) 1/15, dated August 2015,
is promulgated as directed by the Chiefs of Staff

A handwritten signature in black ink, appearing to read 'J. C. C. C.', with a horizontal line underneath.

Head Doctrine

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Foreword

The role of UK Defence in generating understanding is vital. One element of that understanding is engagement. As this Joint Doctrine Note makes clear, engagement by Defence takes many forms.

Our collective experience from operations tells us that Defence Engagement activity is a constant: it rises and falls in volume and extent as situations evolve and events happen but the boundaries are blurred. There may sometimes be a fine line between Defence Engagement and combat operations – equally Defence Engagement may continue inside a country or region during combat operations. Therefore, when understanding Defence Engagement, consensual flexibility in both scale, metrics and effect is needed.

Joint Doctrine Note (JDN) 1/15, *Defence Engagement* has two aims. First, it has been written to help readers to understand the frameworks, actors, activities, strategies, and planning processes that currently underpin Defence Engagement. Secondly, JDN 1/15 is intended to stimulate debate, across a joint audience, on the requirements and challenges of delivering effective Defence Engagement. It is based on the 2010 *National Security Strategy* (NSS) and *Strategic Defence and Security Review* (SDSR), informed by the *Defence Joint Operating Concept* and other policy developments. It is being published prior to the 2015 SDSR because it is consistent with our expectations of the outcome, and there is a clear need to set out our approach to the practice of Defence Engagement. Its status as a JDN means that it forms the first draft of more formal doctrine, which will follow, and be informed by, the 2015 SDSR and NSS. Your continued feedback to the Development, Concepts and Doctrine Centre will inform the development of Defence Engagement and inform a future Joint Doctrine Publication on Defence Engagement.

Vice Chief of the Defence Staff

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We are increasingly in a **state of permanent international competition**, competition that **can occasionally risk becoming confrontation or even conflict**. We need to employ Armed Forces in such a way that not only do they ameliorate the risk of conflict through protection and deterrence, **but they also enhance security through building stability overseas and through capacity building activities which contribute to the prevention of conflict.**

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General Sir Nicholas Houghton, Chief of the Defence Staff
Speech at RUSI, 17 December 2014

Executive summary

1. The UK maintains Defence assets designed to deliver hard power to defend the national interest. However, Defence assets have wider utility in maintaining our security and prosperity beyond the threat or use of hard power. Defence Engagement is defined as: **the means by which we use our Defence assets and activities, short of combat operations, to achieve influence.**¹ Defence Engagement allows the military (alongside other instruments of national power) to play a part in shaping the environment, promote the rules-based international order and prevent instability in support of the UK's security and prosperity. This is done while building Defence's understanding of the world.

2. **Strategic context.** The 2010 *Strategic Defence and Security Review* (SDSR) and *National Security Strategy* (NSS) tasked Defence with two UK strategic aims. Firstly, to ensure a secure and resilient UK, and secondly, to shape a stable world. *UK Defence Doctrine*² recognised that these Defence requirements are enduring. Defence contributes to these aims through three activities: **protecting** our vital national interests and **detering** threats; being prepared to **respond** to threats should they not be deterred; and **shaping and understanding** the global environment.

3. **Maintaining the ability to influence.** Defence Engagement is about influence. Our ability to influence is dependent upon the credibility of our Defence. This credibility is based on highly-effective fighting power which establishes and maintains our reputation as a partner of choice.

4. **Policy context.** The launch of the *International Defence Engagement Strategy* (IDES) in February 2013, jointly signed by the Secretaries of State for Defence and Foreign and Commonwealth Affairs, introduced the idea of Defence Engagement as a core MOD output. Following this direction, there has been an increase in activity. While Defence Engagement activities are not new, the explicit linking of Defence Engagement with the NSS aim of shaping the global environment requires a more structured and integrated approach to planning and delivery.

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1 [International Defence Engagement Strategy, 2013.](#)

2 Joint Doctrine Publication (JDP) 0-01, [UK Defence Doctrine](#), Chapter 1, Section 1.

5. **Aim.** Joint Doctrine Note (JDN) 1/15, *Defence Engagement* describes how UK Government policies (expressed as outcomes) are translated to Defence Engagement activities, and then planned and synchronised.³

6. **Linkages.** JDN 1/15 is linked to a number of policy documents including:

- the 2010 SDSR;
- the NSS;
- Defence doctrine;
- the *Defence Plan*; and
- the IDES.

7. **Structure.** JDN 1/15 is divided into five chapters.

a. **Chapter 1 – Policy overview.** Defence Engagement policy is anchored in the NSS and SDSR which directed a broader view of how Defence contributes to our security, prosperity and freedom. Defence Engagement and operations are interdependent, and the change of emphasis in the SDSR recognises that soft power shaping activities are both valuable in their own right and a crucial component of an effective hard power response. Delivering soft power effects requires strategy and deliberate planning, characterised by a long-term, collaborative approach. Defence Engagement effect is created by a wide range of activities, many of which may not have Defence Engagement as their primary mission – understanding and integrating these effects is crucial to achieve our objectives in a resource-constrained setting.

b. **Chapter 2 – Defence Engagement framework.** Defence Engagement direction is articulated through the IDES. This provides a framework of strategic ends/objectives and expands on Defence Engagement’s definition to include four ways that Defence can support those objectives:

- security and non-combat operations;

.....
3 As a Joint Doctrine Note (JDN), this publication represents the current position which will be reviewed following the 2015 SDSR.

- Defence diplomacy;
- defence and security exports; and
- regional stability, conflict prevention, post-conflict reconstruction and stabilisation.

The IDES also establishes a geographic prioritisation process. The objectives are then mapped across Defence Engagement output types to support planning and strategy development. To enable planning, a Defence Engagement logical framework links inputs to aims via activities, outputs and objectives.

c. **Chapter 3 – Strategy development and planning.** Defence Engagement is prioritised and directed using a range of cross-government mechanisms. These mechanisms generate a prioritised country list, jointly issued by the Foreign and Commonwealth Office and the MOD. This list provides geographical priorities, and further prioritises countries based on allies and partners, and thematic pillars.⁴ Regional strategy documents (based on the NSS, endorsed across government and incorporated into the *Defence Plan*) are the framework for Defence Engagement activity planning. Each regional strategy is a portfolio of documents comprising regional, sub-regional and country strategies and country plans. These plans set out Defence objectives nested within national objectives which drive demand for activities. Regional strategies are developed in regional strategic planning groups, with attendance drawn from across Defence and other government departments. The resulting activities are financed either by cross-government funds,⁵ a small amount of central funding or the top-level budget holders. Activities are managed by the regional teams in the MOD and overseen by two cross-government boards (the Defence Engagement Board and the Strategic Regional Implementation Group for Defence Engagement).

d. **Chapter 4 – Actors and activities.** Defence Engagement actors work within one of the four Defence Engagement footprints –

.....
 4 Examples include countering violent extremism, the *Prosperity Agenda* and counter-improvised explosive devices.

5 Such as the Conflict, Security and Stabilisation Fund.

enduring, operational, dynamic and non-deployed.^{6,7} While only the enduring footprint is specifically configured to deliver Defence Engagement, activities are delivered by all the Services and Joint Forces Command in the other three footprints. It is important to define and categorise these activities to enable both planning and evaluation; this is done through the Defence Engagement taxonomy.

e. **Chapter 5 – Evaluating Defence Engagement activity.** Assessing whether Defence Engagement activities have been successful requires a complete picture of the required inputs, activities, outputs and outcomes against an assessment criteria. A database of Defence Engagement activity, ESCAPADE,⁸ provides activity detail while maturity models are used to create a framework to evaluate progress towards objectives and manage risks. Defence Engagement plans can then be modified following this evaluation, thereby, providing a feedback mechanism.



Image work/AmanaimagesRF/Thinkstock

Defence Engagement is about influence around the globe

6 The 'Generating Force', including International Defence Training.

7 Joint Concept Note 1/14, *The Defence Joint Operating Concept*, defines these collectively as the 'Engaged Force'.

8 The Enhanced Security Cooperation Activity Plan Application for Defence Engagement.

Contents

Foreword	iii
Executive summary	v
Chapter 1 – Policy overview	1
Chapter 2 – Defence Engagement framework	17
Chapter 3 – Strategy development and planning.	27
Chapter 4 – Actors and activities	55
Chapter 5 – Evaluating Defence Engagement activity	77





Policy overview

Chapter 1 introduces the key policies that anchor Defence Engagement.

Section 1 – Fundamentals	3
Section 2 – Defence Engagement characteristics.	6
Section 3 – High-level policy and strategy relating to Defence Engagement	8
Section 4 – Defence Engagement support to our Government strategies	10

1

“
The world is not going into concentric blocks of power. It is actually going into a **diffusion of power** with more centres of decision-making than ever in human civilisation. That requires you to **place yourself in far more hubs of power** than ever before.
”

William Hague

Chapter 1 – Policy overview

Section 1 – Fundamentals

1

1.1. Defence has a much broader utility than war fighting alone. Through Defence Engagement, the Government uses Defence's soft power¹ capabilities to influence and shape the environment, promoting and protecting the UK's security and prosperity as well as supporting both Defence objectives and wider government strategies.² The *Defence Joint Operating Concept* develops this idea further and '...asserts a change of emphasis in the focus of our military capability...we should invest more in forward engagement overseas in order to...improve our strategic understanding...[and] shape positive outcomes by preventing or deterring conflict'.³ Defence Engagement is the key element of this forward engagement.

1.2. JDN 1/15 describes how we use Defence Engagement to shape and understand. It sets out how we plan, direct and deliver Defence Engagement activities to achieve objectives.

1.3. The 2010 *Strategic Defence and Security Review (SDSR)* and *National Security Strategy (NSS)* tasked Defence with two UK strategic aims:

- protecting the UK and Islands and Overseas Territories; and
- shaping and understanding the global environment.

Defence contributes to these strategic aims through three activities:

- protecting our vital national interests and deterring threats;
- being prepared to respond to threats should they not be deterred; and
- shaping and understanding the global environment.

1 Joint Doctrine Publication (JDP) 0-01, [UK Defence Doctrine](#), (5th Edition), paragraph 3.21.

2 [National Security Strategy](#) (NSS), 2010, paragraph 2.16.

3 Joint Concept Note (JCN) 1/14, *Defence Joint Operating Concept*.

1.4. Successful Defence Engagement depends on our ability to influence others, which in turn depends upon our credibility. Our credibility is built upon the capability and demonstrable will to fight and win in major combat operations. This requires forces with effective fighting power.⁴ Developing effective fighting power and delivering Defence Engagement are often mutually reinforcing. Fighting power is enhanced by the conduct of Defence Engagement in the following ways.

- Practising working closely with other instruments of national power to strengthen our capability as part of an integrated approach.
- Routinely working with allies and partners, building relationships and understanding that may be pivotal in the transition to crisis and combat operations.
- Providing experience and challenge to our personnel, which develops them and their units' ability to deliver in an expeditionary setting.

1.5. The *International Defence Engagement Strategy* (IDES) defines Defence Engagement as: the means by which we use our Defence assets and activities, short of combat operations, to achieve influence.⁵ This has led to the idea that Defence Engagement and combat operations are separate spheres of activity. They are not. Both combat operations and Defence Engagement use Defence capability to create effect in support of outcomes set out by the Government. Defence Engagement uses Defence assets as part of a soft power approach;⁶ combat operations use Defence assets to deliver hard power. Thus, the terms together describe different aspects of a range of military responses available to the Government.

1.6. Although Defence Engagement may lessen the need for combat operations, it does not negate them. Crisis and threat will arise and combat operations may ensue. If this happens, the understanding generated by Defence Engagement will enable the combat operations response. This

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4 *Op. Cit.*, JDP 0-01, paragraph 2.1 and JCN 1/14, paragraph 3.2.

5 [*International Defence Engagement Strategy*](#) (IDES), 2013.

6 *Op.Cit.*, JDP 0-01, Chapter 3, Section 3.

is sometimes characterised as ‘Phase Zero’ activity.⁷ The UK does not use this term, because Defence Engagement activity to shape the global environment is broader than a precursor to combat operations.

1.7. During combat operations, Defence Engagement activities will be a part of the operational plan. In some situations, the military-strategic end-state may be attained predominantly through Defence Engagement activities. As combat operations cease, Defence Engagement activity may continue to support our enduring interests in the country or region. Figure 1.1 illustrates this for a hypothetical situation. At all times, the overall military response will involve Defence Engagement activities.

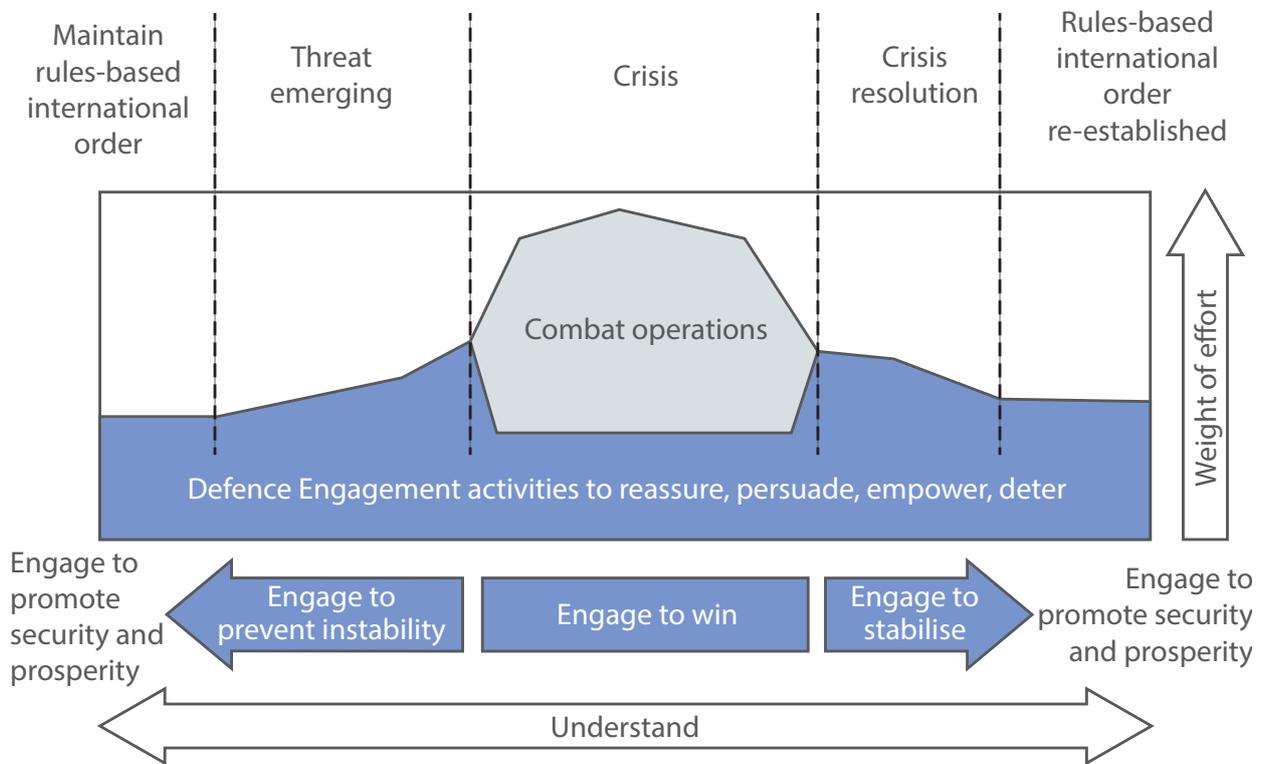


Figure 1.1 – Defence Engagement activities through time

7 US Joint Publication 5-0, *US Joint Operations Planning*, defines and limits ‘Phase Zero’ operations as follows: ‘[Phase Zero operations] are executed continuously with the intent to enhance international legitimacy and gain multinational cooperation in support of defined national strategic and strategic military objectives. They are designed to assure success by shaping perceptions and influencing the behavior of both adversaries and allies, developing allied and friendly military capabilities for self-defense and coalition operations, improving information exchange and intelligence sharing, and providing US forces with peacetime and contingency access.’

1.8. The renewed emphasis on Defence Engagement has led to a re-appraisal of the MOD's approach to delivering activities that have been a significant element of Defence activity for many years. This revised approach is still evolving, but is now sufficiently mature to require an update to the MOD.

Section 2 – Defence Engagement characteristics

1

1.9. Balancing our priorities and maintaining relationships in an uncertain and competitive world means that delivering both Defence Engagement activity and combat operations are complex tasks. Generally, combat operations are episodic and characterised by having a military-strategic end-state, which delineates where it is expected that combat operations will cease. Defence Engagement planning is not separate from operational planning. The approach to Defence Engagement planning has the following key characteristics.

- It is based on a **long-term** view of both the UK's and Defence's objectives in a region or country and has no end-state.
- It is **deliberate** and not conducted solely in response to events, but rather takes a view of our interests set against the current situation and potential future development.
- Activity involves **foreign partners**, who can choose which activities they participate in and with whom they conduct them.
- It requires a **cooperative**, rather than competitive, approach based on **mutual interests**.
- It does not employ all the levers of military power (most notably fires) and it **does not involve physical coercion** or the use of lethal force.⁸

.....
8 Except in the case of self-defence.

- It must be part of an integrated approach.⁹

1.10. Defence Engagement planning to **shape** is complicated by activities creating multiple effects. Therefore, it has to recognise, lever and influence activities intended to **protect** or **respond**. Defence Engagement is often delivered by actors for whom Defence Engagement is not their primary task. Where resources are limited, we have to prioritise to optimise how we deliver a range of outcomes. Figure 1.2 shows an example of the variations of effect balance from different activity decisions in a maritime setting.

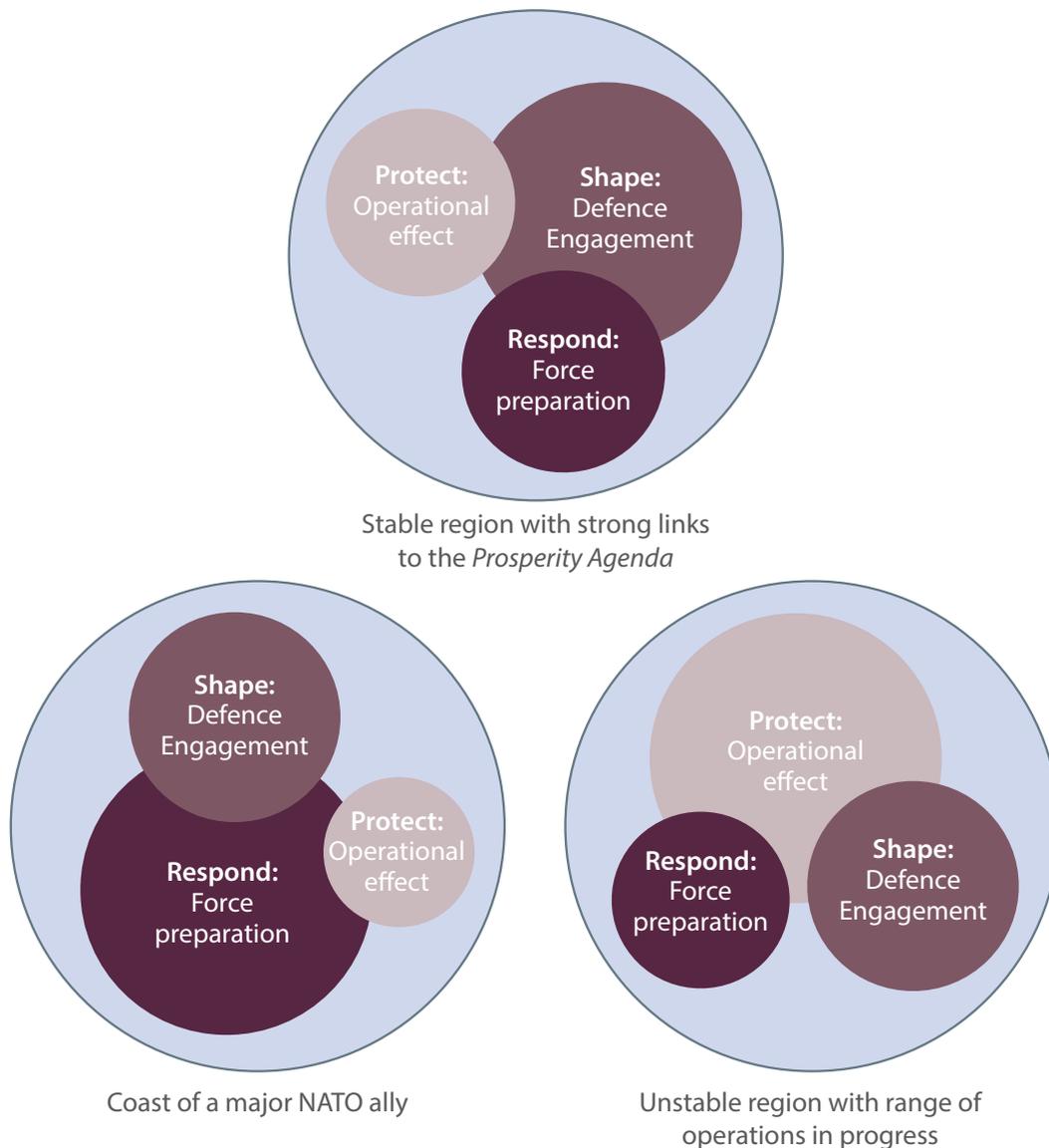


Figure 1.2 – Maritime task group deployment by effect balance

9 *Op.Cit.*, JDP 0-01, Chapter 3, Section 7.
JDN 1/15

Section 3 – High-level policy and strategy relating to Defence Engagement

National Security Strategy

1.11. The 2010 NSS stated that, ‘Our security, prosperity and freedom are interconnected and mutually supportive. They constitute our national interest’. The NSS outlines two strategic objectives:

- ensure a secure and resilient UK by protecting our people, economy, infrastructure, territory and ways of life from all major risks that can affect us directly; and
- shape a stable world, by acting to reduce the likelihood of risks affecting the UK or our interests overseas, and applying our instruments of power and influence to shape the global environment and tackle potential risks at source.

1.12. The NSS further states that we must use all of our national capabilities to build our prosperity, extend our influence in the world and strengthen our security by adopting a whole-of-government approach.¹⁰ As Defence capabilities form part of our national capabilities, an integrated approach to Defence Engagement is essential to ensure that capabilities are properly used to support the NSS.

Strategic Defence and Security Review

1.13. The 2010 SDSR set out a vision for an integrated approach to meet the UK’s international objectives. It also outlined that Defence Engagement should be directed towards:

- conflict prevention;
- security sector reform; and
- capability building in priority countries.

.....
10 The whole-of-government approach contributes towards an integrated approach.



Defence Engagement requires an integrated approach

1.14. The 2010 SDSR placed multilateral and bilateral partnerships at the centre of our approach to Defence and security. This was to maximise capability and efficiency as well as focus on areas of comparative national advantage valued by key allies. Defence Engagement is a fundamental part of both delivering those partnerships and benefiting from them.

An integrated approach

1.15. An integrated approach¹¹ requires clear national objectives, strong political leadership and collaboration across departments to ensure that the UK's national power is coherently applied.¹² Defence Engagement supports many cross-government strategies. Therefore, an integrated approach requires Defence Engagement planners and practitioners to understand cross-government strategies to optimise Defence's contribution. The most relevant cross-government strategies are summarised in Section 4.

.....
 11 NATO uses the term 'comprehensive approach', which is broadly comparable to the UK's 'integrated approach'. Although integration implies a greater level of collaboration, that may not always be possible during coalition operations due to national or organisational sensitivities.

12 *Op.Cit.*, JDP 0-01, Chapter 2, Section 7.

The National Security Council

1.16. The National Security Council (NSC) is the main forum for formulating the Government's objectives for national security and how best to deliver them. The NSC sets our Government's strategy for countries, multilateral engagement and specific issues or crises, and is the highest provider of strategic guidance for Defence activity.

1.17. The NSC has a role in both deliberate planning and crisis response. For deliberate planning it:

- produces country, regional and thematic strategies, providing the Government with both objectives and the means through which they might be achieved; and
- provides overarching guidance from which other strategies and plans can be developed, as well as being a formal body through which resources can be allocated, to support achieving the described objectives.

1.18. For crisis response, the NSC provides direction to the Government. Inside the MOD this process is managed by the Defence Crisis Management Organisation, and the response often includes Defence Engagement activity.

Section 4 – Defence Engagement support to our Government strategies

Building Stability Overseas Strategy

1.19. The *Building Stability Overseas Strategy* (BSOS) is a joint Foreign and Commonwealth Office (FCO), Department for International Development (DFID) and MOD strategy for conflict prevention.

- a. BSOS sets out how the UK can enhance its own security and prosperity by identifying, preventing and ending instability and

conflict overseas, by using diplomatic, development, military and security tools.

b. BSOS also outlines three main mutually-supporting pillars of the Government's stability strategy: early warning; rapid crisis prevention and response; and upstream conflict prevention.

1.20. Defence Engagement supports all three of these pillars, particularly early warning and upstream conflict prevention. Having Defence personnel engaged overseas provides a feedback mechanism to the UK to identify any developing crises. The overseas network of Defence attachés is well-placed to provide feedback, but equally, a deployed training team can report changing atmospherics. The risk of instability is one of the factors taken into account when Defence Engagement country priorities are set, as an increase in the Defence Engagement effort applied could reduce the chances of instability and build resilience.

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Countering Terrorism Strategy

1.21. The aim of our *Countering Terrorism Strategy* (CONTEST)¹³ is to: 'reduce the risk to the UK and its interests overseas from terrorism, so that people can go about their lives freely and with confidence'. CONTEST comprises four pillars: pursue; prevent; protect; and prepare.

1.22. As part of the **prevent**¹⁴ workstream, the UK works overseas (collaborating with other nations and multilateral organisations) to develop the capability and capacity of overseas partners to identify and counter threats at source. This could equally support **pursue** efforts, where partners can create effect locally. Priority countries will be those where the threat from terrorism is assessed as high and where Defence Engagement can be used to build capacity to counter that threat.

1.23. The Countering Violent Extremism programme sits within the **prevent** workstream of CONTEST. It aims to tackle ideologies that distort religion to the point of extremism with three key objectives:

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13 <https://www.gov.uk/government/publications/counter-terrorism-strategy-contest>.

14 <https://www.gov.uk/government/publications/prevent-strategy-2011>.

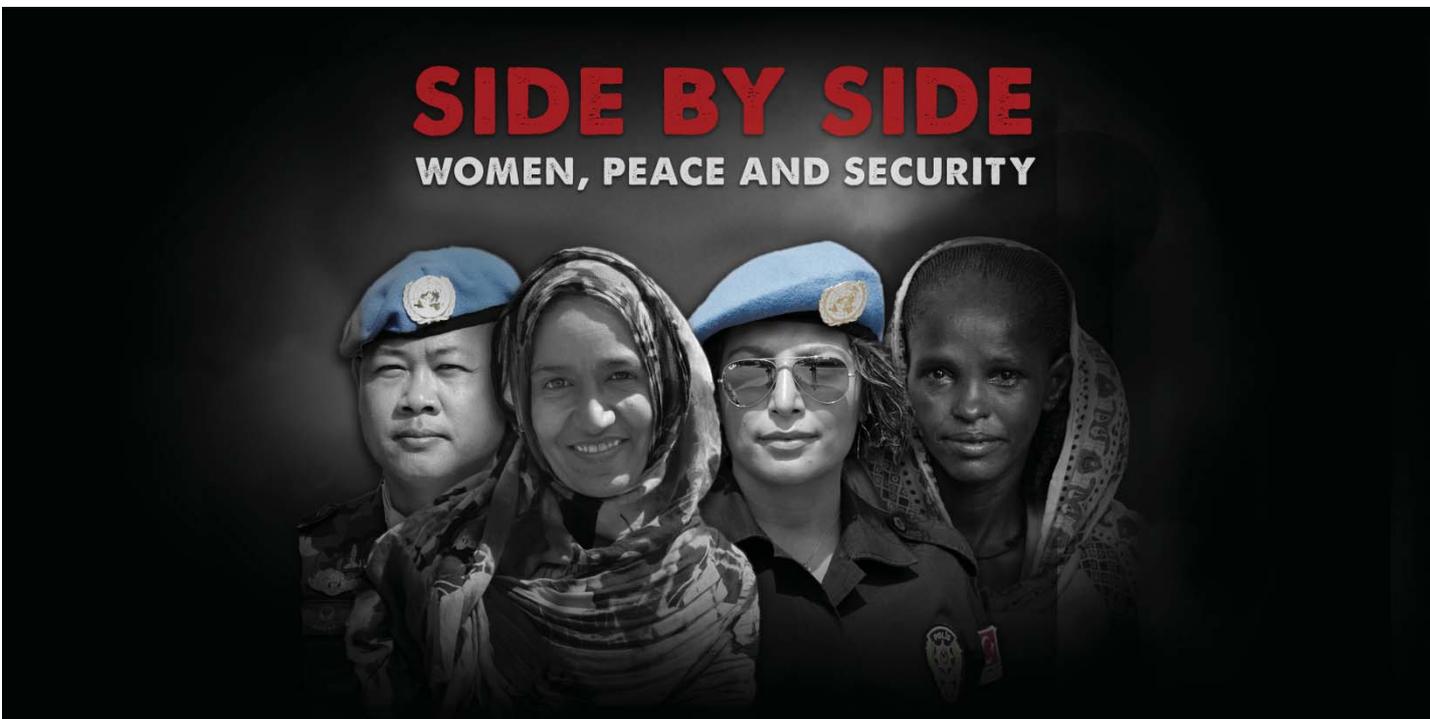
- respond to the ideological challenge of terrorism and the threat we face from those who promote it;
- prevent people from being drawn into terrorism and ensure they are given appropriate advice and support; and
- work with sectors and institutions that are at risk of radicalisation.

Serious and Organised Crime Strategy

1

1.24. The *Serious and Organised Crime Strategy*¹⁵ was initiated to coincide with the launch of the National Crime Agency and addresses organised crime as a threat to national security. It aims to reduce the level of serious and organised crime, through the four pillars of activity shared with CONTEST.

1.25. Defence supports the *Serious and Organised Crime Strategy* through building capacity in priority countries. Where appropriate and available, Defence also uses interdiction capabilities to ensure that threats cannot reach the UK.



Some of our Defence Engagement activities support the *Women, Peace and Security Campaign*

Image courtesy of the Australian Civil-Military Centre

15 <https://www.gov.uk/government/publications/serious-organised-crime-strategy>.

Women, Peace and Security Campaign

1.26. The *Women, Peace and Security Campaign*¹⁶ aims to address the culture of impunity that exists for sexual violence crimes in conflict, increase the number of perpetrators held to account and ensure better support for survivors. The campaign has three key objectives:

- raising awareness;
- promoting international cooperation; and
- increasing the political will and capacity of states to do more.

Defence Engagement delivers against these objectives by integrating the aims into our activity planning, with emphasis on building partner capacity, and International Defence Training activities.



Prosperity Agenda

1.27. The *Prosperity Agenda*¹⁷ directs activity to help build the UK’s prosperity, noting the links in the NSS between security, prosperity and freedom. The *Prosperity Agenda* was developed to support UK business abroad and to attract foreign investors to the UK and supports three key objectives:

- increase trade and investment;
- ensure open access to resources; and
- promote sustainable global growth.

1.28. The Defence contribution to the *Prosperity Agenda* is delivered, in part, through the Defence Growth Partnership.¹⁸ The Defence Growth Partnership is jointly led by the Department of Business Innovation and Skills and the defence industry, with the support of the MOD as the UK customer. Defence Engagement supports both the *Prosperity Agenda* and Defence Growth Partnership directly and indirectly. Examples of direct support include visits from high technology assets such as warships and aircraft, and participating in trade fairs. Indirect support comes from Defence Engagement’s

.....
16 See <http://www.un.org/en/peacekeeping/issues/women/wps>

17 <https://www.gov.uk/government/speeches/the-uk-prosperity-agenda-growth-open-markets-and-good-governance>.

18 <http://defencegrowthpartnership.co.uk>.

contribution to maintaining the rules-based international order that is necessary for sustained trade and investment.

Emerging Powers Strategy

1.29. The *Emerging Powers Strategy*¹⁹ was launched to ensure the UK embraces the opportunities that may arise from a shift in economic power from emerging markets. It emphasises the need for the UK to reinforce existing relationships, make new links and forge stronger alliances. The strategy recognises the need to re-calibrate our focus towards the East and South by opening and re-opening embassies, consulates and trade offices, and increasing the number of ministerial visits.

1.30. The *Emerging Powers Strategy* informs Defence Engagement priorities. This ensures that sufficient effort is directed towards emerging powers, feeding into the Defence Engagement prioritised country list and the Defence diplomacy footprint. Some emerging powers work also contributes to the *Prosperity Agenda*.

National Counter-Proliferation Strategy

1.31. The *National Counter-Proliferation Strategy* sets the framework for the UK's approach to counter-proliferation. It tackles risks identified in the NSS which are exacerbated by the proliferation of both chemical, biological, radiological and nuclear (CBRN) and advanced conventional weapons. Defence has CBRN expertise that can be drawn on to both protect the UK, and train and advise partners. We are contributing to, and expanding, the international counter-proliferation network.²⁰

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Defence Engagement supports many cross-government strategies. Therefore, an **integrated approach** requires Defence Engagement planners and practitioners to **understand cross-government strategies** to optimise Defence's contribution.

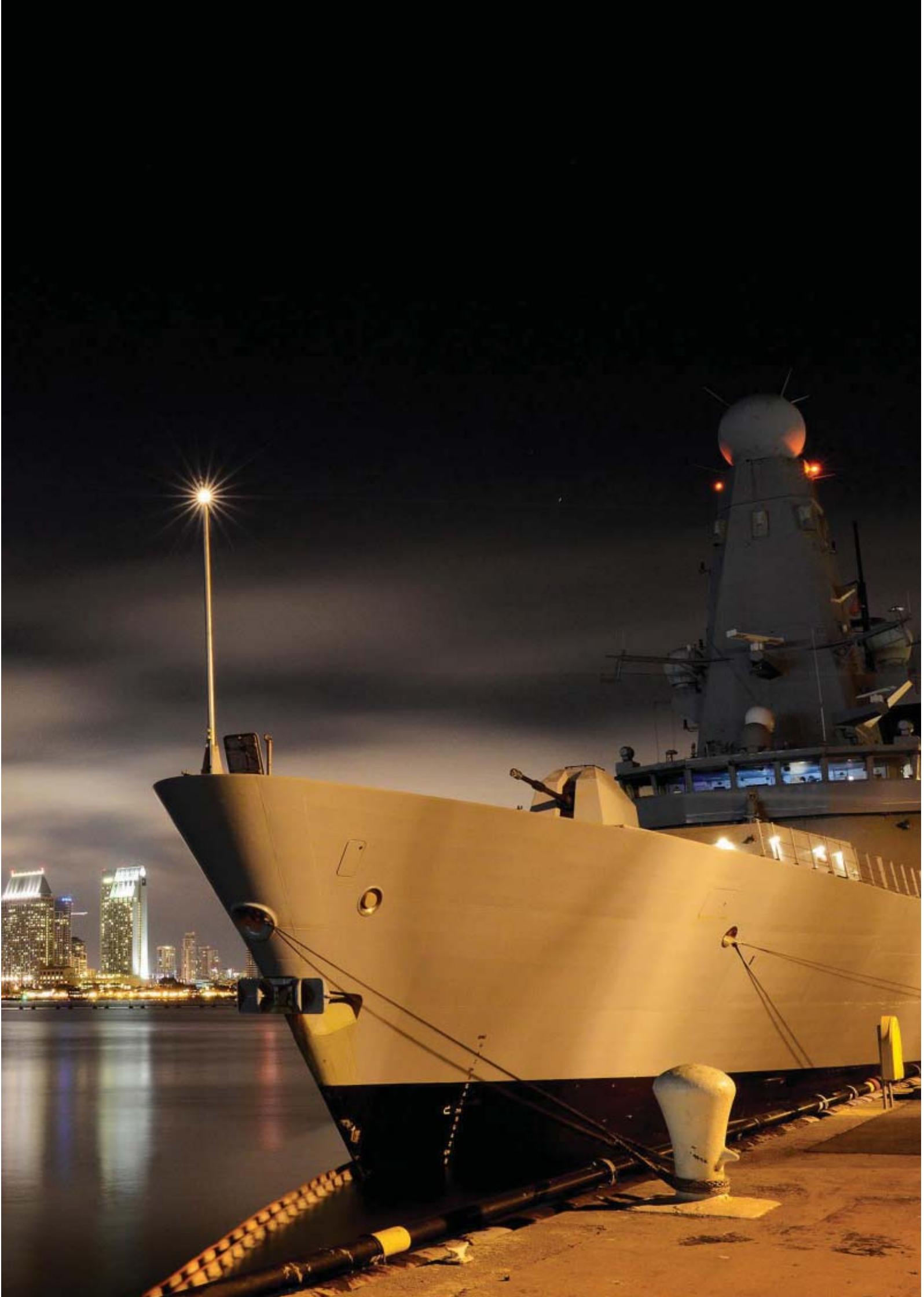
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19 <https://www.gov.uk/government/speeches/british-competitiveness-responding-to-the-rise-of-the-emerging-powers>.

20 JDP 3.61, *Counter-CBRN: The Military Contribution*.

Key points

- Defence has a much broader utility than war fighting alone, and a range of Defence activity contributes to shaping the global environment.
- The IDES defines Defence Engagement as: the means by which we use our Defence assets and activities, short of combat operations, to achieve influence.
- Defence Engagement and operations are not separate spheres of activity. The terms together describe different aspects of a range of military responses available to the Government.
- Successful Defence Engagement depends on our ability to influence others, which in turn depends upon our credibility, which is built on fighting power.
- Defence Engagement activity involves foreign partners who have a choice over participating in that activity.
- Defence Engagement is a deliberate activity, not conducted solely in response to events and is based on a long-term view of both the UK and Defence objectives.
- An integrated approach requires Defence Engagement planners and practitioners to understand cross-government strategies so they can optimise Defence's contribution to them.



Defence Engagement framework

Chapter 2 outlines the Defence Engagement framework of activities, outputs and objectives.

Section 1 – The <i>International Defence Engagement Strategy</i>	19
Section 2 – Defence Engagement objectives	21
Section 3 – The Defence Engagement logical framework	23

“ Peace is not absence of conflict, it is the **ability to handle conflict by peaceful means.** ”

Ronald Reagan

Chapter 2 – Defence Engagement framework

2.1. Chapter 2 explains the terminology and framework that has been developed to plan and direct Defence Engagement following the 2010 *Strategic Defence and Security Review* (SDSR) and subsequent *International Defence Engagement Strategy* (IDES).¹

Section 1 – The *International Defence Engagement Strategy*

2.2. The IDES describes how Defence supports cross-government strategy within an integrated approach. Developed by the MOD and the Foreign and Commonwealth Office, the IDES brings together all the levers available to Defence to achieve the *National Security Strategy* (NSS) objectives. It sets out four Defence Engagement strategic aims.

- a. **Establish comprehensive relationships and an understanding of the global and regional context, through persistent and modulated engagement in support of our standing commitments, and support to intelligence and diplomatic priorities.**
- b. **Build international capability, capacity and will by strengthening existing alliances and developing partnerships with non-traditional partners, that support and enhance UK security and economic relationships through Defence diplomacy. Acting early to prevent conflict and tackle the root causes of instability, including helping to build partner capacity and contributing to peacekeeping operations.**

.....
 1 https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/73171/defence_engagement_strategy.pdf

- c. Sustain our position and influence with, and through, our allies, partners and multilateral organisations, including our United Nations Security Council membership.
- d. Protecting and promoting our prosperity and security by assuring UK access to secure and affordable resources, and protecting and promoting a stable, rules-based international system that supports our national security and prosperity interests.

2.3. Building on its definition of Defence Engagement, the IDES sets out four 'ways' by which this can be achieved:

- security and non-combat operations;
- Defence diplomacy;
- defence and security exports; and
- regional stability, conflict prevention, post-conflict reconstruction and stabilisation.

2.4. The IDES creates a structure for prioritising countries to ensure that we are able to achieve those wider objectives effectively and within available resources.² Those priorities are informed by the index of Countries at Risk of Instability, the Register of British Interests and the National Security Risk Assessment, as well as by the cross-government strategies already described. The IDES has a planning horizon of 20 years and includes the prioritised country list to guide the extent of Defence Engagement effort.^{3,4} Figure 2.1 illustrates the IDES.

// **The IDES creates a structure for prioritising countries to ensure that we are able to achieve those wider objectives effectively and within available resources.** //

.....
2 Prioritisation mechanisms are described further in Chapter 3.

3 In due course, elements of the IDES may be subsumed into other documents, such as a joint doctrine publication covering Defence Engagement, the *Defence Plan* and the *Military Strategic Balance*.

4 The IDES exists in two versions, an OFFICIAL version sitting as part of the family of cross-government strategies; and a classified version with more detail of priorities and assessment of how those priorities could change over time.

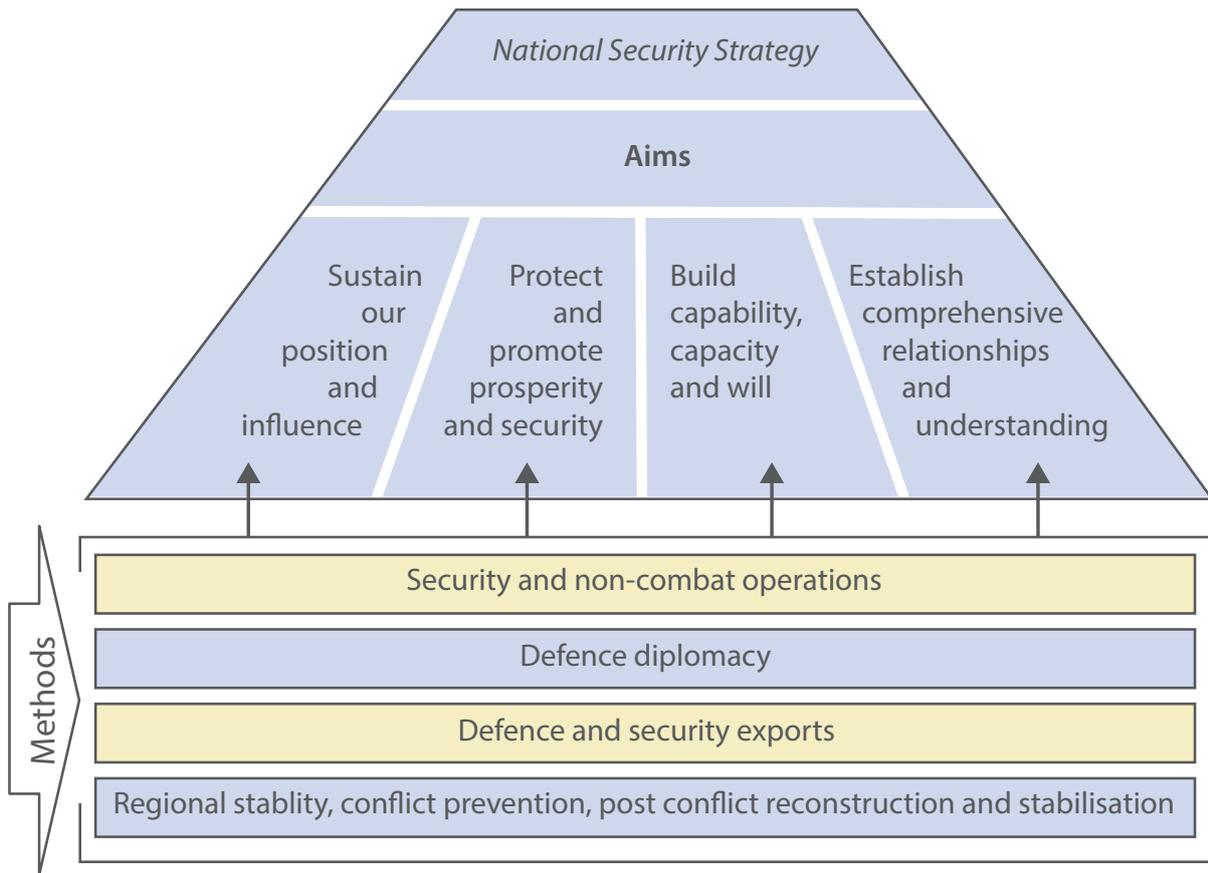


Figure 2.1 – The *International Defence Engagement Strategy*

Section 2 – Defence Engagement objectives

2.5. Subject to the IDES’ four strategic aims, there are seven generic Defence Engagement objectives, which are: defend; protect; influence; promote; understand; build; and deter.

- a. Defend the UK, its Overseas Territories and interests. This is achieved through securing international support for the military task of defending the UK and its Overseas Territories, and building contributions to, and political support for, current and future operations involving our Armed Forces. This can be achieved through enhanced interoperability, access and basing rights, securing access to key technologies and capabilities, and building Defence capability.

- b. **Protect UK citizens abroad.** This is achieved through developing relationships that support government assistance to UK citizens in times of crisis, as well as combined contingency planning.
- c. **Influence in support of UK national interests.** Defence relations are an important constituent of broader bilateral relationships – both with close allies as well as emerging and regional powers. They can be particularly important in countries where the military plays a prominent role in government.
- d. **Promote and protect UK prosperity.** This is achieved through promoting UK defence and security sector exports as a coherent and supportive part of the UK’s bilateral relationships and in line with its regional stability interests. Defence also contributes to protecting international trade, energy and shipping routes on which the UK’s prosperity depends.
- e. **Understand other nations’ security objectives, capabilities and intent.** Defence will contribute to our Government’s wider information gathering in support of horizon scanning and early warning.
- f. **Build international capability, capacity and will.** This is achieved through enhancing international capabilities and interoperability (multilaterally and bilaterally). Defence will also help to prevent conflict and provide security overseas.⁵
- g. **Deterring threats to UK interests.** This is achieved through maintaining the international profile of the UK’s Defence capability and the UK’s political will to use it.

2.6. **International capability development.** Alongside these seven objectives, Defence is required to carry out collaborative development work with allies to ensure that future capabilities are delivered as effectively and efficiently as possible. The links to the *Prosperity Agenda* are clear. This is not simply a matter of sales, but rather combined development and procurement

.....
5 This includes, for example, security sector reform, arms control engagement, regional stabilisation, maritime security, peacekeeping operations, tackling terrorism and combating illegal narcotics and piracy at source.

programmes. The finance and military capability area of the MOD leads the work, informed by broad Defence Engagement priorities.

Section 3 – The Defence Engagement logical framework

2.7. As previously outlined, the IDES sets out its overarching aims and objectives. In devising Defence Engagement strategy, the MOD follows a similar approach to other cross-government work⁶ that uses a logical framework to link inputs to aims (through activities, outputs and objectives (Figure 2.2)).

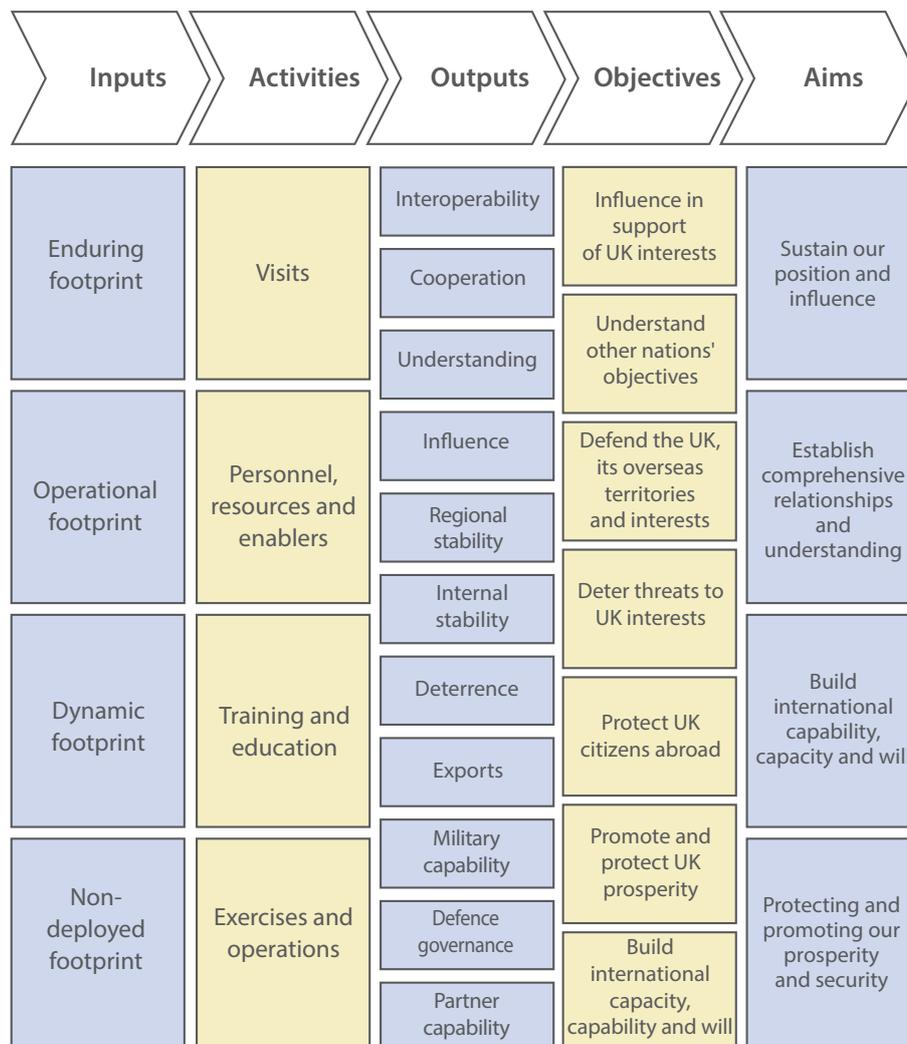


Figure 2.2 – The Defence Engagement logical framework

6 For example, see the [DFID Logical Framework](#).

2.8. To help us consider what activities could achieve our objectives and aims (and support the logical framework) we have mapped the IDES objectives onto a range of generic output types which have been developed for planning purposes (Figure 2.3). These output types are the starting point for detailed Defence Engagement planning. Although we have termed them output types, they form the origins of specific country or regional objectives, through activity-to-object mapping.⁷ This enables the MOD’s Head Office planning staff to act as intelligent customers and the Services to connect their activities to objectives and strategic outcomes, thus enabling mission command.

2

IDES objectives	Defence Engagement output types
(1) Influence in support of UK Interests (2) Understand other nations’ objectives	<ul style="list-style-type: none"> • Improve bilateral interoperability to ensure that the UK and our partners can operate efficiently together. • Increase/maintain bilateral cooperation by ensuring the appropriate agreements, memoranda, or understandings are in place. • Understand partner nation strategic objectives and how they may affect their potential relationship with the UK. • Understand partner nation security objectives/priorities to understand where the UK can interact and support the partner nation for mutual benefit. • Develop UK regional influence. • Develop UK influence within partner nations. • Increase/maintain access basing/overflight.
(3) Defend the UK, Overseas Territories and interests (4) Deter threats to UK interests (5) Protect UK citizens abroad	<ul style="list-style-type: none"> • Ensure regional stability to minimise potential threats to the UK’s interests. • Ensure internal stability. • Deterrence.

.....
 7 Covered in more detail in Chapter 3.

IDES objectives	Defence Engagement output types
(6) Promote and protect UK prosperity	<ul style="list-style-type: none"> • Support defence exports to maximise potential benefits to the UK.
(7) Build international capability, capacity and will	<ul style="list-style-type: none"> • Develop military capability. • Develop improved Defence governance. • Develop partner nation capability to contribute to international security efforts. • Develop partner nation capability to contribute to regional security cooperation. • Develop partner nation will to contribute to regional/international security cooperation. • Develop partner nation capacity to conduct humanitarian assistance and disaster relief or military assistance to the civil authorities.

Figure 2.3 – Mapping IDES objective types to Defence Engagement output types

2.9. A Defence Engagement taxonomy⁸ has been developed to give structure to the wide range of available activities. Strategy development and planning generates the direction to Defence to deliver these activities. Finally, evaluation measures the effect of our activities against our objectives.

Key points

- The seven Defence Engagement objectives are: defend; protect; influence; promote; understand; build; and deter.
- Defence Engagement creates effects through four broad ways: security and non-combat operations; Defence diplomacy; defence and security exports; and regional stability, conflict prevention, post-conflict reconstruction and stabilisation.
- The IDES creates a structure for prioritising countries to ensure that we are able to achieve wider objectives within available resources.
- The Defence Engagement logical framework links inputs to aims, through activities, outputs and objectives.

.....
 8 Set out at Annex 4A.
 JDN 1/15



Strategy development and planning

Chapter 3 outlines the planning process for identifying Defence Engagement priorities and discusses the commensurate strategies.

Section 1 – Strategy development29

Section 2 – Implementing strategy.35

Section 3 – Managing Defence Engagement activity . . .38

Annex 3A – Activity-to-objective mapping42

Annex 3B – Defence Engagement finance51

“ Even a **little practical working familiarity** with cattle goes a long way in Africa, but how many **international relations studies** include this? ”

T. K. Naliaka

Chapter 3 – Strategy development and planning

3.1. This Chapter explains how:

- generic objectives are turned into specific objectives, linked to a range of activities which build together into an overall plan, and how these plans tie together;
- Defence understands the objectives for the country, region or other theme in the existing context, generating the specific outcomes we aim to achieve; and
- Defence reviews the range of means available to deliver an outcome by determining the best approach to achieve it and prioritising resources.

3

Section 1 – Strategy development

Defence Engagement within an integrated approach

3.2. The MOD does not operate unilaterally overseas and Defence Engagement is always conducted as part of an integrated approach. While Defence may have objectives in a region or country, those objectives must always take account of, and be consistent with, National Security Council (NSC) objectives. Equally, as Defence Engagement plans and planning are nested within a whole-of-government process, the NSC may give extra direction when Defence activity is required to support NSC objectives in areas where there is limited MOD interest.

3.3. Our activities are conducted with the Foreign and Commonwealth Office (FCO) or other government departments' agreement. Defence Engagement that supports development objectives will invariably involve working with the Department for International Development (DFID),

frequently through the Stabilisation Unit. Defence Engagement supporting defence exports will be closely coordinated with UK Trade and Investment.

How and where to engage – determining our priorities

3.4. **Regional and countries.** The UK has long-standing global relationships which may deteriorate if not maintained. While many relationships are bilateral, taking a regional view helps the UK to prioritise how it allocates its resources. Within Defence, regional prioritisation is set out in *Defence Strategic Direction* over a ten-year horizon. Some in-year prioritisation may be required and this is done by producing the *Military Strategic Balance*,¹ which informs the *Defence Plan*. Finally, the *International Defence Engagement Strategy* (IDES) introduced a process to determine a prioritised country list.

3.5. **The prioritised country list.** This considers a range of factors and categorises countries according to how:

- important they are to our national interest;
- the extent to which we may be able to influence them; and
- their capability to absorb our likely activities.

The methodology for producing the prioritised country list is set out in a classified annex to the IDES. The prioritised country list is approved by the Defence Engagement Board, jointly chaired by the FCO and the MOD and then endorsed at ministerial level. It is possible for a low-priority region to have one or more high-priority countries, where a greater level of Defence Engagement effort is required to maintain a relationship judged to have a high importance. Associated with the list are a series of planning assumptions which set up the broad weight of effort that should apply to the various priority tiers. The prioritised country list is refreshed annually, alternating between a light touch and a full review.

3.6. **Other prioritisation factors.** A list of priority countries is too crude a methodology in isolation. Defence has developed its strategy through a further two categories: allies and partners; and thematic pillars.

.....
1 This is generally annual, though other reviews, such as *Strategic Defence and Security Review* can lead to gaps in production.

a. **Allies and partners.** Partnering is defined as: **an approach to relationship building through direct assistance and shared endeavour that creates the right conditions, spirit and capabilities to achieve a formal and enduring partnership.**² Alliances are defined as: **a formal agreement or treaty between two or more nations to cooperate for specific purposes.**³ The UK has a global network of alliances and partnerships, often underpinned by common language and long-standing historical affiliations. Allies and partners provide the UK with influence and international security through:

- improved bilateral interoperability through joint doctrine, training and Defence exercises;
- mutual understanding through Defence attachés, networking and partnering activities; and
- enhanced operational effectiveness achieved through defence sales, niche capability development and capability levels.

3



Partnering: building relationships through shared endeavour

2 Joint Doctrine Note (JDN) 6/11, *Partnering Indigenous Forces*.

3 *Concise Oxford English Dictionary*, 12th Edition, 2011.

b. **Thematic pillars.** The key thematic considerations are laid out in the *National Security Strategy* (NSS) and include counter terrorism, countering organised crime, prosperity, emerging powers and building stability overseas.⁴ Thematic pillars tend to:

- form patterns of activity across a region or sub-region;
- connect activity between several countries; or
- encourage either cooperation or de-confliction between major Defence Engagement providers (such as the UK, US and France).

Prioritising Defence Engagement

In one region the UK may have a specific priority to build partner capability to tackle a threat such as organised crime at source and this could be our highest priority in that region. In another region, our highest priority could be promoting the *Prosperity Agenda*. Equally, a focus on geography, thematic pillars as well as allies and partners, may generate overlaps or conflict within a region.

An activity could create effect in all three regions simultaneously, but on other occasions, these categories may generate antagonistic relationships. For example, the *Prosperity Agenda* may drive us towards delivering a particular capability to a country, while an alliance focus is hurt by that activity. These trade-offs are part of the planning process, and guidance on which takes priority in a particular region is given through the regional strategies and the *Defence Plan*.

The *Defence Plan*

3.7. The *Defence Plan* includes direction on how Defence organises, trains and equips the capabilities the UK will need, and sets out how these will be

.....
4 Further examples of thematic pillars are counter illegal wildlife trading, cyber, counter proliferation and arms control policy, security sector reform and counter piracy.

used. The priorities to be applied to this are contained in the *Defence Plan* and Defence Strategic Direction.

3.8. The *Defence Plan* uses the IDES's general guidance on high-level governmental intent for Defence Engagement. This is translated into specific direction through the planning framework described within this publication, which leads to regional strategies. Regional strategies are approved across government, and are incorporated into the *Defence Plan* through Defence Board Strategic Objective 4.

Defence Board Strategic Objective 4

Increase Defence Engagement and effective shaping of the global environment. Through application of our instruments of power and influence, contribute to whole of government efforts outside of combat operations and standing commitments to shape the global environment and tackle potential risks at source.

Defence Plan 2015

3

Developing a Defence Engagement regional strategy

3.9. Regional strategies are generally formatted into five parts (though not all regional strategies have all parts). Regional strategies are supported by sub-regional and country strategies. Regional strategy objectives support NSC objectives and broader strategic direction from either the NSC or the other whole-of-government strategies described in Chapter 1. Taken together, the regional strategy represents what Defence intends to achieve in a region as part of the national effort.

3.10. Developing the regional strategies requires the activities described in Chapter 4 being mapped onto the intended objectives. Allocating specific means requires identifying resources. Developing a Defence Engagement regional strategy is a whole-of-government effort, and input is generated through structural and informal mechanisms.

- The informal mechanism is ongoing close liaison at desk level, with the FCO and DFID in particular, and with other departments as required.⁵
- Informal liaison is supported structurally by MOD personnel attending cross-government regional and country boards. Such boards are responsible for implementing NSC strategies for those countries and regions that have them.

3.11. The regional strategies are developed through a battle rhythm of regional strategic planning groups, using the Defence Crisis Management Organisation (DCMO) structures. This is conducted on a routine, rather than a crisis, footing and led by the appropriate regional team in International Policy and Planning or NATO and European Policy branches.

3

3.12. The Defence Engagement Board approves the regional strategies at joint FCO and MOD 3* level. The Strategic Regional Implementation Group for Defence Engagement (STRIDE) has oversight of their execution and evaluates their effectiveness.⁶

3.13. Regional strategies differ from operational strategies or a campaign plan in the sense that regional strategies are enduring. There is no defined end-state as the UK has a range of interests and relationships which require continual attention. Figure 3.1 shows a schematic of the structure of a typical regional strategy and its position in the hierarchy of planning documents.

“ The MOD **does not operate unilaterally** overseas and Defence Engagement is always conducted as part of an **integrated approach**. ”

.....
5 For example, the Home Office/National Crime Agency for organised crime issues and UK Trade and Industry for the *Prosperity Agenda*.

6 The evaluation process is described in Chapter 5.

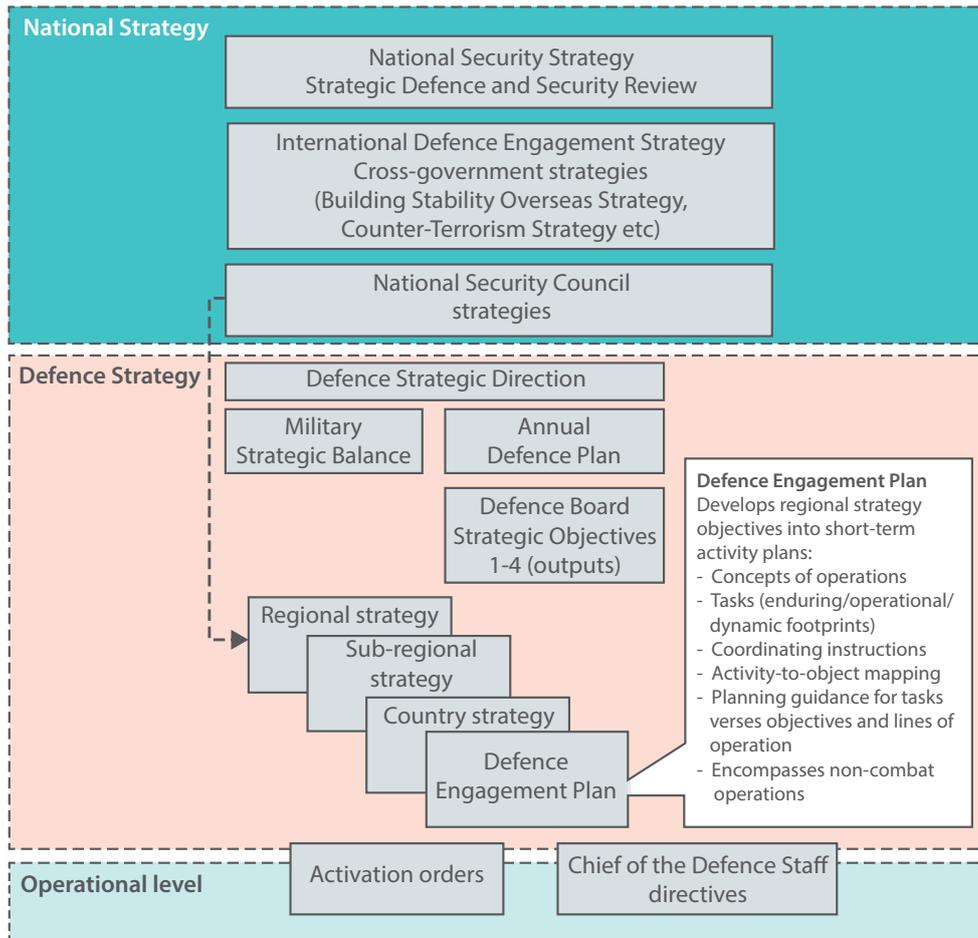


Figure 3.1 – Defence Engagement documents hierarchy

Section 2 – Implementing strategy

Activity-to-objective mapping

3.14. To help Security Policy and Operations Staff, planning principles have been identified by analysing past practice. These principles are encapsulated in the activity-to-objective mapping tool at Annex 3A.⁷ It relates activities found in the Defence Engagement taxonomy to objectives derived from analysing the IDES. This is the start point for developing activity plans to generate outputs that will support the objectives set in the regional strategies. This framework enables planners to directly relate activity to objectives, which supports both measurement of effect and evolution of plans.

⁷ More detail on the ‘activity’ column in Annex 3A can be found in Chapter 4.

Activity planning

3.15. Our regional strategies have to be set within a dynamic context. Understanding the context is key to developing appropriate strategies and allocating resources. Factors include the:

- state of relations with the intended partner;
- situation in the country or region, and implications for force protection;⁸
- relationships which the partner maintains (multilateral, bilateral, alliances, partnerships); and
- interests of the UK's other key allies who also have an interest in the partner.

3.16. Just as the categories through which we consider Defence Engagement can interact, these considerations can exist independent of each other, be mutually reinforcing or, in some cases, antagonistic. Judgement is required to plan activities and outputs to achieve objectives that do not damage interests elsewhere. To ensure that objectives do not inadvertently compete, planning against objectives is held at Head Office level. At this level, routine close liaison exists with partners across government and between regional teams.

3.17. Events also drive Defence Engagement activity. The priority attached to delivering Defence Engagement in a crisis situation is determined by the NSC: direction flows through the DCMO, with a strategic planning group being called outside the routine programme of regional groups. Defence Engagement activity that supports a response to an unforeseen event may be the subject of a CDS' directive and be given an operation name. Assigning an operation name does not necessarily change the conduct of the activity or imply command by the Permanent Joint Headquarters⁹ but it may change the manner in which the activity is resourced, and the force generation process.

.....
8 Allied Joint Doctrine (AJP)-3.14, *Allied Joint Doctrine for Force Protection*.

9 Command and control arrangements are defined in part 5 of a regional strategy or the CDS' Directive governing an operation.

3.18. A critical, and often decisive factor in Defence Engagement planning, is the receptiveness of the potential partner. Defence Engagement cannot force partners to undertake activity or accept particular training. Plans have to be agreed with partners and sometimes we expect partners to actively seek assistance. It may not be readily apparent where a partner nation request would fit into a UK Defence Engagement plan. On such occasions, the Security Policy and Operations Team in Head Office identifies and exploits these opportunities.

Resourcing Defence Engagement

3.19. There are broadly three types of resource which support delivering Defence Engagement activity. These are: the Defence budget; programme resources (both Defence and cross-government); and recipient repayment. See Annex 3B.

3.20. Most of our Defence capability is designed to fulfil the primary purpose of Defence – war fighting. This includes both the operational units and the generating force which organises trains and equips them. The major exception is the enduring Defence Engagement footprint.

3.21. While Defence Engagement delivers a core output (Defence Board Strategic Objective 4), it is not a force driver as capability is seldom developed specifically for Defence Engagement; nor is there a separate Defence Engagement resource stream.

International agreements

3.22. Just as a partner nation must be receptive to our proposals, it is important to recognise that we have no inherent right to conduct Defence Engagement activities. Defence Engagement must be by consent, and in many cases under the auspices of a formal international agreement. The wide range of Defence Engagement activity conducted by MOD is often facilitated by international agreements. For any agreement, we must consider force protection and jurisdiction. The type, structure and standing of international agreements is covered in the MOD's *International Agreements Handbook*.¹⁰

.....
10 The *International Agreements Handbook* can be found on Dii.

3.23. International agreements can take numerous forms. It is important to establish distinctions between agreements so that legal obligations are met. International agreements need to be written to ensure the expectations, obligations and responsibilities of participant states are understood, shared, recorded and available to use for mediating (if there is disagreement).

3.24. The MOD authority for international agreements is the Defence Engagement Strategy Team. They are responsible for providing guidance, training and advice to other parts of MOD on how to establish and maintain international agreements. The jurisdictional elements of international agreements are particularly important and sensitive. As such, responsibility for jurisdiction policy is held solely by Defence Engagement Strategy. Exceptionally, the Defence Engagement Strategy Team holds the authority to make decisions outside of normal MOD policy on international agreements.

Section 3 – Managing Defence Engagement activity

3.25. Managing country and regional Defence Engagement plans is the responsibility of the Security Policy and Operations branch. Both in-year and annually refreshed adjustments to the weight of effort apportioned to each region, sub-region or country, will be informed by a combination of analysis of ESCAPADE data and the resultant maturity models and assessments using the evaluation process.¹¹

3.26. Events that affect how we execute country activity plans are managed through the DCMO. Centred on strategic planning groups, the crisis management process will combine regional objectives and short-notice NSC direction into a plan that addresses the crisis while still supporting achieving the longer-term strategic aims.¹²

3.27. In some regions or countries there are programmes that support NSC strategies. In some instances, executing these programmes has been

¹¹ Described in Chapter 5.

¹² In the future, managing and developing Defence Engagement plans (part 5 of the regional strategy framework), may be delivered through a programme of regional strategic planning groups, held on a regular basis as opposed to on a crisis footing.

delegated to an in-country board. The Defence attaché or adviser will represent the MOD at such boards where Defence Engagement is supporting these strategies.

The Joint Commitments Strategic Steering Group

3.28. The higher-level management function for shaping Defence Engagement activity is delivered by the Joint Commitments Strategic Steering Group. Chaired by The Deputy Chief of the Defence Staff (Military Strategy and Operations), it aims to optimise support to the Defence Board Strategic Objectives by balancing opportunities and guiding Defence activity of 'defined significance' across the three single-Service commands and Joint Forces Command (JFC). The Joint Commitments Strategic Steering Group does not direct changes to regional, sub-regional and country objectives. However, it can influence how they are developed in the future by delivering resource-aware planning direction for the Year 3+ activity period. The Defence Engagement Board and Strategic Regional Implementation Group for Defence Engagement will take account of this direction and, following cross-government consultation, may choose to adjust future iterations of regional strategies and subordinate activity plans through the annual regional strategy refresh process. The Joint Commitments Strategic Steering Group principal outputs are listed below.

- Direction and guidance to the Services and JFC on regions where crises or issues may require the presence of a Defence asset.
- A common picture of planned high-level Defence activity refreshed bi-annually to identify major events, activities and opportunities for promoting UK interests.
- Balance overlaps, gaps, opportunities and risk in Defence activity with requirements/objectives across Defence.
- Prioritising Defence assets, such as joint enablers, that cannot be resolved by the Service Defence Engagement Steering Groups or the Defence Joint Collective Training and Exercise Committee.

Key points

- The MOD does not operate unilaterally overseas, and Defence Engagement is conducted as part of an integrated approach.
- The UK has long-standing global relationships which may deteriorate if not maintained.
- Defence Engagement activity is prioritised through geography, allies and partners, and themes.
- The prioritised country list considers a range of factors and categorises countries according to how: important they are to our national interest; the extent to which we may be able to influence them; and their capability to absorb our likely activities.
- Allies and partners provide the UK with influence and international security through: improved bilateral interoperability through joint doctrine, training and Defence exercises; mutual understanding through Defence attachés, networking and partnering activities; and enhanced operational effectiveness achieved through Defence sales, niche capability development and constant capability levels.
- Thematic pillars tend to be: cross-cutting areas which may form patterns of activity across a region or sub-region; connect activity between several countries; or encourage either cooperation or de-confliction between major Defence Engagement providers (such as the UK, US and France).
- The wide range of Defence Engagement activity is often facilitated by international agreements. The key considerations for any agreements are force protection and jurisdiction.
- While Defence Engagement is a core output, it is not a force driver as capability is seldom developed specifically for it. There are broadly three types of resource which support Defence Engagement activity: single-Service and JFC budgets; programme resources; and recipient funding.

Notes:

Annex 3A – Activity-to-objective mapping

Legend: Strong/direct link
Secondary/indirect link

Weak (may have effect as a by-product)
No tangible link

IDES objective	Objective (type)	Indicators	Activity
(1) Influence in support of UK interests	Improve bilateral interoperability	<ul style="list-style-type: none"> Number of shared equipment programmes Number of shared equipment types 	<ul style="list-style-type: none"> UK Defence Engagement presence in host nation (UK Embassy) Embedded personnel UK resources and enablers Routine Defence Training/education Short-notice or bespoke training Defence exercises High-level international engagement Working-level international engagement Operations Support to defence exports
	Increase/maintain bilateral cooperation	<ul style="list-style-type: none"> Number of bilateral agreements Number of joint activities Comparing like-for-like objectives 	<ul style="list-style-type: none"> High-level international engagement Working-level international engagement UK Defence Engagement presence in host nation (UK Embassy) Routine Defence training/education Short-notice or bespoke training Defence exercises Operations Embedded personnel UK resources and enablers Support to defence exports
(2) Understand other nations' objectives			

IDES objective	Objective (type)	Indicators	Activity
1) Influence in support of UK interests	Understand host-nation strategic objective	Assessment-based	<ul style="list-style-type: none"> • UK Defence Engagement presence in host nation (UK Embassy) • Embedded personnel • Working-level international engagement • Defence exercises • Operations • UK resources and enablers • Support to defence exports • Routine Defence training/education • Short-notice or bespoke training
(2) Understand other nations' objectives (continued)	Understand host-nation security objectives/priorities	Assessment-based	<ul style="list-style-type: none"> • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Embedded personnel • High-level international engagement • Support to defence exports • Routine Defence training/education • Short-notice or bespoke training • Defence exercises • UK resources and enablers

IDES objective	Objective (type)	Indicators	Activity
1) Influence in support of UK interests	Develop UK regional influence	Ease of access to regional command and leadership structures UK approached to support regional efforts or facilitate solving regional crisis	<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Defence exercises • Support to defence exports • Operations • Embedded personnel • UK resources and enablers • Routine Defence training/education • Short-notice or bespoke training
(2) Understand other nations' objectives (continued)	Develop UK influence within the host nation	Ease of access to host-nation command and leadership structures Host nation perception of UK in relation to other potential Defence partners	<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Embedded personnel • Routine Defence training/education • Short-notice or bespoke training • Defence exercises • Operations • UK resources and enablers • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
1) Influence in support of UK interests (2) Understand other nations' objectives (continued)	Increase/maintain access basing and overflight	Number (percentage) of requests agreed to Average turn-around time of requests Defence attaches' assessment of difficulty of processing requests	<ul style="list-style-type: none"> • High-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Working-level international engagement • Defence exercises • Embedded personnel • UK resources and enablers • Operations • Routine Defence training/education • Short-notice or bespoke training • Support to defence exports
(3) Defend the UK, its Overseas Territories and interests (4) Deter threats to UK interests (5) Protect UK citizens abroad	Ensure regional stability	Regional conflict limited Host nation leads regional conflict prevention efforts UK asked to facilitate diplomatic processes	<ul style="list-style-type: none"> • High-level international engagement • Operations • Defence exercises • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • UK resources and enablers • Routine Defence training/education • Short-notice or bespoke training • Embedded personnel • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
<p>(3) Defend the UK, its Overseas Territories and interests</p>	<p>Ensure internal stability</p>	<p>Strength of internal state infrastructure and process</p> <p>Inclusive/representative government; economic indicators</p>	<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Short-notice or bespoke training • Operations • Defence exercises • Embedded personnel • UK resources and enablers • Routine Defence training/education • Support to defence exports
<p>(4) Deter threats to UK interests</p> <p>(5) Protect UK citizens abroad (continued)</p>	<p>Deterrence</p>		<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Short-notice or bespoke training • Operations • Defence exercises • Embedded personnel • UK resources and enablers • Routine Defence training/education • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
(6) Promote and protect UK prosperity	Support defence exports	Number of contracts/sales Assessment of UK position relative to other potential Defence suppliers	<ul style="list-style-type: none"> • High-level international engagement • Support to defence exports • UK Defence Engagement presence in host nation (UK Embassy) • UK resources and enablers • Short-notice or bespoke training • Operations • Defence exercises • Embedded personnel • Routine Defence training/educations • Working-level international engagement
	Collaborative-Capability Assessment Register (C-CAR)		<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Short-notice or bespoke training • Operations • Defence exercises • Embedded personnel • UK resources and enablers • Routine Defence training/education • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
(7) Build international capability, capacity and will	Develop military capability	Individual soldiers trained Proportion of capability deployable (within borders)	<ul style="list-style-type: none"> • UK resources and enablers • Routine Defence training/education • Short-notice or bespoke training • Defence exercises • Operations • UK Defence Engagement presence in host nation (UK Embassy) • Embedded personnel • Working-level international engagement • High-level international engagement • Support to defence exports
	Develop improved Defence governance	Presence of clear civilian lead governance processes Established procurement process Level of corruption	<ul style="list-style-type: none"> • High-level international engagement • Working-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Embedded personnel • UK resources and enablers • Defence exercises • Routine Defence training/education • Short-notice or bespoke training • Operations • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
(7) Build international capability, capacity and will	Develop host-nation capability to contribute to international security (United Nations) efforts	Assessment of ability to meet UN deployment criteria	<ul style="list-style-type: none"> • High-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • UK resources and enablers • Short-notice or bespoke training • Defence exercises • Working-level international engagement • Embedded personnel • Routine Defence training/education • Support to defence exports • Operations
(continued)	Develop host-nation capability to contribute to regional security cooperation	<p>Comparison of the host nation's capability to other regional country capabilities</p> <p>Examples of host nation regional leadership</p>	<ul style="list-style-type: none"> • UK Defence Engagement presence in host nation (UK Embassy) • UK resources and enablers • Routine Defence training/education • Short-notice or bespoke training • Defence exercises • High-level international engagement • Working-level international engagement • Operations • Embedded personnel • Support to defence exports

IDES objective	Objective (type)	Indicators	Activity
(7) Build international capability, capacity and will (continued)	Develop host-nation's will to contribute to regional/international security cooperation	Assessment-based	<ul style="list-style-type: none"> • High-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Working-level international engagement • Defence exercises • Embedded personnel • UK resources and enablers • Routine Defence training/education • Support to defence exports • Short-notice or bespoke training • Operations
	Develop host-nation capacity to conduct humanitarian assistance disaster relief/military aid to the military authorities	Host nation is capable of conducting humanitarian assistance disaster relief/military aid to the military authorities at regional/national/international level	<ul style="list-style-type: none"> • Working-level international engagement • UK resources and enablers • Short-notice or bespoke training • High-level international engagement • UK Defence Engagement presence in host nation (UK Embassy) • Defence exercises • Embedded personnel • Routine Defence training/education • Support to defence exports • Operations

Annex 3B – Defence Engagement finance

Resources

3B.1. **Royal Navy, Army, Royal Air Force and Joint Forces Command budgets.** Budgets are provided to top-level budget holders to enable them to provide the capability required to meet Defence outputs. These include operations, standing commitments and contingency, and Defence Engagement activities. Defence Engagement is not currently a 'force driver' in that capability is not (generally) developed for Defence Engagement and the generating force does not exist to deliver Defence Engagement. However, where capacity allows, Defence Engagement is delivered from within top-level budget resources.

3B.2. **Programme resources.** Financial resources are provided to deliver specific Defence Engagement activity, drawing on spare capacity in core capability as required. These resources generally fund the marginal element of Defence Engagement costs but there are exceptions where elements of core costs can be funded. Where the recipient nation is not wealthy and the activity is in the UK interest, programme funds can be used to wholly or partially subsidise partner costs. Defence programme resources include the Defence Assistance Fund, and the Defence Engagement Provision. Cross-government funds include the Conflict, Stability and Security Fund, and the Counter-Terrorism Programme Fund.

3B.3. **Recipient repayment.** For wealthier partner nations, and especially where Defence Engagement activity is recipient-demand-led, it is policy to charge the recipient nation the full cost of the activity, though this can often be abated to marginal costs where there is a clear benefit to the UK. Such partner countries are often referred to as self-funded. As it is almost impossible to calculate a share of core cost for equipment and infrastructure procurement, a share of total actual in-year cost (for example, personnel salaries, maintenance costs, energy and supplies, but not procurement costs) is often used as a substitute.

3B

Cost components

3B.4. Setting aside opportunity costs, which cannot easily be quantified, the total cost of Defence Engagement activity comprises a combination of generic core cost of the capability added to the marginal cost of delivering the specific activity. Where a delivery entity is refocused from one activity to another, there may be a net additional cost to consider as a component of overall cost.

- a. **Core.** The core or 'sunk' cost of delivery capability includes costs which would be expended regardless of whether or not the specific activity was to take place. As capability is largely developed to meet UK requirements rather than to deliver Defence Engagement activity, these costs are absorbed by the top-level budget holders in their force development role.
- b. **Marginal.** The marginal cost is the extra cost required to enable the extant capability to be used to deliver a specific Defence Engagement activity. For example, if the activity was a ship visit to a foreign port to host staff talks, the core/sunk costs would include the cost of procuring, maintaining and operating the vessel and the salaries of its crew. The marginal cost of the activity would include the cost of fuel to get to the host port, berthing fees, additional supplies to host staff talks (for example, subsistence, conference equipment), and flight and other travel and accommodation costs for non-ship-based UK attendees travelling to the talks.

Charging

3B.5. Treasury rules dictate that the full cost of activity delivered for a partner country should be recovered, though there is an option to abate the levied charge down to, but generally no lower than, marginal cost. A business case supported request can be made to abate to marginal cost, either internally within Defence or to the Treasury depending on the level of abatement concerned. Exceptionally, a case can be made to abate costs below marginal.¹³

.....
13 Joint Service Publication 368, *The MOD Guide to Repayment* sets out current guidance.

3B.6. Abating costs for Defence Engagement partner nations (for example, to attend a Defence Training Establishment) will often be on the basis of 'marginal cost plus'. This is a combination of a *pro rata* share of the costs of the course (direct cost) added to a *pro rata* share of the in-year cost of running the training establishment (indirect cost).



Actors and activities

Chapter 4 outlines Defence Engagement actors and activities and describes how Defence Engagement activities are delivered.

Section 1 – The enduring footprint.57
Section 2 – The non-deployed footprint61
Section 3 – The operational footprint61
Section 4 – The dynamic footprint62
Section 5 – Command and control63
Section 6 – Activities.64
Annex 4A – Full Defence Engagement taxonomy72

“
**Appearances matter – and
remember to smile.**
”

4

Nelson Mandela

Chapter 4 – Actors and activities

4.1. Chapter 4 considers the activities of those actors who deliver Defence Engagement. This Chapter also introduces Defence Engagement activity through the framework of the Defence Engagement taxonomy.

4.2. Defence Engagement actors are split into four categories: **the enduring; non-deployed; operational; and dynamic footprints.**¹ With the exception of elements of the enduring footprint, the force elements and capabilities that deliver Defence Engagement are rarely developed solely to deliver Defence Engagement. In many scenarios, it is the capability within the Generating Force to deliver Defence Engagement activities that is most valuable, such as that delivered by International Defence Training.

Section 1 – The enduring footprint

Overview

4.3. The enduring footprint involves UK Defence personnel who are permanently based in the region and includes:

- the overseas network of Defence sections in embassies;
- loan service personnel (including military missions and permanent training teams);
- exchange officers; and
- other government-to-government arrangements.

4.4. The enduring footprint has the highest impact, but it is expensive to maintain. We should seek to match our enduring footprint to the level required to achieve our objectives, but recognise that our flexibility is limited, and changes (particularly reductions) can take some time to achieve.

.....
 1 It is possible that all deployed force elements conducting Defence Engagement will be renamed the Engaged Force, at least conceptually, if the *Defence Joint Operating Concept* is adopted fully.

Defence attachés in action – Sewol ferry

On the 16 April 2014, the ferry 'Sewol' sank off the coast of the Korean Peninsula with the loss of 304 lives. A Royal Navy maritime salvage team held at high readiness was most readily available and was prepared to deploy forward within 24 hours. The Defence Attaché in country worked with the Ministry of National Defence and then with the Coastguard to ensure the smooth arrival of the team.

The team deployed forward, were met and briefed at the airport by the Defence Attaché and deployed to the crisis area. Working through US and Republic of Korea (ROK) Defence contacts, the Defence Attaché eased their integration. The team balanced cultural sensitivity and operational imperatives during their week in ROK and were in great demand – at various times briefing the Prime Minister, Chief of Naval Operations, Minister of Oceans and Fisheries and Head of the Coastguard. The Defence Attaché remained in regular contact reviewing the deployment and conveying updates to the Ambassador and daily reports to London that were widely read.

The British Ambassador was later informed that the deployment of the marine salvage team had demonstrated that the UK always helped the ROK 'in times of need'. The ROK had turned down almost all international offers of assistance but valued the UK offer particularly highly.



Defence attachés/advisers² and Defence sections

4.5. Defence attachés are the Chief of the Defence Staff's (CDS) personal representatives in-country and work as part of the country team under the direction of Her Majesty's Ambassador. Just as the UK's national interests differ from country to country, the role of Defence attachés is unique. However, there are common functions that underpin this role.

- a. **Access.** Building and maintaining an in-country network to enable continual access is helped by activity including visits, courses, training events and exercises.
- b. **Insight and understanding.** There is a need to look to the future, yet understand the past. Against this backdrop, Defence attachés strive to synthesise the implications for security and Defence.
- c. **Influence.** The Defence attaché must be aware of, and provide support to, advancing the range of UK interests that support our security and prosperity.

Loan service

4.6. Loan service places UK military personnel at the centre of another nation's armed forces, by loaning them to provide British military expertise, experience and leadership to mutually benefit the host-nation's armed forces and the UK.

- a. Loan service directly supports Defence Engagement access and influence and builds longer-term professional relationships within the host-nation's armed forces. Targeted employment of loan service personnel can contribute to upstream capacity-building and host-nation interoperability, benefiting UK and host-nation security and military capacity.

.....

² In Commonwealth nations, a Defence adviser works in a High Commission, in contrast to a Defence attaché who works in an embassy outside the Commonwealth.

Loan service – contrasting examples

The British Military Mission in Kuwait supports the delivery of military capability, in large part through the role it plays supporting the Kuwait Joint Command and Staff College. In contrast, in Eastern Africa, a British Peace Support Team advises and assists in delivering our Government’s conflict prevention and stabilisation activity, including activity conducted bilaterally as well as through regional arrangements. Each team is configured, resourced and commanded according to task – the similarity is enduring commitment.

- b. Loan service personnel remain under UK regulations and administration. Loaned personnel are administered by the host nation.³ While costs may be balanced to reflect UK interests and host-nation affordability, the principle of loan service is that the host nation will meet the costs associated with the team’s employment (pay, allowances and life-support).

4

Exchange officers

4.7. Exchange officers are deployed into key posts globally. They may be deployed for Service-specific or joint operational reasons. They work for the host nation, usually in exchange for a host-nation officer working in the UK. They create Defence Engagement effect by projecting a positive image of the UK. Exchange officers provide an opportunity to assist UK efforts in other ways, such as by gaining insight into another nation’s ways of thinking or working practices.

Liaison officers

4.8. Defence deploys a wide range of liaison officers to foreign militaries and sometimes elsewhere within a foreign partner’s security architecture. Liaison officers are specifically intended to facilitate information sharing and provide a means to deliver persistent influence on the host nation. In general, liaison officers remain under the command and control of the sending nation.

.....
3 Joint Services Publication (JSP) 468, *Loan and Secondment of Service Personnel to Commonwealth and Foreign Forces*.

Embedded officers

4.9. The UK also has a significant number of embedded officers, mainly serving in US headquarters. Embedded officers create tailored Defence Engagement effect, depending on their role and the agreement of the host nation. In general, embedded officers come under the command and control of the host nation.

Section 2 – The non-deployed footprint

4.10. A considerable amount of Defence Engagement is delivered in the UK. This is mostly achieved by the Generating Force under the remit of International Defence Training, but it also includes inward visits, and exercises and training. The most important assets for delivering these inward activities are the Defence Academy and Service Tier One training courses⁴ whose international reputation attracts candidates who are likely to achieve high rank in the future. These opportunities are of such importance that they are centrally managed by the International Training Policy Team within the Defence Engagement Strategy Staff. The high-level inward visits programme is also managed by the Defence Engagement Strategy Staff.

4

Section 3 – The operational footprint

4.11. The operational footprint includes the permanent joint operating bases, and those force elements based in the region to support UK operations, including force elements deployed for contingency. Some operational footprint elements have developed an enduring posture. Although they deliver Defence Engagement, this is not their primary role. Maintaining clarity of when an operational posture creates Defence Engagement effect is considered when reviewing the operation. Activity may be so important to wider Defence Engagement effect, that a decision is taken to continue with it when the original aim has been achieved.

.....
 4 Education and training courses 'that are considered to be of the highest security cooperation value and are regularly over-subscribed'. JSP 510, *International Defence Training*, paragraph 0504.



The permanent joint operating bases

4.12. Gibraltar, Cyprus, the South Atlantic Islands, British Indian Ocean Territory, and the support unit in Singapore, all contribute to strategic understanding through forward engagement overseas. Enhancing UK influence and building relationships forms part of their core activity.

Having operating bases overseas helps our strategic understanding

Long-term operational posture

4

4.13. Sustained presence has an effect all of its own. For example, the UK presence in the Gulf over a number of years has provided a significant Defence Engagement effect.

Section 4 – The dynamic footprint

4.14. The dynamic footprint covers all other deployed Defence Engagement force elements on routine engagement tasks. It encompasses exercises, short-term training teams visits, high-level international engagement and short duration exchanges and attachments.

4.15. Dynamic activity has the greatest flexibility and can achieve significant impact if coordinated effectively. All three Services and Joint Forces Command contribute across the full range of dynamic Defence Engagement activities and provide capability and personnel to the enduring and non-deployment footprint.

Section 5 – Command and control

4.16. Changes to the top-level approach to the command and control of Defence Engagement activities overseas, and the possibility that the resourcing of Defence Engagement may become specified, are being developed.

4.17. Command and control structures have been the subject of major work, resulting in a 'four box' model, which is illustrated in Figure 4.1. This model is informed largely, but not entirely, by the level of force protection risk, where the far left and far right two boxes are the simplest examples, where routine Defence Engagement takes place in a country at peace and Defence Engagement-type activity forms part of a combat operation. The centre two are where the complexities emerge – these are explained in a CDS' directive, *Command and Control of Defence Engagement*, which sets out the options available. The actual arrangements for any country should be contained in either a CDS' directive for the operation, or the regional/country strategy covering the area and activation orders.

4

Defence Engagement	Defence Engagement with operations	Operations with Defence Engagement	Combat operations
No joint operations area	No joint operations area	Potential for joint operations area	Joint operations area in place
Routine Defence Engagement C2 arrangements apply	Routine Defence Engagement C2 arrangements predominate	Operational C2 arrangements predominate	Operational C2 arrangements apply
Normal (secure)	Normal (variable security)	Complex (insecure)	Complex (contested)

Figure 4.1 – Generic command and control (C2) options for Defence Engagement

Section 6 – Activities

4.18. Activity planning is always done in the context of what the partner nation wishes to do, and the regional context. Activities are also often enabled by international agreements.⁵

Defence Engagement taxonomy

4.19. To provide a framework for Defence Engagement planning, a taxonomy of activities has been created. This taxonomy is based on experience of delivering Defence Engagement over many years and represents the detail necessary to enable planning the full range of Defence Engagement activities. This framework of Defence Engagement activities is incorporated into ESCAPADE⁶ and the activity-to-objective mapping⁷ tool to promote coherent planning. There is no intent to limit the scope of what could be considered Defence Engagement, and the taxonomy could change over time. However, a standardised taxonomy enables plans to be developed within a framework that also permits measures of effectiveness through large-scale data evaluation.

4.20. This taxonomy places all Defence Engagement activity into one of four categories, ten activity types and 62 activity sub-types. The full taxonomy is at Annex 4A. Figure 4.1 shows the high-level version (down to activity type).

“ Activity planning is **always done** in the **context** of what the **partner nation** wishes to do, and the **regional context**. ”

.....
5 These aspects of planning are explored in more detail in Chapter 3.

6 The Enhanced Security Cooperation Activity Plan Application for Defence Engagement. For more detail, see Chapter 5.

7 See Chapter 3.

Activity category	Activity types
Visits (inwards/ outwards)	High-level international engagement (including inward visits) Working-level international engagement (including inward visits and work of foreign liaison staff)
Personnel, resources and enablers	UK Defence Engagement presence in host nation (under UK Embassy) Embedded personnel UK resources and enablers Support to defence exports
Training and education	Routine Defence training and education Short-notice or bespoke training
Exercises and operations	Defence exercises Operations

Figure 4.1 – Defence Engagement high-level taxonomy

4.21. Specific aspects of Defence Engagement are covered in separate Service instructions. Definitions of the activity types are illustrated by Service examples.

4.22. **High-level international engagement.** High-level international engagement comprises visits, both inwards and outwards, of CDS, Vice Chief of the Defence Staff, Chiefs of Staff, Ministers or the Permanent Under-Secretary. This activity is supported by all of the single-Service staffs, the Top Office Group⁸ and Joint Forces Command. Activities are coordinated by the Defence Engagement Strategy Staff to ensure a consistent approach.

⁸ The Top Office Group are the Secretariat for the 4* committees and boards in the MOD.



The First Sea Lord hosts Britannia 150 at Britannia Royal Naval College Dartmouth

4

4.23. Working-level international engagement including inward visits and the work of the foreign liaison staff. Such engagement includes:

- any visit up to, and including, 3*-level military and civilian personnel;
- staff talks;
- unit visits and exchanges; and
- sports or ceremonial visits.

The working-level international engagement also refers to both inwards and outwards visits, as well as support given to foreign Defence attachés in the UK. As such, it covers a significant range of activity.

4.24. UK Defence Engagement presence in a host nation (under UK Embassy). This includes any accredited presence working in the host nation, either under the Defence section or as military or civilian advisers working for a UK mission in the country or region.

4.25. UK resources and enablers. Resources and enablers entails providing a variety of UK resources to other countries, either as part of a joint operation or exercise, or in support of a foreign, sovereign operation or exercise. UK resources and enablers also covers international agreements as well as collaborative science and technology programmes. It also includes 'gifting',

which can create an important strategic effect. The term gifting is often used broadly to describe any activity that results in MOD assets being given to an external recipient but it is clearly defined and requires significant approvals.⁹ While gifts have an immediate, practical value to the recipient, we should also exploit the strategic communications and diplomatic effects.

4.26. Support to defence exports. Activity supporting the sales or demonstration of UK sovereign or collaborative equipment. A visit from a high-technology asset provides an opportunity to showcase UK technology. When combined with a Defence industry day or UK trade and investment event on-board, or participation in a sales fair, trade or air show, it has the potential to deliver significant benefit.

4.27. Routine Defence training and education.¹⁰ International Defence Training (foreign students on routine UK courses) and UK students on foreign courses make up a large percentage of Defence Engagement. For example, the Army host 1500 students annually from 90 countries. All three Service officer training colleges train foreign students. Places on the UK's most senior staff courses, such as at the Royal College of Defence Studies, are highly prized. In 2014, 20 foreign warships undertook collective training with Flag Officer Sea Training's staff in the UK, and places on the UK's flying training courses often support defence sales packages.

4.28. Short-notice or tailored training. All three Services can deliver short-notice or tailored training to meet specific objectives. Sometimes we achieve this by deploying short-term training teams.

4.29. Defence exercises. Defence exercises can support Defence Engagement. Exercises can take place in the UK or overseas and may include foreign or UK observers. Defence exercises may include the following activities.

- a. Deployed warships providing training to countries in their own ports and waters, and participating in exercises with regional partners.

.....
 9 See JSP 462, *Financial Management and Charging Policy Manual* and JSP 886, *Defence Logistics Supply Chain Manual*, Volume 4.

10 *Op.Cit.*, JSP 510, gives more detail on the tiers of International Defence Training and how it is managed.

This activity builds partner capability alongside a wider diplomatic and assurance effect on both the nation concerned and the region.

b. The Army's Overseas Training Exercise programme derives Defence Engagement benefit from deployments to conduct joint exercises in Morocco, Jordan and Oman as well as with NATO and European partners. In return, countries are invited to participate in UK-run exercises.

c. The RAF's participation in the RED FLAG exercise programme concurrently helps to maintains our vital Defence relationship with the US while giving us access to some high-quality training facilities.

d. Joint Force Command's Joint Warfare Mission Support and Training Branch providing exercise planning, delivery and support to Tier 3 exercises involving our international partners. This includes support to the Five Powers Defence Agreement's exercise programme, the United Arab Emirates (THE FLAG exercise series) and Oman (Exercise SAIF SAREEA).

4.30. **Operations.** Any operation will have a Defence Engagement effect. Some operations are delivered mainly through Defence Engagement activity.¹¹ In all cases, it is essential to ensure that operational and Defence Engagement plans are coordinated. This is achieved through liaison within the Security Policy and Operations Team in the MOD.

.....
11 Examples include, Operation TURUS providing support to Nigeria in their fight against Boko Haram and Operation GRITROCK working to counter the Ebola outbreak in West Africa.

UK Defence Engagement in Sierra Leone

The Director General of the World Health Organization, Margaret Chan, described the West African Ebola crisis as ‘the most severe acute public health emergency in modern times’. By the end of March 2015, there were nearly 15,000 confirmed laboratory cases of Ebola with over 10,000 fatalities. The virus had affected Sierra Leone, Liberia and Guinea with individual cases being reported across the world, including the US and the UK. The potential for a global pandemic was, and remains, high.

By March 2015, the UK had committed over £400 million in aid, deployed 750 military personnel along with RFA Argus and, as part of a joint inter-agency task force, helped build and staff hospitals, manage safe burials and help find hidden cases.

What is less well known is the support Sierra Leone has received from the UK since the end of its civil war in 2002. In this period, the UK had been instrumental in both stabilising the country and developing its security capacity. UK-funded programmes supported the Republic of Sierra Leone Armed Forces (RSLAF), Sierra Leone Police and the justice sector. A UK-led International Military Advisory and Training Team (IMATT) provided all-level training for their Armed Forces and the civilian defence structure.

With the outbreak of Ebola, the countrywide security structures that were established under IMATT, were constantly used and tested. The RSLAF have been highly effective supporting the domestic security forces, augmenting police numbers, staffing checkpoints and providing static guards. Analysing this effort reveals much about the impact of the UK-led security sector reform. It not only helped build capacity but it also helped establish a command structure that could exert leadership and hold authority, in a time of crises. It also helped to reassure the population who were concerned and threatened.

UK Defence Engagement in Sierra Leone saved lives and helped prevent the spread of the Ebola.

Key points

- Defence Engagement actors are split into four categories: the enduring; non-deployed; operational; and dynamic footprints.
- The enduring footprint involves UK military personnel who are permanently based in the region and includes: the overseas network of Defence sections in embassies; loan service personnel (including military missions and permanent training teams); exchange officers; and other government-to-government arrangements.
- With the exception of elements of the enduring footprint, the force elements and capabilities that deliver Defence Engagement are rarely developed solely to deliver Defence Engagement.
- A considerable amount of Defence Engagement is delivered by the non-deployed footprint in the UK. This is mostly achieved by the generating force under the remit of International Defence Training, but it also includes inward visits, and exercises and training.
- The operational footprint includes the permanent joint operating bases, and those force elements based in the region to support UK operations, including force elements deployed for contingency.
- The dynamic footprint covers all other deployed Defence Engagement force elements on routine engagement tasks.
- Activity planning is always done in the context of what the partner nation wishes to do, and the regional context.
- To provide a framework for Defence Engagement planning, a taxonomy of activities has been created. This taxonomy is based on experience of delivering Defence Engagement over many years and represents the detail necessary to enable planning the full range of Defence Engagement activities.

Notes:

Annex 4A – Full Defence Engagement taxonomy

Activity category	Activity type	Sub-activity type	Notes	
Visits (inwards/ outwards)	High-level international engagement, including inward visits	Ministerial visit	Inwards and outwards	
		Chief of Staff visit	CDS, CNS, CGS, CAS, CJFC, VCDS, PUS (4* military and civilian)	
	Working-level international engagement including inward visits and work of foreign liaison staff	Top official visit	3* military and civilian	
		2* visit		Inwards and outwards
		Staff talks and visits		Inwards and outwards
		Ship visit		Inwards and outwards
		Unit visit		Inwards and outwards
		Aircraft visit		Inwards and outwards
		Sport visit		Inwards and outwards
		Ceremonial/musical visit		Inwards and outwards
		Conference/seminar		Includes financing, sponsoring, hosting and attending inbound, outbound and third party conferences and seminars
		Support to foreign Defence attachés in UK		
	Liaison officers			
	Other working-level international engagement		Includes work with 'think tanks', both inwards and outwards	

Activity category	Activity type	Sub-activity type	Notes	
Personnel, resources and enablers	UK presence in host nation (under UK Embassy)	<ul style="list-style-type: none"> Defence section Non-resident Defence attachés Regional conflict advisers Civilian defence adviser Other presence in host nation Loan service personnel Exchange officers Support to multilateral organisation Other embedded personnel Foreign embed in UK post UK facilities and infrastructure Equipment UK intelligence / information UK logistical / engineering support 	<ul style="list-style-type: none"> Activity outside of routine work Activity outside of routine work, for example, functions or ceremonies 	
	Embedded personnel	<ul style="list-style-type: none"> UK involvement in joint projects (include science and technology) Other UK resources 	Bilateral and multilateral	
	Providing UK resources and enablers	<ul style="list-style-type: none"> International agreement/memorandum of understanding Participating in trade/air shows Equipment demonstration Defence section support to exports Defence and security industry day 	Attend a non-UK organised event	
	Supporting defence exports			

Activity category	Activity type	Sub-activity type	Notes
Personnel, resources and enablers	Supporting defence exports	Other export activity or support	
		International Defence Training – Tier 1	Courses of the highest security cooperation value and are regularly over-subscribed. Covers key/initial officer courses
Training and education		International Defence Training – Tier 2	Courses of international security cooperation value, where demand for places doesn't exceed capacity
	Routine training and education	International Defence Training – Tier 3	Courses of lesser or no international security cooperation value. Can include Cranfield University/Defence Academy/other courses
		UK places on foreign courses	
		English language training	Separate or part of another course
		Other courses	
	Short-notice or bespoke training	Regionally embedded training team	Permanently based overseas and established
		Training for UK Armed Forces by host nation	

Activity category	Activity type	Sub-activity type	Notes
Training and education (continued)	Short-notice or bespoke training (continued)	Short-term training team	Majority are operating abroad with a wide range of potential activities across domains
		Adventure training	
Exercises and operations	Defence exercises	Other short-notice or bespoke training	Other training activities, including taking advantage of opportunities as and when they arise
		Combined bilateral exercise in host nation	
		UK support to host nation exercise	
		UK exercise in host nation	Includes overseas training exercises
		Training for UK Armed Forces by UK	
		Foreign observers at UK exercise	
		Multinational exercise and other exercises	
		NATO exercise	
		UK observers at a foreign exercise	
		Partnered operation	
Operations		UK operation	
		Enabling support to UK-led operation	
		Other operation	



Evaluating Defence Engagement activity

Chapter 5 outlines the need to evaluate Defence Engagement activity, and the processes and tools used to achieve this.

Section 1 – The evaluation framework79
Section 2 – Reporting86

“
However **beautiful the strategy**, you
should occasionally **look at the results**.
”

Sir Winston Churchill

Chapter 5 – Evaluating Defence Engagement activity

5.1. In this Chapter we examine how performance and effect are measured. The complete process results in an evaluation which allows staff to inform decision-makers through reporting.

Section 1 – The evaluation framework

5.2. The Defence Engagement logical framework describes how we plan and conduct activity to create government-directed effect. There are four stages in evaluating Defence Engagement.

- **Recording** what we plan to do and whether we achieved that activity.
- **Measuring performance**, assessing whether the activity we carried out delivered the intended output. Input, activity and output are by intention causally linked; there is a one-to-one relationship between activity and output.
- Outputs and objectives have a complex relationship. Most objectives require us to deliver multiple outputs, and many outputs serve more than one objective. **Measuring effect**, therefore, requires a more sophisticated approach – our system uses maturity models.
- **Evaluating** to assess whether achieving our objectives has maintained or improved how we achieve national aims. There is also a relationship between aims and objectives, with aims usually being achieved by fulfilling a range of objectives. Each of these objectives may also support more than one aim. Evaluation therefore requires judgement and data interpretation.

5.3. As we move through the process of measuring activity, performance and effect and finally evaluating impact, the role of subjective judgement becomes more important. Although these judgements are evidence-based, they are necessarily subjective because Defence Engagement activity is conducted in an environment where actions are sensitive to changes in the context. As judgement can affect outcomes both positively and negatively, it is important to recognise the effect of contextual changes so we do not draw false conclusions about the effectiveness of our plans and actions.

Measurement of activity – did we do what we planned?

5.4. The starting point of the evaluation process is recording accurately our plans and activity. Done thoroughly, we record what:

- we did;
- we planned to do;
- we couldn't do (perhaps for contextual reasons); and
- a partner nation may have wished for.

5

From this, we develop a range of data to support our later judgements.

5.5. Different methods for recording activity have been drawn together into the Enhanced Security Cooperation Activity Plan Application for Defence Engagement (ESCAPADE). This is a web-based database where past, present and future Defence Engagement activity is recorded. Using the Defence Engagement taxonomy¹ means that activity is recorded in a consistent manner across types and users, enabling comparable analysis.

5.6. MOD Head Office administers ESCAPADE, with users drawn from across all top-level budget areas. ESCAPADE supports three major functions: financial management; planning; and evaluation. To support planning and evaluation, ESCAPADE data is combined with other data and information which shows priorities and measurement of effect.

.....
1 See Chapter 4.

Measurement of performance – did the activity deliver the intended output?

5.7. Adopting the planning process set out in Chapter 3 leads planners to identify the outputs they require to achieve the intended objectives and aims. These outputs form the basis of requirements placed on the single-Services and Joint Forces Command (JFC) to deliver activities. As part of the delivery process, the single-Services and JFC measure delivery performance, assessing how well the activity delivered the required output, both qualitatively and quantitatively. If the output was not achieved, the planning staff will review the plan of action, taking into account contextual factors and adjust as required. This process of measuring performance and adjusting is continual.

Measurement of effect – are we succeeding in meeting our intended objectives?

5.8. In this stage, progress towards country, sub-regions and regional objectives are assessed. These assessments represent the measurement of effect and Head Office staff use a process known as the **Defence Engagement Maturity Model**.² This approach has been accepted across government as a means of reporting progress against Defence Engagement objectives in a standardised format.

5.9. The maturity model assessment is first created at country level by those who have developed the objectives. The assessment is then built up to sub-regional and regional level. The resulting assessment is owned by the 1* Head of the appropriate regional team.

5.10. The maturity model process incorporates both qualitative information and quantitative data to evaluate progress against objectives. The assessments can therefore take account of both activity outputs, and the context within which the activity takes place. It is important to note that this measurement of effectiveness requires prior measurement of performance

.....
 2 The Defence Engagement Maturity Model is based on the Department for International Development Logical Framework (updated January 2011), adapted for the MOD by the Defence Science and Technology Laboratory.

to allow planners to understand how different outputs contributed to the objective.

5.11. The maturity model consists of an objective detail sheet (Figure 5.1) which shows a detailed breakdown of potential assessments for an objective, an indication of assessment and space for the supporting judgements and evidence.

Utopia 1.3				Last updated: 2013	
Objectives					
Utopia 1.3 Maintain the ability to obtain short notice overflight and landing rights	UK has no ability to obtain overflight and landing rights	UK has some ability to obtain overflight and landing rights, but not at short notice	UK has full ability to obtain overflight and landing rights, but not at short notice	UK has ability to obtain short notice overflight and landing rights	UK has full access, basing and overflight rights
2013				→	
2012			X		
<p>Justification. 98% of requests were met this year (92% for 2012), including some with only 24 hours notice. Last year (2012) 92% of requests were met, but they generally required three-weeks notice. Access, basing and overflights (ABO) is now easy to achieve with few restrictions and little UK expense.</p>					
<p>Comments/recommendations. 2% of requests in 2013 were denied and this increased the cost to the UK in fuel and time. It is possible that a visible UK visit will secure 100% ABO rights with Utopia. It is recommended that a ship visit or high-level international engagement should be dispatched soon to maintain what has already been achieved by the UK in terms of ABO rights, and to possibly secure full access in the near future.</p>					
<p>Indicators.</p> <ol style="list-style-type: none"> 1) Percentage of requests met (Defence attaché (DA) records data monthly). 2) Average timescale in which requests are met (DA records data monthly). 3) Level of difficulty by which ABO is achieved (judgement by DA). 4) No. of restrictions on ABO (resulting from analysis of DA data). 5) Expense of securing ABO – PJHQ data available from Operations Directorate. 					
Owner: Desk Officer 1		Assistant Head (AH): AH 1		DSTL validator:	

Figure 5.1 – Single objective detail sheet example

5.12. The colours relate to how well we are doing in achieving our objectives.

- **Red** – Unsatisfactory and plans must be adjusted if the required objective is to be achieved.

- **Amber** – We are close to achieving our objective and plans should be reviewed. Where there are two or more levels of amber assessment, this indicates the extent of the review that is required.
- **Green** – We are achieving our objective with the current plan. Where there are two or more levels of green assessment, higher assessments indicated areas where risk could be taken in the allocation of effort, if other areas required attention.

5.13. An assessment which best reflects the current situation is selected from the range of options, based on the justification and indicators listed in the grey detail boxes. This is shown by bold text, thicker border and an indication of the current trend. In many cases, the objectives are enduring and the trend indicates a prediction of future assessments based on current activity plans.

5.14. Maturity models are hierarchical with assessments at each level informing the next level up, so these individual objective assessments are aggregated into a country summary sheet (Figure 5.2), to allow a holistic assessment at a country level. The assessments made at the country level can then be used as evidence for assessments at the sub-regional and regional level depending on the specific region or significance of the country within the region.

5

Evaluation – did we achieve the intended impact or aim?

5.15. Assessing progress towards objectives is not the end of the process. The final stage is to assess whether the Defence Engagement activity has achieved the strategic aim set by national policy. This evaluation is made by Defence leaders reviewing the measurement of effect in the light of evolving priorities, unforeseen events and the actions of partners and competitors.

“ **Assessing progress towards objectives is not the end of the process. The final stage is to assess whether the Defence Engagement activity has achieved the strategic aim set by national policy.** ”

Evaluating Defence Engagement activity

Objectives					
Utopia 1.1 Maintain the UK's position as the Western nation (after the US) that Utopia looks to for support on counter terrorism, security and defence matters	Utopia does not engage on counter terrorism, security or defence matters	Utopia engages with the UK, but on a very limited basis. Possibly on only one of the three matters	Utopia engages with the UK, but is behind many other Western nations	UK is nation of choice (after the US) for Utopia for all counter terrorism, security, and defence matters	UK is first choice of Western nation for Utopia for all counter terrorism, security, and defence matters
Trends			no change		
Utopia 1.2 Understand and influence the Utopia view of and role in regional security	UK has little or no understanding of Utopia's view of and role in regional security	UK has some understanding of Utopia's view of and role in regional security, but has no influence over Utopia's activities	UK understands Utopia's attitude towards regional security issues, however, has no influence over Utopia's activities	UK understands Utopia's attitude towards regional security issues, and has some influence over Utopia's activities	UK understands Utopia's attitude towards regional security issues, and is able to influence Utopia's activities over wide range of issues
Trends		←			
Utopia 1.3 Maintain the ability to obtain short notice overflight and landing rights	UK has no ability to obtain overflight and landing rights	UK has some ability to obtain overflight and landing rights, but not at short notice	UK has ability to obtain short notice overflight and landing rights	UK has ability to obtain short notice overflight and landing rights	UK has full access, basing and overflight rights
Trends				→	
Utopia 1.4 Support the development of a military that is capable of conducting self-defence and contributing to coalition operations	Utopia is incapable of conducting self-defence or contributing to coalition operations	Limited self-defence capability, unable to conduct coalition operations, but unwilling to receive UK support	Developing capability. Receptive to offers of UK support	Utopia is capable of conducting self-defence and contributing to coalition operations	Utopia is capable of conducting self-defence and contributing to coalition operations and is proactively engaging in regional activity
Trends			no change		

Figure 5.2 – Maturity model summary sheet for a generic country

5.16. Figure 5.3 illustrates the evaluation process. While the diagram shows a linear flow, evaluation is in fact iterative. Routine adjustments, such as an improved mix of activities or minor alterations in timings and locations, are carried out by the Defence attaché or Head Office country desk officer. More significant shifts in focus or balance of investment issues, are decided either at a regional strategic planning group or the Strategic Regional Implementation Group for Defence Engagement (STRIDE). Changes affecting regional priorities or themes are decided by more senior boards including the Defence Engagement Board, Defence Board or National Security Council. This is driven by reporting described in the next section.

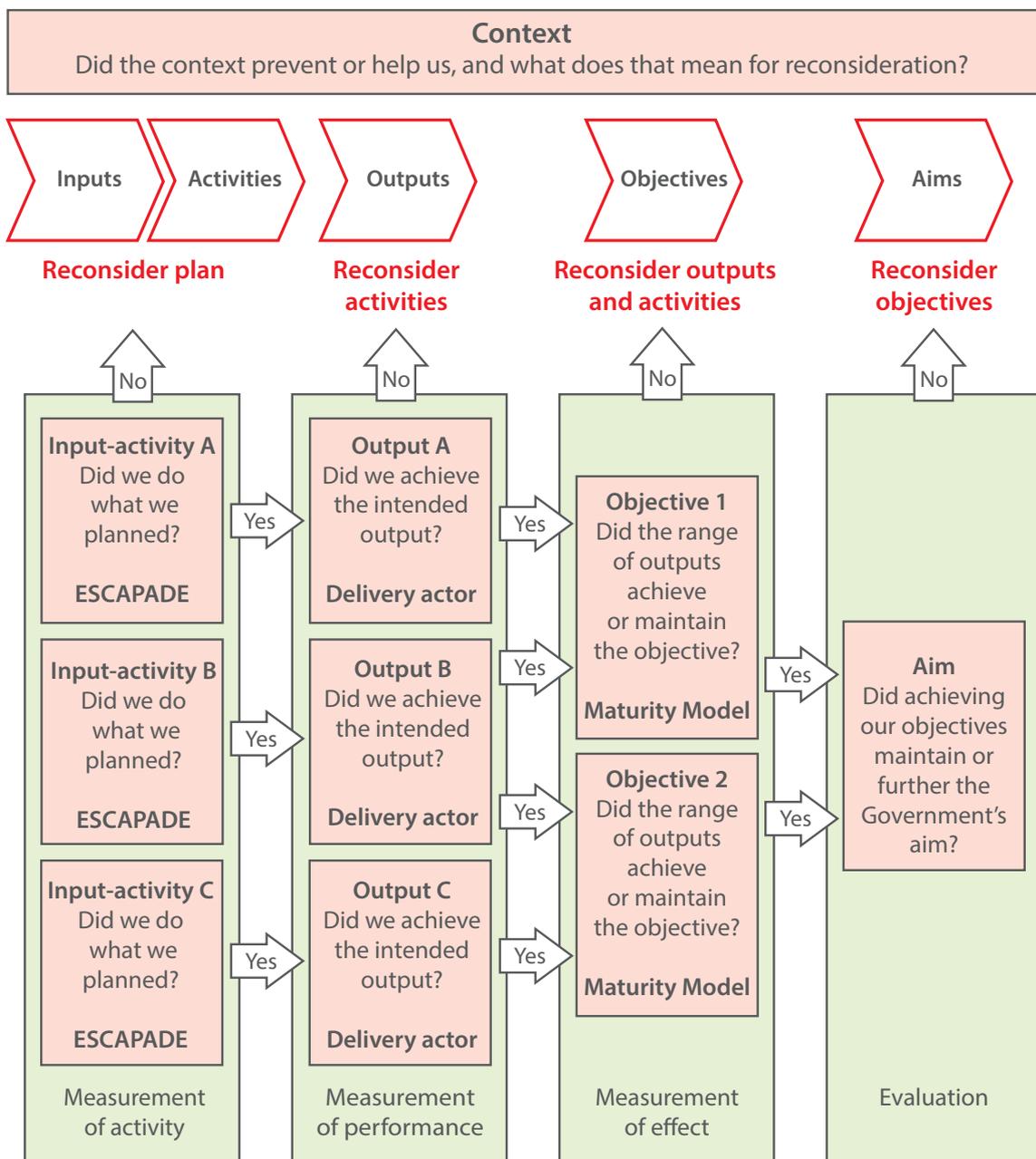


Figure 5.3 – The evaluation process

Section 2 – Reporting

5.17. Reporting progress in Defence Engagement is required by several audiences, both within Defence and in the wider cross-government setting. The approach to evaluation outlined in this Chapter is intended to support this range of requirements, be they routine or as required. Using maturity models provides a consistent approach to measuring effect and identifying issues for resolution. In addition, ESCAPADE may be easily and quickly interrogated to provide data to support other *ad hoc* reports.

5.18. Evaluating progress against aims is the role of senior boards and is routinely done by region for the Defence Board as part of the Defence reporting framework. At a lower level, reporting using measurement of effect, enables adjustment of objectives and activity plans.

5.19. Maturity models and the associated evaluation provide a performance narrative.³ Defence reporting is shifting towards emphasising risk against achievement of objectives. Both measuring performance and managing risk are important: the performance narrative allows retrospective analysis of decisions, while risk assessment informs decision-making. Risks to objectives are identified in the regional strategy framework outlined in Chapter 4.

5

Reporting within MOD

5.20. Defence Engagement reporting is a part of the *Defence Plan* reporting framework. Aggregated evaluation of performance is reported to the Defence Board through the Armed Forces Committee on a twice-yearly basis. The current benchmark against which that reporting is conducted is Defence Board Strategic Objective (DBSO) 4. Using this information, the Defence Board is able to adjust priorities, the capacity being applied to Defence Engagement, and identify any capability gaps affecting Defence Engagement.

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3 Performance narrative is where a desk officer reports on progress against objectives through a narrative description of pertinent actions, examples and anecdotes.

From input to impact – an example

An established national aim is to build international capacity and will to counter terrorism. Delivering this aim involves defining a wide range of interrelated objectives, many delivered by Defence. In this example we consider one objective – building a counter-improvised explosive device (C-IED) capability.

Measurement of activity. A short-term training team has been deployed to deliver C-IED training in the country for a two-month period and they train 120 people. The training team strategy was considered the best option by subject matter experts for the context and the objectives required.

Measurement of performance. The British Military Assistance and Training Team in country, through the Defence Attaché, makes a judgement as to whether the C-IED training delivered the C-IED capability against the objectives. This adds value to ‘raw’ activity data and will be done on a recurring basis depending on the context to inform and improve the activity, and will also inform the overall evaluation.

Context. Although the C-IED capacity building effort was successful, the Defence Attaché reports that there is unwillingness from the country’s military hierarchy to fully deploy all their newly trained C-IED operators into combat, while they evaluate their effectiveness for themselves. Thus, although the planning delivered what was intended, the effect was not fully created and other activities (influence activity) will have to be bought into play to create the required effect.

Measurement of effect. The UK’s support to the counter terrorism campaign may comprise several lines of effort, which support our country and sub-regional objectives. A reduction in deaths from improvised explosive device attacks indicates progress in the country’s campaign against the terrorists.

Evaluation. Improvised explosive device attacks represent one element of terrorist capability. As their ability to execute them is degraded, along with the erosion of other capabilities addressed by other lines of activity across the sub-region, so their ability to export either terrorist activity or expertise to the UK also reduces. This supports the national strategic objective to reduce the threat at home from terrorist activity.



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5

Evaluating each regional strategy and its risks for an important part of reporting Defence Engagement progress

Defence Engagement evaluations inform the development of contingency plans within the Defence Crisis Management Organisation. This takes place through regular regional Strategic Planning Groups. These evaluations also support International Policy and Planning and NATO and European Policy input into crisis response Strategic Planning Groups.

5.23. Defence Engagement evaluation is also used to support *ad hoc* requirements for briefings to senior leaders. Frequently these serve Chiefs of Staff meetings.⁴

Reporting Defence Engagement performance across government

5.24. Performance and risks are presented to the Defence Board, STRIDE and Defence Engagement Board (DEB) on a twice-yearly basis. The STRIDE

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4 Either Chiefs of Staff (Informal) (COS(I)) or Routine (COS(R)).

5.21. Providing reports against DBSO 4 begins with evaluation using a maturity model for each regional strategy. The regional evaluations are aggregated into a single *Defence Plan* objective performance report, which is scrutinised at 1*- and 2*-level before being approved by Director General Security Policy. Regional planning teams are encouraged to report risk to the success of their strategies alongside the performance narrative. Where risks are likely to impact the overall achievement of the *Defence Plan* objectives, they are highlighted to Director General Security Policy and included in the strategic risk assessment.

5.22. In addition to the Defence Board receiving reports on the overall performance and associated risks,

advises on implementation issues, the DEB takes a view on whether priorities are being correctly implemented and the weight of effort between regions, themes and partners is correct. The output of the DEB and STRIDE informs decision-making within the MOD.

5.25. Where National Security Council country or regional strategies are in place, Defence Engagement evaluation is used to provide the evidence for performance reporting against these strategies. This performance reporting also happens on a twice-yearly basis.

5.26. Occasionally, Defence Engagement evaluation supports submissions to the National Security Council, or National Security Council (Officials). Most often this is as part of a whole-of-government report.

Key points

- Evaluation is conducted to ascertain whether achieving our objectives has maintained, or improved, the achievement of our national aims.
- The Enhanced Security Cooperation Activity Plan Application for Defence Engagement (ESCAPEDE) is a web-based database where a comprehensive record of activity is maintained.
- It is important to recognise the effect of contextual changes so we do not draw false conclusions about the effectiveness of our plans and actions.
- The maturity models provide an assessment of progress towards country, sub-region and regional objectives.
- Defence Engagement reporting supports both the *Defence Plan* reporting framework and cross-government risk and performance reporting.



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235