

NATO STANDARD

AJP-01

ALLIED JOINT DOCTRINE

Edition E Version 1

FEBRUARY 2017



NORTH ATLANTIC TREATY ORGANIZATION

ALLIED JOINT PUBLICATION

**Published by the
NATO STANDARDIZATION OFFICE (NSO)
© NATO/OTAN**

INTENTIONALLY BLANK

NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

28 February 2017

1. The enclosed Allied Joint Publication (AJP)-01 Edition E, Version 1, ALLIED JOINT DOCTRINE has been approved by the nations in the Military Committee Joint Standardization Board, and is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 2437.
2. AJP-01 Edition E, Version 1 is effective upon receipt and supersedes AJP-01, Edition D, Version 1 which shall be destroyed in accordance with local procedures for the destruction of documents.
3. No part of this publication may be reproduced, stored in a retrieval system, used commercially, adapted, or transmitted in any form or by any means, electronic, mechanical, photo-copying, recording or otherwise, without the prior permission of the publisher. With the exception of commercial sales, this does not apply to member or partner nations, or NATO commands and bodies.
4. This publication shall be handled in accordance with C-M(2002)60.



Edvardas MAŽEIKIS
Major General, LTUAF
Director, NATO Standardization Office

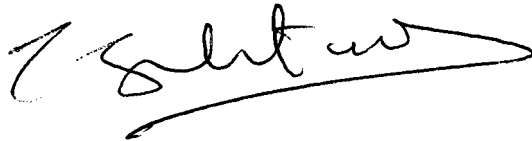
INTENTIONALLY BLANK

Allied Joint Publication-01

Allied Joint Doctrine

Edition E Version 1

Allied Joint Publication-01 (AJP-01), dated February 2017,
is promulgated as directed by the Chiefs of Staff

A handwritten signature in black ink, appearing to read "C. S. ...", with a long horizontal flourish extending to the right.

Director Concepts and Doctrine

INTENTIONALLY BLANK

TABLE OF CONTENTS

Chapter 1 – Alliance doctrine

Section 1 – The foundations of Alliance doctrine	1-1
The purpose of doctrine	1-1
Relationship between policy and doctrine	1-1
Interoperability	1-2
Doctrine documents	1-2
Alliance Strategic Framework and instruments of national power	1-3
NATO and international law	1-6
Section 2 – Levels of operations	1-8
Distinguishing the levels of joint operations	1-11
Section 3 – Characteristics, principles and considerations of Allied joint and multinational operations	1-12
Characteristics	1-12
Principles	1-13
Operational considerations	1-14
Section 4 – The nature of conflict	1-15
Enduring nature of conflict	1-15
The components of fighting power	1-16

Chapter 2 – NATO in the global security environment

Section 1 – The purpose of the Alliance	2-1
The North Atlantic Treaty	2-1
Military implementation of NATO’s Strategic Concept	2-2
NATO’s contribution to a comprehensive approach	2-4
Section 2 – Strategic Context	2-6
21st Century threats	2-6
Military trends	2-10
Section 3 – Implications for the conduct of operations	2-13

	Spectrum of conflict	2-13
	Understanding	2-17
	Operations themes	2-19
	Types of operations	2-20
Chapter 3 – The strategic level		
	Section 1 – The political-military interface and the military component of strategy	3-1
	Military strategy	3-1
	Ends, ways and means	3-2
	Section 2 – The NATO Crisis Response System	3-3
	Components of the NATO Crisis Response System	3-4
	The NATO’s crisis management process	3-5
	Translating strategic intent into objectives	3-6
Chapter 4 – Joint operations		
	Section 1 – The elements of joint operations	4-1
	Stages of a joint operation	4-1
	Joint functions	4-2
	Multinational and multi-agency cooperation	4-2
	Factors and considerations in joint operations	4-3
	Section 2 – Operational art, operations framework and planning	4-4
	Operational art	4-5
	Operations framework	4-6
	Planning	4-7
	Section 3 – Operations continuity	4-8
Chapter 5	Command and control of joint operations	
	Section 1 – Command philosophy	5-1
	Command and control terminology	5-2
	Section 2 – Joint and multinational command and control	5-3

Command and control responsibilities	5-5
Section 3 – Wider command interactions	5-6

Lexicon

Part I – Acronyms and abbreviations	LEX-1
Part II – Terms and definitions	LEX-3

INTENTIONALLY BLANK

Related documents

	<i>The North Atlantic Treaty</i>
	<i>The NATO Handbook</i>
PO(2010)0169	<i>The Alliance's Strategic Concept</i> , dated 19 November 2010
C-M(2001)63	<i>NATO Crisis Response System (NCRS): Policy Guidelines</i>
PO(2000)30-Rev 2	<i>Role of Civil Emergency Planning in NATO</i>
	<i>NATO Crisis Response System Manual (NCRSM) 2016</i>
PO-0141-2009	<i>NATO Policy on Strategic Communication</i>
PO(2012)0020	<i>Chairman's Progress Report on Implementing NATO/EAPC Policy on UNSCR 1325 and Related Resolutions</i> , dated 20 May 2012
	<i>Political Guidance</i> , dated 16 October 2015
PO(2015)0580	<i>Force Declarations and Designations</i> , dated 08 May 2006
SG(2006) 0244 Rev 1	<i>Military Committee Guidance on the Relationship between NATO Policy and Military Doctrine</i>
MCM-077-00	<i>MC position on the use of effects in operations</i> , dated 20 July 2010
MCM 0041-2010	<i>Terms of Reference for the Supreme Allied Commander Europe</i> , drafted
MC 0053/5	<i>Terms of Reference for the Supreme Allied Commander Transformation</i> , drafted
MC 0058/5	<i>NATO Principles and Policies for Logistics</i>
MC 0319/3	<i>NATO Principles and Policies of Operational Medical Support</i>
MC 0326/3	<i>NATO Military Policy on Public Affairs</i>
MC 0457/2	<i>NATO Comprehensive CBRN Defence Concept</i>
MC 0603/1	<i>NATO Military Policy on Strategic Communications</i>
MC 0628/x	<i>NATO's Operations Planning</i> , dated 7 January 2011
MC 133/4	<i>The NATO Military Command Structure</i>
MC 324/3	<i>NATO Military Policy for non-Article 5 Crisis Response Operations</i>
MC 327/2	<i>NATO Rules of Engagement</i>
MC 362/1	<i>MC Guidance for the Military Implementation of Alliance Strategy</i>
MC 400/3	<i>NATO Military Policy on CMI and CIMIC</i>
MC 411/2	<i>Military Committee Special Operations Policy</i>
MC 437/2	<i>NATO Military Principles and Policies for Environmental Protection (EP)</i>
MC 469/1	<i>Military Committee Concept for Counter-Terrorism</i>
MC 0472/1	<i>Policy for Military Engineering</i>
MC 560/1	<i>MC Policy for Allied Forces and their use for Operations</i>
MC 586/1	

Since Allied Joint Publication-01, *Allied Joint Doctrine* is the capstone NATO doctrine from which all other doctrine is derived, only the keystone doctrine publications are listed here. References to other doctrine publications are made in the text, where appropriate.

AJP-2	<i>Allied Joint Doctrine for Intelligence, Counter-Intelligence and Security</i>
AJP-3	<i>Allied Joint Doctrine for the Conduct of Operations</i>
AJP-4	<i>Allied Joint Doctrine for Logistics</i>
AJP-5	<i>Allied Joint Doctrine for the Planning of Operations</i>
AJP-6	<i>Allied Joint Doctrine for Communication and Information Systems</i>

Commercial publications:

Foch, Field Marshal Ferdinand	<i>The Principles of War</i> (Henry Hot and Company, 1920)
Smith, Gen Sir Rupert	<i>The Utility of Force – The Art of War in the Modern World</i> (Penguin, London)
Clausewitz, Carl von	<i>On War</i> (Princeton University Press 1976)
Hughes, G	<i>My Enemy’s Enemy – Proxy Warfare in International Politics</i> (Sussex Academic Press, 2012)

Preface

Scope

1. Allied Joint Publication (AJP)-01(E), *Allied Joint Doctrine* is the capstone NATO doctrine for Allied joint operations. It explains the strategic context for such operations and focuses on the underlying philosophy and fundamentals of joint operations.

Purpose

2. Although each operation is unique, their planning and conduct can be approached in the same manner. AJP-01(E) provides commanders and their staff with a common framework for understanding the approach to all Alliance operations. It also provides them with the principles and general guidance to plan and conduct campaigns and operations.

Application

3. AJP-01(E) is intended primarily as guidance for NATO commanders and staffs. However, the doctrine is instructive to, and provides a useful framework for, operations conducted by a coalition of NATO members, partners and non-NATO nations. It also provides a reference for NATO civilian and non-NATO civilian actors.

INTENTIONALLY BLANK

Chapter 1 – Alliance doctrine

Section 1 – The foundations of Alliance doctrine

The purpose of doctrine

- 1.1. Doctrine is defined as: *fundamental principles by which military forces guide their actions in support of objectives. It is authoritative but requires judgment in application.*¹ The principal purpose of doctrine is to provide Alliance forces conducting operations with a framework of guidance to achieve a common objective. Operations are underpinned by principles describing how they should be planned, prepared, commanded, conducted, sustained, terminated and assessed. The principles of doctrine are defined by traditional, enduring capabilities proven by best practices while incorporating contemporary insights on how these principles are applied. Although doctrine has enduring principles, it is constantly reviewed for relevance and is therefore evolutionary in nature. Doctrine describes how Alliance forces operate but it is not about why they operate, which is the realm of policy.

Relationship between policy and doctrine

- 1.2. Policy and doctrine are closely related, but they fill fundamentally separate requirements. Policy develops in response to changing circumstances in the political-military strategic environment, agreed political guidance, practical lessons learned or new technology. Policy is essentially prescriptive. It can direct, assign tasks, prescribe desired capabilities and provide guidance for preparing North Atlantic Treaty Organization (NATO) forces to perform their assigned roles. Implicitly, policy can create new roles and a requirement for new capabilities. Doctrine primarily evolves in response to changes in policy, capabilities or force employment considerations. Therefore, policy normally leads and directs doctrine.² On occasion, capabilities might exist within NATO that are not covered by a policy. These extant capabilities require policy to be created first, before they can be written into doctrine. In addition, newly developed capabilities need fielding prior to doctrine development.
- 1.3. **Policy and doctrine mutual dependency.** Doctrine addresses fundamental principles and has an enduring nature, which makes it less susceptible to short-term policy changes. Consequently, enduring doctrine should be considered when developing policy. Ultimately, policy and doctrine should strive to be consistent and

¹ *NATO Term* – NATO Agreed. *NATO Term* is the official NATO terminology database.

² Military Committee Memorandum (MCM)-077-00, *Military Committee Guidance on the Relationship between NATO Policy and Military Doctrine*.

mutually supportive.

Interoperability

- 1.4. The effectiveness of Allied forces in peace, crisis or in conflict depends on the ability of the forces provided to operate together coherently, effectively and efficiently. Allied joint operations should be prepared for, planned and conducted in a manner that makes the best use of the relative strengths and capabilities of the forces that members offer for an operation. Interoperability of formations and units of a joint and multinational force has three dimensions: technical (for example, hardware, systems); procedural (for example, doctrines, procedures); and human (for example, language, terminology and training). Forces commit to information sharing through the lessons learned process, in particular lessons about interoperability shortfalls. Standardization agreements (STANAGs) are vital to long-term effectiveness and the success of NATO operations. At the operational level, emphasis should be placed on integrating the contributing nations' forces and the synergy that can be attained; the success of the process will determine the ability of a joint force to achieve its commander's objectives.
- 1.5. NATO doctrine, as a common language for operations, is essential to interoperability. Accepted and applied doctrine is necessary for effective coalition building. At the intellectual level, doctrine allows commanders from different nations to apply a common approach to operations, while at the procedural level, it enables Allied forces to operate together (for example, land forces from one nation can request and direct air support from another).
- 1.6. In contemporary operations, it is possible that NATO forces may operate alongside non-NATO nations' military forces, even within the NATO Command Structure (NCS). Non-NATO states can add political authority and legitimacy to an operation as well as providing additional force elements. The benefit of participating with non-NATO forces will often outweigh any issues with interoperability.

Doctrine documents

- 1.7. NATO develops doctrine documents for different audiences, with different requirements and purposes. The purpose of these documents varies from outlining overarching principles to describing procedures and tactical or technical standardization issues. The former's target audience is normally the NCS and the

joint and component-level elements of the NATO force structure. These are known as capstone or keystone publications.^{3,4}

Alliance Strategic Framework and instruments of national power

- 1.8. **Alliance Strategic Framework.** International politics links national power to the international political system to support national and collective interest, usually in conjunction with allies and partners. The objectives being pursued, combined with the manner of their pursuit, constitute a nation's grand strategy. As the Alliance operates by consensus, Alliance strategy is bound by the extent of the collective will of Alliance members. Understanding how to apply the instruments of power is essential to this strategy, using the diplomatic, information, military and economic model.⁵ Once a collective decision has been made in the North Atlantic Council (NAC), contributing nations employ their diplomatic, military and economic instruments of power, supported by the Alliance's collective information resources.
- 1.9. **The instruments of national power.** The instruments of national power are as follows.
- a. **The diplomatic instrument.** The degree to which diplomatic engagement succeeds is governed by the ability to: negotiate; broker agreements; and manage relationships between allies and potential partners. Diplomatic failure, partial or total, is generally signalled by the switch to economic or military activities. Effective diplomacy relies on persuasive negotiation supported by credible economic and military power. The diplomatic instrument is constantly in use, including during conflict. The public face of the Alliance's collective diplomatic instrument is the NATO Secretary General.
 - b. **The information instrument.** Information underpins understanding and decision-making. Every Alliance action, word and image communicates the intent of the Alliance with the resulting potential for strategic effects. The Alliance makes every effort to synchronize and coordinate communication activities. Strategic communications (StratCom) aims to advance Alliance interests and to achieve the Alliance's political and military objectives. StratCom, delivered through the instruments of power via policy, words and actions is an important element of operations planning and execution.

³ The capstone doctrine is Allied Joint Publication (AJP)-01. Keystone doctrines are: AJP-2, *Allied Joint Doctrine for Intelligence, Counterintelligence and Security*; AJP-3, *Allied Joint Doctrine for the Conduct of Operations*; AJP-4, *Allied Joint Doctrine for Logistics*; AJP-5, *Allied Joint Doctrine for the Planning of Operations*; and AJP-6, *Allied Joint Doctrine for Communication and Information Systems*.

⁴ Military Committee (MC) 324/3, *The NATO Military Command Structure*.

⁵ The Allied Command Operations *Comprehensive Operations Planning Directive* refers to instruments of power as military, political, economic and civil.

- c. **The military instrument.** Military power can be used in conjunction with the other instruments in a wide variety of circumstances. Military force is therefore an instrument of policy. Operations are characterized by the activities undertaken and by the context within which they take place; for example, the military contribution to deterrence, conflict prevention, disaster relief, stabilization and reconstruction, and combat. Integrating the military instrument early into a collective strategy is critical and is enabled at a high level by continuous effective civil-military interaction (CMI). The Alliance will use military force, which is a component part of the military instrument, only as a last resort.
- d. **The economic instrument.** Overseas investment, capital and trade provide scope to exercise economic influence. One option is imposing economic sanctions. These may create controversy as they are neither rapid nor always precise in effect, and success is difficult to measure. In extreme circumstances, the economic instrument may require the military instrument to apply force in support, for example, through blockade operations to enforce an embargo. The economic instrument does not only have utility to coerce or compel; it may also encourage desirable behaviour through beneficial concessions or investment. NATO's Economic Committee was established to promote cooperation in this field. Recognizing that in many respects the purposes and principles of Article 2 of the North Atlantic Treaty are pursued and implemented by other organizations and international forums specifically concerned with economic cooperation, NATO avoids duplicating work carried out elsewhere. However, NATO reinforces collaboration between its members whenever economic issues of special interest to the Alliance are involved, particularly to those that have security and defence implications. The Alliance therefore acts as a forum in which different and interrelated aspects of political, military and economic questions can be examined.
- 1.10. **Complementary capabilities.** Although not instruments of national power, the capabilities of states, non-governmental organizations (NGOs) and international or regional organizations can have wide utility in operations. These capabilities include areas such as the judiciary, constabulary,⁶ civilian administration, contractors and commercial partners. It also includes the infrastructure that enables medical care, food distribution, power generation, and water and sanitation services. The Alliance must be prepared to plan for employing coordinated military and civil capabilities to fill gaps in creating stabilization and reconstruction effects (in the interim) until conditions allow these activities to be transferred. Building on

⁶ Some Alliance members' constabularies include gendarmerie-type forces that are part of the military instrument. See AJP-3.22, *Allied Joint Doctrine for Stability Policing* for details.

existing NATO and national capabilities, relevant planning staff and expertise is required at the appropriate levels in NATO's structures.⁷

- 1.11. **The operating environment.** The operating environment is defined as: a *composite of the conditions, circumstances and influences that affect the employment of capabilities and bear on the decisions of the commander.*⁸ It is the environment directly affected by the crisis in which the instruments of power are employed. It is inclusive of all actors and actions. It encompasses the physical and non-physical areas and factors relating to maritime, land, air and space, information and cyberspace. In NATO, therefore, the operating environment is usually described by a number of interconnected elements including political, military, economic, social, information and infrastructure (PMESII). PMESII analysis enables commanders and staffs to understand the operating environment from which the Alliance is able to create effects by using the instruments of national power (in a synchronized way). Actions using the instruments and complementary capabilities directed against PMESII elements create effects designed to attain the end state. Understanding the operating environment is fundamental to successfully applying the instruments of power. This link is illustrated in Figure 1.1.

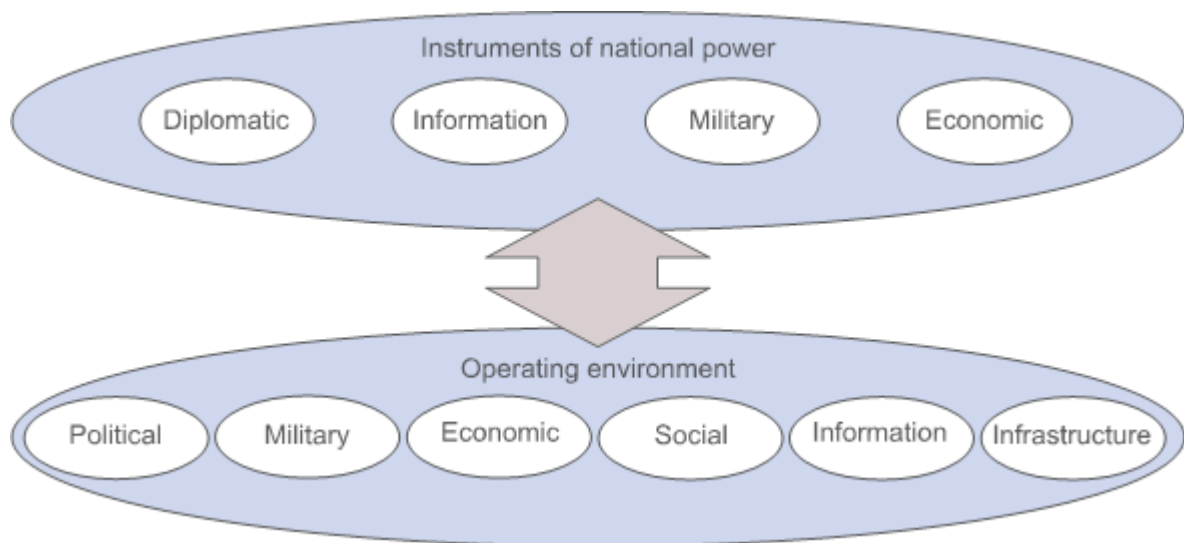


Figure 1.1 – Relationship between instruments of national power and elements in the operating environment

⁷ *Political guidance on ways to improve NATO's involvement in Stabilization and Reconstruction*, 2011, paragraph 17.

⁸ *NATO Term – NATO Agreed.*

- 1.12. **The essence of Alliance strategy.** The key to successfully conducting the Alliance's external relations is by using the most appropriate mix of instruments of national power and complementary capabilities. While each instrument is limited in terms of its discrete influence and impact, careful use of each of the instruments in a coordinated Alliance strategy will maximize their effectiveness. Diplomatic means are usually more successful when they are backed up with an implicit or declared will to use other means in support. Any threat, no matter how it is communicated, must be credible. To be an effective instrument of Alliance strategy, the military instrument must be developed and maintained in a manner consistent with the demands that are likely to be placed upon it. This requires Alliance military forces to have both the capability and capacity to act. The military instrument will not operate in isolation, but as part of a collective strategy in which the diplomatic and economic instruments of the member nations will be as important as the Alliance military forces and the military strategy supporting them. Through a comprehensive approach, this collective strategy is expanded to harmonize Alliance actions with the efforts of international organizations and NGOs.

NATO and international law

- 1.13. The North Atlantic Treaty is based on the purposes and principles of the United Nations (UN) Charter and it commits member nations to 'unite their efforts for collective defense and for the preservation of peace and security'. Public international law regarding armed conflict⁹ refers to two different types of conflict: international armed conflicts; and armed conflicts of a non-international character. The four Geneva Conventions of 1949, with the exception of Common Article 3, and the 1977 Additional Protocol I combined with the Hague Conventions, concern the regulation of international armed conflicts. Common Article 3 to the 1949 Geneva Conventions and the 1977 Additional Protocol II, combined with the principles of customary international law, concern the regulation of armed conflicts of a non-international character. NATO is not a signatory to these conventions; ratification and application of the Geneva Conventions and their Additional Protocols is a matter for NATO members.¹⁰
- 1.14. An international armed conflict usually refers to an inter-state conflict involving at least two states. Common Article 2 of the Geneva Conventions states that in addition to the provisions, which shall be implemented in peacetime, the present convention (Geneva Convention) shall apply to all cases of declared war, or any other armed conflict which may arise between two or more of the High Contracting Parties, even if the state of war is not recognized by one of them. Common Article 3 of the Geneva Conventions states that 'in the case of armed conflict not of

⁹ Often referred to as the Law of Armed Conflict (LOAC); in the USA it is known as the Law of War.

¹⁰ Not all nations have ratified the Geneva Conventions and Additional Protocols and are therefore not obliged to adhere to them except as stated in national policy.

an international character¹¹ occurring in the territory of one of the High Contracting Parties, each party to the conflict shall be bound, as a minimum, to these provisions and customary international law'.

- 1.15. **International human rights.** NATO forces and NATO-led forces always operate in accordance with international law conforming to international human rights as part of norms designed to protect and promote the human rights of all persons, particularly in times of armed conflict where there is increased risk of torture and inhuman or degrading treatment or punishment.¹² International human rights are reflected in a number of human rights treaties such as the Universal Declaration of Human Rights and the International Covenant on Civil and Political Rights (ICCPR) as well as in customary law.
- 1.16. **Gender perspective.** Gender perspectives need to be considered during all stages of a NATO operation; men and women must participate equally to achieve a comprehensive and enduring resolution.¹³ NATO is committed to fully implementing the United Nations Security Council Resolution (UNSCR) on Women, Peace and Security across all three of its core tasks. Gender inequalities are often exacerbated during periods of crisis and conflict and, if not addressed, may continue after the end of conflict.
- 1.17. **Use of force in international law.** There are three basic criteria in international law, under which NATO can act as an international political and military cooperation organization. These are: in collective defence against an attack on one of the member countries, as defined by the North Atlantic Treaty Article 5; as a crisis management tool, based on a United Nations Security Council (UNSC) provided mandate adopted under Chapter VII of the UN Charter (also referred to as the Charter); or based on an intervention by invitation of the legitimate government of the host-nation state. The inherent right to political independence, and respect of other states' territorial integrity, are two of the fundamental principles governing friendly relations between states in the international system. Consequently, in Articles 2(4) and 2(7), the UN Charter says: 'nothing contained in the present Charter shall authorize the United Nations to intervene in matters, which are essentially within the domestic jurisdiction of any state...and that all members shall refrain in their international relations from the threat or use of force against the

¹¹ An armed conflict not of an international character is described as 'protracted armed violence between governmental authorities and organized armed groups or between such groups within a state', as stated in the *Duško Tadić* case of 1997 by the International Criminal Tribunal for the Former Yugoslavia.

¹² Human rights are rights inherent to all human beings, whatever nationality, place of residence, sex, national or ethnic origin, colour, religion, language or any other status. These rights are interrelated, interdependent and indivisible.

¹³ See AJP-3.4.5, *Allied Joint Doctrine for the Military Contribution to Stabilization and Reconstruction* and PO(2013)0491, *Final NAC Approval of MC Advice on the Review of the Practical Implications of UNSCR 1325 for the Conduct of NATO-led Operations and Missions*, dated 18 October 2013.

territorial integrity or political independence of any state, or in any other manner inconsistent with the purposes of the United Nations'.

- 1.18. When NATO acts collectively, in accordance with Article 5 of the North Atlantic Treaty, it draws the legal framework for these actions from Article 51 of the UN Charter. Furthermore, Article 24 of the UN Charter lays down the responsibility of the UNSC to maintain international peace and security. In order to comply with this responsibility, the UNSC enjoys wide powers under Chapter VII of the Charter in that it may make recommendations, or binding decisions, when acting on situations endangering international peace and security.
- 1.19. Chapter VII of the Charter is an evolving process, in which the UNSC under Article 39 determines whether a situation constitutes a threat to the peace, and it may adopt binding resolutions under Articles 41 and 42 of the Charter, to initiate measures involving sanctions or use of armed force. UNSC may authorize international organizations, such as NATO, regional arrangements or agencies, or members of the UN, to use armed force to enforce measures taken in resolutions adopted under Article 42 of the Charter. When NATO, as an international organization, acts as a crisis management tool, NATO finds the additional legal framework for these actions in a specific UNSC resolution adopted under Chapter VII of the UN Charter; or based on an intervention by invitation or consent of the legitimate government of the receiving state.

Section 2 – Levels of operations

- 1.20. From a national perspective, the strategic level¹⁴ concerns applying the full range of national resources, across all instruments of power, to achieve policy objectives. It is the responsibility of the head of government and ministers. Within the Alliance, the strategic level concerns applying Alliance resources to achieve strategic objectives set out by the NAC. Operations by Allied joint forces are directed at the military-strategic level and planned and executed at the operational and tactical levels. Each level has specific responsibilities and their activities create desired effects and contribute to achieving the stated objectives. The relationship between the three levels is illustrated in Figure 1.2. This offers a general framework with which to plan and execute operations, and a useful tool to organize and consider political/military activity. This framework does not imply where decisions must be made. Events at one level cannot be isolated from another and the levels generally overlap.

¹⁴ Strategic level is defined as: *the level at which a nation or group of nations determines national or multinational security objectives and deploys national, including military, resources to achieve them.* (NATO Term – NATO Agreed.)



Figure 1.2 – The levels of operations

- 1.21. There is a difference of focus between command at different levels. The military strategic commander determines theatre or campaign objectives and allocates resources, as well as setting relevant freedoms and constraints. The operational commander determines subordinate operational objectives and directs the activities of assigned forces, in accordance with the plan, to achieve specific objectives. In practice, even this apparently clear distinction does not preclude an operational-level commander from receiving specific direction on what to do, as well as how to do it. This might be when there is a clear political imperative to intervene at a certain time, in a certain place or in a certain way.
- 1.22. **The military-strategic level.** At the military-strategic level, armed forces are deployed and employed within an overarching political framework as part of a collective strategy to achieve the strategic objectives of the Alliance. The Military Committee (MC) considers the realistic contribution that military force can make to achieve those objectives and provides potential military response options (MROs) to the appropriate political committee or group for consideration. In forming these MROs, the MC consults the Supreme Allied Commander Europe (SACEUR) to:
- identify the broad mission statement, strategic and military goals, and define the objectives that would constitute success;
 - recognize any political, financial or legal constraints on the use of force, which will probably vary between different Alliance partners;
 - define the force capabilities and the need for a strategic reserve;

- establish the outline command relationships and financial arrangements;
 - coordinate and integrate operations with the other instruments of power through CMI; and
 - analyze the military risks.
- 1.23. Should the NAC decide on a requirement for military intervention, it issues political guidance which authorizes the start of detailed planning. SACEUR develops the strategic-level operation plan (OPLAN) and any necessary support plans, outlining the mission financial arrangements plus command and control (C2) responsibilities. When endorsed by the MC and approved by the NAC, the operational-level commander receives the OPLAN to finalize the operational-level OPLAN prior to SACEUR approval.¹⁵ Thereafter, SACEUR monitors the operational-level planning and execution of the operation.
- 1.24. **The operational level.** The operational level is: *the level at which campaigns and major operations are planned, conducted and sustained to achieve strategic objectives within theatres or areas of operations.*¹⁶ The operational level links strategic objectives to tactical military activity. At the operational level and within a designated joint operations area (JOA), armed forces are deployed and employed in accordance with a strategy to achieve military-strategic objectives. Normally this requires sustained operations with often simultaneous and sequential actions by committed forces. It is at the operational level that tactical success in engagements and operations are combined to create desired effects to achieve strategic objectives and attain the NATO end state. This is achieved through understanding the strategic context and the outcomes sought and by applying forces effectively (where necessary, in coordination with other actors). To that end, the commander refines the OPLAN approved by the establishing authority, issues operation orders and directs operations. The commander will carry out the following.
- a. Analyze the mission and objectives and decide in what sequence these objectives should be achieved, while remaining sensitive to political considerations.
 - b. Allocate forces and resources (as necessary) to enable subordinate commanders to accomplish their missions.

¹⁵ Operation plan is defined as: *a plan for a single or series of connected operations to be carried out simultaneously or in succession. It is usually based upon stated assumptions and is the form of directive employed by higher authority to permit subordinate commanders to prepare supporting plans and orders. The designation 'plan' is usually used instead of 'order' in preparing for operations well in advance. An operation plan may be put into effect at a prescribed time, or on signal, and then becomes the operation order.* (NATO Term – NATO Agreed.)

¹⁶ NATO Term – NATO Agreed.

- c. Determine logistic and medical requirements and set priorities, in consultation with nations, for logistic and medical support provision to sustain operations.
- d. Direct the activities of those formations or units not delegated to subordinate commanders, especially those earmarked as operational-level reserves.
- e. Engage with other relevant actors in theatre.
- f. Determine the acceptable level of risk to the force and mission

1.25. **The tactical level.** The tactical level is defined as: *the level at which activities, battles and engagements are planned and executed to accomplish military objectives assigned to tactical formations and units.*¹⁷ At the tactical level, forces are employed to conduct military tasks to achieve military objectives. Successfully achieving these objectives will contribute to success at the operational and strategic levels.

Distinguishing the levels of joint operations

- 1.26. The distinction between the military-strategic, operational and tactical levels of joint operations is not always clearly defined. This is because even if a force is only of small tactical value, its employment may have a political context in relation to the providing nation. Conversely, the pursuit of strategic objectives will not always require deploying large and heavily equipped forces. Furthermore, the commander of the joint force may not have C2 of all military assets engaged within the JOA. Some assets, such as forces held in reserve for strategic engagement and special operations forces, may be controlled at the military-strategic level.
- 1.27. Recent operations, such as NATO's contribution to stabilization in Afghanistan, have been described as compressing or blurring the levels of operations. This happens because stabilization is inherently political at all levels and nations' instruments of power are employed not just at the strategic and operational level, but also at the tactical level. This enables the security effort to be synchronized with economic development and governance. Although the characteristics of the operational level may now manifest themselves at the tactical level, the nature of operational-level command has not changed; it is still defined by complexity not scale.

¹⁷ NATO *Term* – NATO Agreed.

Section 3 – Characteristics, principles and considerations of Allied joint and multinational operations

Characteristics

- 1.28. Understanding the characteristics of joint and multinational operations is key. These characteristics describe common elements; they are not absolute, but attract broad agreement as to their importance and relevance.
- 1.29. **Legitimacy.** The legitimacy of NATO will be a crucial factor for drawing support within the international community, contributing nations and the involved parties – including the civil community. The participation of partners and other non-NATO countries in a NATO-led operation would broaden the basis of international support. It is therefore necessary to execute crisis response operations in accordance with all applicable international law, including the principles of the UN Charter. Accusations against forces, which could compromise their legitimacy, are more easily refuted if the force's intentions and activities are made clear and are transparent to the international community and parties involved. A robust, clearly articulated and appropriately disseminated legal basis for a crisis response operation will bolster a force's legitimacy and give authority to its actions.
- 1.30. There are two aspects to legitimacy: the political legitimacy to initiate operations; and the perceived legitimacy established in theatre to execute a mandate successfully. The legitimacy for the operation is usually derived from the politically brokered international agreement. The most widely respected legitimacy, albeit not always easy to attain, is that conferred by a UNSC resolution; NATO should always strive to have UN backing as it is the best way to obtain legitimacy. Alternatively, regional agreement or consent from international organizations such as the African Union or the Organization for Security and Cooperation in Europe (OSCE) can provide for more timely, preventative or responsive action than might be possible through a UNSC resolution. Depending on the kind of operation, an invitation from the legitimate government of the country in which the operation will take place may provide the desired legitimacy. However, regional authorizations are vulnerable to perceptions of bias and may prove to be more sensitive to variations in international will. The 'mandate' is crucial to establishing NATO legitimacy, shaping the NATO response and determining the freedom of action allowed at the operational level to achieve objectives.
- 1.31. While the mandate confers legitimacy, a successful outcome may rely on agreements which establish compliance and consent for the duration of the operation. The manner in which operations are conducted, specific activities undertaken and expectations are managed will vary. When required, status of forces agreements (SOFAs) and host-nation support arrangements between NATO and host nations may contribute to perceived legitimacy. The commander must

always be aware that the perceived legitimacy of operations can be established and reinforced by the military, but can also be deliberately undermined by antagonists. Employed forces can lose legitimacy in various ways such as a belligerent faction simply deciding to remove consent and compliance unilaterally. The NATO-led force may also lose legitimacy if it does not meet local expectations. A loss of perceived legitimacy should be planned for by the commander. If lost, legitimacy must be re-established for the operation to progress.

- 1.32. **Multinationality.** NATO's forces and command structures will always be multinational. This demands high levels of interoperability and maximizing the use of capabilities, acknowledging that some capabilities are not maintained by all nations. NATO forces may also find themselves operating in a coalition with forces from outside the Alliance. Commanding multinational forces demands an attitude that is not only international in outlook, but also the willingness to understand differing national perspectives and how they relate to the common purpose. Building and maintaining cohesion in multinational operations poses a particular challenge, especially in the case of *ad hoc* coalitions. Contributing nations may have differing agendas and provide forces with varied degrees of fighting power, including different doctrine and incompatible equipment.
- 1.33. **Perseverance.** Perseverance ensures the commitment necessary to attain the end state. Perseverance also involves preparing for measured, protracted military operations in pursuit of the end state. Some joint operations may take years to reach termination. The underlying causes of the crisis may be elusive, making it difficult to achieve decisive resolution. Allied forces will often require patience, resolve and persistence in pursuing objectives to achieve success.

Principles

- 1.34. The following are the principles of joint and multinational operations.¹⁸ Understanding and applying these principles enables commanders and staff to approach problems coherently. For further detail on these principles, see AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.
- a. **Unity of effort.** Unity of effort emphasizes the requirement to ensure all means are directed to a common goal. Military forces achieve this principally through unity of command.
 - b. **Concentration of force.** Concentration of force means that combat power should be concentrated at a pre-selected time and place designed to achieve decisive results.

¹⁸ Background information on principles can be found in *The Principles of War*, Foch, Field Marshal Ferdinand, Henry Holt and Company, 1920.

- c. **Economy of effort.** Economy of effort recognizes that if concentrated strength is to be applied decisively, compromise may be necessary in areas of lower priority.
- d. **Freedom of action.** Freedom of action empowers commanders to pursue their designated missions and should minimize the restrictions placed upon them.
- e. **Definition of objectives.** Operations must be focused towards clearly defined and commonly understood objectives that contribute to attaining the end state.
- f. **Flexibility.** Plans and procedures should be sufficiently flexible to respond to the unexpected and to empower commanders with maximum freedom of action.
- g. **Initiative.** Initiative is about recognizing and seizing opportunities. A commander should be given the freedom to use initiative and should, in turn, encourage subordinates to do likewise.
- h. **Offensive spirit.** At the core of offensive spirit is the notion of a proactive mindset. This fosters confidence, encourages enterprise and a determination not to cede the initiative.
- i. **Surprise.** Surprise is to strike the adversary at a time or place or in a manner for which they are unprepared. Such action may achieve results disproportionate to the effort expended.
- j. **Security.** Security enhances freedom of action by limiting vulnerability to hostile activities and threats through active and passive security measures.
- k. **Simplicity.** Simple plans and clear, concise orders minimize misunderstanding and confusion.
- l. **Maintenance of morale.** Maintenance of morale is essential for operational success. High morale depends on good leadership, which instills courage, energy, determination, respect and care both for, and among, the personnel under command.

Operational considerations

- 1.35. The principles outlined above are, in turn, supported by the following operational considerations. They are always relevant; however, their relative importance will depend on the campaign or operation theme. Further detail is contained in AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.

- a. **Credibility.** A NATO-led force must be credible. A key factor in establishing credibility is to ensure that at all levels words match deeds and that any force deployed is perceived as professional and capable of fulfilling its mission.
- b. **Consent.** Promoting consent, and cooperation, from the host nation is a prerequisite for many operations. Before execution, any military force activity that may result in a loss of consent should be carefully balanced and assessed against the long-term objectives of the operation.
- c. **Mutual respect and understanding.** The respect in which the NATO-led force is held will be a direct consequence of its professional conduct. How the force treats the local population and recognized authorities, although it may enjoy certain immunities related to its duties, will be important to accomplish the mission.
- d. **Transparency.** The mission and concept of operations, as well as the end state, must be readily understood and obvious to all parties and agencies. Achieving a common understanding will remove suspicion and generate trust.
- e. **Freedom of movement.** Freedom of movement is essential for any operation. The mandate, SOFA and rules of engagement (ROE) must allow NATO forces to remain free at all times to perform their duties throughout the designated mission area without interference from any of the local groups and organizations.
- f. **Strategic communications.** StratCom integrates communications capabilities and functions, in concert with other military activities, to understand and shape the information environment and to inform, persuade or influence audiences to support NATO objectives.¹⁹
- g. **Environmental protection.** Environmental protection is defined as: *the prevention or mitigation of adverse environmental impacts.*²⁰ It is applying and integrating all aspects of environmental considerations to operations.

Section 4 – The nature of conflict

Enduring nature of conflict

- 1.36. The nature of conflict remains constant, but its character changes according to circumstances. The ability to exploit new technologies or the interconnected nature

¹⁹ MC 0628/x, *NATO Military Policy on Strategic Communications*.

²⁰ *NATO Term* – NATO Agreed.

of the international environment will depend on the organization, but the challenges facing Service personnel who deploy on operations remain unchanged.

- a. **Friction.** Friction is the force that frustrates action; it makes the simple difficult and the difficult seemingly impossible. Friction may be mental (indecision over what to do next) or physical (the effects of intense fire). Friction may be externally imposed (by the action of an adversary or the weather) and/or it may be self-induced (by a poor plan or clashes of personality).
- b. **Uncertainty and chaos.** Because conflict is a human activity, it is uncertain and chaotic. Incomplete, inaccurate or contradictory information creates a 'fog of war', which limits perceptions, can lead to uncertainty and causes confusion. Commanders should exploit chaos by imposing it on their adversary, yet bring greater order to their own activities; and they should expect their adversary to do the same. Understanding the nature of the operating environment and the adversary (how they think and how they might act and react) is a prerequisite of gaining advantage in chaos. Chance always plays a role in chaos and the exact outcome is always uncertain. Commanders must therefore seize and hold the initiative, but never take for granted that they have it.
- c. **Danger.** Force, whether applied or threatened, is the primary means by which a commander reaches a desired outcome. The application of force, or its threat, brings danger (the risk of wounding, death or capture) and with it fear. To a greater or lesser degree everybody feels fear; a commander has an important role to play, both in helping those they command to manage their fear, and using their adversary's fears to contribute to success.
- d. **Stress.** Combat is a stressful activity; the effects of danger, fear, exhaustion, loneliness and privation adversely affect, to a varying degree, the willpower of all those involved. To defeat an adversary militarily, it is necessary to erode the adversary commander's and forces' determination, while maintaining the resolve and morale of one's own forces. A commander should manage and mitigate stress on their own forces while imposing it on the adversary.

The components of fighting power

- 1.37. The ability of any actor to use, or threaten to use, force to achieve a desired outcome is dependent on their will to act, their understanding and their capability to act decisively. Together these determine an actor's effectiveness – their fighting power – and represent respectively its three interrelated components; moral, conceptual and physical. No component is more important than any other; for instance, it does not matter how advanced the platforms, weapons and sensors if the people operating them lack legitimacy, morality, motivation, doctrine and

training, or adequate leadership. Likewise, the three components are not independent; each overlaps with, and relies on, the others.

- 1.38. **The moral component.** Ultimately, it is humans that generate fighting power. The moral component of fighting power focuses on the force's legitimacy, ethical foundations, enthusiasm and conviction to fight, thus promoting an offensive spirit, initiative and a determination to accomplish the mission. Maximizing the moral component requires motivation, leadership and management, and the conviction that an operation is necessary to support the security or objectives of the force. The moral component may be negatively impacted by the lack of political or public support for the operation and, or, by poor leadership.
- 1.39. **The conceptual component.** The conceptual component provides a framework of thinking within which military personnel can develop understanding about both their profession and the activities that they may have to undertake. The conceptual component provides the intellectual basis for forces and preserves corporate memory, experience and knowledge. In doing so, the conceptual component reflects accumulated experience, improvements to existing practice (gained through operations, lessons and experimentation) and allows analysis of the future security environment. The conceptual component provides commanders with the ability to understand the context within which they operate and serves as the foundation upon which creativity, ingenuity and initiative may be exercised in complex situations.
- 1.40. **The physical component.** The physical component of fighting power is the means to fight. It has five elements: manpower; equipment; collective performance; readiness; and sustainability. It is the combination of the ships, land vehicles, aircraft, their associated weapons and sensors, and other equipment, together with the people that operate them and the training they undergo, both as individuals and as teams. It also covers effective deployment, sustainment and recovery of all five elements.

INTENTIONALLY BLANK

Chapter 2 – NATO in the global security environment

Section 1 – The purpose of the Alliance

The North Atlantic Treaty

- 2.1. NATO's essential and enduring purpose, set out in the North Atlantic Treaty,²¹ is to safeguard the freedom and security of all its members by political and military means in accordance with the United Nations (UN) Charter. The North Atlantic Treaty embodies the transatlantic link that binds Europe and North America in a defence and security alliance. Based on common values of democracy, individual liberty and the rule of law, NATO has provided for the collective defence of its members since its foundation in 1949.
- 2.2. To achieve this, the Alliance collectively uses all instruments of national power of the member states to meet the security challenges that face Alliance members. As the strategic environment changes, so too does the way in which the Alliance responds to security challenges. The Alliance continues to preserve stability throughout the Euro-Atlantic area through traditional tasks such as territorial defence and peace support. It is also evolving to meet the challenges of:
 - proliferation of nuclear weapons and other weapons of mass destruction (WMD) and their means of delivery;
 - terrorism, organized crime, conventional criminality and instability or conflict beyond NATO's borders;
 - cyberspace attacks;
 - threats to vital communication and transportation networks;
 - technology-related trends; and
 - key environmental and resource constraints.
- 2.3. NATO is an intergovernmental, rather than supranational, organization in which member countries retain their full sovereignty and independence. It serves as a forum to consider matters affecting members' security. NATO's structures facilitate continuous consultation, coordination and cooperation between members on political, military, economic and other aspects of security, as well as cooperation in non-military fields such as science, information, the environment and disaster relief.
- 2.4. The fundamental guiding principle of the Alliance is that of mutual security and cooperation; if any one member is threatened, all are affected. In signing the North

²¹ See North Atlantic Treaty Organization, *The North Atlantic Treaty*. Available at: http://www.nato.int/cps/en/natolive/official_texts_17120.htm.

Atlantic Treaty, every member makes a commitment to respect this principle, sharing the risks and responsibilities as well as the advantages of collective defence. This also means that aspects of defence planning and posture that members would ordinarily consider in isolation are undertaken collectively. The costs of enabling military forces to train and work effectively together are also shared. Without depriving members of a sovereign focus in defence, the Alliance enables all members through collective responsibility to exercise wider security objectives. Thus, while each member retains independence and the freedom to make their own decisions, by planning together and sharing resources they can enjoy a collective level of security far higher than any could achieve alone.

Military implementation of NATO's Strategic Concept

2.5. The Strategic Concept²² is the core document that establishes and reflects NATO's transatlantic consensus. It lays out the vision of an Alliance:

- able to defend its members against the full range of threats;
- capable of managing the most challenging crises; and
- better able to work with other organizations and nations to promote international stability.²³

Implementing the Strategic Concept by the military is: directing the missions and tasks of Alliance forces; establishing the principles for Alliance military structures; and amplifying capability development, capability delivery and transformation.²⁴

2.6. **NATO's core tasks.** NATO's three core tasks are:

- collective defence;
- crisis management; and
- cooperative security.

²² *Active Engagement, Modern Defence – Strategic Concept for the Defence and Security of the Members of the North Atlantic Treaty Organization*, dated 19 November 2010.

²³ At the political level NATO identifies two criteria under which operations are executed. These are collective defence (Article 5 operations of the North Atlantic Treaty – see Paragraph 0112 a.) and crisis response (often referred to as non-Article 5 operations). Crisis response operations are focused on contributing to effective crises management by the wider international community when there appears to be no direct threat to NATO nations or territories.

²⁴ MC 0400/3, *MC Guidance on Military Implementation of NATO's Strategic Concept*, 12 August 2013.

Each requires the Alliance and its members to have capabilities of sufficient quality and quantity to be able to conduct every type of operation the Alliance may commit to in the context of a comprehensive political, military and civil approach.

- a. **Collective defence.** NATO members will always assist each other against attack, in accordance with Article 5 of the North Atlantic Treaty.²⁵ Alliance military structures must therefore be able to:

- detect, deter and defend against any threat of aggression;
- maintain or restore the territorial integrity of Allied nations; and
- rapidly terminate armed conflict or aggression.

Operations conducted under this provision can vary by character, dimension and intensity.

- b. **Crisis management.** NATO has a unique and robust set of political and military capabilities to address the full spectrum of crises – before, during and after conflicts. NATO will actively employ an appropriate mix of those political and military tools to:

- help respond to and resolve crises that have the potential to affect Alliance security;
- stop ongoing conflicts where they affect Alliance security; and
- help consolidate stability in post-conflict situations where that contributes to Euro-Atlantic security.

Operations conducted under these provisions are not confined to NATO territory. They may be conducted globally, at all levels of intensity, and separately from the provision of Article 5 of the North Atlantic Treaty.

- c. **Cooperative security.** NATO is affected by, and can affect, political and security developments beyond its borders. The Alliance will engage actively to enhance international security, through partnership with relevant countries and other international organizations²⁶ and by contributing actively to arms control,

²⁵ Article 5 of the North Atlantic Treaty states: 'The Parties agree that an armed attack against one or more of them in Europe or North America, shall be considered an attack against them all and consequently they agree that, if such an armed attack occurs, each of them, in exercise of the right of individual or collective self-defence recognised by Article 51 of the Charter of the United Nations, will assist the Party or Parties so attacked by taking forthwith, individually and in concert with the other Parties, such action as it deems necessary, including the use of armed force, to restore and maintain the security of the North Atlantic area'.

²⁶ For example, the Berlin-Plus agreement which allows the European Union (EU) to call on NATO resources. Other examples are the Partnership for Peace programme (PfP), the Mediterranean Dialogue and the Istanbul Cooperation Initiative.

non-proliferation and disarmament. Encouraging membership in the Alliance by all European countries that meet NATO's standards will also increase its security. Military cooperation will seek to improve interoperability and support modernization through education, training, exercises and conferences.

NATO's contribution to a comprehensive approach

2.7. NATO's experiences in Afghanistan, Kosovo and elsewhere have shown that crises do not lend themselves to simple definitions or analyses. Military means, although essential, are insufficient to deal with such crises alone. These challenges demand a comprehensive approach by the international community, including the coordinated action of a range of military and non-military actors. The effective implementation of a comprehensive approach requires all actors to contribute with a shared purpose, based on a common sense of responsibility, openness and determination. NATO's engagement in a comprehensive approach to resolve crises is facilitated through civil-military interaction (CMI) which applies to all military bodies and at all levels.²⁷

- a. At the political and strategic level, NATO concentrates on building confidence and mutual understanding between international actors. A comprehensive approach aims to build closer links and liaisons with relevant organizations and actors, on a regular basis, while respecting the decision-making autonomy of each organization.
- b. At the operational level, the priority is to cooperate with other international, regional and local actors when planning for operations, in which a large degree of CMI will be required. To improve NATO's contribution to a comprehensive approach, an appropriate, civilian capability is necessary to interface more effectively with other actors and conduct appropriate planning in crisis management.
- c. At the tactical level, NATO force commanders must be empowered to conduct effective cooperation and coordination to execute operations. This should include working with international and indigenous local authorities and actors.

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

2.8. There are three goals to NATO's contribution to a comprehensive approach.

²⁷ See MC 0411/2, *NATO Military Policy on Civil-Military Cooperation and Civil-Military Interaction*, 12 May 2014. Civil-military interaction (CMI) is a group of activities, founded on communication, planning and coordination, that all NATO military bodies share and conduct with international and local non-military actors, both during NATO operations and in preparation for them. This mutually increases the effectiveness and efficiency of their respective actions in response to crises.

- a. Improve the coherent application of the Alliance's own crisis management instruments, including its military and political planning procedures.
 - b. Improve the Alliance's practical cooperation at all levels with partners, the UN and other relevant international organizations, governmental and non-governmental organizations (NGOs), contractors, commercial partners and local actors when planning and conducting operations.
 - c. Enhance the Alliance's ability to support stabilization and reconstruction (S&R) efforts in all phases of a conflict in concert with other actors.
- 2.9. The success of a comprehensive approach is dependent on a common sense of purpose and resolve, mutual understanding, collaboration and appropriate resourcing. This is predicated on the desired outcome achieving political agreement. A desired outcome is likely to involve aspects related to security, governance and economic development. The nature of a crisis may preclude defining a desired outcome at the start and, therefore, reframing the problem may be necessary once the desired outcome is confirmed.
- 2.10. A politically-agreed desired outcome is necessary for clarity on strategies and objectives; however, complete agreement between different actors may be difficult to achieve and, in that case, developing a shared vision or harmonization of effort should be pursued. Creating the conditions to achieve a desired outcome requires applying each of the instruments of national power. It also requires effective collaboration between military and non-military actors, across both NATO and a broad range of multinational institutions, agencies and organizations. Although implementing a comprehensive approach may vary between the levels of operation (strategic, operational and tactical), and from one crisis to another, a number of guiding principles apply.
- a. Proactive engagement between all actors, both before and during a crisis.
 - b. The importance of shared understanding engendered through cooperative working, liaison, education and a common language.
 - c. The value of collaboration, based upon mutual trust and a willingness to cooperate, promote institutional familiarity and information sharing.
 - d. Thinking focused on outcomes, ensuring that all actors work towards a common goal (or outcome) and ideally, mutually agreed objectives underpinned, in the absence of unity of effort, by harmonization of effort.
 - e. Acknowledging the decision-making autonomy of partner organizations.

- 2.11. From a military perspective, a comprehensive approach is founded on a shared situational understanding and recognition that sometimes non-military actors may support the military and *vice versa*. A military plan is most likely to succeed (in making a significant contribution to the desired outcome) when it is nested within a comprehensive approach, itself based upon a shared understanding of the problem and a commitment to resolve it. Unity of effort may be elusive and only harmonization of effort may be achieved. Only through negotiation will commanders and other actors be able to confirm responsibilities, resolve differences, facilitate coordination and create unity across a diverse multi-agency 'coalition'. Having terms of reference, memorandums of understanding or agreements at a high level provides some framework for coordination. Implementing a comprehensive approach requires sensitivity, rapport, respect, trust, patience and tact, as well as a willingness to collaborate with all actors, military and civilian, at all levels.
- 2.12. The role of the military force in achieving the desired outcome must be carefully considered since achieving military objectives will not necessarily lead to a desired political outcome. Understanding the role of military force is, therefore, essential for those directing the strategy (see Chapter 3). If the successful use of force leads directly to achieving the desired outcome, then it can be said to be decisive. But if the military contribution simply enables, or supports, achieving the desired outcome by others, then it is not decisive. In the latter case, it is essential to include those elements that are linked to military success from the outset. Failure to do so will, at best, lose the strategic initiative; at worst, it will result in strategic failure.

Section 2 – Strategic context

21st Century threats

- 2.13. Challenges to Alliance security will come from a wide variety of threats, both military and civil, and will be difficult to predict. Aggression against the Alliance, in particular at the edge of its members' territory, could affect the security of NATO members. Challenges including ethnic, political and religious rivalries, territorial disputes, conflict over resources, inadequate or failed efforts at reform, the abuse of human rights (including conflict-related sexual and gender-based violence) and the dissolution of states could lead to local and regional instability. The resulting tensions could create a wide range of consequences resulting in NATO being required to execute a wide variety of operations, potentially concurrently and at different scales. Threats could also affect Alliance security by spilling over into neighbouring countries, including those of NATO members, and could affect the security of other states.

- 2.14. The risk of state and non-state actors attempting to achieve their goals through destabilization exists.²⁸ In the operating environment, this implies a blurring of the boundaries between state and non-state actors (such as insurgents, terrorists and criminals) and NATO may confront an adversary who uses both conventional and unconventional warfare.²⁹ Military confrontations are rarely symmetrical. Adversaries normally differ in some regard, and sometimes significantly; this asymmetry may reflect differences of intent, doctrine, composition of forces, culture, technology and size. This materializes as an asymmetric threat. Any subsequent military confrontation could be a compound of coincidental or uncoordinated actors, or as a hybrid threat when used by an adversary in a simultaneous and coordinated manner together with non-military measures. These adversaries will use hybrid threats to exploit Alliance vulnerabilities wherever possible. Such adversaries may not be bound by Alliance nations' legal or ethical frameworks allowing them to challenge NATO in ways that are difficult to anticipate.
- 2.15. The spread of nuclear capabilities outside the Alliance constitutes a potential threat to stability in the Euro-Atlantic area. Additionally, proliferation of chemical, biological, radiological and nuclear (CBRN) weapons and devices in parallel with innovative delivery means remains a matter of serious concern. Despite welcome progress in strengthening international non-proliferation regimes, major challenges remain.
- 2.16. Weapons technology proliferation has increased access to sophisticated military capabilities. Adversaries now have the potential to acquire highly capable offensive and defensive air-, land- and sea-borne systems, theatre missiles and other advanced weaponry. In addition, the Alliance's growing reliance on information and information systems creates vulnerability to cyberspace attack, which may reduce or cancel NATO's superiority in conventional weaponry.
- 2.17. Any armed attack on the territory of the Allies may generate a response under Articles 5 and 6 of the North Atlantic Treaty.³⁰ However, Alliance security interests could be affected by other extant or emerging threats, and the various forums in the Alliance give member states platforms to discuss mutual security issues and coordinate responses under Article 4 of the North Atlantic Treaty. Such threats include political or economic pressure, acts of terrorism, sabotage, organized crime,

²⁸ See Allied Joint Publication (AJP)-3.4.5, *Allied Joint Doctrine for the Military Contribution to Stabilization and Reconstruction* for a discussion on the fundamental elements of a stable state and destabilizing factors.

²⁹ Unconventional warfare is defined as: *military activities conducted through or with underground, auxiliary or guerrilla forces to enable a resistance movement or insurgency to coerce, disrupt, or overthrow a government or occupying power.* (NATO Term – NATO agreed.)

³⁰ See North Atlantic Treaty Organization, *The North Atlantic Treaty*. Available at:

http://www.nato.int/cps/en/natolive/official_texts_17120.htm for the full text of The North Atlantic Treaty.

cyberspace incidents, uncontrolled movement of large numbers of people (particularly as a consequence of armed conflict), or disputes over vital resources.

2.18. **The evolving strategic environment.** The global strategic environment is an intricate and dynamic blend of cooperation, confrontation and conflict between states, groups within states and between other state and non-state actors. Any significant deterioration in relations may trigger a crisis, or constitute one. There will be a variety of factors that directly influence or cause change, as well as discernible patterns in that change. There are a handful of key strategic drivers of change: globalization of society; political geometry; demographic and environmental change; urbanization; and the impact of technology. The implication of these strategic drivers, and an examination of their military implications, provides some trends for defence and security.

a. **Globalization.** The process of globalization³¹ continues. Globalization brings:

- increasingly contested legal authority between sovereign and non-state bodies;
- accelerated access to information;
- weapons proliferation;
- opaque financial flows; and
- complex networks connecting diasporas and communities of interest.

It makes the possibility of discrete, localized conflict less likely and increases the likelihood of complex interconnected threats involving a range of state and non-state actors.

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

- (1) There is likely to be greater interdependence between states and a shift in influence from states to international organizations and networks or multinational corporations.
- (2) Alliance members may become more open as societies. They remain reliant on stable global security conditions, particularly with key trading partners.

³¹ The *Concise Oxford English Dictionary* defines globalization as: *the process by which businesses or other organizations start operating on a global scale.* (12th Edition, 2011.)

- (3) A greater interdependence between states will have benefits. For example, increased interaction should advance understanding, reducing the potential for interstate conflict. Conversely, interdependence may constrain or compel nations' actions under duress from third parties.
 - (4) Failed and fragile states may become a more persistent and pervasive threat. For example, non-state actors³² may exploit the vacuum caused by the deterioration in security, including with respect to the rule of law and transparent governance. There is potential to undermine the security of the Alliance in a world where concern for personal and collective security is gaining prominence over the defence of territory against conventional attack. A failed state that has little strategic significance in the traditional sense of resources or location can increase its strategic importance as a potential base for non-state actors. The Alliance may therefore choose, or be called upon, to intervene more frequently to stabilize dangerous situations in poorly or ungoverned territory. Any attendant rise in support for extremist groups will continue to involve the diplomatic, and potentially military, capabilities of Alliance nations.
 - (5) The technical and economic strength of NATO members and other developed states means that to compete effectively, adversaries are likely to stimulate innovation to achieve political objectives, including using unconventional warfare. Reaction to such threats must be coordinated across all instruments of national power which necessitates close liaison between multilateral networks and organizations.
- c. **Demographic and environmental change.** Demographic differences between the developing and developed world may widen.³³ This could lead to significant migratory pressures from one to the other, increasing ethnic, cultural and religious tensions and putting stress on employment and social welfare systems.
- (1) Competition for access to resources will continue, and global demand for energy resources in particular will intensify. Although oil and gas reserves are sufficient for the near future, their location and transportation will present security challenges for developed and developing nations alike. Starvation and water scarcity will remain a significant problem for areas of the developing world.

³² Including groups supporting transnational terrorism, human trafficking and organized crime.

³³ Some populations in developed countries will age and are likely to decline. Populations in developing countries will increase rapidly and rapid urbanization may challenge stability. Age and gender imbalances may exacerbate political and social tensions, especially among youth populations in developing countries.

- (2) Impoverishment and unequal resource distribution can lead to grievances, provoke extremists and offer opportunities for organized crime to exploit. Corruption and poor governance can compound these factors. Poverty, hunger and disease in the developing world contribute to increasing stress in the security environment.
 - (3) Poor resource distribution and lack of open and transparent governance in areas affected by demographic and environmental change may exacerbate tensions. This may increase migratory pressures and internal instability. As a consequence, NATO may receive requests to provide a military contribution in response to humanitarian crises.
- d. **Technology and military transformation.** Technology continues to be a key driver of change that will pose new threats and new opportunities. As access to technology becomes more widespread, there will be greater opportunities for adversaries to develop effective means for direct and indirect attacks against Alliance nations. Technology proliferation, such as information and communications, biotechnology and nanotechnology, will be led by industry rather than the military and, because of globalization, will be more accessible. Consequently, assuming a given level of political pressure and access to finance mechanisms, it will be easier for state and non-state actors to gain access to technology, including greater lethal power and CBRN weapons. Communication platforms will also be increasingly accessible to the media and the general public, and will be harnessed by both to enable faster and more comprehensive communications.

Military trends

- 2.19. **The future balance of military power.** The future balance of military power will be affected by several factors.
- a. **Global defence spending.** Relative changes in global defence spending may be an important component of the future balance of military power. Military budgets will impact defence capabilities which will affect the political aims, ambitions and influence of countries. Very few countries will have the economic means and political will to maintain large and technologically advanced armed forces.
 - b. **Weapons of mass destruction.** WMD and their means of delivery will proliferate significantly unless successfully controlled.³⁴ A limited number of countries may develop a nuclear weapons capability in the absence of

³⁴ NATO's *Comprehensive, Strategic-Level Policy for Preventing the Proliferation of Weapons of Mass Destruction (WMD) and Defending against Chemical, Biological, Radiological and Nuclear (CBRN) Threats*, 01 September 2009.

external intervention to prevent them, but a greater number could potentially acquire biological and chemical weapons. Ballistic delivery systems and counter-systems will proliferate³⁵ and extend in range. Non-ballistic systems and particularly non-military delivery mechanisms³⁶ will become more prevalent. In the event that non-state actors acquire WMD, they will be much harder to target (and therefore deter) than state proliferators, which could present a potential strategic security threat.

- c. **Posture and alliances.** NATO must have the full range of capabilities necessary to deter and defend against any threat to the safety of Alliance members. To that end, NATO will maintain an appropriate mix of forces.³⁷ NATO's goal is to enhance deterrence as a core element of its collective defence and contribute to the indivisible security of the Alliance.
- d. **Terrorism.** The Strategic Concept³⁸ and the declarations of the Lisbon 2010 Summit,³⁹ the Chicago 2012 Summit and Wales 2014 Summit make clear that terrorism continues to pose a real and serious threat to the security and safety of Alliance members. The multifaceted nature of terrorism is such that NATO has engaged in a number of initiatives – diplomatic, military, conceptual, technological and scientific – to address this issue. The Emerging Security Challenges Division within NATO deals with a growing range of non-traditional risks and challenges, including terrorism, in a cross-cutting manner.
- e. **Hybrid threats.** Hybrid threats occur where conventional, irregular and asymmetric threats are combined in the same time and space. Conflict could involve a range of transnational, state, group and individual participants operating globally and locally. Some conflicts may involve concurrent inter-communal violence, terrorism, cyberspace attacks, insurgency, pervasive criminality and widespread disorder. Adversaries may also choose a long-term strategy to avoid defeat rather than seeking victory, to try to outlast NATO's will and determination. Countering such hybrid threats may require a broader approach, employing integrated capabilities some of which may be unconventional in nature.⁴⁰
- f. **Cyberspace defence.** The NATO Strategic Concept highlights the need to develop NATO's ability to prevent, detect, defend against and recover from

³⁵ *The Emerging Security Challenges Under NATO's New Strategic Concept* – Brig Gen Panizzi, International Military Staff (IMS) Public Affairs and Strategic Communications Advisor, 16 November 2011.

³⁶ Such as civilian aircraft, ships or remotely piloted aerial systems.

³⁷ PO(2015)0580, *Political Guidance*, 16 October 2015.

³⁸ *Active Engagement, Modern Defence*, Strategic Concept Lisbon, 19 November 2010.

³⁹ *Lisbon Summit Declaration*, paragraph 39, 20 November 2010.

⁴⁰ See PO(2015)0580, *Political Guidance*, 16 October 2015.

cyberspace attacks. Such threats are rapidly increasing in frequency and sophistication. Threats emanating from cyberspace – whether from nations, factions and proxies,⁴¹ or non-state actors – pose a considerable challenge to the Alliance. NATO's policy for cyberspace defence:

- integrates cyberspace defence considerations into NATO structures and planning processes;
- focuses on the prevention, resilience and defence of critical cyberspace assets;
- develops robust cyberspace defence capabilities and centralizes the protection of NATO's own networks;
- develops minimum requirements for cyberspace defence of those national networks critical to NATO's core tasks;
- provides assistance to Allies to achieve a minimum level of cyberspace defence and to reduce vulnerabilities of critical national infrastructure; and
- engages with partners, international organizations, the private sector and academia.

2.20. **Types of adversaries.** Notionally, adversaries are expected to be drawn from three broad categories of protagonists: nations; factions and proxies⁴² within a state; and non-state actors.

- a. **Nations.** The ability of a nation to engage in armed conflict will remain the ultimate indication of state power. Any such armed conflict tends to be characterised by major combat operations (a series of battles and engagements), often requiring intense combat activity and high logistic consumption. Particular emphasis is placed on maintaining freedom of action and denying that freedom to an adversary. Major combat operations often involve large-scale manoeuvre by complex joint forces organized and commanded as functional components.
- b. **Factions and proxies.** Intra-state conflict will become more common as globalization broadens awareness of cultural friction, ineffective governance and the relative ease with which destabilizing groups can operate. Factions may attempt to prevent international engagement, or actively encourage it if the faction believes this may enhance its chances of success. Use of proxy forces may become common in conflicts, although these forces can prove

⁴¹ C-M 2011 0042, *NATO Policy on Cyber Defence and Cyber Defence Action Plan*, 7 June 2011.

⁴² There is no NATO definition for proxy or proxies. Dr G Hughes describes proxy as 'a non-state paramilitary group receiving direct assistance from an external power'. *My Enemy's Enemy – Proxy Warfare in International Politics*, G Hughes, Sussex Academic Press, 2012.

difficult to manage in military support to stabilization and reconstruction activities, particularly when reforming indigenous armed services and police forces (namely, security sector reform).

- c. **Non-state actors.** There exists potential for conflict between nations and armed non-state actors. The incentive for these non-state actors is to seek strategic effect and their ability to act internationally is increasing. State militaries and law enforcement agencies will be required to develop counter-capabilities to allow them to have an increased role in engaging such adversaries, both domestically, in their own overseas territories and abroad. This may involve seeking to disrupt or destroy armed organizations (including criminal), or to prevent (through support to diplomacy) or interrupt (by military means) state support to them. Where possible, this will be supporting state law enforcement agencies.

2.21. **Asymmetric threats.** Some of NATO's adversaries will seek ways to negate military advantage by undermining the Alliance's cohesion, will, credibility and influence by using unconventional warfare. The threat that such adversaries can pose both to Alliance forces and civil societies is termed 'asymmetric' because it is not possible for the Alliance to counter it in an equal way or by equal methods. This asymmetric threat is mainly defined by the:

- nature of an adversary – they may be difficult to recognize, identify and target, or unresponsive to attempts at negotiation;
- nature of an adversary's ideals and objectives where they are at odds with the Alliance members' own values, beliefs, priorities, and legal and moral constraints; and
- method that an adversary may employ to counter a qualitative and quantitative advantage.

Section 3 – Implications for the conduct of operations

Spectrum of conflict

2.22. NATO forces operate throughout a spectrum of conflict, where distinguishing clearly between peace and war is challenging. The evolution of conflict will continue to be unpredictable; its prevalence, scale and intensity will change along the conflict continuum from war, through inter- and intra-state conflict to, ultimately, peace. Its character will evolve through human experiences, innovation and the dynamics of conflict. NATO forces will confront a variety of situations and threats, both state and non-state, potentially concurrently and in the same operating environment. The relationship between cause and effect will remain difficult to predict. Therefore, the way commanders frame problems is becoming more important.

- 2.23. Adversaries of all types adapt quickly to opposing military strength and operating methods. Adversaries in regions with multiple persistent problems, using de-centralized command styles and an ability to exploit opportunities in heavily populated areas, are unlikely to present themselves in sterile battle space for precision attack. Conflict is less likely to end in clear 'victory' and it will be resilience and institutional agility that will define the Alliance's chances of success as much as technological mastery. History has shown that asymmetry is not new, but some of its modern manifestations are. Traditionally the Alliance has referred to a set of operational engagements, ranging from stable peace to general war. This implied that there are discrete types of conflict, with traditional 'war' against near-peers as the professional benchmark. This view overlooked the inevitable concurrency and unique challenges posed by conflicts that have different characteristics. These characteristics overlap and merge and can be visualized as a spectrum. Conflict can now be seen as a blurring of the distinctions between adversaries and the way they use force to achieve political goals, generating a spectrum of conflict in which the level of violence increases from stable peace to high intensity conflict. Future conflict is likely to blend the lethality traditionally associated with state-on-state conflict and the protracted nature of unconventional warfare.
- 2.24. International relations are characterized by complex interactions ranging from stable peace to high-intensity conflict. Within the spectrum of conflict, different types of operations develop, sometimes concurrently, depending on the context. These operations do not necessarily follow a linear progression. Figure 2.1 depicts the spectrum of conflict in relation to the level of violence. On the far left, stable peace is characterized by the absence of conflict, on the far right, there is high-intensity conflict. Within the spectrum, levels of violence are not clearly distinguished but both blend into one another and vary in space and time. Actors will perceive the level of violence differently depending on their perspective.



Figure 2.1 – The spectrum of conflict⁴³

- 2.25. NATO must be able to conduct the full range of its missions, from low- to high-intensity combat, including missions designed to deter conflict. At the extreme, NATO forces may be required to engage in warfighting against well-resourced opponents, with technologically advanced weapons systems and equipment. NATO forces should therefore be prepared, equipped and trained for the most complex and demanding of high-intensity warfighting operations. Interoperability is the key consideration for an effective Alliance warfighting force.
- 2.26. NATO forces may be confronted, possibly simultaneously, by groups or individuals operating in unpredictable and innovative ways, and employing tactics that have no regard for either international law or widely accepted norms of morality. Those engaging in this irregular activity⁴⁴ may exploit civilians to promote their aims and maximize the impact of their actions. Conducting operations where ‘the people in the streets and houses and fields – all the people anywhere – are the battlefield’,⁴⁵ the so-called war amongst the people, has significant implications for NATO forces. Positive identification is difficult and engaging opponents, particularly in urban areas, will heighten the risk of collateral damage, especially to vulnerable groups.⁴⁶ Furthermore, in challenging political and social contexts there is a requirement to shape behaviours and attitudes of the indigenous population. This is achieved by

⁴³ Operations can be described based on the size (or scale) of the NATO force involved (major and smaller operations, see CM(2011)0022, *Political Guidance*, 14 March 2011) and in terms of the foreseen intensity and frequency of the combat incidents (high/low intensity operations, see MC 400/3, *MC Guidance for Strategic Concept implementation*, 5 July 2013).

⁴⁴ Irregular activity is defined as: *the use or threat of force by irregular forces, groups or individuals, frequently ideologically or criminally motivated, to effect or prevent change as a challenge to governance and authority.* (NATO Term – NATO Agreed.)

⁴⁵ Smith, General Sir Rupert, *The Utility of Force – The Art of War in the Modern World*, Penguin, London.

⁴⁶ Women, children, refugees, internally displaced persons, and other groups in vulnerable situations are likely to be disproportionately affected.

fusing lethal and non-lethal capabilities to create both physical and psychological effects. For NATO forces to do this effectively, they need to understand the situation (its human context, the dynamics at play and the other agencies that could help to reach the desired outcome. NATO seeks to accomplish this through permanent and intensive CMI with civil-military cooperation (CIMIC)⁴⁷ as the main facilitator. Commanders at all levels must be proactive in interacting with the civil environment to improve understanding and responses to crises.

- 2.27. Information and intelligence collection, analysis, dissemination and sharing will be critical to anticipate and, potentially, prevent or contain conflicts. Intelligence processes include engaging with agencies not traditionally associated with operations, such as law-enforcement agencies, and non-traditional sources such as non-governmental actors. Understanding the operating environment and a proactive approach in the earliest stages of an emerging crisis is required. Many threats will be unconventional, and counter-intelligence activity and products play an important role in providing the necessary knowledge. The overall assessment will increase situational awareness and aid intelligence sharing and collaboration in rapidly evolving situations. An adaptable decision-making cycle may be necessary to shorten the time between the appearance of a risk, threat or opportunity and subsequent execution of an operation. When non-NATO military or security forces, international organizations and NGOs are to be part of an operation, any intelligence sharing arrangements must be agreed in advance.
- 2.28. The Alliance must be capable of operating under political, media and public scrutiny while maintaining the requirements for operations security. Increased public awareness brought about by greater access to information, coupled with the necessity to maintain domestic public support may lead to further constraints being placed upon the military, while simultaneously increasing the requirement to demonstrate rapid success. The public's response to casualties, whether civilian, Alliance or the adversary's, may also generate its own pressures. These factors and their associated legal codification will influence the military's application of force to satisfy accountability and proportionality requirements.
- 2.29. The Alliance structures itself for the most likely operations with the agility to adapt to the most demanding. The Alliance's military posture will continue to evolve to meet new threats and challenges. The posture provides the Alliance with a broad set of capabilities that enable it to project stability, reassure nations and partners, and deter adversaries and aggressors across the spectrum of conflict.
- 2.30. NATO forces might intervene in crises to:

⁴⁷ Civil-military cooperation is defined as: *CIMIC, a joint function comprising a set of capabilities integral to supporting the achievement of mission objectives and enabling NATO commands to participate effectively in a broad spectrum of CMI with diverse non-military actors.* (MC 411/2 – not NATO Agreed).

- strengthen, uphold or restore peace and security;
- re-establish governance and authority; or
- provide a military contribution to humanitarian assistance or consequence management.

NATO forces will usually be only one of the contributors. While different actors' respective goals may be broadly aligned, each will have different perspectives, priorities, motivations, mandates, timeframes, cultures and processes. These actors may include, in addition to multinational military forces, the indigenous population with their formal and informal authorities, media, diplomats, international organizations such as the UN, NGOs, private military and security companies, multinational companies and opportunists.

- 2.31. NATO must seek to influence these complex situations by applying the instruments of national power and complementary capabilities. Individually, each instrument is limited in terms of its influence. The likelihood of a favourable and enduring outcome is therefore enhanced through the careful use of all instruments in concert, using a comprehensive approach. What constitutes an appropriate combination of the instruments of power will depend upon the context.
- 2.32. Conflict will, however, remain inherently adversarial, dynamic and fundamentally human. The party that decides and acts first gains the initiative. This places a high premium on decision-making at the operational level. It also means that plans may become overtaken by events. This demands that commanders produce, as the norm, clear intent and clear, concise orders which minimize the restrictions placed on the force to enhance mission command and freedom of action.

Understanding

- 2.33. Crisis, conflict and war are inherently dynamic and frequently unbounded; they are subject to continual change, external intervention and other influences. Indeed, military activity alters the dynamics of a situation, precipitating intended and unintended consequences. Boundaries between the outcomes sought over time (and hence the role of NATO forces) may be blurred; they may change suddenly and very obviously, or more gradually, even imperceptibly.
- 2.34. Understanding is the perception and interpretation of a particular situation to provide the insight (knowing why something has happened) and foresight (being able to identify and anticipate what may happen) required for effective decision-making. Developed understanding will allow commanders and staff to:
- evaluate the context, leading to improved decision-making;
 - address the causes, as well as the symptoms;

- better support policy, strategy and plan development;
- develop an empathy and appreciation of the actors within an environment;
- better assist in developing partnerships or agreements;
- focus on the critical facets and forecast, to a certain extent, the development of the operating environment; and
- be influential.

2.35. Commanders should ensure that they establish and maintain an accurate understanding of the 'kind of war on which [NATO is] embarking'.⁴⁸ As every mission and context will differ (and be subject to dynamic tensions), prescribing a definitive understanding 'checklist' is not possible. However, commanders will want to understand:

- the strategic situation;
- the nature of the problem;
- the operating environment;
- the actors;
- NATO's desired end state; and
- the strategic- and operational-level objectives.

Since each conflict is likely to involve a different, and shifting, balance between offensive, defensive, stability and enabling activities, understanding needs to be constantly refreshed. NATO's actions will have intended and unintended effects (the latter may not always be positive) and these must be re-analysed and understood. Investment in developing understanding may involve forgoing speed of action in the initial stages, but such a sacrifice will underpin later progress.

2.36. It is important that commanders resist the temptation to consider the operating environment as fixed and requiring only one solution, even though it may seem so. Rather, they should continually review the balance between types of military activities over the course of a crisis, in terms of principal **purpose(s)** and the associated **weight of military effort** committed.

Operations themes

⁴⁸ 'The first, the supreme, the most far-reaching act of judgement that the statesman and commander have to make is to establish....the kind of war on which they are embarking.' Clausewitz, Carl von, *On War*, edited and translated by Michael Howard and Peter Paret, page 7, Princeton, NJ: Princeton University Press, 1976.

- 2.37. The character of the operation theme may demand different intellectual approaches and require different force packages. Experience demonstrates that a wide range of military activities is required simultaneously, rather than a single focus or sequential progression. Conducting successful operations is therefore likely to depend on understanding such simultaneity, how it evolves through the campaign/operation and how it affects planning and executing operations and activities. However, operations management consists of coordinating essentially the same set of fundamental military activities:
- offensive;
 - defensive;
 - stability; and
 - enabling.
- 2.38. To inform the planning and conduct of operations, it is desirable to define the operations theme. The theme affords an understanding of the general conditions of the operating environment and the main activities it will be necessary to conduct. It helps commanders and planners balance the military activities that comprise any operation, including organizing their forces and allocating resources. The next paragraphs describe operations themes. Although here they appear in succession, it should not be interpreted as suggesting that they are sequential in practice.
- 2.39. **Warfighting.** In warfighting, most of the activity is directed against a significant form of armed aggression perpetrated by large-scale military forces belonging to one or more states or to a well-organized and resourced non-state actor. These forces engage in combat operations in a series of battles and engagements at high intensity,⁴⁹ varying in frequency and scale of forces involved. The immediate goal is to ensure freedom of action at the expense of their opponents. The rhythm of operations is often high with high logistics consumption. States' armed forces may also use irregular and CBRN activities to support their conventional forces' military objectives. Operating in a context where warfighting is the predominant theme may be further exacerbated, perpetuated or exploited by irregular actors seeking to benefit from instability, whether through insurgency, terrorism, criminality or disorder.
- 2.40. **Security.** The transition from combat operations to multi-agency stability operations (to re-establish stability and prosperity, underpinned by the rule of law) is

⁴⁹ High intensity is defined as: *a mission is considered as high intensity if it encompasses any of the following situations:*

1. *actual or potentially frequent and large scale combat incidents.*
 2. *actual or potentially large scale combat incidents at low frequency.*
- actual or potentially frequent and small scale combat incidents.* (MC 400/3, MC Guidance for Strategic Concept implementation, 5 July 2013).

important to establish a perception of security. It is likely to be characterized not by attaining specific end states (such as absolute victory) but by incremental conditions-based outcomes (albeit they may reflect political direction to achieve particular goals according to a rough timetable). The mix of actors, and their respective motivations, will be highly dynamic. Conventional opponents, even once defeated, may re-appear or be reinforced by irregular activists; the threat they pose may need to be countered at the same time as re-establishing legitimate indigenous governance and authority. Pursuing the gradual transition towards stability, NATO commanders are likely to support the activities of other actors in protecting, strengthening and restoring civil society, governance, rule of law and the economy. Operating in a context where security is the predominant theme requires developing an increasing number of stability activities together with offensive and defensive activities. In this environment, the opponents are usually irregular forces (such as insurgents) and NATO forces may expect to conduct counter-insurgency (COIN) operations, contribute to stabilization and reconstruction operations, or a mixture of both.

- 2.41. **Peace support.** The peace support theme describes an operating environment following an agreement or ceasefire that has established a permissive environment where the level of consent and compliance is high, and the threat of disruption is low. Where peace support is the predominant theme, NATO commanders may expect to develop almost exclusively stability activities, even if ready for offensive and defensive activities. The purpose is to sustain a situation that has already met the criteria established by international mandate; the use of force by peacekeepers is normally limited to self-defence. Typical peacekeeping activities include interposition and protection, interim management of selected civilian administration functions and humanitarian assistance.
- 2.42. **Peacetime military engagement.** Peacetime military engagement encompasses those military activities involving other nations that are intended to shape the peacetime environment to encourage local or regional stability. This could include, for example, confidence-building measures including, where appropriate, deploying combat forces. Routine activity, such as bilateral or multinational training and exercises, and providing advisers and specialist training teams, may have both an immediate and a longer-term cumulative impact, reinforcing cooperation and promoting stability.

Types of operations

- 2.43. NATO operations are categorized with reference to essential characteristics that differentiate them from one another. Within the spectrum of conflict, all types of operations may be developed according to Alliance purposes. The same type of operation may take place at different points of the spectrum and be related to different themes depending on the level of violence faced in the operating

environment. For further detail see Allied Joint Publication (AJP)-3, *Allied Joint Doctrine for the Conduct of Operations*.

- 2.44. **Combat.** Combat operations may be required to directly defend NATO against an aggressor. Combat operations tend to be characterized by a series of battles and major engagements, and therefore involve intense activity and high logistic consumption. The tempo of activities is usually high, with a need to prioritize resources, generate additional fighting power and involve large-scale manoeuvre by complex and multi-faceted joint forces. Forces are generally organized and commanded as functional components.
- 2.45. **Crisis response.** Crisis response operations (CROs) include multifunctional operations, which contribute to conflict prevention and resolution, humanitarian purposes or crisis management towards declared Alliance objectives. CROs may be as demanding and intense as combat operations.
- a. **Counter irregular activities.** Counter irregular activities fall into three categories.
- (1) **Counter-insurgency.**⁵⁰ COIN is defined as: *comprehensive civilian and military efforts made to defeat an insurgency and to address any core grievances.*⁵¹ The military instrument is only one element of the comprehensive approach necessary for successful COIN, although the security situation may require the joint force to execute tasks that other organizations are better suited to conduct.
 - (2) **Counterterrorism.** Counterterrorism is all preventive, defensive and offensive measures taken to reduce the vulnerability of forces, individuals and property against terrorist threats and/or acts, to respond to terrorist acts.⁵² In NATO this can include measures to recover after such acts.
 - (3) **Counter-criminality.** Counter-criminality is the action focused on preventing organized criminal groups from escalating their activities to the point where they become a threat to Alliance members.
- b. **Military contribution to peace support.**⁵³ Operations contributing to peace support efforts impartially make use of diplomatic, civil and military means, normally in pursuit of UN Charter purposes and principles, to restore or maintain peace. Such operations include conflict prevention, peace

⁵⁰ See AJP-3.4.4, *Allied Joint Doctrine for Counterinsurgency* for more information.

⁵¹ NATO *Term* – NATO Agreed.

⁵² See MC 0472/1, *Military Committee Concept for Counter-Terrorism*.

⁵³ See AJP-3.4.1, *Allied Joint Doctrine for the Military Contribution to Peace Support* for further information.

enforcement, peacekeeping, peacemaking and peacebuilding.

- c. **Military contribution to humanitarian assistance.**⁵⁴ Humanitarian assistance consists of activities and tasks which relieve or reduce human suffering. Humanitarian assistance may occur in response to both natural and man-made disasters. Humanitarian assistance may also be necessary as a consequence of conflict or the flight from political, religious or ethnic persecution. Humanitarian assistance is limited in scope and duration and is designed to supplement or complement the efforts of the host-nation civil authorities, international organizations, NGOs and other civil actors.⁵⁵ The different types of military support to humanitarian assistance are disaster relief,⁵⁶ dislocated civilian support, security missions, technical assistance and support, and chemical, biological, radiological and nuclear consequence management.⁵⁷
- d. **Military contribution to stabilization and reconstruction.**⁵⁸ S&R is normally a civilian-led process that commonly takes place during, or after, crisis in states that have lost the capacity to govern themselves effectively. As such, it is best undertaken by those actors and organizations that have the relevant expertise, mandate and competences required, although there may be situations where the military is obliged to assume temporary responsibility for areas of stabilization and reconstruction such as replacing indigenous police forces with NATO stability policing assets.
- e. **Non-combatant evacuation.**⁵⁹ Non-combatant evacuation operations (NEO) are national diplomatic initiatives, with Alliance forces participating in a supporting role. NEOs are operations conducted to relocate (to a place of safety) non-combatants threatened in a foreign country.
- f. **Extraction.** Extraction operations may be described as missions where a NATO-led force conducts or assists in withdrawing military missions and units from a crisis region.

⁵⁴ See AJP-3.4.3, *Allied Joint Doctrine for the Military Contribution to Humanitarian Assistance* for further information.

⁵⁵ While not policy or doctrine, the following guidelines cover the use of military and civil defence resources deployed under UN control specifically to support humanitarian activities: *Guidelines on the Use of Foreign Military and Civil Defence Assets in Disaster Relief – Oslo Guidelines*, and *Guidelines on the Use of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies*.

⁵⁶ For more on disaster relief, see MC 343, *NATO Military Assistance to International Disaster Relief Operations*.

⁵⁷ See AJP-3.8, *Allied Joint Doctrine for Chemical, Biological, Radiological and Nuclear Defence*

⁵⁸ See AJP-3.4.5, *Allied Joint Doctrine for the Military Contribution to Stabilization and Reconstruction*.

⁵⁹ See AJP-3.4.2, *Allied Joint Doctrine for Non-Combatant Evacuation Operations* for further information.

- g. **Sanctions and embargoes.** In broad terms, enforcing sanctions and embargoes is designed to force a nation to obey international law or to conform to a resolution or mandate. Sanctions generally concern denying supplies, diplomatic, economic and other trading privileges, and the freedom of movement of those living in the sanctions area.
- h. **Freedom of navigation and overflight.** These operations are conducted to demonstrate international rights to navigate sea or air routes. Freedom of navigation is a sovereign right accorded by international law.

INTENTIONALLY BLANK

Chapter 3 – The strategic level

Section 1 – The political-military interface and the military component of strategy

- 3.1. Building and maintaining mutual trust and confidence between political decision-makers and military commanders is critical, especially in times of crisis or war. Open and honest communication is the key. Commanders should know how to take political advice, use it to make effective decisions and then persuade other leaders (as well as, potentially, the general population and the wider international community) of the coherence of those decisions. The effort required to maintain Alliance cohesion, persevere and satisfy the demands of public opinion may create significant tension for politicians and commanders alike.
- 3.2. The Military Committee, as the interface between the civil and military levels of NATO, provides military advice upwards and converts policy and political guidance into military direction downwards. It is at this level that strategic-political objectives are converted into supporting strategic-military objectives, with a desired end state. A commander may well require political advice, which could be provided either by a nominated adviser in the theatre of operations or by strategic guidance provided through the chain of command.
- 3.3. **The relevance of the levels of operations.** Defined levels of operations provide a framework for planning and executing operations, in particular as a tool for coordinating and orientating political and military activity. The key difference between military commanders at the strategic and operational levels is that the military-strategic commander, Supreme Allied Commander Europe (SACEUR), is concerned with translating guidance from political direction to establish strategic-military objectives and, finally, generate, deploy and sustain a military force. The operational-level commander is responsible for achieving the assigned objectives through military activity, in the context of contributing to a comprehensive approach, in the designated joint operations area (JOA).

Military strategy

- 3.4. Military strategy is defined as: *that component of national or multinational strategy, presenting the manner in which military power should be developed and applied to achieve national objectives or those of a group of nations.*⁶⁰ Military strategy is, therefore, an integral aspect of strategic-level planning. Military strategists face the same enduring challenges: how to develop, deploy, sustain and redeploy military forces to achieve policy objectives. Documents setting out a military strategy must contain an explanation of how the military strategy is to be integrated with other

⁶⁰ NATO *Term* – NATO Agreed.

non-military elements of the strategy,⁶¹ and how achieving military-strategic objectives relates to attaining the end state.

- 3.5. **The relationship between political and military objectives.** Political objectives will shape the military contribution to conflict resolution and may specify military priorities. Political objectives are not necessarily military specific. As such, the strategic commander will determine the military strategic objectives using guidance contained in the North Atlantic Council (NAC) initiating directive. NAC initiating directives contain the NATO end state, political objectives and the other guidance on specific military actions.
- 3.6. **The role of military force.** The role of military force in achieving strategic objectives and attaining the end state demands careful consideration and clear understanding by both the strategic- and operational-level commanders. The military will often create and maintain the conditions needed by other agencies to attain the NATO end state. It is extremely unlikely that military activity alone will achieve this. As part of the contribution to a comprehensive approach, it is vital to include those measures, be they diplomatic, informational or economic, which will reinforce military success and thereby maintain the strategic initiative.

Ends, ways and means

- 3.7. A successful military strategy hinges on the balanced application of **ends** (objectives), **ways** (broad approaches) and **means** (resources). Having decided on the strategic ends and the role of military force in achieving them, the means are allocated and the ways that are to be used are decided. There must be balance between all three otherwise risk increases, which may result in failure.
- 3.8. **Ends.** The core issue for commanders and staff is identifying the essential conditions that must be met to resolve the crisis or conflict on acceptable terms. However, at the strategic level, identifying a clear and enduring objective is not always possible. It may be challenging to reach agreement quickly on the desired end state in an Alliance founded on the principle of consensus. When strategic objectives are not clearly defined, initial planning must be conducted against broad guidance and informed assumptions. It is important to remember that the desired end state may not coincide with transitioning and terminating operations. A further possible complication is that nations supporting the Alliance may join the operation after the conflict has started (perhaps once certain conditions have been met) or leave a conflict before the coalition objectives have been achieved.
- 3.9. **Ways.** Given the objective and the resources, a plan is developed to make best use of the available means. The plan should include guidance on applying force to

⁶¹ See Chapter 2, NATO's contribution to a comprehensive approach.

achieve objectives (for example, rules of engagement) in concert with other instruments as appropriate. Planning should take into account the likelihood of changes to either ends or means, and contingencies that have been prepared. When considering ways to accomplish military tasks, it is useful to compile what restrictions apply to the force.

- 3.10. **Means.** Preparing the statement of requirements⁶² and executing the force generation process provides the means at a commander's disposal, although additional forces may be requested by a commander if they feel they are necessary. These means should be employed in ways that are coherent with the objectives.

Section 2 – The NATO Crisis Response System

- 3.11. **Purpose.** The purpose of the NATO Crisis Response System (NCRS)⁶³ is to provide the required preparedness and support for crisis and conflict prevention, and crisis management across the full range of NATO operations. Therefore, the NCRS is the overarching system for crisis management against which all planning processes should be designed. The system enables the Alliance and, where appropriate, non-NATO nations to prepare measures for, and respond to, the full range of threats allowing the Alliance to react in a timely, coordinated and discriminate manner.
- 3.12. **NATO's approach to crisis management.** The Alliance's Strategic Concept identifies crisis management as one of the core NATO tasks. It commits the Alliance to monitor and analyze the international environment continuously, to anticipate crises and, where appropriate, take active steps to prevent them from becoming larger conflicts. Where conflict prevention proves unsuccessful, NATO will be prepared for, and capable of, resolving crises. To this end, the Alliance's crisis management approach includes well-developed external consultation procedures, access to nations' military capabilities and civil emergency planning capacities. These are periodically tested through scheduled crisis management exercises. An important part of NATO's crisis management goals is the contribution to efforts by the wider international community to preserve or restore peace and prevent conflict. In this context, NATO can contribute to peace support on a case-by-case basis under the authority of the United Nations Security Council or the Organization for Security and Cooperation in Europe, including the commitment of Alliance resources and expertise. NATO can also offer to support European Union

⁶² See Allied Joint Publication (AJP)-3, *Allied Joint Doctrine for the Conduct of Operations* and AJP-4, *Allied Joint Doctrine for Logistics* for more detail.

⁶³ C-M(2001)63, *NATO Crisis Response System (NCRS): Policy Guidelines*.

(EU) Common Security and Defence Policy operations through activation of the Berlin Plus agreement.⁶⁴

- 3.13. Even before conflict arises, demonstrable military capability and measured power projection will contribute to deterrence to dissuade would-be aggressors from acting against the interests of any Alliance member. Faced with either an imminent crisis or a more gradual deterioration in relations within or between states, NATO forces may be required to prevent further deterioration in security. Focused military intervention may supplement or replace deterrence with more assertive coercion and conflict prevention activities. During periods of cooperation and confrontation, the focus is likely to be on deterrence and coercion; once conflict develops however, emphasis shifts to compliance by applying force.
- 3.14. In broad terms, **striking** an opponent to remove their means and motivation to undermine security must be combined with subsequent, or possibly concurrent, **stabilizing** of the overall crisis situation. To be successful, some level of assurance of future security must accompany any threat removal.
- 3.15. Immediate post-conflict military activity seeks to re-establish and maintain security to enable stabilization. Stabilization is not an exclusively military endeavour; it requires a comprehensive response, with the military most likely to be in a supporting role. NATO military forces are likely to focus on reducing the causes of conflict and instability, and enabling the other instruments of power to restore host-nation governance, capacity and authority, thereby ensuring that conditions do not again provoke conflict. Achieving these interrelated objectives of security and stability will require applying military effort to a variety of potentially concurrent activities.

Components of the NATO Crisis Response System

- 3.16. The NCRS consists of five components.
- a. **Preventive options.** Preventive options are broad orientations or courses of action, for consideration by the senior NATO committees with designated crisis management responsibilities.⁶⁵
 - b. **Crisis response measures.** Crisis response measures are detailed

⁶⁴ The Berlin Plus agreement allows the European Union (EU) to make use of NATO assets and capabilities for EU-led crisis management operations. This agreement, amongst other things, includes: assured access to NATO planning capabilities for EU-led operations; procedures for release, monitoring, return and recall of NATO assets and capabilities; terms of reference for using NATO's Deputy Supreme Allied Commander Europe (DSACEUR) for commanding EU-led operations; and consultation arrangements for capability requirements.

⁶⁵ Political and Partnerships Committee, Operations Policy Committee, Military Committee, and Civil Emergency Planning Committee.

pre-planned actions available for immediate implementation at the appropriate levels.

- c. **Counter-surprise.** Counter-surprise comprises those defensive military and civil actions that must be taken quickly to ensure safety of forces, populations or key installations, both military and civilian, in case of attack or imminent attack with limited warning.
- d. **Counter-aggression.** Counter-aggression comprises actions intended for, but not exclusive to, Article 5 operations. It marks the transition from a condition of preparation or readiness to one of employing authorized NATO military force against an adversary or adversaries who are conducting or actively supporting aggression against NATO.
- e. **NATO security alert states.** NATO security alert states are those counterterrorism and counter-sabotage measures that may be adopted by NATO commands and member states to counter specific security threats.

The NATO Crisis Management Process

- 3.17. The NATO Crisis Management Process (NCMP) is primarily designed to allow NATO staffs and committees to coordinate their work. It enables them to submit advice to the North Atlantic Council (NAC) in a coherent way to facilitate strategic decision-making.⁶⁶ The NCMP provides a procedural structure that allows SACEUR to undertake prudent preparatory planning activities against a developing or actual crisis and, subsequently, to provide strategic assessments, advice and to undertake operations planning.
- 3.18. The NCMP consists of the following phases that generally conform with the cycle of a crisis.
 - a. **Phase 1.** Indications and warnings of a potential or actual crisis.
 - b. **Phase 2.** Assessment of the developing situation or reassessment of an ongoing crisis situation and of its potential or actual implications for Alliance security.
 - c. **Phase 3.** Develop recommended response options to support NAC decision-making throughout the crisis.

⁶⁶ The military supports this process through the operations planning process. See MC 133/4, *NATO's Operations Planning*, 7 January 2011.

- d. **Phase 4.** Planning.⁶⁷
- e. **Phase 5.** Execution of council decisions and directives.
- f. **Phase 6.** Transition and termination of NATO's crisis management role.

Translating strategic intent into objectives

- 3.19. The political decision for NATO to act is addressed through the NAC. The output of the NAC is broad agreement between all member nations, and often with international organizations such as the United Nations, as to what can realistically be achieved, by whom and in what timeframe. The NAC's aspirations are then translated into a firm intent or NATO end state. The product of this process is a NAC initiating directive.
- 3.20. NATO's strategic objectives are achieved through NATO's political and military structures. Military-strategic objectives are developed or extracted from the strategic objectives; these military-strategic objectives are then owned by SACEUR.
- 3.21. National and NATO military authorities must ensure that an operational-level commander receives the resources and command authority required to achieve operational objectives. They should also ensure that commanders are allowed sufficient flexibility and freedom of action for planning to meet changing circumstances within the JOA.
- 3.22. National and NATO military authorities have a collective responsibility for planning and executing NATO's operations. Their responsibilities include interpreting political objectives to facilitate the development of military-strategic objectives, and to sustain operations. National and NATO military authorities should also prepare contingency plans to cover possible changes in the political and military-strategic situation.

⁶⁷ See Chapter 4, Section 2.

Chapter 4 – Joint operations

Section 1 – The elements of joint operations

- 4.1. NATO recognizes that military success relies on a joint effort, usually with components and other force elements brought together under a unified command structure. Few operations are carried out by a single component. The essential point is that successful joint campaigns and operations require a comprehensive approach to maximize the overall effectiveness of the joint force. This will ensure making the best use of the complete range of capabilities.
- 4.2. In the force generation process, the capabilities needed for the operation are selected based on national capabilities and other specific agreements to provide forces. The contributions of the components and other force elements, and the force generation process are described in detail in Allied Joint Publication (AJP)-3, *Allied Joint Doctrine for the Conduct of Operations*.

Stages of a joint operation

- 4.3. A joint operation normally consists of a number of stages which are:
 - analysis (the environment, the problem and operational approach);
 - developing an operation plan (OPLAN);
 - force generation and preparation, including build-up, assembly and pre-mission training;
 - build-up of logistic and medical support;
 - deploying to the area where operations are to be conducted, or to reinforce or replace in-place forces;
 - execute operations;
 - assess and review, and adjust the conduct of operations as required;
 - operation (mission) termination and transition;
 - re-deploy forces; and
 - identify lessons.
- 4.4. These stages can exist continuously or concurrently throughout an operation. It may be necessary to repeat some stages. It is essential to consider all stages. A commander should have, within the direction imposed by the establishing authority, the greatest possible freedom of action to plan and execute operations.

Joint functions

4.5. The joint functions are a framework that provides the commander and staff a means to visualise the activities of the force and to ensure all aspects of the operation are addressed. They are a point of reference, as well as a description of the capabilities of the force. The commander needs to consider the joint functions, both when determining the capabilities required for a joint force and when conducting the operation. The joint functions are:

- manoeuvre;
- fires;
- command and control;
- intelligence;⁶⁸
- information activities;⁶⁹
- sustainment;⁷⁰
- force protection;⁷¹ and
- civil-military cooperation (CIMIC).⁷²

A detailed description is in AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.

Multinational and multi-agency cooperation

4.6. NATO always prepares to operate with traditional partners, but it is also required to operate with other, less familiar, forces, actors and agencies in a coalition. In a multinational and multi-agency environment, mutual confidence is essential; this confidence stems from the following.

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

⁶⁸ See Allied Joint Publication (AJP)-2, *Allied Joint Doctrine for Intelligence, Counter-Intelligence and Security* for detail.

⁶⁹ See AJP-3.10, *Allied Joint Doctrine for Information Operations* for detail.

⁷⁰ See AJP-4 series for logistics and medical support detail.

⁷¹ See AJP-3.14, *Allied Joint Doctrine for Force Protection* for detail.

⁷² See AJP-3.4.9, *Allied Joint Doctrine for Civil-Military Cooperation* for detail. This AJP will be re-titled AJP-3.19 after its next review.

- b. **Respect and trust.** Mutual trust in the professional ability, and respect for the culture, history, religion, gender, customs and values of participants will serve to strengthen relationships. Respect and trust cannot be assumed or quickly implemented – they must be developed over time.
- c. **Knowledge of partners.** It is important to be as knowledgeable about friendly forces as about those of the adversary. Time taken to understand the doctrine, capabilities, aspirations and limitations of partners will enhance the effectiveness of joint operations.
- d. **Patience.** Effective cooperation may take time to develop. Differences of opinion and perspective will require patience to resolve into a focused and unified approach.
- e. **Effective communication.** Communication between partners supports interoperability and enhances cooperation. Communicating effectively helps diverse actors to understand the issues and make effective decisions.

Factors and considerations in joint operations

- 4.7. **Civil-military interaction and civil-military cooperation.** Military activities are seldom entirely successful in creating, and sustaining, desired effects without the involvement of non-military actors. The military commander's aims and methods should be, at a minimum, harmonized with those of supporting civilian agencies as part of the contribution to a comprehensive approach. Civil-military interaction (CMI) is key to this. CIMIC, as a joint function, is the main facilitator of CMI.
- 4.8. **Media.** A proactive approach to the media is an important consideration during all stages of an operation. Joint forces deal with the media at all levels, and require support from a NATO information strategy or strategic communications framework.⁷³ Commanders should consider establishing a media information centre to facilitate media interaction and monitor informal media activities. The information strategy and associated media access must not compromise operations security requirements.
- 4.9. **Rules of engagement.** The rules of engagement (ROE)⁷⁴ are authorized by the North Atlantic Council (NAC) on approval of the operation plan. Subsequent changes to the ROE profile will need to be proposed to Supreme Allied Commander Europe (SACEUR) via the joint force commander for NAC approval. ROE define the degree and manner in which force, or actions which might be construed as provocative, may be applied and are designed to ensure that applying such force is

⁷³ See PO-0141-2009, *NATO Policy on Strategic Communication*, MC 0628/x, *NATO Military Policy on Strategic Communications* and MC 457/2, *NATO military Policy for Public Affairs*.

⁷⁴ See MC 362/1, *NATO Rules of Engagement* for detail.

carefully controlled. Although an action conforming to properly promulgated ROE is inherently lawful, commanders and on-scene leaders must use their discretion to determine whether a particular use of force, even if permitted by ROE, is the best course of action under the prevailing circumstances.⁷⁵

- 4.10. **Maximizing the force's capability.** The commander will consider the integration, synchronization and coordination⁷⁶ of effort of the force. This aims to exploit fully the complementary nature of the force components and the potential synergy of the force, both internally and with other actors and agencies, in executing joint operations.

Section 2 – Operational art, operations framework and planning

- 4.11. Joint operations demand a way of thinking and specific processes that, together, enable the effective use of military capability (as part of the contribution to a comprehensive approach) to achieve objectives and to attain the desired end state. The approach to such operations requires that the commander:

- takes a long-term view about the underlying causes and symptoms of conflict;
- focuses on the outcomes as well as the conditions required to realize them;
- plans and executes operations in concert with the other instruments of power, where practicable;
- embraces collaborative engagement with those agencies sharing the same purpose to resolve the situation;
- considers the entire situation, recognizes that it may change, and that it can be non-linear and unpredictable;
- conducts continuous analysis and assessment to deepen understanding of changing environments and modifies planning and execution accordingly; and
- selects and executes the best approach to ensure success (this can be direct or indirect – the indirect approach is often described as the manoeuvrist approach – depending on the prevailing circumstances).

⁷⁵ All actions are conducted according to the principles of military necessity, humanity, distinction and proportionality. See AJP-3.9, *Allied Joint Doctrine for Joint Targeting* for more detail.

⁷⁶ See AJP-3, *Allied Joint Doctrine for the Conduct of Operations* for details on synchronization and coordination processes.

Operational art

- 4.12. Operational art⁷⁷ is employing forces, in concert with other agencies, to achieve strategic and operational objectives through the design, organization, integration and conduct of strategies, campaigns, major operations and battles. This includes transitioning and terminating NATO's crisis management role. Operational art embraces a commander's ability to take a complex and often unstructured problem and provide sufficient clarity and logic (some of which is intuitive) to enable detailed planning and practical orders. A commander's approach is as much art as science. They gain an understanding of the context through analysis of the situation, including both the overt symptoms and underlying causes of conflict. Thereafter, awareness of a situation, and a feel for how it is being changed by military activity and other influences, is cultivated and maintained by continual assessment. Operational art is therefore realized through combining a commander's skill and the staff-assisted processes of operations design and operations management.
- 4.13. Operational art is not a purely mechanistic process. There is a significant human dimension focused on the commander and the reach that they are able to extend through their leadership across the theatre of operations, including beyond the joint force. Operations design and management draws extensively from the commander's intent to guide and focus staff effort. A commander has to balance the time it may take to develop understanding of the breadth and depth of the problem with the requirement to produce clear direction and plans in time for effective execution.
- 4.14. **Operations design.** Operations design frames the environment and the problem, and then develops an operational approach that gives a comprehensive logic to the campaign or operation, while synchronizing the joint functions with the objectives. It also refines a commander's ideas – the commander's vision of how the operation will unfold – to provide detailed plans. Operations design continues throughout an operation, adapting to changing circumstances, understanding and guidance. While the planned and intended relationship between actions, effects and decisive conditions is an important one, it is not fixed. Continuous review and refinement are critical aspects of operations design.
- 4.15. **Operations management.** Operations management integrates, coordinates, synchronizes and prioritizes operations execution and assesses progress. Operations management translates the operations design into action by applying joint functions combined with the staff process (battle rhythm). Assessing the course of the operation and then acting to modify the plan to meet assigned

⁷⁷ See AJP-5, *Allied Joint Doctrine for the Planning of Operations* for more detail.

objectives in light of changed circumstances should be the main way in which a commander commands the joint force.

Operations framework

- 4.16. The operations framework comprises the following joint core activities: shape; engage; exploit; protect; and sustain. They help the commander to visualize how activities relate to one another within the operation. Military activities should not be viewed as sequential or separate, distinct phases; the key is to maintain a clear focus on success, balancing the need to be bold and decisive within the prevailing circumstances. Based on a sound understanding of the operation, these core activities also enable a commander to describe how subordinates' missions relate to each other in purpose, time and space.
- 4.17. **Shape.** Shaping is manipulating the operating environment to the Alliance's advantage and to the disadvantage of an adversary. Successful shaping operations may also effectively deter an adversary and thereby prevent a developing crisis. Shaping includes identifying those areas where Alliance strengths can be exploited and information superiority attained while the adversary's strengths are minimized. Deterring or threatening an adversary throughout their depth, while using coordinated information activities can seriously undermine their understanding of the environment and reduce their freedom of action.⁷⁸ Simultaneously, and acting within the wider political context, the legitimacy and justification for the use of force should be conveyed to build and maintain support for friendly actions in domestic and other audiences.
- 4.18. **Engage.** The decisive element of an operation will usually involve some form of offensive action against the fighting power of adversaries. It will be difficult to determine how to attack the fighting power of non-traditional military forces, such as dispersed insurgent groups; nevertheless, there will normally be some form of coordinating organization, however loose knit and dispersed.⁷⁹ The main contributors to this joint core activity are manoeuvre, fires and information activities.
- 4.19. **Exploit.** A commander should exploit opportunities to seize and retain the initiative, or regain it once lost, to accomplish the mission. Making the most of such opportunities, whether created through successful engagement or arising through chance, relies upon a commander's ability to generate the means to exploit them. More broadly, it involves: identifying or creating opportunities; having or obtaining

⁷⁸ See PO-0141-2009, *NATO Policy on Strategic Communication* and MC 0628/x, *NATO Military Policy on Strategic Communications*.

⁷⁹ In a situation where there is no clear adversary, this might be the **object** of the mission, namely, the thing which provides the greatest resistance to the mission and in this sense is 'affect' rather than 'attack'.

the means and will to exploit those opportunities; and achieving a higher tempo relative to the adversary.

- 4.20. **Protect.** At the same time as attacking the adversary, the Alliance force must protect itself. Those elements of an adversary which a commander seeks to engage – will, understanding and capability - are also those elements of the joint force which require protecting. One of the key protection challenges is defensive cyberspace operations; this is an area of increasing vulnerability, directly proportional to NATO's levels of dependence on such systems.
- 4.21. **Sustain.** Sustainment of operations underpins the freedom of action available to a commander to shape, engage, exploit and protect. This includes:
- deployment and redeployment;
 - assembly and movement of reserves or echelon forces;
 - rotation, replenishment and rehabilitation;
 - host-nation support;
 - contracting and contracted support; and
 - establishing operating bases and lines of communication.

Although sustaining operations is most readily associated with the physical component of fighting power, it has an equally important impact on the moral component.

Planning

- 4.22. Planning is a continuous iterative process that responds to the evolving operating environment and the wider military-strategic context. Its purpose is to develop an operation plan (OPLAN). Planning, like all of NATO's activities, is command focused and should be collaborative, with contributions from military and non-military actors and agencies.⁸⁰
- 4.23. The sequence of activities for the planning of operations is shown below. This sequence applies to all types and to all levels of operations.
- a. Initiation, which may be formal on receipt of a NAC initiating directive or planning guidance, or informal as a response to a change in the situation.
 - b. Mission analysis, which leads to the commander's intent.

⁸⁰ See AJP-5, *Allied Joint Doctrine for the Planning of Operations* for further detail.

- c. Course of action (COA) development, including testing possible COAs.
- d. COA analysis, including wargaming.
- e. COA validation and comparison, using pre-selected criteria.
- f. COA selection and approval by the commander.
- g. Concept of operations (CONOPS) and plan development.

Section 3 – Operations continuity

- 4.24. Successful command in an enduring operation should be judged in the longer term. Commanders should consider the threats and risks to continuity during the planning process. Operations continuity does not imply avoiding changes to the operational concept, tactics, techniques or procedures. However, it should not be routinely necessary to re-design an operation each time commanders or forces rotate; an understanding of the reasoning behind inherited plans should take place before changes are made. Measures should be built into operations design and management, operation plans and their execution to mitigate any threats and risks to continuity.
- 4.25. **Headquarters continuity.** In an enduring operation, establishing a theatre headquarters is usually desirable, but must be conditions-based. The merits of a theatre headquarters must be judged against the intensity of operations, the phase of the operation and whether the headquarters is static or manoeuvring. A principal advantage of a theatre headquarters is that it enables understanding of the operating environment through operations continuity. This will add coherence to planning, execution and training. However, these structures can take time to develop, are difficult to establish in a hostile or uncertain environment, and depend on the likely longevity of an operation. In less permissive environments, or without agreement on the enduring nature of an operation, headquarters can be drawn from standing deployable formations on a rotational basis.

Chapter 5 – Command and control of joint operations

Section 1 – Command philosophy

5.1. Command is an intrinsically forceful, human activity involving authority as well as personal responsibility and accountability. Command philosophy has four facets:

- a clear understanding of the superior commander's intent;
- a responsibility on the part of subordinates to meet that intent;
- the importance of making a timely decision; and
- a determination, on the part of the commander, to see the plan through to a successful conclusion.

This philosophy promotes a decentralized style of command based on freedom and speed of action, and initiative, while remaining responsive to superior direction. This style is commonly referred to as mission command. However, the philosophy is flexible enough to allow commanders to exercise detailed command and command by veto according to the prevailing situation and type of joint force.

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

5.3. **Decision-making.** The commander makes the decisions. Developing an instinctive awareness of the operating environment will help the commander to make decisions. A commander's focus should be on the quality, timing and the understanding of that decision by subordinates and staff. Decision-making requires an effective methodology. To make the necessary judgements, a commander relies upon the staff to provide the information they need, in time to make the requisite changes and communicate them to subordinates, superiors, partners and other interested parties while retaining the initiative. Success relies upon this combination of momentum, tempo and agility. Information, especially that emanating from assessment, is a critical enabler. The primary role of the staff at any level is to assist the commander in timely decision-making by acquiring, analyzing and

coordinating information. Most importantly, they then present the essential information, with a recommendation, for decision-making.⁸¹

- 5.4. **A commander's relationship with their staff.** The force of the commander's personality, leadership, command style and general behaviour will have a direct bearing on the morale, sense of direction and performance of their staff. Thus, commanders will need to take the measures outlined below.
- a. Set standards and be clear as to what they expect from their staff. The reciprocal duty of all staff, at any level, is to state the truth.
 - b. Create and maintain a climate that encourages subordinates to think independently and to take the initiative. Encourage timely action and a willingness to take measured risks in the pursuit of significant advantage. Ensure that the staffs understand that they serve those subordinate to them.
 - c. Create a climate of mutual loyalty and respect. Commanders should be able to tolerate 'loyal opposition' and staff should feel confident to challenge a commander's ideas.
 - d. Foster a sense of involvement in decision-making and shared commitment; empower where appropriate. Pay particular attention to the delegated authority and responsibility within the core team.
- 5.5. **The personal dimension.** Command is personal; there is no single formula or right combination of qualities. Important though a commander's personal qualities may be, judgement is paramount. It is important, therefore, that strategic-level commanders have a choice of whom they select to command operations to fit the circumstances. To be effective, an operational-level commander should have the confidence of superiors, subordinates and allies. In other circumstances, trust and the ability to build or contribute to a disparate coalition may be more valuable. Ideally, a combination of trust and confidence is required. These considerations may also affect the tasks an operational-level commander gives their subordinates, which are especially sensitive in a multinational context.

Command and control terminology

- 5.6. The terms command and control are not synonymous, although they share a close relationship and they are commonly used together.
- a. **Command.** Command is defined as: *the authority vested in an individual of*

⁸¹ See Allied Joint Publication (AJP)-3, *Allied Joint Doctrine for the Conduct of Operations* for detail regarding decision-making and military risk.

*the armed forces to direct, coordinate, and control military forces.*⁸² It is how a commander impresses their will and intentions on subordinates to achieve particular objectives. It encompasses the authority and responsibility for deploying and assigning forces to fulfil their missions. Direction is defining the objectives to achieve, the actions to take and the resources and procedures to employ to achieve those objectives. Coordination is harmonizing and guiding assigned forces to achieve the objectives.

- b. **Control.** Control is defined as: *the authority exercised by a commander over part of the activities of subordinate organizations, or other organizations not normally under their command, and encompasses the responsibility for implementing orders or directives.*⁸³ Control allows the commander to verify what actions have taken place and their effectiveness relative to the intent and the objectives set for the force to achieve.

- 5.7. To exercise command and control (C2) authority in joint operations, the commander and staff should use standardized procedures⁸⁴ and communication and information systems (CIS) that are interoperable with the Alliance's core network. Together, these procedures and CIS form a system that the commander, the staff and subordinates use to plan, direct, coordinate, control and support operations.

Section 2 – Joint and multinational command and control

- 5.8. **Principles of command.**⁸⁵ The principles of command are as follows.

- a. **Unity of command.** A fundamental tenet of C2 is unity of command, which provides the necessary cohesion for planning and executing operations. Command relationships, by which commanders achieve this authority, will be determined when a joint force is established.
- b. **Continuity of command.** Establishing and maintaining continuity of command, both for commanders and headquarters, enhances unity of command.
- c. **Chain of command.** The C2 structure is hierarchical and should be defined and understood by all levels of command. A clear chain of command strengthens integration between components.

⁸² NATO *Term* – NATO Agreed.

⁸³ NATO *Term* – NATO Agreed.

⁸⁴ Definitions of the various degrees of command and control delegated authority at different levels (operational command, operational control, tactical command and tactical control, and administrative control) are in NATO *Term* and described fully in AJP-3, *Allied Joint Doctrine for the Conduct of Operations*.

⁸⁵ See AJP-3, *Allied Joint Doctrine for the Conduct of Operations* for detail.

- d. **Integration of command.** The command structure should ensure that the capabilities of the force are brought to bear decisively to achieve the commander's objectives in the most effective way. The specific task organization will reflect the higher commander's requirements.
 - e. **Mission command.** Mission command gives subordinate commanders' freedom of action to execute operations according to the commander's intent. It encourages initiative and decentralized decision-making.
- 5.9. **Joint and multinational control.** A commander exercises control through processes and structures that enable them to verify the execution of their intent. The staff often exercises control on behalf of the commander. Commanders should give assigned forces as much freedom of action as the situation allows. Commanders then exercise control by exception to ensure forces continue to execute their intent.
- a. **Situation awareness.** To exercise effective control, there is a requirement for adequate knowledge of the situation. Formal reporting, briefing and command and staff interaction reinforces this.
 - b. **Assessment and validation.** Continuous formalized progress assessment of an operation is necessary to enable effective control of forces. This will also allow the commander and staff to validate plans and decisions.
 - c. **Loyalty and trust.** Loyalty and trust will take time and effort to develop and maintain. It requires a broad, coherent and consistent approach to planning and execution performed by a well-organized, well-trained and efficient headquarters.
- 5.10. **Methods of control of forces.** Commanders are able to command and control resources more effectively with assistance from joint staffs. Specialist or liaison/staff officers, as well as the commanders of subordinate, supporting or higher elements may provide military advice. A senior national representative (SNR) or national contingent commander may also provide political-military advice in accordance with their force contribution or contingent capabilities. There are three methods employed in NATO operations.
- a. **Component method.** For most Allied joint operations, the joint commander exercises authority over the force through groupings of force elements called component commands. These component commands are collections of forces drawn together into functional elements from one or more services such as maritime, air, or special operations. This structure reduces a joint commander's span of command and has particular utility on major combat operations.

- b. **Direct method.** For small-scale operations, a commander may exercise command authority directly. A commander granted such authority should exercise it through an appropriate multinational joint staff.
- c. **Regional or geographic method.** The particular physical characteristics of the joint operations area (JOA) may lead a commander to an operational approach based on those characteristics. In this case, the joint commander may establish subordinate joint regional or geographic commands through which the joint commander exercises their authority.

These methods are not exclusive and adopting combinations of methods may be necessary to address the operational situation effectively.

- 5.11. **Communication and information systems.** Whatever the situation, CIS support the C2 structure to the maximum possible extent. The need to sustain operations in degraded and denied C2 environments further reinforces the requirement for a mission command philosophy. Even with modern CIS, there will be occasions where face-to-face discussions are required and preferred. In principle, modern CIS assets enable a reach-back capability, enhancing information exchange and supporting decision-making. The CIS architecture should also be resilient enough to function in the face of adversary attack or material failure.

Command and control responsibilities

- 5.12. **Allied command authority.** Each operation has a unique C2 construct, designed during planning to match the specific requirements of the campaign or operation. Supreme Allied Commander Europe (SACEUR) will recommend a C2 structure for Military Committee endorsement and North Atlantic Council (NAC) approval. SACEUR is ultimately responsible for:

- all operational matters;
- coordinating logistic and medical support; and
- rotating units and personnel for extended deployments.

SACEUR also provides the operations interface at the political/military level in NATO Headquarters.

- 5.13. **The operational-level commander.** The operational-level commander will need to do the following.
 - a. Exercise C2 (normally operational control (OPCON)), as delegated by SACEUR, over designated force components provided to them. The commander should also exercise coordinating authority over all forces remaining under national control that are operating in, or transiting through,

the JOA. This coordinating authority should include, as a minimum, security, positioning, rules of engagement and operations reporting. Within this authority, the commander may also receive a level of control for joint logistic issues.⁸⁶ In all cases, nations should identify in the transfer of authority letter the level of control over their forces they give to NATO.

- b. Determine, in coordination with the providing commands and authorities, the joint command organization that is best suited to undertake operations. This will include the need to establish component commands, supporting boards, agencies and so on.
- c. Formulate and deliver their intent as to what they want to achieve and why. The commander usually expresses this in terms of effects to create and objectives to achieve.
- d. Assign tasks and give approval. Within the limits of their C2 authority, commanders assign tasks to subordinate commands to accomplish their objectives and approve their concept of operations.
- e. Establish liaison throughout the JOA. This will include with the commands and authorities operating in support of operations, as well as between the components of the force.

Section 3 – Wider command interactions

- 5.14. **The senior national representative and National Contingent Commander.** In any coalition, the commander will need to acknowledge the views of the SNR or the National Contingent Commander;⁸⁷ who this is will depend on individual national policy and force contribution. The SNR or National Contingent Commander may occupy a key position in the overall command hierarchy. They are key decision-makers and play a pivotal role alongside the operational commander in building the coalition. Although the SNR or the National Contingent Commander does not share the same command responsibility or authority within the force as the operational commander, they should understand the operation to the same extent in order to provide effective advice and support.⁸⁸
- 5.15. **Non-NATO organizations.** NATO may receive invitations to act in support of international organizations. These include the United Nations (UN), the European Union (EU) or the Organization for Security and Cooperation in Europe (OSCE).

⁸⁶ See MC 0319/3 (Final), *NATO Principles and Policies for Logistics*, dated 11 August 2014, for detail.

⁸⁷ National approaches to the nomination and role of the National Contingent Commander differ. Some nations appoint a SNR in the joint force headquarters and a separate national contingent commander outside the force C2 structure, others 'dual-hat' one individual with both appointments.

⁸⁸ See AJP-3, *Allied Joint Doctrine for the Conduct of Operations* for detail.

These authorities may issue a mandate, for example, a UN Security Council resolution, which provides direction and authority to the participants. If NATO agrees to support a mission under the auspices of another organization, the NAC retains the direction and authority to deploy NATO forces. The international organization will nominate a senior political authority in the JOA. The UN will normally designate the individual as the Special Representative of the Secretary General. In the case of the OSCE, the designation will be Head of Mission and in other cases a High Representative. The senior political authority will coordinate with the activities of all elements in theatre to achieve coherent progress towards the end state. NATO forces will be one of those elements, with a military-strategic objective and operation plan approved by the NAC, which contributes towards attaining the NATO end state. While the NAC always remains the political authority for NATO forces, the operational commander will need to liaise closely with the senior political authority to ensure unity of effort for the overall mission.

- 5.16. **Support to indigenous authorities.** Where a commander's mission is in support of another government, the commander will have a close relationship with the political and military elements of that regime. In some instances, these regimes will be unstable, or established by a peace agreement, and one of the commander's key roles will be to support and empower the regime. Indeed, this may become the commander's primary focus, take up much of their time and require them to engage fully within the prevailing political context. This situation may require establishing liaison officers with various civilian factions and paramilitary groups as well as international organizations and non-governmental organizations that may be present on humanitarian or other missions. As such, it will be critical that the commander understands the political context in which they operate, for which they should draw on advisers and component commands with relevant experience.

INTENTIONALLY BLANK

Lexicon

Part 1 – Acronyms and abbreviations

AAP	Allied administrative publication
AJP	Allied joint publication
ATP	Allied tactical publication
C2	command and control
CBRN	chemical, biological, radiological and nuclear
CIMIC	civil-military cooperation
CIS	communication and information systems
CMI	civil-military interaction
COA	course of action
COIN	counter-insurgency
CONOPS	concept of operations
CRO	crisis response operation
DSACEUR	Deputy Supreme Allied Commander Europe
EU	European Union
ICCPR	International Covenant on Civil and Political Rights
JOA	joint operations area
LOAC	Law of Armed Conflict
MC	Military Committee
MCM	Military Committee Memorandum
MRO	military response options
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NATO <i>Term</i>	NATO Terminology Database
NCMP	NATO crisis management process
NCRS	NATO Crisis Response System
NCS	NATO Command Structure
NEO	non-combatant evacuation operation
NGO	non-governmental organization
NSO	NATO Standardisation Office
OPCON	operational control

OPLAN	operation plan
OSCE	Organization for Security and Cooperation in Europe
PfP	Partnership for Peace (programme)
PMESII	political, military, economic, social, infrastructure and information
ROE	rules of engagement
S&R	stabilization and reconstruction
SACEUR	Supreme Allied Commander Europe
SNR	senior national representative
SOFA	Status of Forces Agreement
STANAG	standardization agreement
StratCom	strategic communications
UN	United Nations
UNSC	United Nations Security Council
UNSCR	United Nations Security Council Resolution
WMD	weapons of mass destruction

Part 2 – Terms and definitions

asymmetric threat

A threat emanating from the potential use of dissimilar means or methods to circumvent or negate an opponent's strengths while exploiting his weaknesses to obtain a disproportionate result. (NATO *Term* – NATO Agreed)

campaign

A set of operations planned and conducted to achieve a strategic objective. (NATO *Term* – NATO Agreed)

civil-military interaction

CMI is a group of activities, founded on communication, planning and coordination, that all NATO military bodies share and conduct with international and local non-military actors, both during NATO operations and in preparation for them, which mutually increases the effectiveness and efficiency of their respective actions in response to crises. (MC 411/2 – not NATO Agreed)

civil-military cooperation

CIMIC, a joint function comprising a set of capabilities integral to supporting the achievement of mission objectives and enabling NATO commands to participate effectively in a broad spectrum of CMI with diverse non-military actors. (MC 411/2 – not NATO Agreed)

combat power

The total means of destructive and/or disruptive force which a military unit/formation can apply against the opponent at a given time. (NATO *Term* – NATO Agreed)

command

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

communication and information systems

Collective term for communication systems and information systems. (NATO *Term* – NATO Agreed)

component command

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

component commander

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

concept of operations

A clear and concise statement of the line of action chosen by a commander in order to accomplish his given mission. (NATO *Term* – NATO Agreed)

conduct of operations

The art of directing, coordinating, controlling and adjusting the actions of forces to achieve specific objectives. (NATO *Term* – NATO Agreed)

conflict prevention

A peace support effort to identify and monitor the potential causes of conflict and take timely action to prevent the occurrence, escalation or resumption of hostilities. (NATO *Term* – NATO Agreed)

control

That authority exercised by a commander over part of the activities of subordinate organizations, or other organizations not normally under his command, that encompasses the responsibility for implementing orders or directives. (NATO *Term* – NATO Agreed)

counterterrorism

All preventive, defensive and offensive measures taken to reduce the vulnerability of forces, individuals and property to terrorist acts and to recover after such acts. (MC 0472/1 – not NATO Agreed)

course of action

In the estimate process, an option that will accomplish or contribute to the accomplishment of a mission or task, and from which a detailed plan is developed. (NATO *Term* – NATO Agreed)

doctrine

Fundamental principles by which the military forces guide their actions in support of objectives. It is authoritative but requires judgement in application. (NATO *Term* – NATO Agreed)

end state⁸⁹

The political and/or military situation to be attained at the end of an operation, which indicates that the objective has been achieved. (NATO *Term* – NATO Agreed)

environmental protection

The prevention or mitigation of adverse environmental impacts. (NATO *Term* – NATO Agreed)

force protection

All measures and means to minimize the vulnerability of personnel, facilities, equipment and operations to any threat and in all situations, to preserve freedom of action and the operational effectiveness of the force. (NATO *Term* – NATO Agreed)

host nation

A nation which, by agreement: a. receives forces and materiel of NATO or other nations operating on/from or transiting through its territory; b. allows materiel and/or NATO organizations to be located on its territory; and/or c. provides support for these purposes. (NATO *Term* – NATO Agreed)

host-nation support

Civil and military assistance rendered in peace, crisis or war by a host nation to NATO and/or other forces and NATO organizations that are located on, operating on/from, or in transit through the host nation's territory. (NATO *Term* – NATO Agreed)

intelligence

The product resulting from the directed collection and processing of information regarding the environment and the capabilities and intentions of actors, in order to identify threats and offer opportunities for exploitation by decision-makers. (NATO *Term* – NATO Agreed)

interoperability

The ability to act together coherently, effectively and efficiently to achieve Allied tactical, operational and strategic objectives. (NATO *Term* – NATO Agreed)

joint

Adjective used to describe activities, operations and organizations in which elements of at least two services participate. (NATO *Term* – NATO Agreed)

⁸⁹ MCM-0041-2010, Annex B defines end state as: *the NAC approved set of required conditions within the engagement space that defines an acceptable concluding situation to be attained at the end of a strategic engagement.*

joint operations area

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

logistics

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

- a. design and development, acquisition, storage, movement, distribution, maintenance, evacuation, and disposal of materiel;
- b. transport of personnel;
- c. acquisition or construction, maintenance, operation, and disposition of facilities;
- d. acquisition or furnishing of services; and
- e. medical and health service support. (NATO *Term* – NATO Agreed)

manoeuvre

1. A movement to place ships or aircraft in a position of advantage over the enemy.
2. A tactical exercise carried out at sea, in the air, on the ground, or on a map in imitation of war.
3. The operation of a ship, aircraft, or vehicle, to cause it to perform desired movements.
4. Employment of forces on the battlefield through movement in combination with fire, or fire potential, to achieve a position of advantage in respect to the enemy in order to accomplish the mission. (NATO *Term* – NATO Agreed)

military strategy

That component of national or multinational strategy, presenting the manner in which military power should be developed and applied to achieve national objectives or those of a group of nations. (NATO *Term* – NATO Agreed)

mission⁹⁰

A clear, concise statement of the task of the command and its purpose. (NATO *Term* – NATO Agreed)

multinational

Adjective used to describe activities, operations and organizations, in which elements of more than one nation participate. (NATO *Term* – NATO Agreed)

multinational operation

An operation conducted by forces of two or more nations acting together. (NATO *Term* – NATO Agreed)

⁹⁰ Of the definitions of 'mission' in the NATO *Term*, this one applies to AJP-01.

operation

A sequence of coordinated actions with a defined purpose.

Notes: 1. NATO operations are military

2. NATO operations contribute to a wider approach including non-military actions
(*NATO Term – NATO Agreed*)

operational art

The employment of forces to attain strategic and/or operational objectives through the design, organization, integration and conduct of strategies, campaigns, major operations and battles. (*NATO Term – NATO Agreed*)

operational command

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

operational control

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

operational level

The level at which campaigns and major operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations.
(*NATO Term – NATO Agreed*)

operation order

A directive, usually formal, issued by a commander to subordinate commanders for the purpose of effecting the coordinated execution of an operation. (*NATO Term – NATO Agreed*)

operation plan

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

peace support

Efforts conducted impartially to restore or maintain peace.

Note: Peace support efforts can include conflict prevention, peacemaking, peace enforcement, peacekeeping and peacebuilding. (NATO *Term* – NATO Agreed)

risk management

The process of identifying, assessing, and controlling risk arising from operational factors, and making informed decisions that balance risk cost with mission benefits.

(NATO *Term* – NATO Agreed)

rules of engagement

Directives issued by competent military authority which specify the circumstances and limitations under which forces will initiate and/or continue combat engagement with other forces encountered. (NATO *Term* – NATO Agreed)

special operations

Military activities conducted by specially designated, organized, selected, trained and equipped forces using unconventional techniques and modes of employment.

(NATO *Term* – NATO Agreed)

strategic level

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

(NATO *Term* – NATO Agreed)

supported commander

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

tactical level

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

(NATO *Term* – NATO Agreed)

terrorism

The unlawful use or threatened use of force or violence against individuals or property in an attempt to coerce or intimidate governments or societies to achieve political, religious or ideological objectives. (NATO *Term* – NATO Agreed)

theatre of operations

A designated area, which may include one or more joint operations areas.

Note: A theatre of operations may include land, air, space and sea outside a joint operations area. (This term is a new term and definition and will be processed for NATO Agreed status)

unity of effort

In military operations, coordination and cooperation among all actors in order to achieve a common objective. (NATO *Term* – NATO Agreed)

weapon of mass destruction

A weapon that is able to cause widespread devastation and loss of life. (NATO *Term* – NATO Agreed)

AJP-01(E)(1)