

NATO STANDARD

AJP-4

ALLIED JOINT DOCTRINE FOR SUSTAINMENT OF OPERATIONS

Edition C Version 1

AUGUST 2025



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

22 August 2025

1. The enclosed Allied Publication AJP-4, Edition C, Version 1, ALLIED JOINT DOCTRINE FOR SUSTAINMENT, which has been approved by the nations in the MILITARY COMMITTEE, is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 2182.
2. AJP-4, Edition C, Version 1, is effective upon receipt and supersedes AJP-4, Edition B, Version 1, which shall be destroyed in accordance with the local procedure for the destruction of documents.
3. This NATO standardization document is issued by NATO. In case of reproduction, NATO is to be acknowledged. NATO does not charge any fee for its standardization documents at any stage, which are not intended to be sold. They can be retrieved from the NATO Standardization Document Database (<https://nso.nato.int/nso/>) or through your national standardization authorities.
4. This publication shall be handled in accordance with C-M(2002)60.

Thierry POULETTE
Major General, FRA (A)
Director, NATO Standardization Office

Intentionally blank

Allied Joint Publication-4

Allied Joint Doctrine

for Sustainment of Operations

Allied Joint Publication-4 (AJP-4), Edition C, Version 1,

dated August 2025,

is promulgated as directed by the Chiefs of Staff



Head Doctrine and Analysis

Conditions of release

This publication is UK Ministry of Defence Crown copyright. Material and information contained in this publication may be reproduced, stored in a retrieval system and transmitted for UK government and MOD use only, except where authority for use by other organisations or individuals has been authorised by a Patent Officer of the Defence Intellectual Property Rights.

Intentionally blank

Summary of changes

Record of summary of changes for Allied Joint Publication (AJP)-4(C)	
	• AJP-4(C) is the first <i>Allied Joint Doctrine for Sustainment of Operations</i> .
	• AJP-4(C) replaces AJP-4(B), <i>Allied Joint Doctrine for Logistics</i> .
	• The agreed NATO Term for sustainment has made a distinction between logistics, medical support and infrastructure and recognizes that these functions, are not part of logistics but still closely related with some similar characteristics.
	• The publication also includes finance and contracting as separate functions
	• The publication has two distinct parts; Chapters one and two cover common sustainment activities whilst Chapters three through eight provide greater granularity on each of the sustainment functions.

Intentionally blank

Related documents

PO(2022)0200	<i>NATO Strategic Concept</i>
AC/237 – D(2010)0003	<i>Approval of the NATO Crisis Response System Manual</i>
PO(2010)0143	<i>Comprehensive Approach Report</i>
PO(2011)0141	<i>Political Military Framework for Partner Involvement in NATO-Led Operations</i>
PO(2011)0045	<i>Updated List of Tasks for the Implementation of the Comprehensive Approach Action Plan and the Lisbon Summit Decisions on the Comprehensive Approach, 7 March 2011</i>
PO(2013)0056	<i>Revised Funding Arrangements for Non-Article 5 NATO-Led Operations and Missions</i>
PO(2016)0310	<i>NATO Policy on Building Integrity</i>
C-M(2015)0025	<i>NATO Financial Regulations</i>
SG(2006)0244 Rev 1	<i>Force Declarations and Designations</i>
SG(2008)0806 (INV)	<i>NATO Lessons Learned Policy</i>
MCM-077-00	<i>Military Committee Guidance on the Relationship between NATO Policy and Military Doctrine</i>
MC 0055	<i>NATO Logistic Readiness and Sustainability Policy</i>
MC 0216	<i>Workforce Policy and Procedures</i>
MC 0319	<i>NATO Principles and Policies for Logistics</i>
MC 0326	<i>NATO Principles and Policies for Medical Support</i>
MC 0334	<i>NATO Military Principles and Policies for Host-Nation Support</i>
MC 0336	<i>NATO Military Principles and Policies for Movements and Transportation</i>
MC 0400	<i>NATO's Strategic Comprehensive Defence and Shared Response</i>
MC 0411	<i>NATO Military Policy on Civil-Military Cooperation (CIMIC) and Civil-Military Interaction (CMI)</i>
MC 0469	<i>NATO Military Principles and Policies for Environmental Protection (EP)</i>
MC 0473	<i>NATO Petroleum Supply Chain – Principles, Policies and Characteristic</i>
MC 0533	<i>NATO Military Principles and Policies for Maintenance of Equipment</i>
MC 0560	<i>MC Policy for Military Engineering</i>
MC 0586	<i>Military Committee Policy for the Military Instrument of Power and its Use for Operations, Missions and Activities</i>
MC 0593	<i>The Minimum Level of Command and Control Service Capabilities in Support of Combined Joint NATO led Operations</i>
Bi-SCD 040-001	<i>Integrating Gender Perspective into the NATO Command Structure (2021)</i>
MCM-0082-2022	<i>Military Guidelines on the prevention of, and response to, conflict-related sexual violence.</i>
	<i>Initial Concept for Multi-Domain Operations</i>

MCM-0121-2022
BC-D(2015)0260-REV3

NATO Financial Rules and Procedures

Allied Publications:

AJP-01	<i>Allied Joint Doctrine</i>
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-5	<i>Allied Joint Doctrine for the Planning of Operations</i>
AJP-6	<i>Allied Joint Doctrine for Communication and Information Systems</i>
AJP-10	<i>Allied Joint Doctrine for Strategic Communications,</i>
AJP-3.12	<i>Allied Joint Doctrine for Military Engineering</i>
AJP-3.13	<i>Allied Joint Doctrine for the Deployment and Redeployment of Forces</i>
AJP-3.14	<i>Allied Joint Doctrine for Force Protection</i>
AJP-3.17	<i>Allied Joint Doctrine for Geospatial Support</i>
AJP-3.19	<i>Allied Joint Doctrine for Civil-Military Cooperation</i>
AJP-3.20	<i>Allied Joint Doctrine for Cyberspace Operations</i>
AJP-4.2	<i>Allied Joint Doctrine for Medical Support</i>
AJP-4.3	<i>Allied Joint Doctrine for Host-nation Support</i>
AJP-4.4	<i>Allied Joint Doctrine for Movement</i>
AJP-4.6	<i>Allied Joint Doctrine for the Joint Logistic Support Group</i>
ALP-16	<i>Allied Logistics Publication for Explosives Safety and Munitions Risk Management (ESMRM) in NATO Planning, Training and Operations</i>
BI-SC 51	<i>Allied Command Operations, Comprehensive Operations</i>
COPD	<i>Planning Directive COPD Interim V 3.0, dated 15 January 2021</i>

Table of contents

Summary of changes

Related documents

Preface

Chapter 1 – Fundamentals

Section 1 – Description	1
Section 2 – Principles of sustainment	1
Responsiveness to requirements	1
Reliability	1
Collective	1
Unity of effort	1
Integrity and ethics	1
Section 3 – Sustainment functions	2
Personnel	2
Logistics	2
Medical support	2
Military engineering support	3
Finance	3
Contract support	3
Section 4 – Approaches to sustainment	3
Collective	3
Joint	3
Multinational	3
Government	4
NATO agencies	4
Contract support	4
Host-nation support	4
Civil-military cooperation	4
Section 5 – The Reinforcement and Sustainment Network	5
Section 6 – Information management	5

Chapter 2 – Planning and conducting sustainment

Section 1 –Planning considerations	7
General	7
Resilience	7
Operating environment	8
Corporations	9
Regulatory framework	10
Gender perspective	10
Cross-cutting topics	10
Section 2 – Stages of an operation	11
Preparation	11
General	11
Developing an operational plan	12
Pre-execution activities	12
Deployment	12
Sustaining fighting power	13
Transition	13
Termination and post-termination activities	13
Redeploy forces	13
Identify lessons for all stages	14
Section 3 – Assessments	14
Section 4 – Roles and responsibilities	14
Section 5 – Host-nation support	14
Description	14
Host-nation support principles	14
Section 6 – National support element	16
Section 7 – Key vulnerabilities	16
General	16
Credible sustainment	16
Reinforcement and Sustainment Network	16
Munitions and explosives	17
Mass casualty	17
Large-scale patient flow	17

Commercial information	17
Contractor fratricide	17
Chapter 3 – Personnel	
Section 1 – Definition	19
Section 2 – Principles	19
Section 3 – Characteristics	19
Section 4 – Planning considerations	20
Planning at the strategic level	20
Planning at the operational level	20
Section 5 – Conduct of operations	21
Preparation	21
Developing an operational plan	21
Force generation and preparation	22
Pre-execution activities	22
Deployment	22
Sustaining fighting power	23
Transition	24
Termination and post-termination activities	24
Redeploy forces	24
Section 6 – Interaction	24
National support elements	24
Joint force headquarters	24
Chapter 4 – Logistics	
Section 1 – Definition	25
Section 2 – Principles	25
Primacy of operational requirements	25
Unity of effort	25
Agility	25
Assured provision	25
Economy of effort	26
Authority	26
Visibility and transparency	26

Section 3 – Characteristics	26
General	26
Joint logistic support network	26
Delineation between Reinforcement and Sustainment Network and the joint logistic support network	27
Section 4 – Planning considerations	27
Planning at the strategic level	27
Planning at the operational level	27
Section 5 – Conduct of operations	27
Preparation	27
Developing an operational plan	28
Force generation and preparation	28
Pre-execution activities	28
Deployment	28
Sustaining fighting power	28
Transition	29
Termination and post-termination activities	29
Redeploy forces	29
Section 6 – Interaction	29
External interaction	29
Sustainment function interaction	29
Chapter 5 – Medical support	31
Section 1 – Definition	31
Section 2 – Principles	31
Healthcare principles	31
Operational principles	32
Section 3 – Characteristics	33
Flexible and scalable	33
Continuum of care	33
Civil-military cooperation	33
Modular	33
Medical personnel	33

Mobility and protection	33
Section 4 – Planning considerations	34
Medical planning	34
Medical intelligence	34
Planning at the strategic level	34
Legal and ethical considerations	34
Medical rules eligibility	34
Medical risk	34
Section 5 – Conduct of operations	35
Preparation	35
Developing an operational plan	35
Force generation and preparation	35
Pre-execution activities	35
Deployment	35
Sustaining fighting power	36
Transition	36
Termination and post-termination activities	36
Redeploy forces	36
Section 6 – Interaction	36
External interaction	36
Local authorities	36
Sustainment functions interaction	37
Chapter 6 – Military engineering support	
Section 1 – Definition	39
Section 2 – Principles	39
General	39
Military engineering advisor	39
Centralized control, decentralized execution	39
Military engineering is an integral part of the planning process	39
Prioritization of resources	39
Task organization	40
Integration	40

Section 3 – Characteristics	40
Military engineering support to sustainment	40
Nature of military engineering support	40
Section 4 – Planning considerations	40
Planning at the strategic level	40
Planning considerations	40
Assessment	40
Section 5 – Conduct of operations	42
Preparation	42
Developing an operational plan	42
Force generation and preparation	43
Deployment	43
Sustaining fighting power	43
Transition	43
Termination and post-termination activities	43
Redeploy forces	43
Section 6 – Interaction	44
External interaction	44
Sustainment functions interaction	44
Chapter 7 – Finance	
Section 1 – Definition	45
Section 2 – Principles	45
Section 3 – Characteristics	46
Section 4 – Planning considerations	47
Section 5 – Conduct of operations	47
Preparation	47
Developing an operational plan	47
Force generation and preparation	47
Pre-execution activities	47
Deployment	47
Sustaining fighting power	48
Transition	48

Termination and post-termination activities	48
Redeploy forces	48
Section 6 – Interaction	48
External interaction	48
Sustainment functions interaction	48
Chapter 8 – Contract support	
Section 1 – Definition	51
Section 2 – Principles	51
Authority	51
Segregation of duties	51
Contracting authority	51
Other authority	51
Determining which contracting authority applies	51
NATO agreed contracting principles	51
Outsourcing	51
Section 3 – Characteristics	53
Status of contractors	53
Mature of relationship	53
Section 4 – Planning considerations	53
Planning responsibilities	53
Strategic planning	53
Standardization	54
Mission specific planning	54
Section 5 – Conduct of operations	55
Preparation	55
Developing an operational plan	55
Force generation and preparation	55
Pre-execution activities	55
Deployment	55
Sustaining fighting power	56
Transition	56

Termination and post-termination activities	57
Redeploy forces	57
Section 6 – Interaction	57
Annex A – Headquarters staff branch interaction with the contracts process	A-1
Lexicon I – Acronyms and abbreviations	Lex-1
Lexicon II – Terms and definitions	Lex-3
Figure	
Figure 1.1 – Hypothetical reinforcement and sustainment network	5

Preface

Context

1. The NATO sustainment approach is formed from a collection of NATO sustainment functions' policies. Sustainment provides an essential supporting effect to credible deterrence and defence. Consequently, there is a requirement for the joint task force commander to understand the key aspects of sustainment functions in order to maximize their effective and efficient use during operations. The definition of sustainment provides the framework for this publication.

Scope

2. Allied Joint Publication (AJP)-4(C), *Allied Joint Doctrine for Sustainment of Operations* is the keystone NATO doctrine for the conduct of sustainment in peace, crisis and conflict.

Purpose

3. AJP-4(C) provides guidance to commanders and staffs on the planning, execution, coordination and synchronization of the sustainment of Alliance operations and missions.

Application

4. AJP-4(C) focuses on the operational level, although it also has utility at the strategic and tactical levels. In addition, the doctrine is instructive to, and provides a useful framework for operations conducted by a coalition of NATO members, partners and non-NATO states. It also provides a reference for non-military actors.

Linkages

5. Although every operation and mission is unique, their conduct can be approached in a similar manner, as is described in this publication. AJP-4(C) builds on the principles described in AJP-01(F), *Allied Joint Doctrine*, and is adjacent and closely related to AJP-3, *Allied Joint Doctrine for the Conduct of Operations* and AJP-5, *Allied Joint Doctrine for the Planning of Operations*. It contains overarching doctrine for AJP-4.1, *Allied Joint Doctrine for Logistics*, AJP-4.2, *Allied Joint Doctrine for Medical Support*, AJP-4.3, *Allied Joint Doctrine for Host-nation Support* and AJP-4.4, *Allied Joint Doctrine for Movement*, as well as AJP-3.12, *Allied Joint Doctrine for Military Engineering*, AJP-3.13, *Allied Joint Doctrine for the Deployment and Redeployment of Forces* and level 3 doctrine publications.

Intentionally blank

Chapter 1 – Fundamentals

Section 1 – Description

1.1 Sustainment, as an element of the physical component of fighting power, generates the means to fight within multi-domain operations.^{1,2} It is defined as: ‘the provision of personnel, logistics, medical support, military engineering support, finance and contractor support necessary for Alliance operations and missions’; these are known collectively as sustainment functions. However, it should be noted that whilst there are common themes and issues affecting the sustainment functions, they remain separate with distinct considerations for COM JTF; these are described in the individual functional chapters.

1.2 The sustainment functions are critical enablers; they influence the tempo, duration and intensity of actions, operations and campaigns. Moreover, the available sustainment capacity often determines COM JTF’s freedom of action and in degraded or austere environments, sustainment becomes even more challenging. This can be mitigated through a multinational and collective approach to sustainment activities which enhances effectiveness and efficiency.

Section 2 – Principles of sustainment

1.3 **Responsiveness to requirements.** Sustainment planning and execution should be oriented towards the current and anticipated needs of an operational COM. This requires a flexible approach and an understanding of the COM’s intent, operation plans and the environment. This responsiveness begins with peacetime preparations through coordination of the physical elements including: infrastructure, materiel and other resources, as well as the functional elements including contracts, governance and training. The coordination of both physical and functional elements sets the conditions for sustainment success during crisis and conflict.

1.4 **Reliability.** Assured sustainment is critical to the success of operations. Availability and delivery of sustainment should be resilient to the effects of degradation, competition and diverse threats and hazards. In a complex and changing security environment, sustainment solutions need to keep pace through dynamic and flexible approaches, implemented by nations, NATO organizations and COMs in peacetime through crisis and conflict.

1.5 **Collective.** Collective sustainment is undertaken by NATO and individual Allies to cooperatively plan, generate, deconflict and synchronize the provision of sustainment for an operation. It makes use, as much as possible, of common processes and organizational structures, utilizing collective: joint, multinational, whole of Government, host-nation support (HNS), and contracting solutions to sustainment.

¹ AJP-01(F), *Allied Joint Doctrine*.

² United States joint doctrine uses the term ‘joint operations’ and ‘all domains’

1.6 Unity of effort. Sustainment is achieved through cooperation, collaboration, interoperability, interchangeability, integration and shared visibility at all levels and across all domains.³ This enables the optimization of national, multinational and collective sustainment resources to provide a seamless transition from peace to crisis and/or conflict. Sustainment is influenced by regional and national challenges including the availability of resources and infrastructure. Therefore, the involvement of sustainment stakeholders, both military and non-military, Nations and commands in sustainment planning and execution at all levels is critical to optimize sustainment. Training, exercises and agreed and implemented standards are essential enablers of unity of effort.

1.7 Integrity & ethics. Sustainment should be executed in a manner that is consistent with the NATO code of conduct, including accountability and responsible use of resources, to maintain moral legitimacy and preserve integrity in relationships with diverse stakeholders upon which sustainment depends. Sustainment relies significantly on military and civil support; consequently, its operations could be severely impacted by corruption and other unethical behaviours. Conversely, given the size of sustainment support requirements, it provides an opportunity for the COM to promote good governance.

Section 3 – Sustainment functions

1.8 Personnel. Personnel activity includes the planning, coordination, and execution of efforts undertaken to sustain the moral component of a joint task force on operations. It consists of human resources management, welfare and religious support as well as legal aspects of people management.

1.9 Logistics.⁴ Logistics connects the industrial base that provides materiel and services to the NATO forces. Logistics includes consumer logistics, in-service support and in some cases production logistics and covers activities at all levels. These activities set the conditions and generate the means to maintain military and civil effects.

1.10 Medical support.⁵ The primary responsibility of medical services is to preserve and maintain the health and fighting strength of the military. Consequently, medical support contributes to preserving the operational capacity of forces at home and in deployment by planning and providing medical and health services.

1.11 Military engineering support.⁶ Military engineering (MILENG) is a function encompassing the full range of MILENG planning and provision of MILENG capabilities to maintain the force's capabilities throughout the stages of an operation.

1.12 Finance. Finance encompasses the prioritization and allocation of financial resources to support operations. It is applicable to sources of funding (e.g. national, joint, multinational

³ Operational domains as described in AJP-01(F), *Allied Joint Doctrine*.

⁴ MC 0319/4, NATO Principles and Policies for Logistics.

⁵ MC 0326/4, NATO Principles and Policies for Medical Support.

⁶ MC 0560/2, MC Policy for Military Engineering.

or common). To ensure it is effectively used, the prioritization and allocation of funding is guided by policy, regulation, and procedures.

1.13 Contract support. Contracting support is the planning, coordination, and execution of contracting authority to legally bind contractors, in support of military operations, including; translating requirements into contract terms; and developing, soliciting, executing, administering, and closing out contracts. In addition, it coordinates and deconflicts procurement activities, to optimize, wherever possible, common in-theatre services and supplies. Contracting support also includes advice and assistance during planning.

Section 4 – Approaches to sustainment

1.14 Collective. Whilst Nations remain ultimately responsible for the sustainment of their forces, a collective approach to sustainment, as with a multinational approach, could lead to greater effectiveness, resilience, and optimized use of resources. However, unlike a multinational approach, collective sustainment requires a shared understanding of risks and challenges, greater transparency and a renewed focus on improving interoperability between Allies which should also be considered during capability development. Since the operating environment is likely to be contested, congested, and competitive with extensive military and non-military activity, a more collective approach to sustainment could be of significant benefit.

1.15 Joint. Alliance operations and missions are intrinsically joint;⁷ consequently, the components should use a common approach including processes and standards. It is also important to recognize how the component sustainment functions impact the coordination effort across the area of responsibility. The approaches for each of the sustainment functions are described in the functional chapters and are covered in detail in the level two specialist joint doctrine publications referenced throughout this publication.

1.16 Multinational. Operations typically employ assigned national, host nation (HN) or commercial support options to deliver multinational sustainment functions through optimal use of resources whilst leveraging economies of scale. The use of multinational sustainment is a means by which, depending on operational requirements and the specific situation, the Alliance can enhance its overall effectiveness and efficiency. Although multinational sustainment functions should not be an end in themselves, the benefits of reduced national support elements and efficient use of resources could be significant.

1.17 Government. Government plays a pivotal role in providing the necessary resources, infrastructure, and support to ensure the continuity and effectiveness of military activities. This involves allocating funds for sustainment. Nations may also make use of other government departments or national agencies to assist and supplement military sustainment capabilities in contracting for logistics, medical support and MILENG. For how other government departments are utilized in HNs see paragraph 1.20.

⁷ AJP-01(F), *Allied Joint Doctrine*.

1.18 NATO agencies. Agencies such as the NATO Support and Procurement Agency and the NATO Communications Information Agency and others may provide support, upon request, for operations within their area of competence. These agencies are 'customer funded' agencies and, as such, the services procured from the agencies and their contracted services with industry are paid for by the users.

1.19 Contract support. Use of contracted support is increasingly prevalent across the domains and is fundamental to the demands of operations and missions. When used correctly and effectively integrated into the planning process, it can act as a force multiplier by undertaking tasks that are beyond the scope of organic military capabilities. Also in benign areas, freeing military capacity to focus its efforts where contractors cannot operate due to threat considerations. However, contracted support also comes with risks and limitations. COM JTF should understand contractors' ability to operate in a particular environment when considering them to support operations. Contract support may be established by national, multinational and/or NATO procurement authorities that, whenever possible, should operate in a collaborative manner to avoid duplication and unnecessary contracting competition.

1.20 Host-nation support.⁸ HNS support is a key enabler and provides effective support to NATO military activities and achieves efficiencies and synergies through the best use of all of a HN's resources in accordance with the principles of HNS detailed in paragraph 2.21. HNS support can come in the form of organic military resources, supplies and services from other government agencies or civil actors that are contracted, coordinated and controlled by the HN.

1.21 Civil-military cooperation. Sustainment activities should leverage established, and build new, national and NATO relationships with non-military actors to share understanding and support COM JTFs. The degree of engagement is driven by the requirements of each entity derived through available resources, operational requirements and political will.

Section 5 - The Reinforcement and Sustainment Network

1.22 The Reinforcement and Sustainment Network is a way of facilitating theatre-wide sustainment coordination. It is a strategic construct that is generated and prepared in peacetime and provides an enablement network that spans across the entirety of Supreme Allied Commander Europe's Area of Responsibility. It is managed by the Joint Support and Enabling Command, which is the functional command, at the operational level, that prepares and executes the reinforcement of forces and sustainment. It links the resources, capabilities and infrastructure required throughout Nations with that of the legal, administrative processes and governance that coheres and synchronizes activities across the Reinforcement and Sustainment Network. The Network's physical elements required to support the reinforcement and sustainment of the force are operated and maintained by the Nations to support the multinational enablement effort. The line plan, shown at Figure 1.1, hypothetical reinforcement and sustainment network, is an example of a network that could provide options to facilitate the movement of NATO forces and materiel, both in terms of the

⁸ MC 0334/2, NATO Military Principles and Policies for Host-nation Support.

reinforcement by forces, as well as the subsequent sustainment including the forward and rearward movement of personnel and materiel.

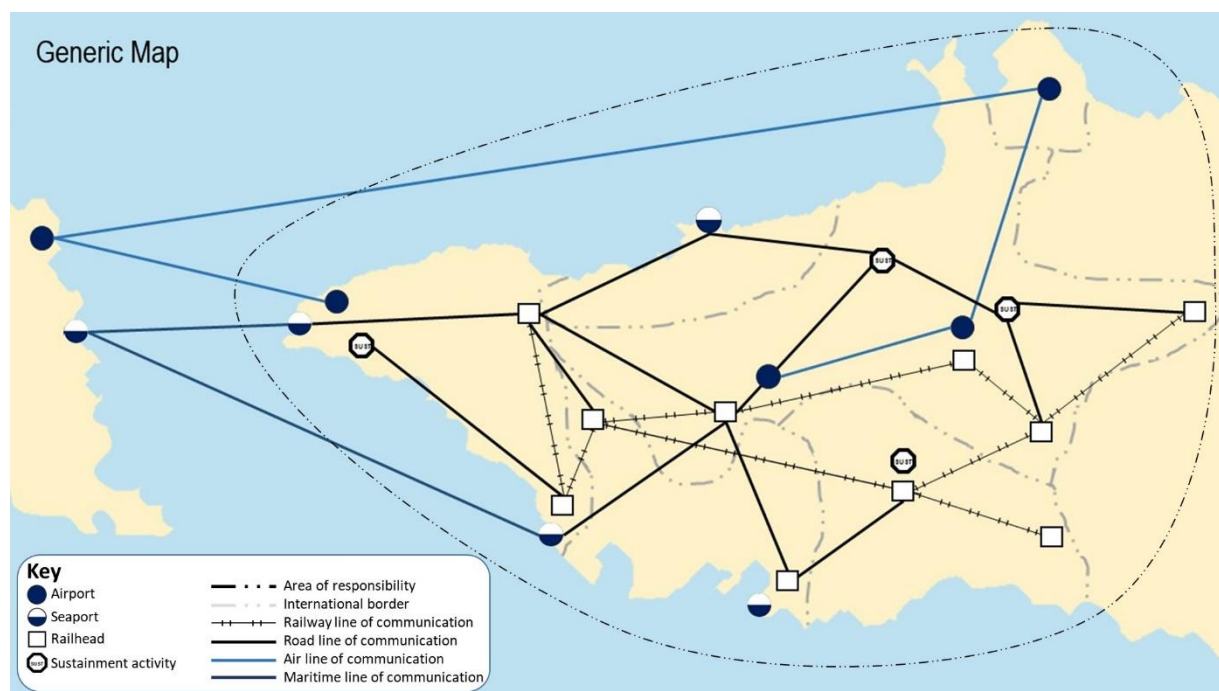


Figure 1.1 - Hypothetical reinforcement and sustainment network

Section 6 – Information management

1.23 To support the common operational picture and support COM JTF's decision-making process, the sustainment functions produce individual recognized pictures in accordance with COM JTF's directed battle rhythm. The recognized pictures consist of information gathered from military and commercial information management systems. However, COM JTF should be aware that commercial information systems may have a higher risk and be more vulnerable of exposure to cyber-attacks, which represents an additional threat to the sustainment functions. To mitigate the risk, COM JTF should consider commercial information systems as part of their cyberspace and communications and information systems operations planning.⁹

⁹ AJP-3.20, *Allied Joint Doctrine for Cyberspace Operations*.

Intentionally blank

Chapter 2 – Planning and conducting sustainment

Section 1 – Planning considerations

2.1 **General.** Sustainment functions success are a key component of operations planning and should be integrated into planning across joint functions. The success of sustainment occurs through constant and deliberate coordination, collaboration, and synchronization between the sustainment functions and other joint functions. The commander (COM) joint task force (JTF) should consider the impact of multi-domain operations on sustainment support and identify how sustainment can contribute to enabling multi-domain operations during operations planning. When deploying a force, the available sustainment capacity often determines COM JTF's initial freedom of action; particularly in a contested environment. The inclusion of sustainment functions in operations planning allows for the following:

- effective management of time and space relating to the sustainment functions;
- the prevention of culmination or loss of the initiative;
- management of transitions;
- exploitation of opportunities; and
- the mitigation of risk.

Greater detail on individual sustainment activity's planning considerations are contained within the functional chapters.

2.2 **Resilience.** Resilience is defined as 'the ability of an entity to continue to perform specified functions during and after an attack or an incident.' NATO takes a comprehensive approach to resilience, combining both civil preparedness and military capacity. Civil and military authorities should deliver the sustainment functions before, during and after an attack or an incident. Military resilience aims to ensure NATO's fighting power remains effective and support the civil resilience. Civil preparedness and military resilience contribute to the enablement and sustainment of Supreme Allied Commander Europe's area of responsibility. When conducting planning, COM JTF should consider two areas of sustainment activity as follows:

- a. **Self-sustainment.** To ensure continuity of the ability to conduct operations effectively, COM JTF should understand the strengths and vulnerabilities of sustainment functions, to include redundancy during the planning process. This is a complex task as there is always be a tension between an increased sustainment footprint and the overall size of the force.

b. **External sustainment.** Significant sustainment support comes from civil entities; through legal agreements or direct commercial contracts. To ensure continuity of external support, COM JTF should understand these dependencies. Civil entities have different means and methods of delivering sustainment support and may not have the same levels of resilience as the joint task force. Consequently, the structures and resources of these civil entities may be more susceptible to attack by an adversary or internal unrest. Types of actions are described in paragraph 2.3c.

2.3 **Operating environment.** To ensure a proper contribution to the operations planning process, situational awareness of the operating environment should be considered at the forefront of sustainment planning; the following provides guidance on the areas:

a. **External limitations.** COM JTF s should understand the scope, duration, and associated risk of any limitations imposed upon sustainment forces and activities under their command, as well as limitations imposed on nationally-retained sustainment functions that are supporting the joint task force. These may include restrictions or caveats by the troop-contributing nation or host nation (HN) and limitations on freedom of movement. This could also include limitations imposed on the use of the Reinforcement and Sustainment Network.

b. **Competing demands for resources.** Military operations are often accompanied by preceding or concurrent civil and humanitarian crises. These events can impact adversely upon the availability of civil and commercial resources, e.g. power, water, food, communications, and contracted services and supplies. Additionally, forces from more than one nation operating within the same region may also drive competition for essential resources, generating artificial scarcity and increasing costs. Communication and coordination among COM JTFs, planning staffs, national forces, civil organizations, and commercial partners prevents or mitigates resource competition.

c. **Contested environment.** Adversaries may seek to gain military advantage, by disrupting sustainment e.g. attacking sustainment forces, destroying or disabling critical infrastructure, capturing or destroying stockpiles and prepositioned stocks. COM JTFs at every level should actively assess threats and implement control measures both preventive and defensive. These threats may include:

- attack via manoeuvre or long-range fires;
- sabotage;
- chemical, biological, radiological or nuclear/toxic material;
- cyber-attack against the Alliance, national, civil or commercial systems;
- electromagnetic warfare attacks in the EMS against Alliance, national, civil or commercial systems

- misinformation or disinformation campaigns; and
- sanctions or other legal and economic actions, including exploitation or disruption of supply chains.

To mitigate the threats identified above, COM JTF should consider the following:

- the importance of collective sustainment solutions;
- clear lines of sustainment authority;
- prioritizing enablers and material; and
- transparency between nations.

d. **External opportunities.** COM JTFs need to consider external opportunities based on broader geographical capabilities and capacities of the HN and, where applicable, other nations in proximity to the force. This may include military and non-military capabilities that could be leveraged to reduce the impact on the supply chain and/or need for force generation of sustainment elements.

e. **International organizations/non-governmental organizations.**¹⁰ A number of international organizations (IO) and non-governmental organizations (NGO) operate in any joint operations area. Each non-military actor usually follows a set of principles, governing their work and conduct. They differ considerably resulting in different agendas, structures and procedures. In addition, their willingness to work with the military also differs depending on their principles. However, irrespective of their position IO and NGO could affect the joint forces as follows:

- support through the provision of sustainment functions;
- competition for limited resources; and
- requests for sustainment function support.

It is vital that COM JTFs understand the potential impact of IO and NGO on their sustainment functions.

2.4 **Corporations.** In addition to IO and NGO, corporations may be operating in the joint operations area. Their presence could enhance the sustainment of Alliance operations and missions through opportunities to employ commercial capacity, create mutually beneficial economies of scale, and obtain access to capabilities that are uniquely available from the private sector. However, in certain circumstances, corporations could compete or even

¹⁰ AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation*.

actively conflict with the NATO's strategic and operational objectives. Corporations owned by adversaries and strategic competitors may use business relationships to extract and exploit sensitive operational data, employ economic influence to disrupt sustainment operations, or use corporate ownership or control of vital resources to limit or prevent access to essential capabilities upon which operations depend, such as port facilities, energy production and distribution facilities, or communication networks. It is important to obtain an economic assessment, in conjunction with joint functions intelligence and the civil-military cooperation, to assist in identifying the importance and potential impact of such corporations' support to operation. Close cooperation with the HN is essential to ensure sustainment requirements are protected whilst enabling the joint force.

2.5 Regulatory framework. To ensure coherence and close cooperation amongst nations or between Nations and COM JTFs, a supportive legal framework needs to be established, e.g., through memorandums of understanding or technical arrangements. In addition to a NATO legal framework there are bi-/ multinational frameworks as well. This is particularly important when agreeing the expected/directed levels of support to meet the commander's requirements.

2.6 Gender perspective. Integrating a gender perspective has force multiplying effects across the three components (conceptual, moral and physical) of fighting power. A gender perspective should be integrated in the planning and conduct of sustainment activities.¹¹ to identify and respond to the different needs, concerns and experience of men, women, boys and girls. Planners should consider gender concerns within their own organization. Externally, they should consider activities that can be conducted in cooperation with civilian actors, other security forces to the benefit the local population. This also enhances the understanding and awareness of the second and third order effects sustainment activities may have on the local population and on particular vulnerable groups. Furthermore, gender inequalities and gender based violence, is often exacerbated during periods of crisis and conflict, feeding the conflict dynamics and also continuing after hostilities end, perpetuating instability. Income JTF does not address this properly, it undermines operational effectiveness, the moral and credibility of the force and risk to mission success.

2.7 Cross-cutting topics. NATO has committed to ensuring that the population is minimally impacted by conflict and disaster.¹² To facilitate the legally and policy compliant planning and conduct of operations NATO has identified the following cross-cutting topics that are taken into account:

- protection of civilians;
- children and armed conflict;
- cultural property protection;

¹¹ Bi-SCD 40-001, Integrating Gender Perspective into the NATO Command Structure, 2021.

¹² AJP-01(F), *Allied Joint Doctrine*.

- women, peace and security;
- conflict-related sexual violence;
- combating trafficking in human beings;
- sexual exploitation and abuse; and
- building integrity.

COMs, at all levels, have an inherent responsibility to operationalize and integrate these cross-cutting topics in their respective headquarters. Consequently, when planning and conducting sustainment activities and operations, COMs should take into consideration how the cross-cutting topics are impacted by and may impact sustainment activities, and identify how to conduct sustainment with minimal negative impact on the population.

Section 2 – Stages of an operation

2.8 If decisions in the NATO Crisis Response Process require a contingent campaign or an operation is required, the joint operation normally consists of a number of stages, which can exist consecutively, or concurrently throughout an operation. The successful conduct of sustainment functions is key to the success of each stage of an operation. At the earliest opportunity, sustainment needs to be considered and included in the development of operational level advice. Individual activity support to operations is covered in the activity chapters. However, to support the development of the operation plan and the subsequent roles of the sustainment functions, the following paragraphs describe the main considerations that are common to the functions.

Preparation

2.9 **General.** For the sustainment functions, preparation consists of those activities that are designed to enable the force's ability to execute an operation. Preparation creates conditions that improve friendly force's opportunities for success. In line with Allied Joint Publication-3, *Allied Joint Doctrine for Operations*, the preparation activities are covered under the task headings as follows:

- developing an operation plan (OPLAN);
- force generation and preparation;
- pre-execution activities; and
- deployment.

2.10 Developing an operation plan. The developing of an OPLAN details the sustainment requirements and subsequent laydown in a joint operations area and confirms the roles of the sustainment elements involved in the operation. COM JTF should consider those factors that can affect sustainment including degradation and depletion of capabilities and capacities, as well as the availability and extent of contracted and host-nation support (HNS) to sustainment functions. These factors affect the size and composition of the sustainment forces. Sustainment requirements and laydown are normally included in the main text of the OPLAN and in specific annexes.

2.11 Force generation and preparation.¹³ Based on the force planning, sustainment forces are provided by the troop-contributing nations to support the execution of the OPLAN. Multinational solutions should be considered to optimize sustainment activity and to make scarce resources available to the forces/Nations. Sustainment functions' subject matter experts should be included on the operational liaison and reconnaissance team to provide guidance on HNS and the sustainment layout.

2.12 Pre-execution activities. During this period, actions should be taken to set final conditions for the deployment and uninterrupted sustainment of forces throughout the remaining stages of the operation. HNS agreements, commercial contracts and multinational or collective sustainment frameworks should be implemented as required. Materiel is drawn from storage and readied for deployment, and stockpiles and pre-positioned inventories are assessed and adjusted as necessary. Security and protection measures necessary to support resilience and continuity of sustainment functions are implemented. Deployment and sustainment plans are validated against the current operating environment to mitigate emergent risks and ensure necessary access to vital resources including the activation of the Reinforcement and Sustainment Network. Waivers and clearances are requested and granted where appropriate, and sustainment-related NATO crisis response measures¹⁴ are requested, authorized, and implemented as determined by the Nations, North Atlantic Council, and Supreme Allied Commander Europe.

2.13 Deployment. Deployment operations should be delivered in accordance with the OPLAN and, although Nations are ultimately responsible for deployment of their forces, a successful deployment relies on the cooperation and coordination between Nations and with NATO. A special responsibility lies with HNs which should provide an agreed level of resources to support deployed or transiting forces. However, to enable the joint operations area, early deployment of sustainment and other enablers required to enable locations supporting reception, staging and onward movement is essential to supplement HN capabilities and provide sustainment consultation, command and control. Consequently, there is a requirement to front load sustainment capabilities in the desired order of force elements.

Sustaining fighting power

¹³ MC 0586/6 *MC Policy for Allied Forces and their use for Operations*.

¹⁴ NATO Crisis Response System Manual 21.

2.14 During this stage of an operation, it is critical to ensure that sustainment functions are conducted considering their links to the strategic and tactical levels. Personnel and materiel flow constantly inter and intra the joint operations area during any operation and should be considered as one seamless system if it is to support the execution of operations. Moreover, given the reliance on non-military elements at all levels, COM JTF should be aware of issues affecting their continued support; for example: force protection, agreed levels of NATO support and access to scarce resources. How each sustainment function supports the operations plan is detailed in Chapters 3 to 8. In addition, Nations should include redeployment planning during this phase of the operation. Consideration should be given to competing for capacity in Reinforcement and Sustainment Network.

Transition

2.15 Planning for termination, transition, and redeployment should be considered at the earliest opportunity with detailed planning. It requires significant liaison between the sustainment activity staff within the joint task force and the national support elements. The sustainment functions play a vital role in termination and transition activities whether to a follow on force or a return to Nations whilst continuing to support the joint force.

Termination and post-termination activities

2.16 **Redeploy forces.** Redeployment consists of the four stages: disengagement, rearward movement, staging and dispatch within the joint operations area, and strategic redeployment from the joint operation's area to the national location. There is a considerable role to play for the sustainment staffs within the joint operations area which includes Joint Support and Enabling Command and the respective joint logistic support group. These organizations' involvement in the planning and execution of redeployment is critical and could become the operation's main effort. The task is made more complex for the sustainment elements as they compete for vital resource to conduct the rearward movement. Moreover, depending on the rate and size of the redeployment, there could be a requirement to temporarily increase the size of the sustainment force and change its disposition to meet the redeployment plan. To mitigate some of this risk, multinational redeployment solutions should be encouraged, enabling greater coordination and sharing of resources and capabilities.

2.17 **Identify lessons for all stages.** An effective lesson learned process should be an instrumental part of any organization's overall improvement process to enable continuous improvement across the Alliance, thus enhancing the effectiveness of a joint force command or joint task force. Observations are to be inserted in the NATO Lessons Learned Portal, as the single NATO Alliance tool for collection, managing, tracking, monitoring and sharing of lessons. COM JTFs should promote and make use of the portal to discharge their responsibilities to; prioritize lessons, share them, assign and track remedial actions and follow up to ensure their organization has actually learned.¹⁵ COM JTFs and staff should gather lessons identified throughout the operation where they impact on the delivery of sustainment

¹⁵ Bi-SC Command Directive 080-006 Lessons Learned.

support. These lessons should be compiled at all levels and include observations from subordinate tactical formations where they are relevant to Alliance operations.

Section 3 – Assessments

2.18 During the planning stage, assessment of sustainment functions provide COM JTF with an estimate of the capabilities and performance of organizations, materiel, and systems that are potentially available to them and any associated risks. On conducting the operation, sustainment functions assessment is used to constantly assess and re-assess the consequences of their sustainment function actions and to inform COM JTF enabling them to adjust their operations accordingly. Assessments occur at every echelon; however, lower echelon assessments, decisions, and reporting may have greater potential impact at higher levels. Reporting delivers critical signals to COM JTF to facilitate resolution of risk at echelons with greater span of control. Effective sustainment assessments and integration improve plan realism and feasibility.

Section 4 – Roles and responsibilities

2.19 The roles and responsibilities of organizations involved in the delivery of sustainment are contained within the Allied Command Operations Provisional Enablement Stakeholders Roles, Responsibilities and Authorities.¹⁶

Section 5 – Host-nation support

2.20 **Description.** HNS is defined as: ‘civil and military assistance rendered in peace, crisis or war by a HN to NATO and/or other forces and NATO organizations that are located on, operating on/from or in transit through the HN’s territory’. As HNS may not be limited to military assistance, the appointed HN authority remains responsible for the internal HN coordination to ensure that HNS arrangements are endorsed at the required level.

2.21 **Host-nation support principles.** Several principles should be observed if NATO-led forces are to fulfil their responsibilities for HNS efficiently. These principles are consistent with the logistic principles and are developed from the HNS policy presented in MC 0334, *NATO Principles and Policies for Host-Nation Support*. The principles also reflect the experience gained in a wide variety of NATO-led military activities. These principles are as follows:

- a. **Responsibility.** The NATO COM¹⁷ responsible for the activity is also responsible for identifying HNS requirements for the force, establishing the HNS planning process in consultation with nations, and prioritizing and coordinating the provision of HNS. However, each nation is ultimately responsible for ensuring the

¹⁶ Need reference

¹⁷ Any commander in the NATO chain of command, including NATO Command Structure and NATO Force Structure

provision of support to its forces and for submitting HNS requests as required.

b. **Provision.** Nations should ensure individually, or by collective arrangements, the provision of adequate resources to support their forces identified or committed to NATO during peace, crisis and conflict. HNS is a significant source of support for deployed forces but should be based on the actual capabilities of the HN. Full account should be taken of the national priorities and requirements of the HN.

c. **Authority.** MC 0334 provides the strategic commands and the NATO COM with the appropriate authority for HNS planning and the development and execution of arrangements. This authority does not affect the rights of sending nations (SNs) to negotiate and conclude bilateral HNS arrangements with the HN. However, a multinational approach helps avoid competition for limited resources.

d. **Economy.** Operational planning should minimize the requirement for sustainment support through the most effective and efficient use of resources. Economy of HNS is achieved by planning and execution that emphasizes cooperation and coordination between the HN and SN. Cooperation amongst the HN, SN, and NATO authorities creates a unity of effort in the provision and use of HNS and avoids competition amongst Allies for limited resources. Coordination of HNS planning and execution is essential for the prioritization, synchronization, and integration of effort between the NATO-led forces and national authorities.

e. **Visibility.** Joint commanders, theatre component commanders, joint task force commanders, and their staff should have full visibility of all HNS in their area of responsibility and a predefined information exchange process plays a vital role whether coordinated by NATO or provided as a result of bilateral arrangements, to prioritize the provision of HNS when its availability is limited. The COM and staff should understand existing legal arrangements and have access to the HN capability catalogues, which are current and available in the logistics functional area services system. The consolidated reinforcement and sustainment picture will also be distributed by the Joint Support and Enabling Command throughout Allied Command Operations during operations. This provides situational awareness on the capability and capacity to sustain forces across the area of responsibility via the Reinforcement and Sustainment Network.

f. **Reimbursement.** The HN, SNs, and/or NATO authorities as appropriate establish reimbursement of HNS through either national, shared multinational, or NATO common funding by way of formal agreements in advance. These procedures are developed according to the accepted principle that each party can obligate only itself, and no other.

Section 6 – National support element

2.22 National support elements (NSE)s are defined as ‘any national organization or activity that primarily supports national forces that are part of a NATO force.’ They are tailored and

scaled to support the size of the national contribution.¹⁸ NSEs are the links between national forces, host nations and the NATO force structure for the synchronization of support during an operation. NSEs are not part of the NATO force structure and are under the national chain of command; however, NSEs are expected to adhere to the consultation, command and control relationships defined in the operations plan. In favour of a collective approach to the support of operations and for optimized communication and coordination, it is recommended that troop contributing nations co-locate their NSEs in the theatre's main support areas and preferably in close proximity to the joint task force headquarter. In addition, NSEs should place liaison officers at appropriate levels in the command structure to facilitate their mission and to support NATO operations.

Section 7 – Key vulnerabilities

2.23 General. Sustainment provides COM JTFs options to assist in achieving military objectives beyond forces support; consequently, it should be coordinated and synchronized, by COM JTFs and their staff of planning and conducting operations. Sustainment staff should present viable courses of action, identifying threats and opportunities, commensurate with sustainment capabilities to allow as much freedom of action as possible. Joint task force COM JTFs should understand the nature and reality of sustainment risks and how to balance them against mission success and incorporate in their comprehensive risk management process.

2.24 Credible sustainment. Military personnel should have confidence that the sustainment system will support them in the most difficult circumstances. Consequently, credible sustainment capabilities increase the morale component of fighting power. The absence, or lack of sufficient sustainment capabilities could have a negative impact on the moral of the fighting units, and could result in a decrease of fighting power.

2.25 Reinforcement and Sustainment Network. Sustainment relies on the availability of the Reinforcement and Sustainment Network which is likely to be targeted by enemy activities. Mitigation of this risks requires the protection of the Reinforcement and Sustainment Network as a priority when considering the disposition of the force.

2.26 Munitions and explosives. Munitions and explosives present a safety hazard to those who use, handle, store, transport, process or dispose of them or forces and civilians within proximity. Munitions are typically owned by nations and not NATO directly, but should feature in NATO planning from the onset. This demands special consideration in the planning and execution of their use. The process of assessing munitions and explosives risk is set out in Allied logistic publication-16 and allows authorized decision makers to make informed risk decisions.

2.27 Mass casualty. A mass casualty situation can happen at any time, anywhere in the area of operations. A mass causality event occurs when the number of casualties exceeds

¹⁸ NATO operating units are NATO-owned and operated. They are not individual nation-sponsored and are dependent on the utilization and inclusion into established collective sustainment solutions.

the available medical capabilities and capacities and drives a response that stresses the sustainment functions. A mass casualty plan needs to be in place.

2.28 Large-scale patient flow. COM JTF needs to be aware that a (temporary) influx of patients into the military medical system due to a temporary or permanent intermittence in the national/civilian medical healthcare system or significant numbers of injured detainees could overwhelm the military medical system capabilities and capacities. Consequently, a military large-scale patient flow should be considered during planning.

2.29 Commercial Information. Satisfying requirements through commercial solutions by their nature requires information to be shared with industry which, if not protected, may result in providing information potentially valuable to the opponent. Information addressing sustainment aspects such as days of consumption, locations and security procedures needs to be protected by ensuring that suppliers are properly vetted and only essential information necessary to enable them to complete their contracted tasks are shared.

2.30 Contractor fratricide. In certain circumstances there may be limited commercial support locally available; consequently, there is the risk that entities compete with each other and usurp goods and services initially committed to another entity. This is commonly achieved when one entity is willing to pay far more for the same goods and services as those who may have already established contracts with the same supplier. COM JTFs should also consider the impact on the local population of the possible contribution to price increases or scarcity of goods and services by focusing on local suppliers and expanding the market beyond the local area.

Intentionally blank

Chapter 3 – Personnel

Section 1 - Definition

3.1 Personnel services are defined as ‘all services and assets that participate in the administrative and financial autonomy of a force, the maintenance of the combatants’ operational capability and the welfare of their families. Its area of activity comprises general administration and the provision and management of those resources necessary for the every-day requirements of personnel.’ The make-up of an Alliance force reflects the comprehensive approach so requires the right mix of appropriately educated and trained personnel which includes regular and reserve military, NATO and national non-military actors, contractors,¹⁹ other agencies and actors.

Section 2 - Principles

3.2 Personnel are a key component of success. Morale and preparedness of personnel can strongly influence effectiveness of a force; therefore, the commander joint task force (COM JTF) should have confidence that provisions made by nations and NATO²⁰ for deployed personnel under their command are appropriate. The following principles are at the centre of the provision of personnel activities.

- a. **National primacy.** Personnel activities are unique to each troop-contributing nation (TCN). Whilst some efficiencies can be made through close cooperation, the wide variety of terms and conditions of service for personnel across NATO members means that NATO personnel operations remain the responsibility of the individual TCN through national support elements (NSEs) or COM JTF for NATO international civilian personnel.²¹
- b. **Early planning.** Early and comprehensive planning of the personnel activities through the NATO operations planning process and the duration of the operation.
- c. **Co-operation.** Cooperation and coordination with Allies across the personnel activity footprint to optimize, tailor and where possible share resources.

Section 3 - Characteristics

3.3 Balancing the components of fighting power (conceptual, physical and moral) throughout an operation is essential to the military imperative by maintaining the effectiveness of both the force and the individual. Morale is a product of the synergy of the

¹⁹ Contractors, in this context, refers to temporary staff covered by the provisions of the NATO non-military actors’ personnel regulations.

²⁰ NATO serves as the nation for deployed NATO international civilian personnel.

²¹ NATO Civilian Regulations, Annex XIV (C-M(2005)0041).

three components and it is created through the symbiotic relationship between the personnel activity and other sustainment functions. The ultimate responsibility for the majority of activities remains with the Nations.

Section 4 – Planning considerations

3.4 Planning at the strategic level. A significant proportion of a TCN's personnel efforts on operations is designated a national responsibility which primarily reflects the requirement to preserve national prerogatives in the field of personnel management. Strategic planning should ensure a minimum baseline plan for delivery of support to personnel, and where possible, enlist multinational solutions, host-nation support and non-military actors to enable efficient delivery. Planning considerations are:

- a. **Personnel accounting, tracking and administration.** Deployed personnel remain under full command of their troop contributing nation's administrative regulations. Accordingly, information systems and individual regulations for the accounting, tracking and administering (including allowances, pay and appraisal reporting) of personnel requires early establishment and clarity of implementation.
- b. **Discipline and legal.** Jurisdiction on routine matters will need to be dealt with through established national channels whether the unit, formation, headquarters (HQ) or an assigned higher authority exercises disciplinary powers. In the case of serious outbreaks of misconduct or complex complaints (especially those likely to attract unfavourable media interest) processes should be in place to report this through to the NATO Command Structure and enable the provision of specific legal advice.
- c. **Religious services.** Religious support is a national responsibility and provision of a chaplain or equivalent to act as the principal advisor to the senior national representative on matters of religion and morale within the national deployed personnel needs to be carefully considered noting the religious demographics of the TCN.
- d. **Postal services.** Utilizing national lines of communications, the provision of postal services is considered the preserve of nations but wherever possible the sharing of resources is encouraged. TCNs without postal support should request assistance through bilateral negotiations with those Nations who can offer such services.

3.5 Planning at the operational level. J1 staff contribute to the operations planning process by providing personnel subject matter expertise to operations planning groups. They should be involved from the earliest opportunity and remain consistently engaged throughout the phases of the operation. Some planning considerations would be:

- a. **Casualty reporting.** Whilst casualty reporting is a national responsibility, the majority of operations also require national contingents to report casualty information in accordance with agreed theatre standard operating procedures. Establishment of casualty reporting databases, to be maintained by joint operations area HQ, is also

essential to record killed in action and a range of casualty assessments in personnel situation reports and medical situation reports.

b. **Mortuary affairs.** This would include processes for recovery, identification, temporary storage, transportation and preparation for funeral, including COM JTF's responsibility for the procedure of emergency burial.²² It also encompasses the handling of human remains of adversaries. NATO forces should endeavour to facilitate the return of remains upon request of their respective governments or units.

Section 5 – Conduct of operations

Preparation

3.6 **Developing an operation plan.** A well-developed personnel annex within COM JTF's operation plan is the best method to widely disseminate the personnel activities and responsibilities. In addition to the fundamentals of planning across all stages of an operation key personnel aspects for consideration are:

a. **Troop-contributing nations and NATO personnel breakdown.** The scale and geographic location of TCNs and NATO staff committed forces determine what personnel activities are required in which location.

b. **Collaboration opportunities.** Opportunities to optimize resources by pooling or burden sharing (with TCN co-operation) should be identified.

c. **International agreements.** Elements of the NATO status of forces agreement, memorandum of understanding and technical arrangements as they pertain to personnel activities and jurisdiction should be publicized.

d. **Personnel reporting.** Reporting requirements (i.e. casualty, compassionate, repatriation, war graves and, awards and decorations²³) should be detailed to enable TCNs to shape their footprint. Participating nations may request a NATO international evaluation report for any individual assigned to an Alliance operation or mission.

e. **National rotation.** National policies on personnel rotations differ and COM JTF should ensure that personnel rotation is factored into the operations planning process. The rotation periods for varying capabilities could play a significant role in the conduct of operations and carries an in-theatre training burden.

²² STANAG 2070, ATP-92

²³ MC 0475/2 (Final) Change 8 (Final), MC Policy for NATO Medals, General Regulations and Qualifying Conditions, dated 10 December 2010. ACO Directive 040-009, Regulations Concerning NATO Medal Policy, dated 18 April 2019. Allied Command Operations Directive 040-014, The Supreme Allied Commander Europe Recognition Award, the Allied Command Operations Military Member of the Year Programme and on the spot Recognition and Appreciation Awards, dated 13 December 2018. Allied Command Operations Directive 040-009, Allied Command Operations Campaign Pennant, dated 20 June 2019

- f. **Host-nation support assistance.** Some personnel activities (i.e. aspects of welfare provision) that can be host nation provided should be identified.

3.7 **Force generation and preparation.** There are two personnel services areas that are key to force generation and preparation. These are:

- a. **Combined Joint Statement of Requirement.** A combined joint statement of requirement (CJSOR) is a table setting out the type and scale of forces and capabilities required to implement the military strategic concept for a particular operation. It is produced as part of the operations planning process (CJSOR initially produced at operational level to support force generation at the strategic level). The CJSOR and theatre capability statement of requirement determines the force that needs to be generated and sustained.
- b. **Crisis establishment.** A crisis establishment approved by the Supreme Allied Commander Europe is a table setting out the authorized structure and workforce requirement for a unit, formation or HQ, as part of contingency planning for operations or in a crisis response operation. A crisis establishment is part of a CJSOR, not distinct from it. A full crisis establishment consists of an establishment table, an organization chart and job descriptions that support authorized posts. The crisis establishment is a mechanism for the provision and sustainment of a qualified workforce to an HQ.

3.8 **Pre-execution activities.** During the force preparation phase, COM JTF and staff need to closely control the build-up and planned order of arrival of forces commensurate with any specific infrastructure or reception, staging, onward movement and integration needs. Synchronization is only possible through collaborative planning with the TCNs but national inventories need to exist to respond appropriately for time-critical operations at the high end of intensity.

3.9 **Deployment.** The strategic deployment of a force into the joint operations area requires coordinated and rapid movement of equipment and personnel from their home base, across the lines of communications and to a final destination within the theatre. The strategic movement and tracking of personnel in particular is a national responsibility but may be under NATO coordination. Small contingents may agree to share reception, staging, onward movement and integration activities, but taking care to ensure theatre entry briefs meet individual national requirements and are understandable to the audience receiving them.

Sustaining fighting power

3.10 Personnel services conducted during operations are as follows:

- a. **The use of Allied forces for operations.** The policy for Allied forces and their use for operations is detailed in MC 0586. Nations formally signify their intention to provide the required forces, indicating predicted transfer time, location and level of command authority through the force preparation process. National authorities may stipulate particular caveats²⁴ or operating restrictions that do not permit NATO COMs to deploy or employ assigned assets fully in line with the approved operation plan and specific CJSOR requirements. This can increase NATO's mission risks and in turn may require additional forces for mitigation of those risks.
- b. **Handover/takeover.** The handover/takeover of an ongoing operation from a non-NATO actor, NATO country, or coalition to NATO with continuity of situational awareness, communication is a two-tiered process. It encompasses the transfer of command and control and transfer of authority (TOA) (level of control is specified in each nation's TOA) of those designated forces from national to NATO command. The transition should be executed in a coherent, coordinated and controlled manner to maintain momentum and avoid destabilizing the area of responsibility.
- c. **Transfer of authority.** The TOA of forces is an action by which a member nation or NATO COM gives operational command, operational control or tactical control of their designated forces to a NATO COM. Each Nation's TOA letter identifies those designated forces of member Nations committed for NATO operations and missions and what level of command authority is given to the NATO COM for the operation or mission. Nations retain full command, which covers every aspect of military operations and personnel administration, thereby retaining the right to revoke TOA.
- d. **Workforce sustainment.** Workforce sustainment for protracted operations, including communication and information system and HQ support personnel, is decided on a case-by-case basis taking into account, inter alia, the general strategic situation and other Alliance Commitments.
- e. **Morale and welfare.** COM JTFs are invariably responsible for morale and welfare. Financing of welfare activities tends to be self-sustainable by the nation receiving the service and any shared facility or activity is formally agreed between TCNs. This may be complementary to a nation's deployed welfare package.
- f. **Captured personnel.** It is the responsibility of COMs and their staff to ensure persons captured during NATO operations (whether prisoners of war, detainees or

²⁴ Caveats can include nations: limiting or restricting the deployment and employment of their forces within the designated joint operations area and adherence to a narrower interpretation of authorized rules of engagement due to national laws or policy, which may limit the full spectrum of operations.

internees) are to be treated humanely and without discrimination. This will include the legal provision of basic needs such as nutrition, shelter, safety and medical support provided in liaison with the other sustainment staffs. International law or other applicable law for the handling and processing of persons, materiel and documents captured will be abided by during an operation.²⁵ Captured persons are to be handled correctly and expeditiously to extract information to support intelligence analysis and other purpose,²⁶ including evidence for use in legal proceedings against captured persons suspected of war crimes, crimes against humanity or terrorism.

Transition

3.11 While redeployment is conducted during the transition and termination phase of an operation, planning for redeployment is an integral part of the overall operations planning process from the outset. The currency of TCNs national plans and accuracy of force dispositions assists with achieving an efficient and effective redeployment phase. Transactional administration of personnel rearwards from the operational area, including personnel tracking, remains a TCN responsibility. At the end of a contingent's contribution to an operation, COMs should complete appropriate national personnel performance reports or international evaluation reports and consider recommendations for awards and decorations.²⁷

Termination and post-termination activities

3.12 **Re-deploy forces.** As for deployment, nations retain responsibility for the redeployment needs of their forces when not under operational command or operational control.

Section 6 - Interaction

3.13 **National support elements.** NSEs deliver a co-ordination and liaison function between their nation and other coalition forces on personnel management issues.

3.14 **Joint force headquarters.** A NATO J1 Cell in the joint force headquarters exists as the focus for NATO deployed international staff and to act as the focal point for aspects of theatre reporting required from the NSEs. The crisis establishment provides the staff for this cell from personnel already filling peacetime establishment roles, which are 'dual-hatted' for deployment or reinforcement as required in the operation plan.

²⁵ 1949 Geneva Conventions and their 1977 Additional Protocols.

²⁶ AJP-2, *Allied Joint Doctrine for Intelligence, Counter-intelligence and Security*.

²⁷ Allied Command Operations Directive AD 040-009, NATO Medal Policy Regulations, dated 6 March 2018.

Chapter 4 – Logistics

Section 1 - Definition

4.1 Logistics is defined as: ‘the planning, preparation, coordination and execution of the supply, movement, maintenance and services to support the full spectrum of operations, using military, civil and commercial resources’.

Section 2 - Principles

Primacy of operational requirements

4.2 This principle highlights the dominance of operational requirements over all other principles. All logistic efforts, from the military, civil and commercial sectors, should be focused on satisfying the operational requirements necessary to guarantee the success of Alliance operations and missions.

Unity of effort

4.3 This principle ensures optimization of national, multinational and collective logistic efforts by cooperation and coordination. The common goals of unity of effort maximize logistic effects, while ensuring the seamless transition from peace to crisis and/or conflict. Cooperation is managed by applying the tenets of solidarity and fair burden sharing.

Agility

4.4 This principle highlights the necessity for logistic support to be adaptive and flexible in order to effectively meet operational requirements. Assured provision and redundancy underpins agility. Agility allows NATO and Allies to react and adapt in a timely manner to unpredictable changes and fluctuating operational circumstances.

Assured provision

4.5 This principle describes the necessity to ensure resources and capabilities are available to provide timely, continuous, adequate and reliable logistic support of forces. This relies on resilient and effective processes, management and the timely availability of enablers, including relevant civil and commercial capabilities. Assured provision requires redundancy and the effective positioning of resources. Allies may collaborate to ensure that any potential issue regarding scarce resources is identified and addressed.

Economy of effort

4.6 This principle highlights the balance between effectiveness and efficiency in the provision of logistic support. The logistic support of the Alliance operations and missions should be available in the quantity and quality, when and where it is required. Finite resources

and capabilities should be mission-tailored and used effectively to meet operational requirements. Efficiency is to be pursued within an assured and resilient logistic framework, but without taking priority over effectiveness.

Authority

4.7 This principle points out the interdependence between responsibility and authority. The responsibility assigned to any NATO commander (COM) should match the authority that Allies and NATO delegate to the COM over resources and allow the adequate execution of logistics.

Visibility and transparency

4.8. This principle describes the importance of visibility and transparency of logistics-related information. NATO COMs require timely, accurate and relevant information to make effective decisions on the planning, coordination and execution of logistic support of Alliance operations and missions.

Section 3 – Characteristics

4.9 **General.** The purpose of logistics is to generate and to preserve combat power. It is one of the chief enablers of combat operations and a major component of military 'means' at all levels of command. Logistics frequently influences the design of operations. The logistic functions are supply, movement, maintenance and services. These strongly interrelated functions support all military activities and interact as a supported/supporting element of broader sustainment functions or logistic-related areas such as host-nation support, resilience etc. Logistic functions and logistic-related areas significantly influence projection and sustainment of forces.

4.10 Logistics provides the right support in the right quantity and quality in the right place at the right time, to maintain the force's combat power. Logistic functions enable sustainability of the joint task force (JTF) throughout an operation. Although the logistical support of own troops is primarily a national responsibility, a collective approach is preferred in NATO operations.

4.11 **Joint logistic support network.** To enhance multinational operability, coordination, command, control and logistic assets require to be linked. They are linked in a network called the joint logistic support network (JLSN). The JLSN is a system of interconnecting logistic nodes, organizations, activities and sites in a joint operations area (JOA). Typically, the JLSN consists of, but is not limited to, JOA entry and exit points, staging and transition points along established lines of communications and final destination locations where integration and sustainment continues.

4.12 **Delineation between the Reinforcement and Sustainment Network and the joint logistic support network.** The Reinforcement and Sustainment Network (RSN) is generated and prepared in peacetime throughout the Supreme Allied Commander Europe's area of

responsibility so it can be activated for crisis and conflict to facilitate reinforcement by forces and sustainment flow. If there is a requirement to establish one or more JLSNs, they will be tailored to a specific operational plan and be activated out of the prepared RSN. A joint logistic support group (JLSG) could assume control of JLSN activities within the JOA, whilst the Joint Sustainment and Enabling Command maintains coordination of the RSN, including sustainment flow from and into an established JLSN.

Section 4 – Planning considerations

4.13 Planning at the strategic level. Logistic planning as described in Military Committee (MC) 0319/4, *NATO Principles and Policies for Logistics* is central to NATO planning. Logistic planning considers pre-arranged support for deployed military forces and civil capabilities, including commercial capabilities. The command and control of multinational logistic theatre-level capabilities needs to be considered early in the planning particularly as elements are likely to be deployed early in the preparation stage.

4.14 Planning at the operational level. During development of the plan, detailed planning and coordination is conducted with troop-contributing nations (TCNs), host nation (HN) and other stakeholders as well as subordinate/supporting commands, to ensure logistic support can be delivered to the force to meet operational requirements for each phase. Planning conferences are required to confirm logistic arrangements, especially with the HN(s) to ensure they meet operational requirements and allow a sufficient build-up of necessary resources in the theatre. Any shortfalls in host-nation support may require activation and deployment of additional logistic units by the Nations, the integration of logistic contractors and use of the capability portfolio of NATO agencies.

Section 5 – Conduct of operations

Preparation

4.15 Developing an operation plan. Logistic planning strives to achieve the correct balance between expeditionary agility and multinational, HN and commercial solutions. Moreover, there is an increasing reliance on removing unserviceable or surplus items from the JOA for repair and restocking of the strategic base inventory. Consequently, the availability and extent of contracted and host-nation support combined with strong strategic transportation links have a major impact on logistic planning.

4.16 Force generation and preparation. Based on force planning, logistic forces are provided by the TCN to support the execution of the operation plan. Agreements with the HN on status of forces and provision of materiel, workforce and services are to be completed. As part of the force generation process, the JTF headquarters (HQ) will also need to ensure that the developed fixed structure of the JLSG has the unfilled peacetime establishment/crisis establishment covered through augmentation coupled with the necessary training delivered in accordance with mandated lead/readiness times, integration and exercise to deliver the

required capability. The subordinate JLSG enabling forces need to be force generated in time as well, to ensure the JLSG is able to execute its roles, responsibilities and authorities.

4.17 Pre-execution activities. Early deployment of logistic enablers across the RSN as well as to locations supporting reception, staging and onward movement (RSOM) is essential at the latest during the preparation stage. During this stage, the RSN (or parts of) and the JLSN should be activated and elements of JLSG could be deployed. COM JTF will need to engage with Joint Support and Enabling Command and the HN(s) and maintain support for the joint force presence. The logistic force and activities required to support the operation will vary depending on the logistic activities. Nations as well as subordinate/supporting commands should ensure materiel and services can be delivered to the force to meet operational requirements for each phase.

4.18 Deployment. RSOM is under the control of COM JTF through COM JLSG.^{28,29} RSOM is executed in close cooperation with the TCN and the host nations. After the start of operations and activation of a JLSN, run by the JLSG, a multinational approach may be used to deploy national contingents into the JOA. COM JTF is responsible for the integration of forces.

Sustaining fighting power

4.19 Logistics provides resilient sustainability to the joint task force, enabling it to maintain operations at the speed of relevance. Overall responsibility for the delivery of support for the operation resides with COM JTF and this is managed, at the operational level, via maintaining a synchronized battle rhythm, clear situational awareness and a continuous assessment of the current logistic situation using the recognized logistic picture. During the operation there is a continuous process of supplying the JTF with all classes of supply, maintaining equipment and moving forces within the JOA. The JLSG controls the flow across the joint logistic support network, requiring synchronization of movement, in accordance with the priorities of COM JTF and coordinated with other stakeholders such as Joint Sustainment and Enabling Command, host nation and national support elements (for the movements of units that have not been placed under NATO command using a transfer of authority). All movements within a joint operations area are controlled by the engagement space owner, including those related to reinforcement by forces or sustainment; as a result, JLSG movements are coordinated and validated by the different engagement space owners. Conflicts between operational requirements and tactical concerns are to be de-conflicted at JTF HQ level.

²⁸ When no JLSG is deployed, this function could be conducted by the HN or another organization as directed by the commander.

²⁹ The JLSG units should be provided by the Nations under a transfer of authority.

Transition

4.20 Logistic support during termination and transition typically includes the return of unserviceable or surplus items from the JOA for repair and restocking of materiel, liaison with international organizations, non-governmental organizations, national authorities or other organizations, and possibly even support to dislocated non-military actors. There is an increased risk that the mission parameters begin to expand during this stage. The logistic staff should ensure that close coordination is maintained with civil-military cooperation and financial control staff, and that NATO resources are used only in tasks supporting the NATO mission and within relevant eligibility criteria.

Termination and post-termination activities

4.21 **Re-deploy forces.** Redeployment is characterized by the need to harmonize and balance logistics for ongoing operations as well as for the redeployment of materiel and forces. This activity requires significant planning, preparation and de-confliction of effort. Consequently, redeployment planning should become a priority for COM JTF once an 'end of mission' date has been declared. Once the desired order of departure has been agreed, it is likely that national elements cannot redeploy together. Consequently, logistic services crucial to the survival of the force elements remain in place until either other support arrangements can be made or the force has departed. To meet the challenges of the revised operational focus, the role of the JLSG may change from sustaining the JTF to redeploying it. Moreover, the shift in emphasis may lead to a reconfiguration of logistic forces requiring a different balance of logistic capabilities e.g. an increased demand for movement assets; this could require logistic reinforcement as the JTF reduces in size. To mitigate this risk, COM JTF should consider allocating additional capabilities to COM JLSG from within the JTF.

Section 6 - Interaction

4.22 **External interaction.** Logistic staff and units should actively engage with external actors, in the phases of the operation and at all levels of command. Due to the nature of logistics and the likely reliance on external support delivered to the joint force staff and units, they regularly interact with national support elements, HN, Joint Support and Enabling Command, contractors, non-governmental organizations and international organizations present in the JOA. In addition, logistics may play a role in supporting other government departments, non-governmental organizations and international organizations when requested in support of the overall mission.

4.23 **Sustainment functions interaction.** Logistics is inherently involved in interacting with other sustainment functions to enable the survivability and sustainability of forces. In particular:

- a. **Personnel.** Whilst personnel remains a national responsibility, COM JLSG, during the deployment and redeployment phase, is likely to have a significant role to play in the tracking of personnel and their welfare whilst they are being moved along the JLSN.

- b. **Medical.** Medical support requires specific attention when planning logistic capabilities and support. Logistics plays a vital role in supporting the survivability and health of forces and enabling medical support in the delivery of medical supplies and the provision of other materiel. Medical staff support J4 staff to identify and ensure unique handling requirements for medical logistics such as temperature control and the impact of the law of armed conflict. For medical evacuation, coordination between medical and logistic staff is required for the use of routes and assets.
- c. **Military engineering.** Freedom of movement and appropriate infrastructure within the JLSN requires significant military engineering support and is vital to the successful delivery of the logistic activity.
- d. **Finance.** Finance is involved in funding logistic projects, financial burden sharing, cost spreading, equipment maintenance, investments in facilities and services necessary to increase survivability of the forces.
- g. **Contracts.** Due to the diversity of needs and demands required to be provided in a JOA, it is extremely likely that there is a significant presence of contracted support as part of the comprehensive logistic support. This ranges from embedded contractors to contracted support provided by the HN. Logistic staff have to understand the contracted support capabilities, including their caveats and restrictions.

Chapter 5 – Medical support

Section 1 – Definition

5.1 Medical support aims to preserve and restore health and fighting strength of the troops. A deployed medical support system comprises of the following components:

- command and control;
- communications and medical information management;
- force health protection;
- medical evacuation;
- military healthcare; and
- medical logistics.

MC 0326/4, NATO Principles and Policies of Medical Support, provides the direction and guidance for the medical support of operations.

Section 2 – Principles

5.2 **Healthcare principles.** The health care principles are as follows:

- Compliance with the law of armed conflict.** The conduct of medical activities complies with the rules and spirit laid down by international law including the law of armed conflict. Primarily, all sick, injured, shipwrecked or wounded shall be treated without discrimination and solely on the basis of their clinical needs and the availability of medical resources. Commanders (COM)s should understand the specific aspects of the law of armed conflict that apply to medical support activity including international conventions and special protection of the protective emblem (e.g. Red Cross, Red Crescent).
- Medical ethics and legal constraints.** Whilst all military personnel are bound by military laws and regulations, medical personnel have additional individual responsibilities according to the ethical and national legal requirements of their own clinical profession. COMs should be aware of these constraints and ensure that orders given to medical personnel and units are compliant with these legal, ethical and professional obligations.
- Primacy of clinical need.** Clinical need is to be the principal factor governing the priority, timing and means of a patient's medical care and evacuation. Medical personnel should not be requested to prioritize a patient based on any other factor.

d. **The universal provision of acute emergency care.** Although the joint task force COM has the authority to limit the availability of military medical support to third parties, acute emergency treatment of life threatening conditions normally should not be denied within the capability/capacity of the medical resources deployed.

e. **Medical confidentiality.** The confidentiality of the care-provider/patient relationship has to be respected in the military as it is in civil life. Therefore, sensitive clinical information is not to be communicated to any individual or organization that does not have a legitimate need-to-know. The other J-staffs should understand and support this requirement for medical confidentiality whilst enabling effective information systems.

f. **Patient welfare.** In addition to the provision of medical care and physical well-being, the general welfare of patients is an important element of their health. Other J-staffs also have a role, including: communication with relatives or command staff; management of personal affairs; psychological support; and social welfare.

5.3 **Operational principles.** The operational principles are as follows:

a. **Timeliness of treatment.** Time is a fundamental factor in the effectiveness of medical care. The time taken until appropriate medical intervention decisively affects the general outcome of medical care, including the risk of death, the speed of recovery and the level of residual disability. Therefore, the allocation of medical resources has to ensure the timely provision of medical care.

b. **Continuity of care.** A patient's recovery depends on the continuance of appropriate care. This means uninterrupted, progressive and appropriate medical attention and response to the needs of patients throughout the chain of medical treatment and evacuation.

c. **Standards of care.** Every effort should be made to ensure medical care is based on internationally accepted standards of care and best clinical practice. Certain operating environments and contexts present significant challenges to the delivery of health care, particularly in situations where there are extremely high patient numbers, hostile activity and adverse environmental conditions or geography.

d. **Multinational medical support.** Multinational medical solutions have considerable potential to reduce the burden of medical capability provision upon individual nations. Medical specialists are a scarce resource for all nations. Multinational solutions may be extended to certain medical capabilities contracted from civil providers to support operations for which military capabilities are not available or in which their use is impractical.

Section 3 – Characteristics

5.4 **Flexible and scalable.** The system of organizing the patient flow and the necessary type of medical capabilities might differ based on the type of operation. The medical support system should be flexible and scalable to the needs and size of the Alliance operations and missions. The system should be capable of managing large scale patient movements.

5.5 **Continuum of care.** Medical support is deployed as an end-to-end system that provides continuous care to each patient from the point of injury or onset of illness through to their recovery, which might be in the home base, and return to duty. Medical treatment facilities and medical evacuation platforms cannot operate independently, they should be part of an integrated system which can manage and sustain the flow of patients across the whole joint operations area (JOA).

5.6 **Civil-military cooperation.** Military medical support is always provided within a wider health context including the host nation (HN) health system, other military, international organizations and non-governmental organizations health care actors. The type of mission and the specific situation in the JOA defines the extent and nature of civil-military relations during Allied operations. Military medical support is often reliant on civilian resources such as supplies or specific capabilities.

5.7 **Modular.** The modular approach is a conceptual idea to enhance the efficiency and adaptability of medical support. It is based on multinational pooling and sharing of standardized capability modules. These modules can be rearranged, replaced, combined and interchanged according to the missions need.

5.8 **Medical personnel.** Even though technology and data are a driving factor for change in medical support, on Alliance operations and missions there remains a heavy reliance on appropriately qualified and equipped medical personnel.

5.9 **Mobility and protection.** Medical treatment facilities and medical evacuation platforms should have characteristics that are the same or comparable to the supported force. Vehicles should be able to keep pace with and access the same terrain as supported force to ensure timelines do not become extended. This includes physical protection which is different to the protection conferred by protective emblems.

Section 4 – Planning considerations

5.10 Medical planning. Medical planning within NATO encompasses different processes of identifying, defining, designing and acquiring medical support capabilities needed to meet the Alliance mission and force structure requirements. Medical planning contributes to defence planning and operations planning in accordance with strategic political-military direction.

5.11 Medical intelligence. Medical support always needs to be organized within an end-to-end system from the point of injury to the home base and recovery, whilst considering additional impacts on the medical support system and the potential requirement for large scale patient movements. Factors such as the enemy's respect for conventions, the enemy's operational health care system, real-time health monitoring related to diseases or CBRN release or incidents, refugee flows, species weapons deployed against medical facilities are medical planning requirements that should be included in the intelligence gathering plan. Timely and accurate medical intelligence is a precondition for successful medical support.

5.12 Planning at the strategic level. Medical support is primarily a national responsibility and follows national regulations and the health care and operational principles. Planning at strategic level should ensure a minimum baseline plan for medical support, ensuring that required principles, standards and regulations are respected. It may require multinational military solutions, host-nation support (HNS) as well as robust engagement with non-military actors. There is a requirement for the strategic planning level to have constant engagement with international medical stakeholders from the outset and throughout the phases of any operation.

5.13 Legal and ethical considerations. The law of armed conflict, for example aspects of the Geneva Conventions, will apply and impact the planning of medical support during armed conflict. This might include the display of protective emblems, siting and declaration of medical facilities, the carriage of weapons by non-combatants or obligations to treat certain patient groups such as prisoners of war. Early consultation with J-staffs and legal advisors helps to identify obligations and constraints to develop the plan accordingly.

5.14 Medical rules of eligibility. In close cooperation with the medical staff, the COM joint task force (JTF) decides who is eligible for medical care in military medical treatment facilities and establishes medical rules of eligibility. The medical rules of eligibility ensure that military medical resource is available to provide treatment when needed. It should be guided by operational requirements as well as by ethical and legal obligations. Medical rules of eligibility are harmonized across providers and levels of command.

5.15 Medical risk. The provision of medical support to operations helps to mitigate, but cannot eliminate, the risk of injury, ill health and death to personnel on operation. As the ultimate risk owners accountable for the health of their forces, nations retain the responsibility and legal duty of care at all times. On transfer of authority, COM JTFs assume shared responsibility for the health of forces under their command. The decisions that COM JTFs make may have implications on the ability to provide medical support and lead to poor

outcomes if casualties are sustained. To understand the risk they hold and the limitations of medical support, medical advisors and staffs ensure COM JTFs are provided with the accurate, up-to-date assessments and advice on all areas of medical risk, including where timelines are extended, or medical resource is overstretched. COM JTFs and medical staff work together to mitigate medical risk.

Section 5 – Conduct of operations

Preparation

5.17 Planning at the operational level. Early consideration of medical aspects, particularly of medical intelligence and information and force health protection, at each stage of planning is essential to ensure an analysis of the mission and development of a plan that can be supported medically. Therefore, medical situational awareness needs to be established before planning activities are initiated. The medical contribution to operations planning has two distinct activities: the input of medical expertise to the joint operations planning process and the development of a medical support plan for the operation. Factors such as local climatic, epidemiologic, geographic and socio-cultural conditions impact the planning and deployment of medical capabilities needed to be considered during planning. The medical support plan should comprise information about how medical support should be conducted on the operation including the recognized medical picture and the resources required to execute it.

5.18 Force generation and preparation. The size and robustness of the medical support system should be based on the requirements of the supported operation. Coverage of the joint operations area within the timeliness of treatment and the casualty rate estimation and force health care protection measures are main drivers for the required medical support capabilities and capacity. Where possible multinational and HN solutions should be considered to share the burden of limited medical resources. Medical support should be compatible with the supported force, which implies the medical support elements should be prepared and equipped.

5.19 Pre-execution activities. Early deployment of medical capabilities and capacity is essential to provide the necessary medical support of the forces during their build-up process. The joint task force medical advisor should maintain good relations with the HN(s), to ensure HN medical support where applicable.

5.20 Deployment. During the deployment phase, medical assets could be limited and HNS should be considered. Force generated medical capabilities should be deployed as early as practicable to guarantee the required medical support. Afloat medical capabilities should also be considered. Coordination of medical capabilities and requirements during this stage should be done by medical staff of the medical advisor/ medical director under COM JTF in their designated area. This could differ during large scale operations.

Sustaining fighting power

5.21 Medical support addresses requirements that preserve and strengthen the health and well-being of military personnel. It plans and continues to provide preventative, acute and rehabilitative care to sustain fighting power. This includes the prevention of disease, health promotion, rapid evacuation and treatment of the sick, wounded and injured including mental health as soon as possible. The intention is to aid the recovery of personnel and return them to duty whenever possible.

Transition

5.22 Transition of the medical activity covers the entirety of the medical system. It includes transition of patients, medical treatment and evacuation systems, as well as the patient information and tracking and tracing systems. Medical support is primarily national but might be arranged in a multinational solution, and medical HNS which could change due to the transition. Strategic medical evacuation is also a national responsibility, mostly arranged in multinational solutions, and should be reassured before start of the transition.

Termination and post-termination activities

5.23 **Re-deploy forces.** In case of an operation termination, close coordination with the local HN medical authorities is required to ensure a smooth transition of all medical responsibilities to the HN medical system. This includes the prevention of disease, health promotion, rapid evacuation and treatment of the sick, wounded and injured, ensured by patient flow management. The redeployment processes are focused on disengagement, rearward movement, staging and dispatch which is a J3 led operation very closely supported by J4.³⁰ During redeployment the availability of medical capabilities decrease; however, the provided care should remain guaranteed.

Section 6 – Interaction

5.24 **External interaction.** Within any area of operation, several organizations are actively providing healthcare like the local HN ministry of health, local HN medical facilities, or medical engaged non-governmental organizations. Interaction between the medical providers is necessary; however, some actors cooperate closely with the military medical system whilst others may be only co-existent. Medical responsibilities should be based on international guidelines (United Nations Office for the Coordination of Humanitarian Affairs).

³⁰ AJP-3.13, *Allied Joint Doctrine for the Deployment and Redeployment of Forces*.

5.25 Local authorities. NATO medical elements may assist local authorities with the re-establishment and improvement of local health services and in extremis temporarily obviate gaps in healthcare provision until services are restored by the local authorities. This can encompass a range of medical support activities like training, mentoring, up to direct healthcare provision. This should be carefully planned, including the assessment for additional resources, with the clear intention of transferring them to local, regional and national (governmental) organizations and institutions as soon as possible.

5.26 Sustainment functions interaction. Within the sustainment function, the medical support function has relevant interaction with the other sustainment functions as follows:

a. **Personnel.** There is a considerable interface between the functions of medical and personnel related sustainment, beginning during the initial planning stages and continuing when an operation has finished. Areas which might necessitate interaction between the personnel and the medical function include personnel health and fitness standards, requirements and assessment, patient tracking, casualty reporting and personnel welfare.

b. **Logistics.** The functions of logistics: supply, movement, maintenance and services have coordination needs with medical. The responsibility for overall planning and executing medical logistics is shared by the medical and logistic staff. Hence coordination between the staffs is required to maintain the recognized logistic picture/recognized medical picture and to ensure consistency and close cooperation between logistic and medical activities. Medical personnel are responsible for the identification of the requirement, the specification and quantity of medical material and pharmaceuticals including stockpiling and pre-positioning of stocks. They should ensure that for pharmaceuticals and medical material that require climate controlled or specialist storage and handling the military good distribution practice principles are applied throughout the military supply chain. Logistic personnel are responsible for coordinating the management of medical material and pharmaceuticals within the overall logistic plan and, where possible as a separate supply. Medical personnel are responsible for the identification of the requirement, the specification and quantity of medical material and pharmaceuticals, this includes stockpiling and prepositioning. Medical and logistic personnel will have a shared responsibility for the tracking of medical material and pharmaceuticals from sourcing to final disposition. On movement both staffs need to coordinate on routes and scarce assets for the execution of medical evacuation and in the case of mass numbers of casualties to ensure seamless patient flow management within the area of responsibility.

c. **Military engineering.** The military engineering function plays an essential role in enabling the infrastructure of medical facilities, possibly by building structures, flattening or hardening areas identifying safe road passages for ground evacuation operations, or with the support in the provision of the necessary energy and water supply, purification and treatment.³¹

d. **Finance.** Interaction between finance and the medical activity may be required for memorandum of understanding, billing for medical treatment of patients who are not covered by the standing memoranda of understanding, support for contracting of medical capabilities, common funding and new medical projects or initiatives to enable multinational cooperation in the provision of medical support.

e. **Contracts.** NATO can contract outside vendors like HN industry or commercial companies to provide medical care, supplies and equipment as needed. Interaction between contracting and medical personnel may be required for establishing and managing contracted support.

³¹ ATP 3.12.1

Chapter 6 – Military engineering

Section 1 – Definition

6.1 Military engineering (MILENG) is defined as: ‘a function in support of operations to shape the physical operating environment’. It is an inherent part of every joint function. The MILENG function exists at all levels of command, in any mission, campaign or operation, and in the phases and is coordinated by a MILENG staff. It shapes the physical operating environment through contributing to joint effects by the three pillars of the MILENG function:

- enabling or preventing manoeuvre or mobility;
- developing, maintaining and improving infrastructure; and
- supporting the survivability and sustainability of forces.

Section 2 – Principles

6.2 **General.** The MILENG principles are described in Allied Joint Publication (AJP)-3.12, *Allied Joint Doctrine for Military Engineering*. They are summarized in the following paragraphs with a focus on sustainment.

6.3 **Military engineering advisor.** The chief military engineering (CMILENG) is the functional advisor to the commander (COM) for the MILENG function. The COM's priority for MILENG efforts and the resulting allocation of MILENG resources should be communicated to and supported by other functional areas.

6.4 **Centralized control, decentralized execution.** The most effective use of MILENG resources and capabilities are achieved by a CMILENG and staff able to task-organize multinational assets in accordance with the COM's intent. Central coordination needs to be sought for efficient employment of specialist MILENG capabilities and resources. Such resources include bridging capabilities, geomatics, well drilling, power generation and distribution, road, pipeline, railway construction and repair, dredging, and technical reconnaissance.

6.5 **Military engineering is an integral part of the planning process.** Early identification of required MILENG capabilities is critical and demands the involvement of MILENG staff in the planning and reconnaissance process from the outset, and throughout the whole operation.

6.6 **Prioritization of resources.** There are generally insufficient MILENG resources to meet all of the COM's requirements simultaneously. Therefore, the COM, advised by a CMILENG, provides clear priorities for MILENG efforts and resources. These priorities should be continually reviewed as part of the joint coordination process.

6.7 Task Organization. MILENG groupings normally include a range of capabilities drawn from a number of units and may be complex organizations with different roles and procedures, using specialist equipment and materiel. Task organizing and reorganizing is necessary to create the right force package for different situations.

6.8 Integration. MILENG support is required at all levels and it is essential that assigned MILENG assets should be integrated to operate effectively with other elements of the force.

Section 3 – Characteristics

6.9 Military engineering support to sustainment. MILENG support to sustainment is mostly provided by general engineering support. Providing appropriate advice, the MILENG staff contribute to the freedom of action for the joint task force. From a joint task force COM's perspective this includes reception, staging, onward movement and integration, the assembly and movement of reserves or echelon forces, the redeployment, host-nation support (HNS) and the establishment of operating bases and lines of communications. It includes, but is not limited to, deployed force infrastructure, real estate management, environmental protection and contracted civil engineering in support of sustainment.

6.10 Nature of military engineering support. MILENG is primarily executed through general engineering functions including the planning and provision of MILENG capabilities to sustain a force throughout an operation. It can involve all MILENG activities simultaneously. MILENG staffs assess the condition of infrastructure networks, analyse and identify critical infrastructure needs to sustain deployed military forces such as communications, energy (provision and efficiency), transportation, water supply, support to force protection and environmental protection. Consequently, MILENG should establish and maintain relationships, during all the stages of an operation, with other military stakeholders, civilian authorities and agencies.

Section 4 – Planning considerations

6.11 Planning at the strategic level. MILENG staff at the strategic level, in cooperation with the geographic information, assess the theatre of operations, to develop an understanding of the operating environment focusing on infrastructure. Particular emphasis is placed upon infrastructure networks that span the theatre, connecting joint operations areas (JOA) into larger systems. This strategic assessment is forwarded to the operational level. The infrastructure assessment is conducted from strategic to tactical levels and top-down to bottom-up.

6.12 Planning considerations. MILENG support to the other sustainment functions are described below:

- a. **Finance.** For MILENG, a focus of the planning consideration is infrastructure development. Funding mechanisms for NATO operations are usually a combination of

national funding, multinational funding, joint funding, and common funding. MILENG planning is restricted by these funding mechanisms and procedures. Common funding eligibility and approvals require the identification of the problem to be solved and the effect to be created. It is critical that the urgent requirement is justified under NATO funding arrangements to provide only the minimum military requirement. The staffing process to request common funding begins as soon as requirements are identified. For MILENG, example requirements may include infrastructure development, theatre logistic bridges, lines of communications or seaport of debarkation development, or class IV materiel.³² Contracted solutions through the host nation may serve as a viable alternative to common funding for materiel and other infrastructure development. These are additional planning considerations when funding MILENG requirements.

b. **Contracts.** MILENG staff coordinate with headquarters' (HQ)'s contracting organization to support delivery of SHAPE-delegated NATO Security Investment Programme projects and for procurement of MILENG services and materiel funded through the NATO military budget. For major capital projects contracted directly by the NATO agencies, MILENG staff will support the agencies through provision of advice regarding operational requirements, support to design reviews, input regarding contract evaluation criteria and technical assessment of contractor proposals.

c. **Theatre military engineering materiel and resources.** MILENG materiel to support common funded theatre-level capabilities is procured, managed and distributed in coordination with the MILENG staff. This materiel either has to be purchased, transferred from another JOA, released from operational or strategic reserve stocks, or is available within the host nation (HN). At each level of command, when the CMILENG should consider allocation of MILENG materiel and resources for its implementation. It is a MILENG staff responsibility to identify the requirements, establish the appropriate controls and coordinate these measures with the respective component, joint logistic staff and strategic command or joint task force HQ staff and the HN.

d. **Host-nation support.** HNS capabilities such as infrastructure management and geological information are of interest to MILENG staff. To enable effective support, engagement with the HN by MILENG staff should be established at the earliest opportunity in accordance with the COM's liaison directive.

e. **Energy efficiency.** MILENG is involved in energy efficiency aspects of deployed force infrastructure. MILENG responsibilities include infrastructure management, including camp design and set-up, construction, support to contracting, and utilities (water, power). In addition, MILENG can provide support to fixed or already existing facilities, e.g. HN installations. The CMILENG, as the focal point for infrastructure, environmental protection, and utilities, is responsible for ensuring the force's compliance with energy policies, standards and standing operating procedures;

³² **Class IV.** Supplies for which initial issue allowances are not prescribed by approved issue tables. Normally such supplies include fortification and construction materials, as well as additional quantities of items identical to those authorised for initial issue (Class II), such as additional vehicles.

the management, technologies and metering of energy; and the promotion of best practices and behaviour to deliver energy efficiency. Therefore, MILENG staff consider energy efficiency based on the strategic guidance during planning.

6.13 Assessment. MILENG is a key actor to analyse systems to feed insights and foresights into the political, military, economic, social, infrastructure and information frameworks. It provides understood scales of criticality and vulnerability to communicate credible risk and opportunities posed to/or by infrastructure. The infrastructure assessment is a continuous process in support of planning. It is a cross-functional process led by MILENG, conducted throughout the continuum of conflict. It aims to meet the minimum military requirements in terms of capabilities and capacities of facilities needed in support of sustainment activities. Whenever possible, it should also consider criteria and standards baseline requirements, to support the development of the Reinforcement and Sustainment Network.

Section 5 – Conduct of operations

Preparation

6.14 Operation planning. MILENG provide subject matter expertise to operations planning groups at the earliest opportunity. They are responsible for:

- providing support to the (continuous) analysis of the operating environment, especially focused on its physical characteristics (terrain and infrastructure);
- identifying MILENG requirements and tasks, and
- assisting in the development of the operation plan.

6.15 Force generation and preparation. Based on the force planning, MILENG forces are provided by the troop-contributing nations to fulfil the approved combined joint statement of requirements. Agreements with HN on status of forces and provision of materiel, workforce and services are to be concluded. Contracts for provision of materiel and services from both outside the theatre and from HN contractors are to be put in place to cover any remaining gaps. If necessary, staging bases outside the theatre are to be constructed to support the reception, staging, and onward movement (RSOM) process.

6.16 Deployment. Early in the deployment stage the main effort for MILENG support is to build, upgrade and maintain theatre infrastructure, including logistic facilities and installations to continue the RSOM process. MILENG support is essential to the deployment process and often a greater MILENG effort needs than for some other stages, sometimes necessitating a surge of MILENG forces. The HN may provide all or some of this support where capable.

Sustaining fighting power

6.17 During the execution phase, the balance of the MILENG effort may shift between the areas of expertise depending on the type and progress of the operation. If needed to advance the campaign MILENG main effort may be shifted from sustaining warfighting forces to supporting peace support.

Transition

6.18 MILENG support includes infrastructure repair, environmental remediation, liaison with national authorities, international organizations, non-governmental organizations or other organizations, and possibly even support to dislocated non-military actors. There is an increased risk that the mission parameters begin to expand during this stage. MILENG staff should ensure that coordination is maintained with civil-military cooperation and financial control staff, and verify that NATO resources are only used supporting the NATO mission and within relevant eligibility criteria.

Termination and post-termination activities

6.19 **Redeploy forces.** Redeployment in a secure environment requires MILENG staff to deconstruct and/or hand over redundant NATO infrastructure at an early stage. In a hostile environment MILENG staff should be prepared to support manoeuvre and movement until the very end of the campaign. MILENG staff should also be prepared to support force protection during redeployment when large numbers of personnel and equipment gather in the points of embarkation. The CMILENG may assess that MILENG support requirements necessitate a surge of additional MILENG forces during this stage.

Section 6 – Interaction

6.20 Within sustainment, MILENG interactions are as follows:

- a. **External interaction.** MILENG staff and units are actively engaged with external actors, in the phases of operations and at all levels of command. MILENG personnel, with civil-military cooperation personnel, should interact with personnel from the HN, international organizations and non-governmental organizations, especially for enabling sustainment functions. The external interaction is vital for maintaining the joint task force capabilities for its own sustainment.
- b. **Sustainment functions interaction.** MILENG is inherently involved in interacting with other sustainment functions, within its capabilities in enabling the manoeuvre, improve the infrastructure and supporting the survivability and sustainability of forces. In particular:
 - (1) **Personnel.** MILENG supports the survivability of the force.
 - (2) **Logistics.** MILENG support to logistic activities includes the acquisition, restoration, repair, construction, maintenance and disposal of those infrastructure facilities required to mount, deploy, accommodate, sustain, and redeploy military

forces, including the construction, restoration and maintenance of lines of communications and facilitation of environmental protection. An effective working relationship between MILENG and logistics staff is vital to ensure shared logistic situational awareness, appropriate prioritization for the acquisition, delivery and maintenance of MILENG materiel stocks, and early identification of MILENG activities required to support operational logistics.

(3) **Medical.** MILENG enables the survivability of forces and enabling safe road passages for ground evacuation operations, supports medical infrastructure as well as providing energy and water.

(4) **Finance.** The funding of MILENG infrastructure projects is necessary to enable the force. In addition, investments in facilities and services are required to increase survivability of the force.

(5) **Contracts.** MILENG aids in contracting and implementing infrastructure projects to enable the Force. NATO can contract to provide/supplement insufficient MILENG resources, communications, energy, transportation, food and water, infrastructure development, theatre logistic bridges, class IV materiel, camp design and set-up, construction, utilities, etc. This can range from embedded contractors to contracted support provided by the host nation. MILENG staff should understand the contracted support capabilities, including their caveats and restrictions. MILENG personnel should be relied upon for subject matter expertise in contract management and oversight.

Chapter 7 - Finance

Section 1 – Definition

7.1 Once the North Atlantic Council (NAC) decides to engage in a military operation or mission, it issues political guidance and authorizes the commencement of operations planning which includes finance. The funding arrangements are in accordance with specific decisions of the NAC. The financial planning, budgeting and execution cycle are an integral part of Allied operations and missions.

Section 2 – Principles

7.2 The overarching principle in NATO is ‘costs lie where they fall’. This principle states that when an entity or Nation incurs costs then the payment of those costs lies with the entity or Nation concerned. By default, Nations absorb any, and all, costs associated with their participation in an operation or mission. Nations provide adequate funding to meet the legitimate military requirements associated with an operation or mission.

7.3 NATO applies the principles of common funding and existing NATO financial regulations and implementing procedures as well as all Allied Command Operations (ACO) directives and procedures as approved by the respective authorities. joint force command and ACO ensures co-ordination of financial policy, and various resource-related issues, to provide full review and approval of requests and requirements for NATO resources.

7.4 The eligibility criteria for Common Funding depends on whether it is an Article 5 or non-Article 5 operation or mission. For an Article 5 scenario, the activities of the NATO Command Structure headquarters (HQ) associated with an operation or mission are eligible for common funding. For a non-Article 5 scenario, there are exceptions to the principle of “costs lie where they fall” outlined in a Private Office document³³ thus allowing some common funding. In both an Article 5 and non-Article 5 scenario, other common funding, if any, requires specific validation by the Military Committee (MC), determination of eligibility and affordability by the Resource Policy and Planning Boards, approval by the NAC and budget allocation by the Budget Committee.

7.5 As stated above, resources follow the principle of “costs lie where they fall”. Nevertheless, ACO should be included in memorandum of understanding and technical arrangement negotiations, for the provision and reimbursement of host-nation support and services to cover potential costs of NATO Common Structure entities deployed in theatre.

³³ PO(2013)0056

Section 3 – Characteristics

7.6 There are two major categories of expenditures, regardless if the funding responsibility lies with NATO or Nations, whether under National or multinational arrangements:

- a. **Operation and maintenance.** Operation and maintenance are recurring expenditures related to the running of the organization and/or facility, or costs incurred in the functioning or maintenance of systems and equipment.
- b. **Investments.** These are typically one-time provision, major upgrade, or cyclical replacement of new capabilities, facilities, systems, or equipment. Major renovations, upgrades and modifications of existing capabilities and facilities are also considered investment expenditure.

7.7 Funding mechanisms that are commonly used for supporting NATO operations, missions and initiatives are as follows:

- a. **National costs.** National contributions are the largest and come, for instance, when a member commits capabilities and/or troops to a military operation and bears the costs of the decision to do so. Spending related to the direct support of personnel is normally part of national costs.
- b. **Joint funded costs.** Joint funding arrangements are structured forms of multinational funding within the terms of an agreed NATO charter. Joint funding arrangements also follow the NATO financial rules and procedures. The participating countries identify the requirements, the priorities and the funding arrangements, while NATO has visibility and provides political oversight.
- c. **Multinational costs.** Multinational costs are the responsibility of more than one nation and are borne in accordance with a pre-agreed cost sharing formula. Multinational agreements for sharing costs may take the form of; memorandum of understanding; memorandum of agreements; technical agreements; joint implementation plans; or similar documents.
- d. **Common funded costs.** Common funding arrangements are used to finance the; NATO civil budget, NATO military budget and NATO Security Investment Programme. Only costs deemed eligible for common funding may be covered by these NATO budgets and the NATO Security Investment Programme.
- e. **Other costs.** In addition to national, joint, multinational and common funding, some projects can take the form of trust fund arrangements, contributions in kind, ad hoc sharing arrangements and donations.

Section 4 – Planning considerations

7.8 Finance has to be part of the planning process from the outset. Pending the type of operation or mission, Article 5 or non-Article 5, the eligibility for common funding should be considered as determined by the NAC. If the operation or mission is an Article 5 scenario, by default only the NATO Command Structure HQs are eligible for Common Funding, and interim funding of these HQ needs to be considered immediately. If the operation or mission concerns a non-Article 5 scenario, the specific conditions stipulated by the NAC, such as in PO(2013)56, should be taken into account. The eventual common funded budget, if any, shall be developed based on those conditions.

Section 5 – Conduct of operations

Preparation

7.9 **Developing an operation plan.** Regardless of whether NATO common funding is anticipated, finance staff should be included in the operations planning process to provide advice, allow for coordination and ensure J8 awareness. The J8 can provide advice on the manner of funding mechanisms. If common funding is foreseen and authorized by the NAC, finance staff is involved in the budget assessment and anticipate any common funding requirements including support to the development of funding arrangements and exceptional funding requirements if required for the operation or mission. Finance staff need to participate in any planning related to potential pre-financing, as such activities should be approved by the Budget Committee. ACO finance should be included in memorandum of understanding and technical arrangement negotiations, for the provision and reimbursement of services to cover potential costs of NATO Common Structure entities deployed in theatre. The financial structure and financial delegations for any authorized common funding should be developed during the planning process.

7.10 **Force generation and preparation.** All costs related to these activities are attributable to the troop contributing nation (TCN). National authorities, through NATO coordination, provide detailed analysis of requirements in anticipation of national proposals for common-funded reimbursement of activities.

7.11 **Pre-execution activities.** All costs related to these activities are attributable to the TCNs and/or host-nation support. National authorities need to ensure that national funding issues are fully addressed at the time that commitment and deployment decisions are made.

7.12 **Deployment.** The responsibility for the costs incurred depends on the type and conditions specified for the operation or mission. National authorities need to provide sufficient financial resources to support contributed forces while in theatre.

Sustaining fighting power

7.13 The budget execution shall be carried out in accordance with the respective financial rules and procedures and financial delegations. All expenditures and payments shall be made as determined by the operation plan and by agreements and or contracts that have been concluded. If common funding is involved, the NATO accounting standards and reporting procedures shall be adhered to. The budget or investments, if any, is subject to audits by the International Board of Auditors for NATO.

Transition

7.14 If common funds were employed to support an operation or mission, once it is terminated, the related budget and or NATO Security Investment Programme projects are closed. The equipment is redistributed, written off, or disposed of in accordance with the NATO financial regulations. If no common funds were involved, the respective national or multi-national provisions apply.

Termination and post-termination activities

7.15 **Re-deploy forces.** As with deployment, the responsibility for the costs incurred depends on the type and conditions specified for the operation or mission. National authorities need to provide sufficient financial resources to support contributed forces while in theatre.

Section 6 – Interaction

7.16 **External interaction.** Finance is actively engaged with external actors, in the relevant phases of operations and at the relevant levels of command.

7.17 **Sustainment functions interaction.** If common funding is involved, finance interacts with other sustainment functions, within its capabilities. For example:

- a. **Personnel.** Finance supports J1 with issues of eligibility and affordability for common funded training.
- b. **Logistics.** Finance supports J4 with issues of eligibility and affordability of common funded theatre-level HQs and common funded critical theatre-level enabling capabilities.
- c. **Medical.** Finance supports JMedical with issues of eligibility and affordability for common funded medical activities and capabilities.
- d. **Military engineering.** Finance supports military engineering with issues of eligibility and affordability of common funded theatre-level HQs and common funded critical theatre-level enabling capabilities.

- e. **Contracts.** Finance and contracts are both part of J8 and work closely on issues of eligibility and affordability for common funded requirements and capabilities.

Intentionally blank

Chapter 8 - Contracts

Section 1 – Definition

8.1 Contract support, can provide services that are outside of military capabilities or do not necessarily need to be provided by the military. In these cases it can be a force multiplier; increasing the ability to focus military capabilities in areas where the threat or nature of the work requires military involvement.

8.2 A NATO-led operation introduces both complexities and opportunities for the use of contractor support in that Nations, multi-national entities and NATO entities each have their own and shared contracts entering into a mission. These are very often subject to national laws and regulations yet all contribute to the ability to achieve objectives. Therefore, this chapter provides an overview of the aspects of contract support to operations based on three principles areas:

- contract support integration, which encompasses the planning, coordination and synchronization of contracted support to operations and missions;
- contract support which is the planning, coordination and execution of the contracting authority to legally commit contractors in support of operations and missions, and
- contract management which includes the oversight and integration of contractors (personnel and equipment) into the operational theatre to deliver the goods and services procured.

Section 2 – Principles

8.3 The overriding principle is that contracted support is provided in accordance with National/NATO laws, policies³⁴ and regulations as applicable and agreed in the legal contract established between the supplier and the buyer. It is within this context that functional authorities are established.

8.4 **Authority.** COM JTF is responsible and accountable to their Nations and within NATO to the NATO Nations for the efficient and effective use of resources. Accordingly, whether National or NATO, they are provided with specifically defined authority over contracted support. These vary greatly from Nation to Nation, therefore, each situation should be considered accordingly. It is important to differentiate between command authority and contracting authority.

8.5 **Segregation of duties.** Whether national or NATO, it is common practice to segregate

³⁴ Contracting has to take into account the cross-cutting topic building integrity, see PO(2016)0310, NATO Policy on Building Integrity, 18 May 2016.

elements in the procure-to-pay process by having different officers exercise the different authorities within COM JTF's organization as to ensure the interests and reputation of COM JTF and the greater organization are protected. Generally, these different authorities consist of the requirement authority, the procurement authority, and the financial or fiduciary authority. Coincidentally, this principle is applicable to any contract where NATO is both the requirement holder and the funding source.

8.6 Contracting authority. As indicated above, contracting authority is subject to the laws/policies/regulations approved by Nations. Therefore, the contracting authority determines what rules apply to what procurement and what contracting action can be taken. This is of particular importance in a multinational context such as NATO. A simple rule of thumb is that the contract authority reflects the funding source or "*the one who pays determines the rules*".³⁵

8.7 Other authorities. In the context of NATO Alliance operations and missions, Nations retain the authority as it relates to their national commercial support and are subject to their national procurement laws / policies. Within the NATO overall structure, different entities such as NATO agencies, the NATO Command Structure and the NATO Force Structure multinational headquarters have their own rules, procedures and directives governing their procurement activities established and agreed by their governing bodies.

8.8 Determining which contracting authority applies. One should determine which contracting authority applies prior to considering what commercial options or actions are possible. Nations may also have several contracting authorities involved in providing commercial support to the same COM JTF. This is particularly applicable when operating in coalitions and alliances such as NATO. It is for this reason, organizations have a head of the contracting activity that represents and advises COM JTF on these matters. It should be noted that at all times, Nations remain sovereign and NATO cannot obligate a Nation or Nations to use collective contracts.

8.9 NATO agreed contracting principles. Consistent with most national principles, NATO Nations have agreed³⁶ that when NATO common funding is involved NATO procurement and contracting shall adhere to the following principles:

- the timely acquisition of goods and services to be achieved wherever possible through a competitive bidding process, using approved procurement procedures to achieve the most effective, efficient and economical solution;
- goods and services are procured, in a transparent and fair manner built upon the principle of non-discrimination and fairness in which eligible suppliers are given the same opportunity and treated in the same fair manner;

³⁵ Infrastructure Committee, Budget Committee and Civil Budget Committee within NATO or National Authorities for National Contracts.

³⁶ NATO Financial Regulations, Article 32.

- tendering documents shall contain a clear, precise and complete description to enhance full and open competition among eligible suppliers; and
- every aspect of the procurement process should conform to the highest standards of integrity and accountability.

8.10 Outsourcing. The decision to outsource a capability, which normally would be provided by military forces, is a decision that within NATO has remained at the level of NATO Nations. Although a valid consideration to economize on the size of the force or to address gaps in force generation, the decision to have a commercial solution may also have strategic communication consequences that should not be ignored. Accordingly, the decision to outsource capabilities is subject to North Atlantic Council approval in accordance with prescribed procedures.

Section 3 – Characteristics

8.11 Status of contractors. The force consists of combatants and non-combatants. Contractor personnel, whether non-military actors accompanying the force or locally hired personnel, are considered non-combatants. For each operation, NATO and nations clearly define the status of contractor personnel and equipment in various forms of agreements, understandings, arrangements and other legal documents with the host nation(s) (HN)s.

8.12 Nature of the relationship. The relationship between the supplier and COM JTF is a commercial agreement, which is legally binding subject to terms and conditions. It is important to ensure contracts have the necessary terms, which allow maximum flexibility whilst not exposing COM JTF or the organization to unquantified and unaccepted risks.

Section 4 – Planning considerations

8.13 Planning responsibilities. Nations and NATO authorities have a collective responsibility for planning and implementing contractor support to NATO's multinational joint operations. This collective responsibility encourages Nations and NATO to cooperatively: identify support requirements that could be met by commercial contractors, put into place contractual arrangements, share the provision and use of contractor capabilities and plan for the management and oversight of contracts.

8.14 Strategic planning. A number of efforts can be taken prior to any new conflict arising to prepare, plan and partially enable commercial options.

a. **Pre-established contracts.** Often referred to as rapidly usable enabling contracts,³⁷ pre-established contracts are a means to expedite the mobilization of commercial support by reducing the time normally associated with the competition process. These can either be national, NATO or multinational. The rapid aspects of such contracts are normally linked to higher costs and even retaining fees to increase the assurance that the supplier responds when called. In the area of logistic commercial support, the NATO Support and Procurement Agency provides the means to establish such contracts on a customer funded basis. A number of programs have been created to facilitate Nations wishing to establish multi-national pre-establish contracts for their collective use.

b. **Awareness of national commercial capacities.** An integral part of readiness planning includes developing an awareness of national commercial capacities through the HNs, the multinational response corps and other entities, which may contribute, to a higher degree of awareness. However, it should be noted that although a contract exists, it does not automatically mean that it can be shared. Therefore, a regular and transparent channel of communication is necessary to enable validation of information based on the specific nature of a potential operation / mission.

c. **Cross servicing agreements.** To expedite the multinational sharing of contracted support during an operation or mission, the establishment and maintenance of acquisition cross servicing agreements and other bi-lateral or multi-lateral agreements between NATO and Nations as well as between Nations are essential tools. These are established and managed at the strategic command level within NATO.

d. **Encouraging partnerships.** NATO offers a number of different mechanisms under which such contracts can be established by NATO agencies. Mechanisms include various partnerships (e.g. logistic goods and services, weapons systems) where a nation or a group of nations retain the services of an agency to establish such contracts. Moreover, some Nations may also have similar contracts, which can be used, in peace, crisis or in conflict situations, which might be able to be used by others.

8.15 **Standardization.** Standard descriptions of requirements should be used, wherever practicable, to enable increased collaboration and multinational solutions. A common understanding of common requirements based on industry language would also enable sustainment resiliency.

8.16 **Mission specific planning.** Over and above the general planning considerations previously provided, each operation and mission have their own unique considerations. Accordingly, it is extremely valuable to ensure that any reconnaissance performed includes a representative from the joint force command, the Joint Support and Enabling Command or the joint logistic support group contracting organizations with the necessary skillsets to quickly assess factors important to the commercial aspects of contracts. It is also essential to conduct commercial market research in operational areas within the joint operations area.

³⁷ MC 0681, Military Committee Policy on Contractor Support to Operations, dated 22 March 2019.

Commercial market research is an essential element of the analysis of the operating environment. This market research can be useful when making sustainment sourcing decisions and advising COMs on feasibility of courses of action. At the earliest stage possible, major requirements and capability gaps identified during force sensing should be considered and options developed. Even with pre-established contracts, contractors require time for production and/or mobilization. Depending on the commodity or service, lead times can be significant.

Section 5 – Conduct of operations

Preparation

8.18 Developing an operation plan. Contract support (i.e. execution of contracting authority) is an integral part of operation plan development. There may be instances where contracts can be used to create effects in theatre, consequently, contracting should be considered whenever military capabilities need to be augmented, expanded, or enhanced beyond organic resources. It should be utilized as a flexible tool that can be tailored to the unique requirements of different situations, helping COM JTFs respond effectively to various operational needs and challenges.

8.19 Force generation and preparation. To maintain a recognized contract picture; the Joint Support and Enabling Command requires visibility of the commercial support associated with forces being generated as it is part of ensuring preparedness. This includes visibility of contracts that may impact the Reinforcement and Sustainment Network, in particular, those that impact on the projection of forces. Visibility is critical during the development of mobilization and movement plans, as well as considerations in determining the capacity required to receive commercial entities during the force build up stage.

8.20 Pre-execution activities. The reliance on commercial support requires planners to consider any requirements, which are driven by contractor presence in the joint area of operations. To provide support to the joint task force, suppliers of goods and services may also have to build-up infrastructure and inventory that could tax lines of communications and potentially impact on local and regional economies. Consequently, it is critical that this be considered when assessing the sustainment requirements delivered by industry.

8.21 Deployment. Very few nations have commercial contracts that are integrated into their force structure and are capable of accompanying the force during the initial deployment unless it is a permissive and secure environment. Therefore, most commercial support remains outside the initial entry force, and military means are used to move it forward. However, as subsequent phases are implemented and the rear support areas are secured, it is expected that contracted commercial support will progressively replace some military supply and distribution tasks during reinforcement and replacement of forces (rotations). Accordingly, visibility of national contracts and contractor personnel is essential to manage the engagement space.

Sustaining fighting power

8.22 During the conduct of operations, there are four key aspects that COM JTF should be aware of concerning contracts:

- a. **Situational awareness.** To ensure there are no accidental negative impacts from kinetic operations, the location, numbers and affiliations of contractors on the ground is essential to the targeting process. It also allows for a more accurate assessment of damages and casualties when the contractor information is known at a location that has sustained an enemy strike. This should be primarily achieved by reporting at the tactical level and managed by the joint force command or in-theatre theatre head of contracts' representatives depending on the construct of the operation/mission. Situational awareness of contractor movements and contractor supply chains allows for better sustainment planning and management at all levels. The joint function civil military cooperation analysis and assessment capabilities support the understanding of the relevant civil factors of the operating environment.
- b. **Risk management.** The contracting process should include a formalized review of the statement of requirements prior to solicitation to ensure that operational security is maintained and unnecessary details about future intentions are not disclosed. Prior to contract award it is essential that potential contractors are evaluated regarding past and potential performance, and potential risks and mitigations at point of manufacture and on-site risks. A robust contractor threat mitigation process should also be in place to reduce the threat from both illegal enterprises and potential enemy interference in the process.
- c. **Contractor management.** The use of the recognized contracting picture also allows for better use of commercial support through multi-lateral or collective contracts. To do so, there are a number of elements that are required such as visibility of the contractors in theatre and their capacity for additional scope, of which other entities could make use. This is applicable for national contracts, Agencies and HN capacities.
- d. **Intelligence.** Least often considered are the intelligence aspects of contracting. A number of critical elements of the force structure and locations can be derived from commercial transactions. Accordingly, it is important to understand the ownership and structure of the companies being used in support of operations including the locations of corporate or subsidiary offices of a company if located in countries of concern. Vendors should be vetted to assess and mitigate risks associated by introduction of contractor personnel to the proximity of Coalition forces. Vendors should be vetted to assess and mitigate risks associated by the introduction of contractor personnel to the proximity of forces. Vetting also ensures vendors are not providing material support to the enemy.

Transition

8.23 Contrary to the general trend in a theatre, in the termination phase, the importance of sound contract management and sufficiency of capacity is essential. Although difficult in

theatre due to rotations, planning and communication to COM JTF and superior commands is essential. The planning needs to take into consideration long, medium and short-term factors and to develop courses of action analysis to identify any options available to COM JTF for potentially unknown, undefined or multiple solutions available. Once determined, there is a need to develop a campaign plan (milestones) for key decision points and end dates as follows:

- a. Preferably just before termination / non-exercising of options: Confirm plan and obtain documented concurrences of all parties involved; update plan based on last minute factors not previously known; start preparing archiving of contract documents and prepare active files for eventual transfer to other location; and evaluate potential claims which the suppliers have identified or implied the intent to submit.
- b. At termination / non-exercising of options: ensure notices have been issued in accordance with terms and conditions of the contracts; obtain performance feedback; conduct contract close out in accordance with established procedures, covering significant contractual issues.
- c. It is important to note, that it may also be necessary to temporarily increase military support to replace contracted support as the theatre closes out depending on the relationship with the HN and the level of threat remaining in theatre. Moreover, contractor claims may result in legal actions, which can last many years after the mission has ended.

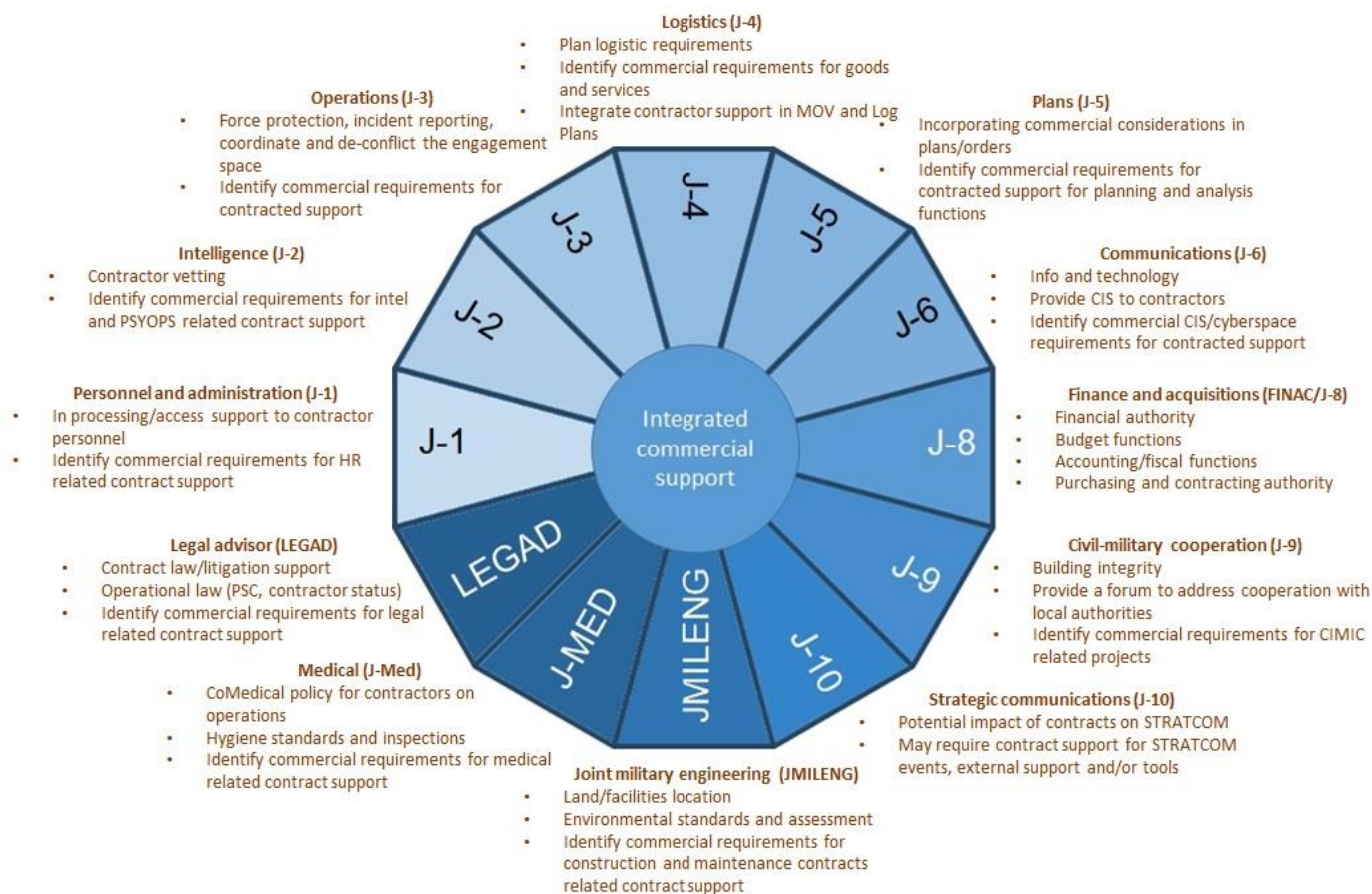
Termination and post-termination activities

8.24 Redeploy forces. The appropriate balance of contractor and military capacity needs to be carefully assessed. Redeploying forces count on contracted support whilst contractors rely on military support in order to support the redeployment of forces and their own capabilities. In addition, a common risk is the circular support between contractors where they are interdependent creating a situation which makes it difficult to terminate one contractor which other critical contractors are dependent on for their services. Generally, the plan needs to consider how contractors can demobilize whilst continue to provide support during the redeploying of the joint task force.

Section 6 – Interaction

8.25 Requirements for commercial goods and services originate throughout the functionalities, environments and all levels of command. More importantly, they may also have a role and responsibility in supporting contract management and execution. Effective contract management ensures that contractual obligations are fulfilled, risks are mitigated, relationships are maintained, and value is maximized throughout the contract lifecycle. The figure at Annex A provides an example of the requirements of the branches within a generic headquarters structure in terms of contracted support.

ANNEX A – HEADQUARTERS STAFF BRANCH INTERACTION WITH THE CONTRACTS PROCESS



Intentionally blank

Lexicon

Part 1 – Acronyms and abbreviations

ACO	Allied Command Operations
COM	commander
CJSOR	combined joint statement of requirements
CMILENG	chief military engineering
HN	host nation
HNS	host-nation support
HQ	headquarters
IO	international organization
JLSG	joint logistic support group
JLSN	joint logistic support network
JOA	joint operations area
JTF	joint task force
MILENG	military engineering
NAC	North Atlantic Council
NGO	non-governmental organization
NSE	national support element
OPLAN	operation plan
RSOM	reception, staging and onward movement
RSN	reinforcement and sustainment network
SN	sending nation
TCN	troop-contributing nation
TOA	transfer of authority

Intentionally blank

Part 2 – Terms and definitions

Allied joint publication

An Allied publication containing doctrine applicable to NATO and NATO-led operations involving more than one service.

(NATO Agreed)

civil-military cooperation

A military joint function that integrates the understanding of the civil factors of the operating environment and that enables, facilitates and conducts civil-military interaction to support the accomplishment of missions and military strategic objectives in peacetime, crisis and conflict.

(NATO Agreed)

command

- The authority vested in a member of the armed forces for the direction, coordination, and control of military forces.
- An order given by a commander; that is, the will of the commander expressed for the purpose of bringing about a particular action.
- A unit, group of units, organization or area under the authority of a single individual.
- To dominate an area or situation.
- To exercise command.

(NATO Agreed)

contract

An agreement of wills between two or more private individuals or legal persons, intended to create, modify, transmit or terminate obligations.

(NATO Agreed)

cyberspace

The global domain consisting of all interconnected communication, information technology and other electronic systems, networks and their data, including those which are separated or independent, which process, store or transmit data.

(NATO Agreed)

deployment

The relocation of forces from a national location to an assigned area of operations.

(NATO Agreed)

doctrine

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

enablement

The integrated whole-of-government activities that underpin NATO's planning in order to set the conditions for reinforcement and sustainment in peacetime through transition to crisis and follow-on phases.
(NATO Agreed)

environment

The surroundings in which an organization operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelations.
(NATO Agreed)

environmental protection

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

force protection

All measures and means to minimize the vulnerability of personnel, facilities, materiel, operations, and activities from threats and hazards to preserve freedom of action and operational effectiveness of the force, thereby contributing to mission success.
(NATO Agreed)

host nation

A country that, by agreement:

- a. receives forces and materiel of NATO member states or other countries operating on/from or transiting through its territory;
- b. allows materiel and/or NATO and other organizations to be located on its territory; and/or
- c. provides support for these purposes.

(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 Agreed)

infrastructure

In NATO, the static buildings, facilities and other permanent installations required to support military capabilities.

(This term and definition only applies to this publication)

international organization

An intergovernmental, regional or global organization governed by international law and established by a group of states, with international juridical personality given by international agreement, however characterized, creating enforceable rights and obligations for the purpose of fulfilling a given function and pursuing common aims.

Note: Exceptionally, the International Committee of the Red Cross, although a non-governmental organization formed under the Swiss Civil Code, is mandated by the international community of states and is founded on international law, specifically the Geneva Conventions, has an international legal personality or status on its own, and enjoys some immunities and privileges for the fulfilment of its humanitarian mandate.

(NATO Agreed)

integration

The process of conducting the synchronized transfer of combat-ready units into a multinational joint force

(NATO Agreed)

joint logistic support network

A system of interconnecting logistic nodes, organizations, activities and sites, and their multimodal links in a joint operations area.

(NATO Agreed)

joint operations area

A temporary area within a theatre of operations defined by the Supreme Allied Commander Europe, in which a designated joint force commander plans and executes a specific mission at the operational level.

(NATO Agreed)

Joint Support and Enabling Command

The Joint Support and Enabling Command is the functional Operational Command responsible for the preparation and execution of reinforcement by forces and sustainment of the Supreme Allied Commander Europe's area of responsibility.

(This term and definition only applies to this publication)

logistics

The planning, preparation, coordination and execution of the supply, movement, maintenance and services to support the full spectrum of operations, using military, civil and commercial resources.

(NATO Agreed)

maintenance

All actions taken to retain equipment in or to restore it to specified conditions until the end of its use, including inspection, testing, servicing, modification(s), classification as to serviceability, repair, recovery, rebuilding, reclamation, salvage and cannibalization.
(NATO Agreed)

materiel

The items used to equip, maintain and support military forces in their activities.
(NATO Agreed)

Notes: Materiel includes software, but excludes real estate, installations and utilities.

medical support

A function encompassing the full range of medical planning and provision of medical and health services to maintain the force strength through disease prevention, evacuation, rapid treatment of the diseased, injured and wounded, their recovery and return to duty.
(NATO Agreed)

memorandum of understanding

Within the context of host-nation support, a written overarching bilateral or multilateral agreed document which implies an intent or responsibility to support Allied forces and organizations. It is normally signed between strategic commands and / or a sending nation and a host nation. It provides the mutually agreed military-political basis for the development of subordinate implementing documents.

(MC 334/2, *NATO Principles and Policies for Host-Nation Support* [Not NATO Agreed])

military engineering

A function in support of operations to shape the physical operating environment.
(NATO Agreed)

movement

The set of activities involved in the physical transfer of personnel and/or materiel as part of a military operation.
(NATO Agreed)

multi-domain operations

The orchestration of military activities across all operational domains and environments, synchronized with non-military activities to enable the Alliance to create converging effects at the speed of relevance.
(NATO Agreed)

national support element

Any national organization or activity that primarily supports national forces that are part of a NATO force. Note: A national support element is under the operational control of its national authorities and not formally part of a NATO force.
(NATO Agreed)

non-governmental organization

A private, not for profit, voluntary organization with no governmental or intergovernmental affiliation, established for the purpose of fulfilling a range of activities, in particular development-related projects or the promotion of a specific cause, and organized at local, national, regional or international level.

Notes:

1. A non-governmental organization does not necessarily have an official status or mandate for its existence or activities.
2. NATO may or may not support or cooperate with a given non-governmental organization. (NATO Agreed)

onward movement

The movement of personnel and/or materiel from a staging area to their assigned area of operations.

(NATO Agreed)

operation

A sequence of coordinated actions with a defined purpose.

(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 Agreed)

operation plan

A plan for a single or series of connected operations to be carried out simultaneously or in succession.

Notes:

1. It is the form of directive employed by higher authority to permit subordinate commanders to prepare supporting plans and orders.
2. The designation 'plan' is usually used instead of 'order' in preparing for operations well in advance.
3. An operation plan may be put into effect at a prescribed time, or on signal, and then becomes the operation order. (NATO Agreed)

reception

The set of activities, including the receiving, offloading, recording, marshalling and moving of personnel and/or materiel, involved in the transition from a strategic movement to an operational movement between a port of debarkation and a staging area.

(NATO Agreed)

sending nation

A nation deploying its forces, supplies and/or national components of multinational forces and requesting the use of host nation logistic and other support during transit through or employment on the host nation's territory.

(NATO Agreed)

staging

The process of temporarily holding and organizing personnel and materiel to prepare for movement.

(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 Agreed)

support

The action of a force, or portion thereof, which aids, protects, complements, or sustains any other force.

(NATO Agreed)

sustainment

The provision of personnel, logistics, medical support, military engineering support, finance and contract support necessary for Alliance operations and missions.

(NATO Agreed)

sustainability

The ability of a force to maintain the necessary level of combat power for the duration required to achieve its objectives.

(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 Agreed)

Intentionally blank

AJP-4(C)(1)