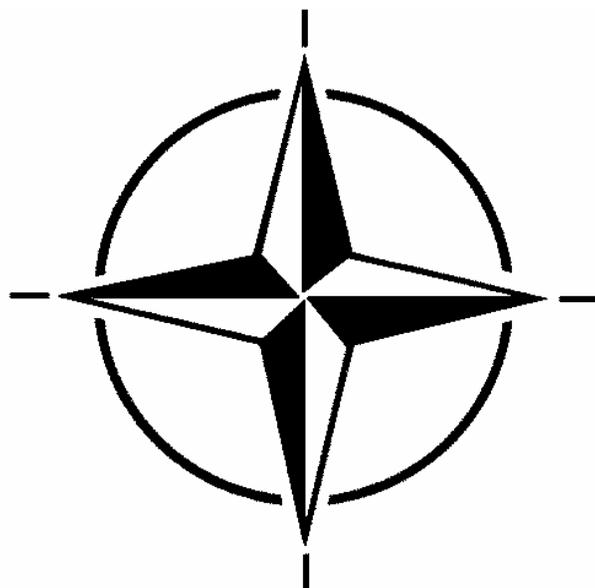


**ALLIED JOINT DOCTRINE
FOR
NON-ARTICLE 5
CRISIS RESPONSE
OPERATIONS**

AJP-3.4(A)

RATIFICATION DRAFT 1

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**ALLIED JOINT DOCTRINE
FOR
NON-ARTICLE 5
CRISIS RESPONSE
OPERATIONS**

AJP-3.4(A)

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NORTH ATLANTIC TREATY ORGANIZATION

NATO STANDARDIZATION AGENCY (NSA)

NATO LETTER OF PROMULGATION

xx xxx 2010

1. AJP-3.4(A), *Allied Joint Doctrine for Non-Article 5 Crisis Response Operations*, is a NATO/PfP UNCLASSIFIED publication. The agreement of nations to use this publication is recorded in STANAG 2180.
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Juan A. MORENO
Vice Admiral ESP(N)
Director, NATO Standardization Agency

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RECORD OF CHANGES

Change Date	Date Entered	Effective Date	By Whom Entered

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RECORD OF RESERVATIONS BY NATIONS

CHAPTER	RECORD OF RESERVATIONS BY NATIONS
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3	
Annex A	

RECORD OF SPECIFIC RESERVATIONS

NATION	RESERVATIONS

PREFACE

0001. Allied Joint Publication (AJP)-3.4(A), *Allied Joint Doctrine for Non-Article 5 Crisis Response Operations*, describes the fundamental principles and various types of operations initiated outside the mandate of Article 5 and highlights considerations relevant to the successful conduct of these operations. In particular, this publication recognizes the sensitivity to political considerations, and the prominent role of non-military entities, both governmental and non-governmental. However, all operations can fundamentally be approached in the same comprehensive manner¹ because NATO forces must expect to perform a wide range of potentially simultaneous activities across a spectrum of conflict, from combat action to humanitarian aid, within short timeframes. What will vary will be the mandates, constraints, and drivers that will be factors in the mission analysis, plan development, plan selection, and execution.

0002. Non-Article 5 crisis response operations (NA5CRO) can be described as multifunctional operations that encompass those political, military, and civil activities, initiated and executed in accordance with international law, including international humanitarian law, contributing to conflict prevention and resolution and crisis management, or serve humanitarian purposes, in the pursuit of declared Alliance objectives.

0003. AJP-3.4(A) is intended for use primarily by commanders and staffs at the operational level but could be used as a reference at any level.

0004. Within the hierarchy of AJP, AJP-3.4(A) is:

a. Directly subordinate to AJP-3, *Allied Doctrine for Joint Operations*, which describes the fundamental aspects for the conduct of joint operations.

b. The higher level to AJP-3.4.1, *Allied Joint Doctrine for Peace Support Operations*, AJP-3.4.2, *Allied Joint Doctrine for Non-Combatant Evacuation Operations*, AJP-3.4.3, *Allied Joint Doctrine for Support to Civil Authorities*(under development), and AJP-3.4.4, *Allied Joint Doctrine for Counterinsurgency (COIN)*.

¹ For more on comprehensive approaches, see AJP-01, *Allied Joint Doctrine*.

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AJP-3.4(A)

ALLIED JOINT DOCTRINE
FOR
NON-ARTICLE 5 CRISIS RESPONSE OPERATIONS

TABLE OF CONTENTS

	Page
Title Page	i
NSA Letter of Promulgation	iii
National Letter of Promulgation	v
Record of Changes	vii
Record of Reservations by Nations	ix
Record of Specific Reservations	x
Preface	xi
Table of Contents	xiii
 Chapter 1 – Context and Overview	
Introduction	1-1
The Strategic Context and Nature of the Threat	1-1
Constituents of a Nation or Society	1-2
NATO Military Operations	1-3
The NATO Response to the Operational Environment	1-4
 Chapter 2 – Fundamentals and Principles of Non-Article 5 Crisis Response Operations	
Introduction	2-1
Principles of Non-Article 5 Crisis Response Operations	2-1
Planning Considerations	2-5
Participation	2-8
Command and Control	2-9
Intelligence	2-10
Information Operations	2-11
Public Affairs Implications	2-12
Civil-Military Cooperation	2-12
Use of Force	2-13
Public Security	2-14
Logistics and Host Nation Support	2-14
Cultural Competence	2-16
Legal Aspects	2-16
Interoperability	2-16

Chapter 3 – Non-Article 5 Crisis Response Operations and Related Activities

Introduction	3-1
Peace Support	3-1
Counter Irregular Activities	3-3
Support to Civil Authorities	3-9
Search and Rescue	3-14
Non-Combatant Evacuation	3-15
Extraction	3-15
Sanctions and Embargoes	3-15
Freedom of Navigation and Overflight	3-16
Annex A – Political and Humanitarian Organizations	A-1
Lexicon	
Part I – Acronyms and Abbreviations	LEX-1
Part II – Terms and Definitions	LEX-3
Reference Publications	REF-1

CHAPTER I - CONTEXT AND OVERVIEW

0101. Introduction

- a. The need for the North Atlantic Treaty Organization (NATO) to be capable of responding to a crisis beyond the concept of “collective defence” under Article 5 of the North Atlantic Treaty was first identified in the 1991 Strategic Concept and reiterated thereafter at the 1999 Washington Summit. The Washington Summit recognized that future NATO involvement in non-Article 5 crisis response operations (NA5CRO) is needed to ensure both the flexibility and ability to execute evolving missions not described under Article 5, including those contributing to effective conflict prevention. The Alliance’s military mission of NA5CRO is focused on contributing to effective crises management when there appears to be no direct threat to NATO nations or territories that otherwise would clearly fall under Article 5 “collective defense”. NA5CRO are a major part of the Alliance’s contribution to effective crisis management. NA5CRO are intended to respond to such crises in a timely and coordinated manner where these crises could either affect the security of NATO nations, or threaten stability and lead to conflict on the periphery of the Alliance. NA5CRO encompass the Alliance’s conduct of and participation in the full range of operations as directed by the North Atlantic Council (NAC). Also, NA5CRO may be conducted by NATO in any part of the world, as opposed to the specific Euro-Atlantic area defined for article 5 operations; this implies that NA5CRO may have an expeditionary nature.
- b. NA5CRO will only be conducted under the political control and strategic direction of the NAC. NA5CRO may be conducted by NATO on its own or, more often, in association with other international organizations (IOs) or non-NATO host nations (HNs). The United Nations (UN), European Union (EU) and Organization for Security and Cooperation in Europe (OSCE) are organizations that deal with security matters and have political, economic, cultural or military relationships with NATO member nations. NATO may operate in areas where other IOs (either with a regional mandate, such as the African Union, or a specific one, such as the International Criminal Court or the International Committee of the Red Cross and the Red Crescent) are involved. See AJP-01, *Allied Joint Doctrine* for a more detailed discussion on the strategic context, NATO command structures and response forces, and the NATO Crisis Response System (NCRS). Additionally, refer to AJP-9, *NATO Civil Military Cooperation* for more details on organisations in the mission area.

0102. The Strategic Context and Nature of the Threat

- a. As the security environment continues to change, it is and will continue to be complex and global and subject to unforeseeable events. International security developments have an increasing impact on the

lives of the citizens of Allied and other countries. The adversaries² that arise from these situations could range from traditional nation states and other organizational entities, to trans-national entities such as terrorists, criminal networks, and paramilitaries, each seeking to utilize a wide range of capabilities and methods to challenge NATO nations and global stability. Peace, security, and development are more interconnected than ever. This places a premium on close cooperation and coordination among IOs playing their respective, interconnected roles in crisis prevention and management. Additionally, the unique capabilities of the Alliance will continue to be sought to ease human suffering through humanitarian assistance and disaster relief operations. States, nations, transnational actors, and non-state entities will continue to challenge and redefine the global distribution of power, the concept of sovereignty, and the nature of warfare.

- b. In future conflicts, military units may encounter a wide range of adversaries, varying in quality, quantity, the level of control (possibly by a local authority), and intentions. These adversaries may use a multitude of regular or irregular activities, or any and all in combination, to achieve desired objectives against any country in particular or any coalition in general. For a detailed discussion of the nature of the threat, see AJP-01, *Allied Joint Doctrine*. In addition to the threats discussed in AJP-01, it should be noted that Alliance forces conducting NA5CRO could very likely face threats of a much different nature. Specifically, potential threats that could necessitate crisis response operations include natural phenomena such as earthquakes, weather, floods, volcanic eruptions, and other acts of nature as well as man-made disasters such as fires, oil spills, and other industrial incidents.

0103. **Constituents of a Nation or Society**

- a. When investigating the origins of a conflict and, more importantly, how they may be addressed, all the key constituents of a nation or society should be considered; the military and security aspects cannot be addressed in isolation. Within a functioning society, the instruments of national power are supplemented by internal components of national and local governance including the rule of law, an education system, a commercial sector, and the institutions concerned with the welfare and health of the population. These interdependent constituents are inseparable from the culture and history upon which they are based, and they combine to form the nation or society. Identifying and understanding the constituents is the foundation for every operation in the area.

² Adversary, defined in AAP-6 as “a party acknowledged as potentially hostile to a friendly party and against which the use of force may be envisaged.”

- b. Crises often stem from the failure of nations or societies to govern one or more of these constituents to the benefit of the population so that the potential sources of conflict are removed or alleviated. In each key constituent there may be challenges to underlying cultural values or there may be perceptions of inequality over ethnic origin, class, gender, or religion; these perceptions can start or feed conflict. Identifying the causes of conflict will assist in determining how, within the context of the specific culture and history, to regenerate, reform, and then sustain the constituents that have failed. The local capacity to cope with disagreement and conflict can be a critical factor. Disagreement is not in itself bad; it is the ability of the local society to manage and resolve it peacefully that is important. Over time, the original causes of conflict can either become obscure or evolve into conflict itself becoming a way of life. In such circumstances, addressing the issues that allow or encourage conflict to continue will be increasingly important.
- c. Where the seeds of conflict lie in ethnic origin, class, or religion, action will be needed across all the constituents to ensure that the potential for conflict is reduced or removed. This will be complicated by the need to consider other factors that are changing, or have changed, the society or nation irreversibly, for example, the impact of infectious diseases or genocide. No single entity can address all the constituents. Action will be required across civil and military agencies, governments, IOs, intergovernmental organizations (IGOs), non-governmental organizations (NGOs), and individuals, thus embracing comprehensive approaches to the constituents. NATO forces may operate in support of other national entities, IOs, and IGOs with which terms of reference (TOR)/memorandum of understanding (MOU) should be signed at the appropriate level stating the kind of support to be provided by the NATO forces.

0104. **NATO Military Operations**

- a. **Article 5 Collective Defence.** NATO member nations participate fully within the Alliance and are equally committed to the terms of the North Atlantic Treaty, particularly to the reciprocal undertaking made in Article 5—namely to consider an armed attack from an enemy against one or more of them as an attack upon them all. This is known as “collective defence.” The parties will assist the party or parties attacked by taking such action as they deem necessary, including the use of armed force, to restore and maintain the security of the North Atlantic area.
- b. **Non-Article 5 Crisis Response Operations**
 - (1) NA5CRO include multifunctional operations, falling outside the scope of Article 5, which contribute to conflict prevention and resolution or serve humanitarian purposes, and crisis management in the pursuit of declared Alliance objectives. One principal difference between Article 5 operations and NA5CRO is that there is no formal obligation for NATO nations to take part in a NA5CRO.

- (2) NA5CRO range from support operations primarily associated with civil agencies through operations in support of peace³, countering irregular threat activities, to combat. In the framework of a NATO-led operation, this could include, but is not limited to, extraction operations, tasks in support of disaster relief and humanitarian operations, search and rescue (SAR) or support to non-combatant evacuation operations (NEOs), freedom of navigation and overflight enforcement, sanction and embargo enforcement, support to stabilization and reconstruction activities, peace enforcement, and counterinsurgency (COIN). Specific NA5CRO operations and tasks are addressed in detail, later, in Chapter 3 of this publication. Additionally, Military Committee (MC) 327/2, *NATO Military Policy for Non-Article 5 Crisis Response Operations*, establishes the guidance for conducting NA5CRO within the Alliance.
- (3) NA5CRO may be limited in objective, means, area, and time depending on the desired end state; however, NA5CRO may include offense, defence, stability, and enabling activities. Depending on the situation, NA5CRO may be as demanding and intense as Article 5 operations, in particular during enforcement operations.

0105. **The NATO Response to the Operational Environment**

- a. **Instruments of Alliance Strategy.** Within the operational environment (OE), success of the Alliance's role in preserving peace and preventing war depends on the integrated application of the instruments of Alliance strategy including the effectiveness of preventive diplomacy, the successful management of crises, and a coherent information policy affecting security. The political, economic, social, and environmental elements of security and stability are thus taking on increasing importance. The assets of NATO member nations are coordinated and focused on achieving security goals using national diplomatic and military instruments of power, the latter under a NATO umbrella. Coherence of economic policies is also desirable, but this depends on issues such as the international community setting goals from a wider overall framework to funding reconstruction and development.
- b. The proper integration of the different instruments of Alliance strategy, and coordination with those from the member nations, will be achieved under the political control and strategic direction of the NAC in consultation between the highest political and military authorities within the Alliance. Due to the need to operate along with non-NATO partners (for practical reasons like burden-sharing as well as for increasing the legitimacy of the operation), the multidimensional nature of these operations, and the complexity and political sensitivity inherent in

³ In the political/strategic documents these operations are described as operations in support of peace. The doctrinal community refers to these operations as peace support operations.

most NA5CRO, the NAC will have to provide detailed political guidance to the NATO commanders and will closely monitor the operations.

- c. **Alliance Military Posture.** The Alliance's military posture will adapt to respond to challenges with speed, precision, and flexibility so that forces can be deployed effectively wherever they are needed. This posture will provide the Alliance with a broad set of capabilities that will enable the projection of stability, assure nations and partners, dissuade adversaries, deter aggression, and, if necessary, defeat an adversary across the spectrum of conflict. The command and force structure should be deployable and sustainable in character and design, able to conduct a number of smaller, concurrent operations outside of the Euro-Atlantic area sustained over long periods. In accordance with the NATO level of ambition, a greater proportion of Alliance forces will have to be deployable and usable, and have the flexibility to transition rapidly between, for example, offensive and stability activities within an operation.
- d. NATO must consider the impact of the various arms control treaties, agreements, and conventions to which individual NATO countries are participating. Several treaties, agreements, and conventions limit, restrict, or ban the use of certain types of equipment or weapons. NA5CRO may be impacted by these constraints and the planning process must account for them.

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CHAPTER II - FUNDAMENTALS AND PRINCIPLES OF NON-ARTICLE 5 CRISIS RESPONSE OPERATIONS

0201. **Introduction.** The characteristics of NA5CRO are unique, where the conditions for planning and execution may vary widely, and will have an impact on the force size, structure, components, and essential capabilities and sustainment requirements. Despite the considerable differences among the different types of operations and activities collectively known under the term NA5CRO, some common operational considerations may be identified. The following operational considerations are focused on NA5CRO within the Alliance. Since many of the types of NA5CRO are directly linked to cooperation with civil entities, it is recommended to also refer to AJP-9, *NATO Civil-Military Cooperation*.
0202. **Principles of Non-Article 5 Crisis Response Operations.** All of the principles for the conduct of joint and multinational operations, as outlined in AJP-01 and AJP-3, apply to the conduct of NA5CRO. Given the wide range of potential tasks within the NA5CRO spectrum, a different emphasis may be required for each operation. The judgment of those responsible for planning and executing a mission will temper the weight and the application of these principles. An understanding of the relationships between these principles is essential for the effective management of civil-military interactions and the achievement of the desired end state. An expanded discussion is provided below for those principles that may have additional considerations during the conduct of NA5CRO:
- a. **Definition of Objective.** NA5CRO must be directed towards clearly stated and attainable end states. In a joint and multinational operation or campaign involving many civilian organizations and agencies, military strategic objectives may be milestones along the way to achieving the desired political end state between NATO forces and other military forces present in the area.
 - b. **Unity of Effort.** Unity of effort recognizes the need for a coherent approach to a common objective between NATO forces and other military forces present in the area with a different chain of command and between the military and civilian components of any operation. Particularly during NA5CRO, cooperation between military and civil elements requires continual interaction between them. Effective liaison and coordination/cooperation at all levels, while taking into consideration all agencies and parties, are essential in achieving unity of effort. In some cases, NATO forces may operate in support of other IOs with which TOR/MOU should be signed at the appropriate level stating the kind of support to be provided by the NATO forces.
 - c. **Flexibility.** The successful conduct of NA5CRO involve the management of change and the eventual transition to a stable environment. Within the operation plan (OPLAN) and the constraints of the rules of engagement (ROE), the joint force commander (JFC) should be given maximum operational flexibility, and the forces should be able to adapt and move from one activity to another at short

notice and with the minimum of outside assistance. Considering the various types of NA5CRO, a NATO-led force needs to be balanced and independent in terms of skills, capabilities, equipment, and logistics.

- d. **Security.** During NA5CRO, security can have a very different focus particularly with force protection (FP). A command responsibility in all-military operations, FP, including personnel recovery and search and rescue, needs to be taken into account when planning the size and composition of the force and when drawing up military plans, orders, and ROE. In the NAC initiating directive (NID), the JFC may be given specific responsibilities for the protection of certain civilian agencies involved in the joint operations area (JOA).

Other Principles

- e. **Consent.** The promotion of cooperation and consent among the parties are prerequisites for many NA5CRO. Before execution, any military force activity that may result in a loss of consent, should be carefully balanced and assessed against the long-term objectives of the operation. This may be achieved through careful consideration of the impact of NATO objectives and activities on the agendas of the different actors involved, and through enhanced consultation and cooperation. Additionally, cooperation and consent can promote perceived legitimacy, as discussed below, if it can be shown to the parties that their status and ultimate authority will increase if they successfully resolve their own disputes. When the people and parties are made shareholders in the process, then their motivation to cooperate is greatly increased. At the tactical level, this possibility can be pursued by creating incentive-based opportunities to cooperate in jointly carrying out certain tasks.
- f. **Restraint in the Use of Force.** The potential use of force affects every aspect of a mission and requires continual review to accomplish the mission. In all cases, the use of force must be in accordance with the provisions of international law and the amplifying guidance attached to the ROE. With respect to mission accomplishment, the degree of force used, intensity, and duration must be no more than that necessary to carry out duties and accomplish assigned objectives of the mission. ROE do not limit the inherent right of self-defence. Self-defence is the use of such necessary and proportional force, ranging from the use of nonlethal weapons to deadly force, by NATO/NATO-led forces and personnel to defend themselves against attack or an imminent attack.⁴
- g. **Perseverance/Long-term View.** Achieving the desired political end state of NA5CRO requires a patient, resolute, and persistent pursuit of objectives. The

⁴ See MC 362/1, *NATO Rules of Engagement*, for further information on the use of force.

pursuit of short-term military success should be balanced against the longer-term social, economic, environmental, and political consequences.

h. **Legitimacy**

- (1) The legitimacy of the operation will be a crucial factor for drawing support within the international community, contributing nations, and the involved parties, including the civil community. The participation of partners and other non-NATO countries in a NATO-led campaign would broaden the basis of international support. It is therefore necessary that NA5CRO be executed in accordance with all applicable international law, including the principles of the UN Charter. Accusations against forces, which could compromise their legal positions, can be more easily refuted if the force's intentions and activities are made clear and are transparent to the international community and involved parties.
- (2) There are two aspects to legitimacy: the legitimacy to mount NA5CRO and the perceived legitimacy established in theatre to execute the mandate successfully. The legitimacy for the operation to be undertaken is usually derived from the politically brokered international mandate which can be established by differing authorities. The most widely respected, albeit not always easy to attain, legitimacy is that conferred by a UN mandate; NATO NA5CRO should strive to have a UN backing as the best way of obtaining legitimacy. Alternatively, regional mandates from IOs such as the EU or OSCE can provide for more timely, preventative, or responsive action than might be possible through the UN. Depending on the kind of operation, an invitation from the legitimate government of the country in which the NA5CRO will take place, without expressed opposition from other regional actors, may provide the desired legitimacy. However, regional mandates are vulnerable to perceptions of bias and may prove to be more sensitive to variations in international will. The mandate is critical in shaping NA5CRO and will determine the freedom of action allowed at the operational level in pursuit of operational objectives.
- (3) Perceived legitimacy is wider than just the legitimacy in law conferred by the mandate. It is based on a party's perception of legitimacy and on its expectations; it thus better reflects the reality faced during NA5CRO and reflects all the principles detailed above. It is a blend of related and interdependent factors:
 - (a) **Mandate.** The perceived legitimacy by the various parties of the international mandate that establishes the NA5CRO.
 - (b) **Manner.** The perceived legitimacy of the manner in which those exercising that mandate conduct themselves both individually and collectively.

- (c) **Consent.** The degree to which factions, the local population, and other parties subjugate themselves to the authority of those executing NA5CRO; from unwilling compliance to freely given consent.
 - (d) **Expectation Management.** The degree to which the activities of those executing NA5CRO meet the expectations of the factions, local population, and others.
 - (4) While the mandate confers legitimacy on NA5CRO, a successful outcome requires compliance and consent to be bound by agreements brokered as part of NA5CRO. The manner in which NA5CRO are conducted, specific activities undertaken, and expectations managed will vary. Individual assessments are difficult because the interdependence between the factors will vary over time and between individuals. When required, Status of Forces Agreements (SOFAs) and host-nation support (HNS) arrangements between NATO and HNs may contribute to perceived legitimacy. The commander must always be aware that NA5CRO perceived legitimacy can be established and reinforced by the military, but can also be deliberately undermined by antagonists.
 - (5) **Loss of Perceived Legitimacy.** Employed forces might lose perceived legitimacy in various ways or a belligerent faction may simply decide to remove consent and compliance unilaterally. Perceived legitimacy may also be lost if the NATO-led force does not meet local expectations. A potential loss of perceived legitimacy should be planned for by the commander. If lost, perceived legitimacy must be reestablished for the operation to progress toward its desired end state.
- i. **Credibility.** A NATO-led force must be credible. A force must respond with professional bearing and swift, effective reactions to incidents. Establishing credibility is essential for building confidence and the early implementation of a public affairs (PA) plan in coordination with information activities will be crucial in achieving this principle. This may be assisted by the deployment of forces with sufficient capability to deter hostile actions or, by the judicious application of force, to establish, build, and maintain credibility. When force, or the perceived threat of force, is used, it will be necessary to have an estimate of the impact that actions may have, not just on credibility, but also on the operation as a whole with its political, economic, social, and environmental implications. At all levels, political leverage, sanctions, and the threat of credible force or its judicious use, and/or other means may be sufficient to deter or persuade the parties and individuals to consent to an operation and comply with the wishes of the authorizing body.

- j. **Mutual Respect.** In many NA5CRO, the respect in which a combined joint task force (CJTF) or other NATO-led force is held will be a direct consequence of its professional conduct and how it treats the local population and recognized authorities. Through a United Nations (UN) mandate, SOFAs or other special agreements, the CJTF or NATO-led force may enjoy certain immunities related to its duties. Notwithstanding this, its members must respect the laws and customs of the HN and must be seen to be doing so. The JFC should also ensure the same principles are recognized and implemented among the different national, cultural, and ethnic elements within the formations which make up the force. All personnel must consistently demonstrate the highest standards of discipline exercised through controlled and professional behaviour on and off duty.
- k. **Transparency.** The mission and concept of operations as well as political/military end states must be readily understood and obvious to all parties and agencies. Achieving a common understanding will remove suspicion and mistrust. Information should be gathered and communicated through open sources wherever possible. While transparency of operations, including media access, should be the general rule, it must be balanced against the need to ensure the security of the mission and its members.
- l. **Freedom of Movement.** Freedom of movement is essential for the successful accomplishment of any NA5CRO. The mandate and the ROE must allow NATO forces to remain free at all times to perform their duties throughout the designated mission area without interference from any of the local groups and organizations. Experience indicates that various factions will often try to impose local restrictions on freedom of movement. These restrictions must be firmly and swiftly resolved initially through negotiation, but if necessary, through more vigorous and resolute action up to and including the use of force in accordance with ROE.

0203. **Planning Considerations**

- a. Alliance structure, procedures, and tools designed for the production and dissemination of indications and warning provide warning to decision-makers of any developing threat, potential threat, risk, or concern that could impact on the security interests of the Alliance. This provides dissemination of intelligence prior to the onset of a crisis, providing warning which allows decision makers ample time to consider the warning and make appropriate decisions and plans.
- b. NATO planning for NA5CRO at the military strategic and operational levels must consider the complex environment and should take a long-term view in focusing on end states, cooperation, and on-going adaptation to changing strategic environments. The military instrument of Alliance strategy should thus plan in a comprehensive manner with the relevant diplomatic, economic, and information

instruments, and with other relevant military and civil parties including IOs and NGOs.⁵ In the framework of a comprehensive approach, NATO should ensure that all entities involved have a common understanding about the final objectives and endstate. In particular, carrying out the initial assessment of the conflict in a comprehensive manner can be critical to success.

- c. In complex contemporary crises, such planning cannot be fully coherent across all parties. A culture of cooperation within NATO and with external parties should be fostered so that planning is coordinated where feasible and at least deconflicted where not. In order to match the military planning process with those of external parties, military planners must be able to express and explain military planning concepts in terms understandable to non-military partners. To the extent possible, non-military partners will be involved in planning and also the NATO force will send liaison officers to other organizations as needed in order to have a coherent and comprehensive planning process. Information exchange protocols, as well as a procedure for declassifying military information as appropriate, will be established. It is also essential to have and maintain a shared situational awareness to the maximum extent possible, which implies sharing and discussing the different views on the situation. Even if a complete agreement cannot be reached, at least each party will have a better appreciation of the other's intentions and purpose.
- d. To facilitate effective interagency planning, a proper cultural competence is needed by all the participants, not just about local culture, but also about the differences between the institutional culture of the military and the civilian organizations. Thus, a culture is required among those wishing to prevent or resolve crises that predisposes individuals and organizations to: work proactively; share their understanding of situations; base planning and activities on the basis of desired outcomes in the short, medium, and long-term; and collaborate wherever feasible.
- e. Planning is not an activity carried out in isolation; it should be based, and judged, on the achievement of progress towards agreed objectives. In doing so it must be iterative by carrying out continuous analysis of the OE and assessment of the actual consequences of activity. In order for this to be conducted where feasible with other parties, understanding is required of each others' values, capabilities, limitations, and cultures. To the extent possible, measures of performance (MOPs) and measures of effectiveness (MOEs) concerning the progress of the operation should be developed jointly by civilians and the military, identifying indicators relevant for both; the shared situational awareness should extend to the assessment of the progress of the operation and the degree of achievement of MOPs and MOEs.

⁵ For more on comprehensive approaches, see AJP-01, *Allied Joint Doctrine*.

- f. In NA5CRO there is often a complex interrelationship between military and civil actions. These actions may create effects in the short term that are neither intended nor desirable either with other ongoing actions or with longer term success. Thus the anticipated links between actions and effects must be planned for, and the actual effects assessed, in order to continuously inform planning and subsequent actions.
- g. **Military End State.** NATO is not resourced to address all of the tasks and activities required during NA5CRO and must therefore interface with HN security institutions (e.g., police and judiciary) and the international community (e.g., UN, EU, OSCE and NGOs). The arrival of a NATO joint force will immediately affect the regional and societal balance of power and the way in which violence is used. An acceptable military end state is likely to be achieved when the rule of law is established, internal security institutions regain control, and the level of violence is within societal norms for that region. It is characterized by a step-change reduction in deployed military capability. However, this is likely to be only an enabler for achieving the overall mandated political end state which may include numerous non-security related objectives. For further details on end state, see AJP-9, *NATO Civil Military Cooperation*.
- h. **Success.** In NA5CRO, success will generally be related to the achievement of pre-determined strategic objectives that are derived from the desired end state and should be defined in the overall political mandate and the NID. The achievement of the end state will be the defining criterion for the success of the entire operation, including the military mission. The achievement of related military objectives will usually be a precursor to attaining the end state. The actual success of an operation will, therefore, be measured against the overall result and not just on the achievement of the military objectives.
- i. **Interagency Coordination.** Increasingly, military operations should be synchronized with those of other agencies and regional authorities. Shared endeavour at the onset of operations can be a powerful catalyst in ensuring effective cooperation is established. This is especially pertinent to humanitarian operations. There is a requirement to develop agreed cross-agency procedures although it must be recognized that many agencies will resist any encroachment on their own freedom of action. The JFC should take a close personal interest in the establishment of close relationships with all the agencies, and to establish what, in terms of assistance, the joint force is able to provide. Advisors, such as political, legal, and cultural, may have key supporting roles. Where appropriate, liaison officers will be exchanged and communication means will be established between civilian organizations and military headquarters (HQ). Also periodic coordination meetings may be convened and, where possible and appropriate, reports and assessments should be exchanged.
- j. **Interagency Planning Group**

- (1) If deemed necessary, an IO (like the UN), the HN government, or the NATO-led force can initiate an interagency planning group at any time.
- (2) An interagency planning group seeks to enable cooperation and synchronization of activities/operations between all the civil and military bodies of the UN, NATO, the HN, and the IOs and NGOs involved in the NA5CRO within the JOA. Participation should be encouraged.

k. Joint Commissions

- (1) There are two different commissions: the joint civil commission and the joint military commission. They operate at all levels and across political, military, humanitarian, and economic dimensions.
- (2) Joint commissions are established to support an ongoing mechanism and a long-term process whose aims are the implementation of peace or cease-fire agreements, the establishment of peace and stability in the conflicted region or countries, and, in the long term, the normalization of economic, social, cultural, and environmental relationships.
- (3) Joint commissions provide a forum where the principals, participants, and contributors involved in a peace or cease-fire agreement can engage in dialogue, discuss and negotiate issues, and confirm and implement agreements.⁶

0204. Participation

- a. A nation's level of participation in NA5CRO may vary in relation to its national strategic interest in the operation and resources available; therefore, national commitment to provide forces will vary accordingly and will affect the force generation process. In the case of NA5CRO, the principle of consensus remains valid; however, once consensus is achieved, it is each member state's prerogative to decide, on a case-by-case basis, whether it will commit forces and/or capabilities to the operation or not and what level of forces it may commit. The JFC and the staff should be aware of any "national caveats" on the employment of troop contributing nations and seek ways to maximize their efforts in support of NA5CRO.
- b. When planning NA5CRO, only forces under the purview of NATO will initially be considered as the basis for force generation. However, partners and other non-NATO troop contributing nations (NNTCNs) will be considered as soon as authorized to make the best use of their individual strengths and unique capabilities. Their participation is likely to be determined, on a case-by-case

⁶ For more on joint commissions, see AJP-3.4.1, *Allied Joint Doctrine for Peace Support*.

basis, in accordance with modalities established for NNTCN participation in NA5CRO as approved by the NAC.

- c. While an initial force estimate may be made from the reconnaissance and mission analysis, the identification of the required military capabilities, numbers, generic grouping, command structure (joint), support forces, and facilities are completed during the concept development phase. This information becomes the JFC's statement of requirements (SOR). SOR are used as the basis of the NATO force generation process through which force contributions will be sought from member nations. In the force generation process, the capabilities needed for the operation are selected from the air, land, maritime, space, and special operations forces at NATO's disposal on the basis of national capabilities and agreements to provide specific forces. Force generation should consider the full range of force elements required, including support and sustainment capabilities; all assigned forces must be deployable and able to respond with the speed, precision, and flexibility that the operation requires.
- d. If force generation fails to produce forces sufficient to meet the joint force commander's SOR, the JFC will refer the issue to Allied Command Operations (ACO) to address the shortfall. If the shortfall cannot be resolved, the issue should be referred to the NAC for resolution.

0205. **Command and Control.** NA5CRO pose numerous command and control challenges for NATO-led forces. Organizational structures in many cases will be anything but traditional considering the vast numbers of non-military organizations that can be expected in the JOA. Additionally, command and control planning must take into consideration the long distances between organizations, the need to link with distant higher HQ and governments, coordination with multiple military and non-military organizations or actors in the JOA, etc. Achieving unity of effort will require constant coordination, flexibility, and assessment during both planning and executing operations.

- a. **Communication Systems.** Effective communications systems will be essential to planning, conducting, and sustaining successful NA5CRO. Therefore, plans must include procedures to provide interoperable and compatible communications among participants. Commercial telephone networks, military satellite channels, and conventional military command and control (C2) systems can all support information sharing. In addition, commercial communications systems can be used to coordinate with other agencies, disseminate meeting schedules, and deconflict resource movement. Direct communications between NATO forces and non-military organizations should be established early to facilitate effective collaboration and decision-making. Communication systems used for sensitive information exchange must reflect the degree of military security necessary to the conduct of operations.
- b. **Liaison Teams.** One of the most effective means for establishing communications and coordination/cooperation is through liaison teams. While

the principal function of liaison teams is to establish personal contact with other command HQ and authorities, liaison with civilian organizations is also critical for achieving unity of effort and fostering the transparency of operations. Such liaison teams should include all the normal military-to-military exchanges as well as internationally mandated organizations, governments, and NGOs. Therefore, NATO forces must plan to have the proper availability of educated and trained liaison teams in terms of quantity and quality at different levels to accommodate these requirements.

0206. Intelligence

- a. In many emerging crisis situations, the most demanding and critical NATO intelligence task will be to provide strategic indications and warning of emerging security risks and to support coordinated political, diplomatic actions, and military operations to restore stability and frame enduring political solutions. During crisis management and intervention, decentralized intelligence gathering and reporting will culminate in centralized, authoritative, dynamic assessments to ensure that the politico-military authorities and Strategic Allied Commander Europe (SACEUR) share a common situational awareness. Operational and tactical commanders will also need intelligence and common situational awareness based on common geospatial information (maps, air charts, imagery, hydrography, etc) and meteorological information to orchestrate fast moving, highly complex, operations.
- b. NA5CRO rely heavily on interoperable geospatial, meteorological, and oceanographic information and services (GMI&S) data and data exchange capabilities. Based on the circumstances, NA5CRO may also demand greater attention to the political, administrative (especially boundaries and names), social, economic, ethnic, religious, historical, and other cultural aspects, as well as relevant physical environmental factors. New data collection means (field, air, maritime, space) and cooperation with local authorities and agencies to exchange data are likely to be essential prior to and during NA5CRO to acquire required geospatial information to update available maps, charts, images, databases, libraries, and archives. Up-to-date and accurate GMI&S and geographic information enhances situational awareness, assists commanders in gaining a better appreciation for the influence of the environment upon operations, provides the spatial framework for coordinated planning and C2 within assigned forces and with cooperating entities, and has the potential to be a significant force multiplier in NA5CRO.
- c. Timely, actionable, and predictive military intelligence support is imperative to monitor and assess an impending crisis, which may lead to NATO involvement, and to support operational planning on the strategic military level. SACEUR should request the NAC to authorize the conduct of intelligence activities prior to the approval of the NID for effective and timely planning. The Intelligence Fusion Centre provides analytical expertise to ensure the availability of

intelligence products for all NAC designated regions of the world and, on short notice, provide robust and timely delivery of all-source, fused military intelligence to support operations. It also develops answers to urgent requests for information and performs in-depth all-source analysis across multiple disciplines including geospatial, terrain, targeting, and imagery analysis.

- d. The expeditionary, short-notice, and limited duration nature of NA5CRO puts extraordinary demands on intelligence as there is a lack of basic intelligence data on many remote or undeveloped regions. Intelligence must be focused not only on the potential adversary, but also on political, social, economic, ethnic, religious, historical, and other cultural factors of the operational area. Intelligence support and analysis will need to rely on reach back support for analysis while also being de-centralized to support the needs of dispersed forces conducting operations. The need for translators and interpreters at lower levels is also distinctive of NA5CRO and recent operational experience has shown that troops, aided by a cultural awareness improved through training, **may be a good source** of human intelligence which is especially important during NA5CRO. Additionally, with multiple potential threats to the force, specific efforts of intelligence must be devoted to force protection. Finally, within an interagency framework, planning must include provisions for de-classification of information to allow the dissemination of appropriate intelligence to non-NATO entities as required and appropriate. Conversely, information and intelligence may be gained from many different sources, including both international as well as local organizations and personnel who may have plenty of expertise and experience in the area; these must be identified and a procedure for the exchange on information established (see AJP-9, *NATO Civilian-Military Cooperation*). Also, for more on intelligence, refer to AJP-2, *Allied Joint Intelligence, Counter Intelligence, and Security Doctrine*.

0207. **Information Operations.** MC 422/3 establishes NATO policy on information operations (Info Ops) which is further detailed in AJP-3.10, *Allied Joint Doctrine for Information Operations*. The nature of NA5CRO highlights the critical importance of coordinated information activities. Successful coordination of information activities may avoid or minimize the need to conduct other military activities. It should be considered as an essential instrument in the success of NA5CRO and should be applied from the very early stages of any potential crisis situation. Info Ops is an integrating function focused on the information environment rather than a capability in its own right. It can make use of all or any capability or activity that can exert influence, affect understanding, or have a counter-command effect. However, there are several capabilities, tools, and techniques that form the basis of most Info Ops activities. They are psychological operations; presence, posture, and profile; operational security; deception; electronic warfare; physical destruction; key leader engagement; and computer network operations. Moreover, it is important to underline that Info Ops must be conducted in close coordination with PA. PA and Info Ops are separate, but related functions that directly support military objectives, counter adversary disinformation, and deter adversary actions. However, the efforts of PA and Info Ops differ with respect to audience, scope,

and intent. Therefore, coordination between PA and Info Ops must be assured at all times and at all levels to ensure consistency in the message released by the military to outside audiences and to promote overall effectiveness and credibility of the campaign.

0208. **Public Affairs Implications.** NA5CRO will be conducted under close observation by international and local media and the public. The pace and capabilities of news reporting and global information sharing have evolved into instant, real-time coverage of military operations and activities. Information about NA5CRO should be released quickly to help mitigate false reporting and claims. Media images and words can have a profound effect on policy decisions at the highest level, as well as influencing public support and the behaviour and attitude of local populations. Actions by individuals even at the lowest level can attract significant media and local interest. It is essential, therefore, that PA be fully integrated into all levels of the operational planning process from the outset in order to build successful media relations and organizational spokesman ship. This creates a need for a PA policy and sound planning at all levels at an early stage of the planning process. It also requires an appropriate attitude and demands rapid communications and reporting through all levels of command. It is a continuous effort, which can contribute to the early defusing of a potential crisis, and requires unity of effort within the Alliance and among other participating organizations.
0209. **Civil-Military Cooperation.** The interaction between the NATO-led force and the civil environment (both governmental and non-governmental) in which it operates, is crucial to the success of operations, yet is one of the most difficult challenges that NATO commanders at all levels will face. As such, it is essential to establish liaison with the appropriate agencies, including civilian organizations, to ensure coordination and promote cooperation in the mission area as soon as practical. Successful civil-military cooperation (CIMIC) requires effective interaction between the NATO-led force and civil parties including international, national, and NGOs, and other agencies within the JOA and possibly beyond. The parameters for this cooperation will, ideally, be established between NATO and these organizations and agencies through official agreements and MOUs established at the highest levels; ultimately, however, this coordination can only be achieved by continuous consultation and liaison at all levels. Some of these organizations and agencies have permanent directives and agendas of their own which may conflict with or differ from the NATO-led force's main effort. It is important that, where possible, military and civil parties identify and share common goals. Such goals, consistent with political guidance, should be integrated at an early stage in the planning of the campaign. Ideally, unity of effort should be pursued to the maximum extent, but when unity of effort is not possible, deconfliction and mutual exchange of information on own activities is better than mere coexistence in the JOA. Unless a clear statement of collaboration is included in the appropriate mandate /TOR/MOU, the perception of the military being overly intent on being in charge of coordinating civilian activities may result in counterproductive civilian attitudes. Implementation of a civil plan in response to a crisis may be dependent on the NATO-led force providing a stable and secure environment. The NATO-led force should ensure coherence of CIMIC that should be coordinated with other activities throughout the JOA. Along with the normal planning

for an operation, the JFC must ensure that all overriding civil and political parties' concerns and issues are considered.

0210. **Use of Force.** NATO commanders at all levels must be aware of the relevance of the proper use of force on the perceived credibility and legitimacy of operations, while keeping in mind the overriding duty of protecting NATO troops. The use of force in NA5CRO depends upon a complex mixture of rights and obligations which are provided by international and national mandates, the UN Charter, applicable international rules, regulations, and agreements, the law of armed conflict, international law, and by national laws and rules. Commanders and their subordinates must be provided with, and adhere to, an unambiguous set of rules that define their rights and obligations in using military force. Additionally, those principles in the use of force should be proactively made known to the civil community, IOs, IGOs, and NGOs. Amplifying direction on the use of force is usually given in the mission mandate and the authorized ROE.

a. **Rules of Engagement.** ROE provide, within legal parameters, political direction and guidance to commanders at all levels governing the use of force. ROE will normally be developed as part of the OPLAN, which should result in a suitable set of ROE being available prior to the beginning of the operation or campaign. However, the JFC needs to continually review the initial ROE upon arrival in the JOA and should submit specific ROE requests through NATO military authorities for approval by the NAC. The nature of NA5CRO can mean that the range of ROE needed may be more complex than those specified for traditional combat operations. The procedures for requesting, authorizing, and implementing ROE are contained in MC 362/1 *NATO Rules of Engagement*. In order to maximize military effectiveness, it is important that multinational forces under NATO command operate under the same ROE if possible. However, it must be recognized that nations may have their own, more restrictive instructions in addition to the NATO ROE. Nations should inform the NAC if such restrictions are in effect and the JFC must be aware of these additional national restrictions to maximize the employment capabilities of all assigned and attached forces. The ROE should reflect the commander's intent and be developed in as much detail as possible. In all cases, the ROE must be in compliance with applicable national and international law.

b. **Self Defence.** Only the precise, timely, measured, proportionate, and legal force sufficient to achieve the desired goal should be used. This does not preclude the inherent right of all Alliance armed forces to use force for self-defence. The following MC 362/1-based definitions apply in this context:

- (1) "Necessary" means that use of force is indispensable for securing self defence.
- (2) "Proportional" means a response commensurate with the perception of the level of the threat posed. Any force used must be limited to the degree, intensity, and duration necessary for self-defence.

- (3) "Imminent" means that the need to defend is manifest, instant, and overwhelming.
- (4) "Attack" is the use of force against NATO/NATO-led forces or NATO personnel or a NATO nation.

0211. **Public Security.** The extent and complexity of military support to public security will depend on the mission and residual local policing and judicial capability in the JOA. NATO forces may face situations that extend from low-level reassurance in the short term to a worst case where the whole judicial structure and supporting law and order mechanisms have collapsed. While civilian law enforcement is not a NATO function, the latter environment may require military involvement in support of local law and order tasks, including operations to maintain local law and order, during the initial stages of an operation until appropriate civil authorities can resume their tasks. The implications of military support of local law and order tasks should be addressed early during planning to identify legal considerations and national restrictions, as well as the need for riot control equipment, including appropriate non-lethal weapons and/or specialized units in the SOR. When appropriate, NATO should seek the support of other IOs (like the UN, the EU or the OSCE) that have a mandate, resources, and experience concerning involvement in public security.

0212. **Logistics and Host-Nation Support**

- a. Nations and NATO have a collective responsibility for logistics; however, nations ultimately bear the responsibility for the logistic support of their forces. The JFC establishes logistic requirements and monitors and coordinates the sustainment of forces assigned in accordance with agreed terms and conditions.⁷ The effectiveness of logistic support can be improved by the establishment of a multinational joint logistics C2 structure to coordinate and/or manage the provision of logistics support. The adoption of multinational logistics support solutions, such as logistics lead nation, logistics role specialist nation, and multinational integrated logistics units, should be in line with AJP-4.9, *Modes of Multinational Logistic Support*. Should the operational risk factor permit, contractor support to operations may be a cost-effective support solution, in line with C-M(2007)0004, *NATO Policy for Contractor Support to Operations*. HNS, which can reduce the logistics support footprint, will be provided on the basis of national legislation, priorities, and restrictions. In the context of a NA5CRO, all nations that provide transit support to NATO-led forces are considered HNs.⁸
- b. The primary task of the logistic staff is to develop and promulgate a logistic support concept that supports the CONOPS. Although sustainability of

⁷ Refer to MC 319/2, *NATO Principles and Policies for Logistics*, and AJP-4, *Allied Joint Logistic Doctrine*.

⁸ For more on HNS, see MC 0334/2, *NATO Principles and Policies for Host Nation Support (HNS)* and AJP-4.5, *Host Nation Support*.

operations is of paramount importance, the logistical footprint should always be kept to the operational minimum. The impact of the logistics demands of a NATO-led force on local economies should be understood and taken into consideration in the overall picture, avoiding risks of misperceptions or creating dependency, and exploiting opportunities for promoting cooperation and consent, as well as contributing to the local development. This logistic concept should be developed collectively by ACO in coordination with participating nations. It must include the identification of: the structures and procedures available to reduce competition for scarce resources, the C2 structure, and coordination arrangements between the multiple logistic organizations. Given the numerous operational, geographic, and infrastructure-related entities that impact on the logistic system, the need for designing an overall logistic concept in advance is obvious. A well designed logistics C2 structure may provide the best means by which the execution of the logistic plan can be assured and should be tailorable and adaptable to various operational situations and requirements. In NA5CRO, logistic coordination may be needed not only between NNTCNs and the HN, but also with other IOs present in the JOA, particularly when local resources are scarce, local infrastructure (APOD/SPOD) is poor, or there is an on-going humanitarian crisis.

- c. Due to the expeditionary nature of most NA5CRO, the planned logistics capabilities and support requirement should be optimized to minimize reliance on HNS, reduce the requirement of intra-theater lift, and ease force protection requirements. However, particularly austere environments may be challenging for NATO operations and may need a robust and carefully planned logistic support plan. At higher levels, provisions should be made for ensuring safe lines of communications from NATO territories to the theatre (ensuring rights of pass, overflight, etc.). Inside the JOA, the usual wide dispersion of NATO troops will require attention to securing and protecting the intra-theater logistic support system, which may involve devoting specific troops to this task.
 - d. **Joint Military Medical Support.** Beyond the pure support role of sustaining the deployed forces, joint medical support acts as a mission component in NA5CRO by supporting the initial restoration of essential services and facilities, by providing humanitarian assistance, and by contributing to the reconstruction and development of the local health sector within the framework of the civil-military interface. This expanded role and the potential medical contributions, which are addressed in current medical doctrine, should be taken into consideration throughout all operational phases from early planning onward, according to the principles laid down in Allied Joint Medical Publication 6, *Civil-Military Medical Interface Doctrine*.
0213. **Cultural Competence.** A sustained sensitivity towards local history, religion, customs, mores, culture, and ways of life is of fundamental importance to all NA5CRO. In a politically sensitive environment, a thoughtless violation of a local law or custom can negatively impact local and regional perceptions of Allied operations, thus creating a

highly unfavorable news event and seriously undermining the NATO-led force's chances of success. The military must acquire a sound understanding of local history, religion, culture, customs, and laws. Training and education should emphasize the importance of cultural awareness to give NATO forces a better perception of those sensitive areas associated with each unique operation.

0214. **Legal Aspects.** NA5CRO must be planned and executed in accordance with applicable international laws, taking into account individual NATO members' national laws. The legal framework for NA5CRO may also include a medley of other arrangements and laws, such as a SOFA, a transit agreement, or applicable local national laws. Legal staffs advise the commander and his staff on these matters and the bearing they have across the spectrum of operations.

0215. **Interoperability**

- a. Interoperability is an integral part of NA5CRO planning and training. The effectiveness of Allied forces in peace, crisis, or in conflict depends on the ability of the forces provided to operate together effectively and efficiently. Allied joint operations should be prepared for, planned and conducted in a manner that makes the best use of the relative strengths and capabilities of the participants. A common doctrine that is supported by standardization of equipment and procedures, and validated through participation in joint and multinational training exercises, provides the basis for the formations and units of a joint and multinational force to be able to work together. At the operational level, emphasis must be placed on the integration of the contributing nations' forces and the synergy that can be attained. This will have a significant effect on the ability of the NATO-led force to achieve the commander's objectives.
- b. Due to a combination of political expediency, the desire to improve legitimacy, and the requirement to increase the size or capabilities of a NATO-led force, non-NATO troops are increasingly becoming a part of NATO-led NA5CRO. Other forces assigned will, to the extent possible, be expected to use standard NATO agreed doctrine, tactics, techniques, and procedures. To achieve this, education and training may be necessary. In addition, one of the early tasks of a JFC would be to ascertain the degree of interoperability between the equipment and procedures of Alliance and other forces to make necessary arrangements to fully integrate the efforts of all participating units.
- c. In addition, due to the unique conditions often encountered during NA5CRO, interoperability issues between NATO forces and NGOs, IOs, and HN systems should be identified and addressed as appropriate.

CHAPTER III - NON-ARTICLE 5 CRISIS RESPONSE OPERATIONS AND RELATED ACTIVITIES

0301. Introduction

- a. Military forces may be employed in a variety of NA5CRO situations. The NAC may agree to direct such operations, or they could be conducted within a bilateral or multinational context. Military involvement in these operations could range from support of humanitarian operations or disaster relief to enforcement of sanctions or embargoes to COIN. The subsequent labelling and structuring of types of operations is never fully inclusive and can rapidly evolve. However an indicative list can be made based on purpose, overarching activity, actors, and level of force. In many cases these NA5CRO will even impact Article 5 operations as well.
- b. Within these operations Alliance forces will simultaneously execute various types of military activities and additional tasks in order to establish security and stabilisation in a country or a region. The range of military activities describes the broad range of activities available for planning and executing operations that are divided into four categories: offensive, defensive, stability, and enabling. These activities and various additional tasks are not specifically designed for use within NA5CRO situations, but instead are meant to be applied across the spectrum of conflict including Article 5. The range of military activities is described in detail in AJP-3.2 and related documents⁹.

0302. **Peace Support.** Peace Support Operations (PSOs) may be described as operations that impartially make use of diplomatic, civil, and military means, normally in pursuit of UN Charter purposes and principles, to restore or maintain peace. Such operations may include conflict prevention, peacemaking, PE, peacekeeping (PK), peacebuilding, and/or support to humanitarian assistance.¹⁰

a. **Conflict Prevention**

- (1) Conflict prevention activities are normally conducted in accordance with the principles of Chapter VI of the UN Charter. Activities may include: diplomatic, economic, or information initiatives; actions designed to reform a country's security sector and make it more accountable to democratic control; or deployment of forces designed to prevent or contain disputes from escalating to armed conflict.

⁹ See ATP-3.2.1, *Land Tactics* and ATP-3.2.1.1, *Guidance for the conduct of tactical stability activities and tasks*.

¹⁰ See AJP-3.4.1(A), *Allied Joint Doctrine for Peace Support Operations*, for further information.

- (2) Military assets used for conflict prevention should generally be focused on the support they provide to the political and developmental efforts to mitigate the causes of societal tensions and unrest. This can be before the commencement of intervention, or during or after intervention in order to protect and consolidate the reform and development process. Military activities will be tailored to meet political and developmental demands but include: early warning, surveillance, and preventative deployment.
- b. **Peacemaking.** Peacemaking involves the diplomatic-led activities aimed at establishing a cease-fire or a rapid peaceful settlement and is conducted after a conflict has started. Through comprehensive approaches the activities can include the provision of good offices, mediation, conciliation, and such actions as diplomatic pressure, isolation, sanctions, or other activities. Peacemaking is accomplished primarily by diplomatic means; however, military support to peacemaking can be made either indirectly, through the threat of intervention, or in the form of direct involvement of military assets.
- c. **Peace Enforcement.** PE operations normally take place under the principles of Chapter VII of the UN Charter. The difference between PE and other PSOs is that the Chapter VII mandate allows more freedom of action for the commander concerning the use of force without losing legitimacy, with a wider set of options being open. Even in a PE, consent should be pursued through persuasion prior to using force, with coercion through force being an option at any time without altering the original mandate. These operations are coercive in nature and are conducted when the consent of all parties to the conflict has not been achieved or might be uncertain. They are designed to maintain or reestablish peace or enforce the terms specified in the mandate. In the conduct of PE, the link between political and military objectives must be extremely close. It is important to emphasize that the aim of the PE operation will not be the defeat or destruction of an adversary, but rather to compel, coerce, and persuade the parties to comply with a particular desired outcome and the established rules and regulations.
- d. **Peacekeeping.** PK operations are generally undertaken in accordance with the principles of Chapter VI of the UN Charter in order to monitor and facilitate the implementation of a peace agreement. The loss of consent or the development of a non-compliant party may limit the freedom of action of the PK force and even threaten the continuation of the mission or cause it to evolve into a PE operation. Thus, the conduct of PK is driven by the requirement to build and retain perceived legitimacy.
- e. **Peacebuilding.** Peacebuilding involves actions that support political, economic, military, and social measures through comprehensive approaches and that are aimed at strengthening political settlements of a conflict. Thus, for a society to regenerate and become self-sustaining, it must address the constituents of a functioning society that were discussed in Chapter I. Peacebuilding includes mechanisms to identify and support structures that will consolidate peace, foster a

sense of confidence and well-being, and support economic reconstruction. Peacebuilding therefore requires the commitment of political, humanitarian and development resources to a long-term political process.

0303. **Counter Irregular Activities**

a. **Introduction**

- (1) The term irregular threat is used in a broad, inclusive sense to refer to all types of non-conventional methods of violence employed to counter the traditional capabilities of an opponent. Irregular activities include acts of a military, political, psychological, criminal or economic nature that are conducted by both indigenous actors and non-state actors (**irregular activists**). The term irregular activity is defined as ‘the use or threat, of force, by irregular forces, groups or individuals, frequently ideologically or criminally motivated, to effect or prevent change as a challenge to governance and authority.’¹¹ Their purpose is to eliminate or weaken the authority of a government or influence an outside power, by using primarily asymmetric methods. Included in this broad category of activities are insurgency, terrorism, criminality, disorder, and subversion.
- (2) Irregular activities, such as insurgency, become significant when they challenge authority or assume proportions that normal law enforcement cannot contain. From that moment on, these activities form the basis for the development of irregular threats towards all possible participants within the OE. Insurgency is likely to seek out and encourage such conditions that provide a rich feeding ground to further develop the instruments of insurgency. While an effective insurgent requires specific and clear political aims, other irregular activists destabilize vulnerable states and regions, creating crises that may trigger multinational intervention.
- (3) Countering irregular activities requires that NATO forces have an understanding of the particular character of the conflict, its context, and its participants. Typically this is more difficult in a conflict involving irregular threats as opposed to conventional forces. The different types of irregular activities are discussed later in paragraphs c through g below.

- b. **Approaches to Countering Irregular Activities.** Effective strategies against insurgency and terrorism include direct and indirect approaches. These approaches are mutually supporting and integrate the capabilities to concurrently disrupt insurgents/terrorists operating today and to effect the environment in which they operate to erode their capability and influence in the future. Both

¹¹ AJP-3.4.4, *Allied Joint Doctrine for Counterinsurgency*.

approaches are integrated from the strategic to operational levels and may be conducted within the scope of a broader campaign as directed by a JFC. The ability to manage both approaches to harness their synergistic effects is vital to the success of both near- and long-term COIN and CT objectives.

- (1) **Direct Approach.** The direct approach describes **actions taken against insurgents/terrorists** and their organizations to neutralize an imminent threat and/or degrade the operational capability of the organization. The goal of the direct approach is to defeat a specific threat through neutralization/dismantlement of the network (including actors, resources, and support structures) and to prevent the re-emergence of a threat once neutralized. However, the resiliency of terrorist organizations and networks to reconstitute their forces and reorganize their efforts limits the long-term effectiveness of the direct approach as a sole means of countering insurgency and terrorism. Specific to the direct approach are operations and activities designed to:
 - (a) **Disrupt insurgents/terrorists and their organizations.** These actions focus on the terrorist infrastructure and leadership which provide the enemy global access, connectivity, and the resources needed to operate and survive over the long-term.
 - (b) **Deny access** to and use of weapons of mass destruction (WMDs) by insurgent/terrorist organizations. These actions seek to deny acquisition, development, or the use of WMDs against NATO nations.

- (2) **Indirect Approach.** The indirect approach describes the means by which the Alliance can **influence the OE** within which COIN and CT operations are conducted. This approach usually includes actions taken within an operations area to enable operations against insurgents/terrorists and their organizations as well as actions taken to shape and stabilize that environment as a means to erode the capabilities of insurgent/terrorist organizations and degrade their ability to acquire support and sanctuary. The indirect approach combines various operations and activities (e.g., stability operations, CIMIC, counterintelligence, and Info Ops) that produce synergies designed to:
 - (a) **Assist requesting nations** in combating insurgent/terrorist organizations. These actions are taken by NATO forces in support of a larger Alliance effort to ensure that requesting nations have the capability to effectively conduct long-termed operations to defeat insurgent/terrorist organizations. The realization of this capability for nations to secure their own territory is decisive in COIN or CT operations.

- (b) **Deter tacit and active support for insurgency/terrorism.** Actions taken by NATO forces are part of a larger Alliance effort to deter state and non-state actors from providing tacit and active support of insurgent/terrorist organizations. The goal is to influence the OE by shaping and stabilizing it to deny insurgents/terrorists safe havens and their access to population bases that are ripe for recruiting operations. The indirect approach seeks to change the conditions, ideologies, and motivations which spawn insurgents/terrorists and to isolate them and their organizations (psychologically and physically) from populations to facilitate their neutralization/dismantlement through the direct approach and prevent their ability to reconstitute. Applications of the indirect approach are normally medium to long-term efforts that require consistency and persistence in order to achieve full effect. The intent is to restrict freedom of action and deny safe haven through efforts to identify both the sources and nature of support as well as developing the means to deter those sources over time.

- (c) **Erode support for insurgent/terrorist ideologies.** Actions within this area are part of a larger effort to erode legitimacy of insurgent/terrorist ideologies and neutralize radical or falsified information as a justification for insurgency/terrorism. Additionally, actions taken to alleviate underlying conditions (e.g. corruption, poverty, chronic unemployment, and illiteracy), which can be exploited by insurgents/terrorists, seek to reduce support for them over time.

c. **Insurgency and counterinsurgency**

- (1) Insurgency is defined as “an organized, often ideologically motivated group or movement that seeks to effect or prevent political change of a governing authority within a region, focused on persuading or coercing the population through the use of violence and subversion.” An insurgency is characterised by a protracted struggle of political, economic, social or religious aspects. It often seeks to undermine a HN government’s authority by presenting itself as a legitimate and credible alternative. Key to undermining the HN government’s authority is gaining and retaining popular support through influence – both persuasion and coercion. An insurgent may achieve stated goals through the use of tactics such as violence, subversion, and propaganda. An insurgency uses violence, the “armed struggle”, apart from economical and social influence, as a tool to apply political pressure. The insurgent will use violence, being aware that it is a serious threat to the state. It allows the insurgent to have superiority, undermine government legitimacy, and force the government to implement the political changes that the insurgents pursue. Insurgents

will use various irregular activities including terrorism and may even try to take direct control of terrain and the population. Terrorism by itself is not decisive for the insurgent to achieve their goals. However, it is a useful tool for political pressure, propaganda, intimidation and influencing different sectors of the population as well as those who support the legitimate local or state administration. It should be noted that, in principle, the insurgents have the initiative, since they can select those sections of the population and the security forces against which to act.

- (2) Counterinsurgency is “the set of political, economic, social, military, law enforcement, civil, and psychological activities that aim to defeat¹² the insurgency and address any core grievances.” This publication also employs the term “counterinsurgent” to include the set of actors executing COIN actions, whether they are part of the HN or members of the supporting countries or agencies. COIN is a politically motivated, intelligence-driven activity and the aim of COIN is to defeat the insurgents. All insurgencies are unique in their political, social, and historical contexts and they demand that the counterinsurgent adapt with skill and knowledge to meet specific socio-political and military conditions. COIN operations often include security assistance programs such as military education and training programs because properly trained and motivated local security and military forces provide the best COIN operators. Conducting successful COIN operations requires an adaptive and flexible **mindset** and an understanding that **the population is the critical dimension**; and a key part of understanding the population is having cultural competence and an intimate knowledge of what causes and perpetuates insurgency. It is equally important as understanding physical terrain is to the successful conduct of conventional land operations. A second aspect of the counterinsurgent mindset is being able to **think like an insurgent** in order to stay ahead of or at least anticipate the actual insurgents’ decisions and actions. Third, successful counterinsurgents must understand it is essential to **establish an enduring presence within the population** to create confidence and provide continuous security and development efforts, which are vital to assuring the population’s sense of security and long-term outlook. This will isolate the insurgents from the population, thus depriving them of recruits, resources, intelligence, and credibility. Finally, it must be clearly understood that **the military instrument is only one part of a comprehensive approach for successful COIN**, although the security situation may require the joint force to execute tasks that other organizations are better suited to conduct.

¹² Definition of “defeat” in this context is “To diminish the effectiveness of an individual, group, or organization to the extent that it is either unable or unwilling to continue its activities or at least cannot fulfill its intentions.” This is in harmony with STANAG 2287, *Task Verbs for Use in Planning and the Dissemination of Orders*.

- d. **Terrorism.** Terrorism is defined as “the unlawful use or threatened use of force or violence against individuals or property in an attempt to coerce or intimidate governments or societies to achieve political, religious, or ideological objectives.”¹³ An enemy who cannot defeat conventional armed forces may resort to terrorism. Terrorist attacks can create disproportionate effects on conventional forces. Their effects on societies can be even greater. Terrorist tactics may range from individual assassinations to employing weapons of mass destruction. Combating terrorism consists of antiterrorism and counterterrorism.¹⁴

(1) **Antiterrorism**

- (a) Antiterrorism (AT) consists of all defensive and preventive measures taken to reduce the vulnerability of forces, individuals, and property to terrorism. Such measures include protective and deterrent measures aimed at preventing an attack or reducing its effects which support the overall FP effort.¹⁵
- (b) The challenge for the JFC is to produce effective protective measures to reduce the probability of a successful terrorist attack against installations, forces, individuals, and property. AT includes those defensive measures used to reduce vulnerability of forces, individuals, and property to terrorist acts, to include limited response and containment by local military forces. They also consist of personal security and defensive measures to protect military members, high-risk personnel, civilian employees, family members, facilities, information, and equipment. Personal security measures consist of common-sense rules of on- and off-duty conduct for every military member.
- (c) Terrorist activity may be discouraged by varying the security posture through the use of a random AT measures program which may include: varying land, maritime, and air patrol routes; staffing guard posts and towers at irregular intervals; and conducting vehicle and vessel inspections, personnel searches, and identification checks on a set but unpredictable pattern.

(2) **Counterterrorism**

- (a) Counterterrorism (CT) is defined as “all offensive measures taken to neutralize terrorism before and after hostile acts are carried

¹³ This definition is from AAP-6.

¹⁴ See MC 0472, *NATO Military Concept for Defense Against Terrorism*.

¹⁵ Also see AJP-3.14, *Allied Joint Doctrine for Force Protection*.

out.”¹⁶ Such measures include those counterforce activities justified for the defense of individuals as well as containment measures implemented by military forces or civilian organizations. CT is primarily conducted by specially organized, equipped, and trained CT assets; however, by exception, they may also be accomplished by conventional forces. Accordingly, CT is included as a special operations task.

- (b) CT contains its own unique characteristics and problems for NATO forces conducting them. CT may be conducted in the context of an undeclared conflict against state-sponsored or transnational, autonomous armed groups who are not easily identified, and who often do not fall under the categories of combatants defined in the applicable international law. NATO forces engaged in a CT operation may be required to operate in conflict areas with or without the assistance of the local government.

- e. **Criminality.** Criminality pervades those states where governance is weak and seeks personal gain unhindered by authority. It may coexist with other types of irregular activity. Linked to criminality and terrorism are the growing number of incidents of piracy. A careful analysis of the purpose of this piracy will need to be made and incorporated into any assessment by a commander in theatre. Criminality is a particularly sensitive and critical matter as it may involve corruption of a sizable part of both national and local governmental officials. Local security forces and the military may protect or even participate in criminal activities which could result in criminality becoming a governance problem of great proportions. A comprehensive approach, including political and economic actions as well as “Security Sector Reform”, may be the only way of dealing with this problem.

- f. **Disorder.** Disorder is criminally, economically, or politically motivated. It seeks to disrupt or challenge authority, or draws an issue to the attention of the authorities. Often disorder develops with little direction and as a result of some form of discontent or perceived injustice. Such emotions and demonstrations of disorder provide excellent recruiting grounds for insurgents and extremists.

- g. **Subversion.** Subversion undermines the military, economic, psychological, or political strength or morale of a governing authority. Subversion is most effective when consistently conducted over a long period of time. Non-violent subversive efforts include use of political fronts, propaganda, agitation, infiltration of government agencies, or non-violent civil unrest (such as non-violent strikes or

¹⁶ This definition is from AAP-6.

peaceful public demonstrations). Violent acts, which may include guerrilla warfare and sabotage, may also have subversive effects.

0304. **Support to Civil Authorities.** Support to civil authorities embraces all those military activities that provide temporary support, within means and capabilities, to civil communities or authorities, when permitted by law, and which are normally undertaken when unusual circumstances or an emergency overtaxes the capabilities of the civil authorities. Categories of support include Military Assistance to Civil Authorities and Support to Humanitarian Assistance Operations.

a. **Military Assistance to Civil Authorities.** Major categories include military support to civil authorities, civil law enforcement, economic recovery, and military assistance for civil disturbance. Implementation of a civil plan in response to a crisis may depend on the military to provide a stable and secure environment for its implementation. Support might include providing security assistance to an election process and supervising the transition to a democratically elected public administration, training local police and security forces, mine and unexploded ordnance clearing and training of the local population, assisting in public administration, maintaining public services, supporting public administration in coordinating a humanitarian operation, or providing security for individuals, populations, or installations.

(1) In exceptional circumstances, within a mandate for a larger mission, NATO military forces could be called on to contribute to tasks related to public security which are the responsibility of a mandated civil authority, organization, or agency. Specifically, military support to public security will depend entirely on the mission and the residual local policing and judicial capability, and may require involvement in civil security tasks, including operations to maintain local law and order during the initial stage of an operation, until appropriate civilian authorities can take over their tasks. This assistance will normally be provided by multinational specialized units (MSUs)¹⁷ or, in special circumstances, other forces.

(2) NATO engineer forces contribute significantly to NA5CRO, especially during humanitarian and disaster relief operations. The level of assistance can vary from small, highly specialized teams to complete engineer units. Small teams may be used to assess damage or estimate engineering repairs, and can assist in specialized support such as power supply and distribution, utilities repair work, water purification, and well drilling activities. In large humanitarian and disaster relief operations, Alliance engineer units provide essential civil, electrical, and mechanical engineering support including facility construction, structural repair,

¹⁷ For more information on MSUs, see AJP-3.4.1, *Allied Joint Doctrine for Peace Support*.

debris clearance, emergency repairs to restore utilities, and camp construction for deployed forces and dislocated civilians.

b. Support to Humanitarian Assistance Operations.

- (1) **Humanitarian Assistance (HA)** consists of activities and tasks to relieve or reduce human suffering. HA may occur in response to earthquake, flood, famine, or manmade disasters such as radioactive, biological, or chemical contamination or pandemic outbreak. They may also be necessary as a consequence of war or the flight from political, religious, or ethnic persecution. HA is conducted to relieve or reduce the results of natural or man-made disasters or endemic conditions that might present a serious threat to life or that can result in great damage to or loss of property. HA is limited in scope and duration and is designed to supplement or complement the efforts of the HN civil authorities or agencies that may have the primary responsibility for providing that assistance. They normally supplement the activities of governmental authorities, NGOs, and IGOs.¹⁸

- (2) In many cases, the main support from the military will be to provide a secure environment where the humanitarian actors can perform their functions. In the framework of a NATO-led operation, Alliance forces could assume tasks in support of a larger humanitarian effort, but this would be by exception upon request from the local or national authorities or appropriate IOs like the UN Office for the Coordination of Humanitarian Affairs (UNOCHA). These tasks may precede, parallel, or complement the activity of specialized civil humanitarian organizations. Since humanitarian activities are basically a civilian task, military engagement would principally cover functions that cannot be assured in the required amount by these organizations. Such operations should be in accordance with the guidelines adopted by the Interagency Standing Committee (IASC) in the UN.¹⁹ In conflicts where one side deliberately obstructs the delivery of supplies to its opponents, the requirement for military protection, such as convoy escort, to ensure the safe delivery of aid, must be weighed against the dangers of intervention and politicizing such aid.

¹⁸ For more information on Humanitarian Assistance and Disaster Relief, see *Guidelines on the Use of Foreign Military and Civil Defence Assets in Disaster Relief - "Oslo Guidelines" and Guidelines On The Use of Military and Civil Defence Assets To Support United Nations Humanitarian Activities in Complex Emergencies*. While not policy or doctrine, these guidelines cover the use of military and civil defence resources deployed under UN control specifically to support humanitarian activities.

¹⁹ *Civil-Military Guidelines and References for Complex Emergencies, United Nations Humanitarian Civil-Military Coordination. Concept paper*, and *Civil-Military Relationships in Complex Emergencies. IASC Reference paper*.

- (3) HA may be conducted at the request of the HN as part of another operation, such as a PSO or COIN, or as an independent distinct operation specifically mounted to alleviate human suffering especially where responsible civil actors are unable or unwilling to support a population adequately. NATO military activities may support short-term tasks such as communications restoration, relief supply management, providing emergency medical care, humanitarian demining, and high priority relief supply delivery. They could also take the form of advice and selected training, assessments, and providing manpower and equipment.

b. Types of Humanitarian Assistance Operations

(1) Disaster Relief

- (a) As was previously discussed, a disaster could be man-made or natural. Emergency relief concerns sustaining the means to safeguard life and requires very rapid reaction particularly where extreme climates are encountered. Protecting human life is an inherent responsibility. Relief operations, in the narrow sense of the provision of aid, are principally the purview of humanitarian or aid agencies, whether UN or government, including host government (where one exists), NGOs, and the civil sector. Military forces should be ready to assist in relief operations when the need for them arises, and to cooperate with other organizations concerned. Normally, military forces work to create the conditions in which these other agencies can operate more freely and effectively. NATO forces, such as the standing naval forces, may be in the area as a result of an unrelated exercise or operation and could be diverted by direction of the NAC or MC; however, because of the need for speed, it is likely that immediate reaction will be provided unilaterally by nations. Disaster relief could be conducted as a stand alone operation; however, because of the requisite response times, it is more likely to take place within the context of an ongoing NA5CRO.²⁰
- (b) These missions include prompt aid that can be used to alleviate the suffering of disaster victims. Distribution of relief supplies has traditionally been the responsibility of the UN, NGOs, and IOs because of their charters, expertise, and experience. However, when the relief community is overwhelmed, NATO military forces may be requested to assist in distributing these supplies in accordance with the principles established in the “Oslo Guidelines”

²⁰ NATO policy on military support for disaster relief operations is outlined in MC 343, *NATO Military Assistance to International Disaster Relief Operations (IDRO)*.

as mentioned previously. Potential relief roles for a NATO force include immediate response to prevent loss of life and destruction of property, constructing basic sanitation facilities and shelters, and providing food and medical care. Other tasks might include C2, logistics, communications, and the planning required to initiate and sustain humanitarian operations.

- (c) For disaster relief operations, a Euro-Atlantic Disaster Response Coordination Centre (EADRCC) has been established at NATO HQ. The director of the civil emergency planning directorate heads the EADRCC with staff from a limited number of interested NATO and Partnership for Peace (PfP) countries as well as representatives from the NATO military authorities. The EADRCC is also open to representatives from the UN. It is responsible for coordinating, in close consultation with UNOCHA, the response of the Euro-Atlantic Partnership Council (EAPC) countries to a disaster occurring within the EAPC geographical area. The EADRCC could provide the core of a disaster assessment team that, in close cooperation with the emergency management agency of the stricken country and the UN resident coordinator, would identify requirements for international assistance.
- (d) Disaster relief operations are usually conducted in a sequence of phases, some of which may be conducted concurrently. These are emergency relief, sustained relief, recovery, rebuilding, sustained rebuilding, and return to normalcy. Disaster relief is primarily a responsibility of local civil authorities, possibly supported by IOs and NGOs. From a military perspective, however, each phase has its own characteristics and personnel and materiel requirements

(2) **Dislocated Civilian Support: Assistance for Internally Displaced Persons and Refugees**

- (a) An internally displaced person is a person who, as part of a mass movement, has been forced to flee from home or place of habitual residence suddenly or unexpectedly as a result of armed conflict, internal strife, systematic violation of human rights, fear of such violation, or natural or manmade disasters, and who has not crossed an internationally recognized state border. A refugee is any person who, owing to a well founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of nationality and is unable, or owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of former habitual

residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it.²¹

- (b) The purpose of assistance for displaced persons and refugees (DPRE) is to provide the primary means of survival (water and hygiene, food, shelter, fuel, and medical care, including obstetrics and pediatrics), for large groups of people who – forced or by their own will – have left their initial home or place of habitual residence. This assistance may be requested because of a disaster or conflict situation. Formally, a distinction is made between displaced persons and refugees.
 - (c) Assistance for displaced persons may include the support for camp organization, basic construction and support of the administration, provision of care (food, supplies, medical, and protection), and support to placement (movement or relocation to other countries, camps, and locations). Although these operations may receive some support from NATO forces, the Alliance will seldom, if ever, conduct these operations. These are primarily under the purview of the HN and IOs/NGOs.
- (3) **Security Missions.** These missions may include establishing and maintaining conditions for the provision of HA by organizations of the world relief community. The delivery of humanitarian relief supplies often depends on the affected country having secure serviceable ports, air terminals, roads, and railways. In some cases, however, the affected country will not be able to meet these conditions, and may request assistance from NATO. Once the movement of supplies commences, secure areas will be needed for storage of relief material until it can be distributed to the affected population. Other specific tasks may include protecting convoys, depots, equipment, shelters for dislocated civilians, and those workers responsible for their operation.
- (4) **Technical Assistance and Support.** Technical assistance and support (especially logistics and communications) teams could provide both qualified personnel and deployable, mobile equipment support to provide or enhance C2 capabilities, surveillance, transportation, airlift, and other logistic support. Bomb and drug detection equipment, including canine teams, intelligence collection, and analysis, are also the types of support that fall under this category.
- (5) **Consequence Management.** Consequence Management (CM) are actions taken to maintain or restore essential services and manage and

²¹ The definitions of internally displaced person and refugee are from AAP-6.

mitigate problems resulting from disasters and catastrophes, including natural, man-made, or terrorist incidents. Chemical, biological, radiological, nuclear, and high yield explosives (CBRNE) CM activities are specifically conducted to alleviate the effects of deliberate and inadvertent releases of CBRNE which have the potential to cause high casualties and large levels of destruction.

0305. **Search and Rescue.** SAR may be conducted in support of any NATO operation, including NA5CRO, but does not normally constitute NA5CRO in itself. NATO may also assist national SAR efforts.
- a. SAR and the provision of facilities are a national responsibility. In time of conflict, the existing SAR organization would continue to be used whenever possible. However, NATO commanders are responsible for the planning and conduct of local SAR for forces under their command. Such SAR operations would be conducted in accordance with the doctrinal guidance contained in Allied Tactical Publication (ATP)-10, *Search and Rescue* and ATP-57, *The Submarine Rescue Manual*.
 - b. Combat Search and Rescue (CSAR) is a coordinated operation using pre-established procedures for the detection, location, identification, and rescue of downed aircrew in hostile territory in crisis or conflict and, when appropriate, of isolated personnel in distress, who are trained and equipped to be rescued. During NA5CRO where a threat environment exists, CSAR provides a JFC with the means to preserve his force, improve the morale of air units, and deny the use of captured personnel as sources of intelligence and propaganda. Such operations would be conducted in accordance with the doctrinal guidance contained in ATP-62, *Combat Search and Rescue*.
0306. **Non-Combatant Evacuation Operations**²² It is important to note that NEOs are national diplomatic initiatives, with Alliance forces participating in a supporting role. NEOs may be described as operations conducted to relocate (to a place of safety) non-combatants threatened in a foreign country. Normally, Alliance forces would only support a NEO in the framework of a NATO-led operation and that support would not include the evacuation of nationals, which remains a national responsibility; however, nations could conduct NEOs for their nationals on a bi- or multi-national basis using NATO doctrine. Generally, a force committed to a NEO should have the capability to provide security, reception and control, movement, and emergency medical support for the civilians and unarmed military personnel to be evacuated.
0307. **Extraction Operations.** Extraction operations may be described as missions where a NATO-led force covers or assists in the withdrawal of a UN or other military mission from a crisis region. A force committed to an extraction operation should have similar

²² See AJP-3.4.2, *Allied Joint Doctrine for Non-Combatant Evacuation Operations*, for further information.

capabilities to those required by a force operating in support of NEO and should include the necessary assets for transporting the personnel to be extracted. An extraction operation is most likely to be conducted in an uncertain or hostile environment. In general, these conditions are similar to those pertaining in the previous instances of NEO. In a hostile environment, a loss of consent for the presence of a UN or other mission could occur or the HN government may not have effective control of the territory in question. Under these circumstances, planning must anticipate a potential need for a NATO extraction force. In the past, NATO has established extraction forces, on a temporary basis, to enhance the safety of international missions.

0308. **Sanctions and Embargoes.** In broad terms, the enforcement of sanctions and embargoes is designed to force a nation to obey international law or to conform to a resolution or mandate. Sanctions generally concern the denial of supplies, diplomatic, economic, and other trading privileges, and the freedom of movement of those living in the sanctions area. Sanctions may be imposed against a specific party or in the context of NA5CRO, over a wide area embracing all parties. The military objective is to establish a barrier, allowing only non-sanctioned goods to enter or exit. Depending on geography, sanction enforcement normally involves some combination of air, land, and maritime forces. Examples are embargoes, maritime interdiction operations (MIOs), and the enforcement of no-fly zones (NFZs).

a. **Embargoes**

- (1) An embargo means a prohibition or restriction on the entry or exit of goods, persons, and services into and/or from states through sea or airports or across land. Today, the term is generally associated with sanctions that prohibit the movement of specific cargoes in and out of a territory. Enforcement of embargoes normally involves MIOs. Maritime roles include operations to locate, classify, and track surface vessels, submarines, and aircraft, and, if necessary, to apply force against them. They may also include embargoes against economic or military shipping. In addition to air and maritime assets, NATO land and special operations forces have specialized capabilities that may be employed in support of embargoes, to include Info Ops. Embargoes have several distinct advantages over other compelling measures involving hostile actions and are conducted to resolve disputes through measures short of armed conflict, while allowing limited and controlled force to be used, if necessary. If tensions rise, the affected nation's military ability can be diminished by an effective embargo on military supplies.
- (2) The effectiveness of any embargo may occur in the medium- to long-term. Intelligence and particularly economic and civilian indicators may be needed to plan and assess the effectiveness and impacts of any embargo. Additionally, precise ROE should be established to minimize an unwanted escalation of the crisis resulting from attempts to break the embargo.

- b. **Maritime Interdiction Operations.** MIOs are operations conducted to enforce prohibition on the maritime movement of specified persons or materials within a defined geographic area. MIOs are normally restricted to the interception and, if necessary, boarding of vessels to verify, redirect, or impound their cargoes in support of the enforcement of economic or military sanctions. MIOs encompass seaborne enforcement measures to intercept the movement of certain types of designated items into or out of a nation or specific area.²³
- c. **No-Fly Zones.** A NFZ is airspace of specific dimensions set aside for specific purpose in which no aircraft operations are permitted, except as authorized by the appropriate commander and controlling agency. Enforcing a NFZ that has been established by mandate of a sanctioning body is a unique mission that involves preventing a party from flying in certain airspace. The NFZ could be above a party's territory or in a neighboring country. NFZ enforcement can involve friendly, adversary, and neutral assets. Typically, NFZ enforcement is a defensive counter air mission involving combat air patrols and/or interception supported by surveillance and C2 systems. However, depending on the specific scenario and the threat to own forces, offensive counter air operations such as suppression of enemy air defences or attack operations on adversary installations may be required but clearly must be supported by the ROE.

0309. **Freedom of Navigation and Overflight Operations.** These operations are conducted to demonstrate international rights to navigate sea or air routes. Freedom of navigation is a sovereign right accorded by international law.

- a. International law has long recognized that a coastal nation may exercise jurisdiction and control within its territorial sea in the same manner that it can exercise sovereignty over its own land territory. International law accords the right of "innocent passage" to ships of other nations through a nation's territorial waters. Passage is "innocent" as long as it is not prejudicial to the peace, good order, or security of the coastal state. International waters are free for reasonable use by all nations. The International Civil Aviation Organization develops the norms that regulate the national and international use of airspace. Freedom of navigation by aircraft through international airspace is a well established principle of international law. Aircraft threatened by nations or groups through the extension of airspace control zones outside the established international norms will result in legal measures to rectify the situation.
- b. **Maritime Considerations**
 - (1) Maritime forces generally may exercise unrestricted freedom of navigation and overflight in international waters and airspace. NATO maritime forces can legally operate close to the territorial waters of a nation without

²³ See AJP-3.1, *Allied Joint Maritime Operations*, for further information on MIOs.

prior approval of the government concerned. This gives them an unrivalled freedom of navigation to position relatively close to shore. A commander should always maintain situational awareness with regard to operating forces and the lawful and excessive legal boundaries and demarcations of the seas, airspace, and land territory claimed by coastal states.

- (2) A sea-based NATO force HQ nucleus has an immediate reaction capability, allowing it to sail at short notice, augment en route, and to exercise C2 while deploying to the area. Freedom of navigation allows it to commence transit and to poise in an operational area without negotiation of transit rights, and organic support provides prolonged sustainment with minimal requirement for HNS.

c. **Air Considerations**

- (1) Air power can be applied over large distances, thereby crossing the sovereign airspace of many countries. Air-to-air refueling can reduce dependence upon staging and forward basing requirements. Nevertheless, in order to apply air power in a responsive and visible manner, the availability of secure airbases sufficiently close to the theatre of operations, overflight rights, flexible use of airspace, and the necessary support must be considered. Aircraft carriers, amphibious ships, and surface ships may also provide secure basing in theatre, albeit for a limited number of air assets.
- (2) The requirement to obtain diplomatic clearance (DIPCLEAR) prior to entering or transiting a nation's airspace, territory, or territorial waters affects all aspects of force planning and deployment. Overflight constraints are to be complied with by all NATO forces and are a facet in the planning process. The 1944 Chicago Convention on Civil Aviation declared that every nation has complete and exclusive sovereignty over the airspace above its territory. No Alliance aircraft may fly over, or land on, the territory of a foreign nation without prior authorization, known as DIPCLEAR. Before transfer of authority (TOA) to NATO, DIPCLEAR is a national responsibility. After TOA, DIPCLEAR for the forces is normally a responsibility for the relevant NATO command authorities.

ANNEX A - POLITICAL AND HUMANITARIAN ORGANIZATIONS

A001. **Introduction.** Most political and humanitarian organizations are classified as IOs of which there are two main categories: IGOs and NGOs. The term IO generally refers to organizations with an international membership, scope, or presence with IGOs being most closely associated with IOs. IGOs are intergovernmental organizations or organizations with a universal membership of sovereign states that are established by treaties which provide their legal status. They are subjects of international law and are capable of entering into agreements between themselves and with member states. One of the most prominent IGOs is the UN and other widely known IGOs include the Organization for Security and Cooperation in Europe, the European Union, the International Criminal Court (ICC) and the International Organization for Migration (IOM). NGO is a term that has become generally accepted as referring to a legally constituted, non-governmental organization created with no participation or representation of any government. Some of the most well known NGOs are the International Committee of the Red Cross (ICRC), Amnesty International, and Save the Children.

A002. United Nations

- a. The first purpose of the UN, as stated in its Charter, is “to maintain international peace and security.” The Charter provides the terms of reference for the various elements of the UN, for regional arrangements under Chapter VIII of the UN Charter, and agencies in fulfilling this responsibility. The purpose and principles of the Charter as well as three of the four chapters, which establish the specific power granted to the United Nations Security Council (UNSC) for the discharge of its duties, refer in their content to military missions like NATO NA5CRO. While the UN does not talk about crisis response it does talk about complex political emergencies. These are described as a humanitarian crisis in a country, region, or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single and/or ongoing UN country program. Chapters that discuss emergencies are: Chapter VI, dealing with the pacific settlement of disputes, Chapter VII, referring to action with respect to threats to the peace and breaches of it as well as acts of aggression, and Chapter VIII, dealing with regional arrangements. It is important to note that Articles 42, 52, 53, and 54 of Chapter VII refer to actions taken by air, sea, or land forces deemed necessary to maintain or restore international peace and security.
- b. Within the UN, the UNSC is the body responsible for maintaining international peace and security and emergency responses are usually authorized through resolutions of the UNSC. Alliance support of, or involvement in, a UN operation

must be within the context of the UN Charter and will be negotiated between the UN secretariat, the UNSC, the NAC, and national governments.

- c. Since the end of the cold war, the UN has undergone a number of significant changes in the way it performs peace support operations and more broadly, crisis management. Experiences over the past several years have resulted in a review of methods and capabilities. Additionally, the UN has recognized, in line with Chapter VIII of its Charter that it may need to seek the assistance of regional or other organizations or ad hoc alliances, with specific operational capabilities. At the strategic level, the Secretary General's Peace and Security Executive Committee, consisting of the Under Secretary Generals for Political Affairs and PK, the Emergency Relief Coordinator, and the Representative of the High Commissioner for Human Rights have met as required to review crisis situations.
- d. **International Court of Justice.** The ICJ, also known as the World Court, is seated at The Hague and consists of 15 judges elected by the UN General Assembly and the UNSC. It handles adjudication of disputes between states. Only countries may be parties in a case before the ICJ. If a country does not wish to take part in a proceeding, it cannot be forced to participate. If it accepts the court's jurisdiction then it is obligated to comply with the court's decision.
- e. The Treaty of Lisbon, having an impact on EU organizational structure and its capacities to act coherently on the international stage, is presently under development and is being discussed by nations. Ratification is expected during 2010.

A003. **North Atlantic Treaty Organization**

- a. NATO's essential and enduring purpose, set out in the North Atlantic Treaty, is to safeguard the freedom and security of all its members by political and military means in accordance with the UN Charter. It embodies the transatlantic link that binds Europe and North America in a defence and security alliance. Based on common values of democracy, human rights, and the rule of law, NATO has provided for the collective defence of its members since its foundation in 1949. As the strategic environment has changed so too has the way in which the Alliance responds to security challenges. It continues to preserve stability throughout the Euro-Atlantic area and is evolving to meet new threats such as terrorism and other security challenges beyond its traditional area of responsibility.
- b. NATO is one of the key structures through which Alliance members implement their security goals. It is an intergovernmental, rather than supranational, organization in which member countries retain their full sovereignty and independence, and serves as a forum in which they consult together and take decisions on matters affecting their security. NATO's structures facilitate continuous consultation, coordination and cooperation between members on

political, military, economic, and other aspects of security, as well as cooperation in non-military fields such as science, information, the environment, and disaster relief.

c. Euro-Atlantic Partnership Council

- (1) The EAPC brings together the NATO Allies and the partner nations in a forum providing for regular consultation and cooperation. It meets periodically at the ambassador, foreign affairs minister, and defence minister levels.
- (2) EAPC activities are based on a two-year action plan that focuses on consultation and cooperation on a range of political and security-related matters, including regional issues, arms control, international terrorism, defence, economic issues, civil emergency planning, and scientific and environmental issues.
- (3) The EAPC acts as a political “umbrella” for PfP and offers both Allies and partners a forum in which to exchange views on common security issues.
- (4) NATO developed the PfP initiative with the goal of increasing stability and security throughout Europe. PfP is a process that brings NATO Allies and partners together in a program of joint defence and security-related activities, ranging from the purely military to defence-related cooperation in areas such as crisis management, civil emergency planning, air traffic management, or armaments cooperation. PfP is a permanent feature of the European security architecture.
- (5) One significant achievement of the EAPC has been the establishment of the EADRCC at NATO HQ. The EADRCC plays a significant role in coordinating humanitarian relief operations in the course of crises.

A004. Organization for Security and Cooperation in Europe

- a. The OSCE, as a regional arrangement under Chapter VIII of the UN Charter, is the most inclusive security organization in Europe. The organization also includes Canada and the United States and plays an essential role in promoting peace and stability, enhancing cooperative security, and advancing democracy and human rights in Europe. The OSCE is particularly active in the fields of preventive diplomacy, contributing to conflict prevention, crisis management, human rights, and post-conflict rehabilitation. The OSCE has, since the early 1990s, mandated a number of observation and monitoring missions. Since its inception, the OSCE has worked to reduce international tension and for the establishment of arms reduction and arms control measures. The OSCE has also developed some procedures and institutions to promote peaceful settlements under the UN charter.

- b. Increasingly, there is a general understanding that regional conflicts, in principle, should be addressed by regional organizations. As a regional arrangement, the OSCE has made clear its willingness to participate in, or conduct, operations under Chapter VI of the UN Charter in appropriate situations. The Charter for European security, adopted at the OSCE summit in Istanbul, encompasses the development of the OSCE role in NA5CRO. According to this Charter, the OSCE can offer support to, and request support from other organizations and/or states for conducting operations on its behalf.

A005. European Union

- a. The EU is a treaty-based, institutional framework that defines and manages economic and political cooperation among its European member countries.
- b. The Maastricht treaty on EU, which took effect in November 1993, was a major overhaul of the founding treaties and created the “three pillar” EU as it exists today.
 - (1) Pillar one incorporates the founding treaties and sets out the institutional requirements for economic and monetary union. It also provides for supplementary powers in certain areas such as the environment, research, education, and training.
 - (2) Pillar two establishes the Common Foreign and Security Policy (CFSP) that makes it possible for the EU to take joint action in foreign and security affairs.
 - (3) Pillar three creates the justice and home affairs policy, dealing with asylum, immigration, judicial cooperation in civil and criminal matters, and customs and police cooperation against terrorism, drug trafficking, and fraud.
- c. The treaty of Amsterdam, which took effect on May 1, 1999, strengthened the CFSP and the EU's ability to undertake joint foreign policy actions.
- d. The treaty of Nice, signed in February 2001 and implemented in January 2003, created permanent political and military structures for the European Security and Defence Policy. Under the Berlin plus arrangements, NATO will provide for recourse to collectively funded NATO assets and capabilities. For autonomous operations, the European military chain of command is based, on request, on a voluntary contribution from the member states at the strategic, operational, and tactical levels.

A006. International Criminal Court. The Rome Statute of the ICC entered into force in 2002 and is also seated at The Hague. The ICC is intended as a court of last resort with

jurisdiction only where a State having jurisdiction is unwilling or genuinely unable to exercise that jurisdiction. Under this complementary principle, national courts have primacy of jurisdiction and a State can keep cases out of the ICC by prosecuting them itself. The ICC's jurisdiction extends to genocide, war crimes, and crimes against humanity (but not yet crimes of aggression, as there is no agreed definition to describe these crimes). Preconditions for the exercise of ICC jurisdiction are:

- a. The person accused of committing a crime is a national of a State party (or the person's State has accepted the jurisdiction of the Court); or
- b. The alleged crime was committed on the territory of a State party (or the State on whose territory the crime was committed has accepted the jurisdiction of the Court); or
- c. The situation is referred to the Court by the UNSC.

Note: Not all NATO members are signatories to the Rome Statute.

A007. **International Committee of the Red Cross and Red Crescent.** The ICRC, the International Federation of Red Cross and Red Crescent Societies, and the National Red Cross and Red Crescent Societies make up the International Red Cross and Red Crescent Movement (Red Crescent societies are the Red Cross's counterparts in Islamic countries). Under the Geneva Conventions and the 1977 Protocols, the ICRC provides protection and relief to members of armed forces wounded in conflict or at sea, prisoners of war, and civilians in occupied or hostile territory. The ICRC also provides emergency medical assistance in conflict zones and food and shelter in humanitarian emergencies. The ICRC has a staff of over 10,000, of which about 9,000 work in the field. ICRC works very closely with the 176 National Red Cross and Red Crescent organizations. The movement's charter of 1965, states that all component organizations are subject to seven fundamental principles: humanity, impartiality, neutrality, independence, voluntary service, unity, and universality.

A008. **International Organization for Migration.** The IOM organizes the safe movement of people for temporary and permanent resettlement or return to their countries of origin. It provides pre-departure medical screening and cultural orientation programs. Activities include the movement of refugees resettling in new countries, war victims requiring medical evacuation, and irregular and trafficked migrants returning voluntarily to their country of origin. In emergency and post-crisis situations IOM have organized the movement of people in need of international assistance, stabilized populations through the provision of emergency relief and short-term community and micro-enterprise development programs, returned and reintegrated both internally displaced persons and demobilized combatants, and organized out-of-country voting. Its HQ is in Geneva with more than 444 field offices in 127 member countries; another 17 countries have observer status.

LEXICON

PART I – ACRONYMS AND ABBREVIATIONS

ACO	Allied Command Operations
AJP	Allied Joint Publication
AT	antiterrorism
ATP	Allied Tactical Publication
C2	command and control
CFSP	Common Foreign and Security Policy
CIMIC	civil-military cooperation
CJTF	combined joint task force
COIN	counterinsurgency
CSAR	combat search and rescue
CT	counterterrorism
DIPCLEAR	diplomatic clearance
DPRE	displaced persons and refugees
EADRCC	Euro-Atlantic Disaster Response Coordination Centre
EAPC	Euro-Atlantic Partnership Council
EU	European Union
FP	force protection
GMI&S	geospatial, meteorological, and oceanographic information and services
HA	humanitarian assistance
HN	host nation
HNS	host-nation support
HQ	headquarters
IASC	Inter-Agency Standing Committee
ICC	International Criminal Court
ICJ	International Court of Justice
ICRC	International Committee of the Red Cross
IGO	intergovernmental organization
Info Ops	information operations
IO	international organization
IOM	International Organization for Migration
JFC	joint force commander
JOA	joint operations area
MC	Military Committee

MIO	maritime interdiction operation
MOE	measure of effectiveness
MOP	measure of performance
MOU	memorandum of understanding
MSU	multinational specialized unit
NA5CRO	non-Article 5 crisis response operations
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NCRS	NATO Crisis Response System
NCRSM	NATO Crisis Response System Manual
NEO	non-combatant evacuation operation
NFZ	no-fly zone
NGO	non-governmental organization
NID	NAC initiating directive
NNTCN	non-NATO troop contributing nation
OPLAN	operation plan
OSCE	Organization for Security and Cooperation in Europe
PE	peace enforcement
PfP	Partnership for Peace
PA	public affairs
PK	peacekeeping
PSO	peace support operation
ROE	rules of engagement
SACEUR	Supreme Allied Commander Europe
SAR	search and rescue
SC	Security Council
SOFA	Status of Forces Agreement
SOR	statement of requirements
TOA	transfer of authority
TOR	terms of reference
UN	United Nations
UNHCR	United Nations High Commissioner for Refugees
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNSC	United Nations Security Council
WMD	weapon of mass destruction

PART II – TERMS AND DEFINITIONS

Allied joint operation

An operation carried out by forces of two or more NATO nations, in which elements of more than one service participate. (AAP-6)

Allied joint publication

A publication of joint interest containing doctrine applicable to NATO-led multinational forces, conducting operations involving more than one service. It is used by commanders of Allied joint forces, their subordinate commanders and staffs. (AAP-47)

antiterrorism

Antiterrorism (AT) consists of all defensive and preventive measures taken to reduce the vulnerability of forces, individuals, and property to terrorism
(This entry will be processed for inclusion in AAP-6 upon ratification of this publication.)

area of operations

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

campaign

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

civil-military cooperation

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

combat search and rescue

The detection, location, identification and rescue of downed aircrew in hostile territory in time of crisis or war and, when appropriate, isolated military personnel in distress, who are trained and equipped to receive combat search and rescue support. (AAP-6)

combined/multinational

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

conflict prevention

A peace support operation employing complementary diplomatic, civil, and – when necessary - military means, to monitor and identify the causes of conflict, and take timely action to prevent the occurrence, escalation, or resumption of hostilities. (AAP-6)

counterinsurgency

Counterinsurgency is the set of political, economic, social, military, law enforcement, civil, and psychological activities that aim to defeat the insurgency and address any core grievances”. (This entry is being processed for inclusion in AAP-6 through the ratification process of AJP-3.4.4.)

counterterrorism

Counterterrorism (CT) is defined as all offensive measures taken to neutralize terrorism before and after hostile acts are carried out. Such measures include those counterforce activities justified for the defense of individuals as well as containment measures implemented by military forces or civilian organizations.

(This entry is being processed for inclusion in AAP-6 through the ratification process of AJP-3.4.4.)

extraction operations

Operations where a NATO-led force covers or assists in the withdrawal of a UN or other military missions from a crisis region. (NCRSM)

host nation

A nation which, by agreement: a. receives forces and materiel of NATO or other nations operating on/from or transiting through its territory; b. allows materiel and/or NATO organizations to be located on its territory; and/or c. provides support for these purposes. (AAP-6)

host-nation support

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

humanitarian assistance

Humanitarian assistance (HA) consists of activities to relieve or reduce human suffering, disease, hunger, or privation as a result of natural or man-made disasters or endemic conditions that might present a serious threat to life or that can result in great damage to or loss of property. (This entry will be processed for inclusion in AAP-6 upon ratification of this publication.)

information operations

Information operations is a military function to provide advice and coordination of military information activities in order to create desired effects on the will, understanding and capability of adversaries, potential adversaries and other NAC approved parties in support of Alliance mission objectives. (MC 422/3)

insurgency

The actions of an organized, often ideologically motivated, group or movement that seeks to effect or prevent political change of a governing authority within a region, focused on persuading

or coercing the population through the use of violence and subversion. (This entry is being processed for inclusion in AAP-6 through the ratification process of AJP-3.4.4.)

internally displaced person

A person who, as part of a mass movement, has been forced to flee home or place of habitual residence suddenly or unexpectedly as a result of armed conflict, internal strife, systematic violation of human rights, fear of such violation, or natural or manmade disasters, and who has not crossed an internationally recognized State border. (AAP-6)

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 fulfillment of its humanitarian mandate. (AAP-6)

joint operations area

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

maritime interdiction operation

An operation conducted to enforce prohibition on the maritime movement of specified persons or material within a defined geographic area. (AAP-6)

no-fly zone

An air exclusion zone established by a sanctioning body to prohibit specified activities in a specific geographic area. (This entry will be processed for inclusion in AAP-6 upon ratification of this publication.)

non-Article 5 crisis response operations

Multifunctional operations, falling outside the scope of Article 5, contributing to conflict prevention and resolution, and crisis management in the pursuit of declared Alliance objectives. (This entry will be processed for inclusion in AAP-6 upon ratification of this publication.)

non-combatant evacuation operation

An operation conducted to relocate designated non-combatants threatened in a foreign country to a place of safety. (AAP-6)

non-governmental organization

A private, non-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 any official status or mandate for its existence or activities.
2. NATO may or may not support or cooperate with a given non-governmental organization. (AAP-6)

operation

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

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. (AAP-6)

peacebuilding

A peace support operation employing complementary diplomatic, civil and – when necessary – military means, to address the underlying causes of conflict and the longer-term needs of the people. It requires a commitment to a long-term process and may run concurrently with other types of peace support operations. (AAP-6)

peace enforcement

A peace support operation conducted to maintain a ceasefire or peace agreement where the level of consent and compliance is uncertain and the threat of disruption is high. The peace support force must be capable of applying credible coercive force and must apply the provisions of the ceasefire or peace agreement impartially. (AAP-6)

peacekeeping

A peace support operation following an agreement or ceasefire that has established a permissive environment where the level of consent and compliance is high and the threat of disruption is low. The use of force by a peace support force is normally limited to self-defence. (AAP-6)

peacemaking

A peace support operation, conducted after the initiation of a conflict to secure a ceasefire or peaceful settlement, that involves primarily diplomatic action supported, when necessary, by direct or indirect use of military assets. (AAP-6)

peace support operation

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

public affairs

The function responsible to promote NATO's military aims and objectives to audiences in order to enhance awareness and understanding of military aspects of the Alliance. This includes planning and conducting media relations, internal communications, and community relations. (MC 0457/1)

refugee

Any person who, owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of nationality and is unable, or owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it. [UN] (AAP-6)

rules of engagement

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

search and rescue

The use of aircraft, surface craft, submarines, specialized rescue teams and equipment to search for and rescue personnel in distress on land or at sea. (AAP-6)

strategic level

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

tactical level

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

transfer of authority

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

weapon of mass destruction

A weapon that is capable of a high order of destruction and of being used in such a manner as to destroy people, infrastructure or other resources on a large scale. (AAP-6)

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AAP-6 NATO Glossary of Terms and Definitions
AAP-15 NATO Glossary of Abbreviations Used in NATO Documents and Publications

ACO Directive 80-90 Access to Civil (Civil Emergency Planning) Expertise

AJP-01 Allied Joint Doctrine
AJP-2.1 Intelligence Procedures
AJP-2.2 Counterintelligence and Security Procedures
AJP-3 Allied Doctrine for Joint Operations
AJP-3.1 Ch 1 Allied Joint Maritime Operations
AJP-3.3.9 Allied Joint Doctrine for Personnel Recovery
AJP-3.4.1 Allied Joint Doctrine for Peace Support Operations
AJP-3.4.2 Allied Joint Doctrine for Non-Combatant Evacuation Operations
AJP-3.6 Allied Joint Electronic Warfare Doctrine
AJP-3.8 Allied Joint Doctrine for NBC Defence
AJP-3.10 Allied Joint Doctrine for Information Operations
AJP-3.10.1 Allied Joint Doctrine for Psychological Operations
AJP-3.14 Allied Joint Doctrine for Force Protection
AJP-4 Allied Joint Doctrine for Logistic
AJP-4.5 Allied Joint Doctrine for Host Nation Support
AJP-4.6 Multinational Joint Logistic Centre Doctrine
AJP-4.9 Modes of Multinational Logistic Support
AJP-4.10 Allied Joint Medical Support Doctrine
AJP-5 Allied Joint Doctrine for Operational Planning
AJP-9 NATO Civil-Military Cooperation (CIMIC)

ATP-10 Search and Rescue
ATP-57 The Submarine Rescue Manual
ATP-62 Combat Search and Rescue

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MC 0133/3	NATO's Operational Planning System
MC 0317/1	The NATO Force Structure
MC 0319/2	NATO Principles and Policies for Logistics
MC 0324/1	The NATO Military Command Structure
MC 0326/2	NATO Principles and Policies of Operational Medical Support
MC 0327/2	NATO Military Policy for Non-Article 5 Crisis Response Operations
MC 0334/2	NATO Principles and Policies for Host Nation Support
MC 0336/3	NATO Principles and Policies for Movement and Transportation (M&T)
MC 0343/1	NATO Military Assistance to International Disaster Relief Operations (IDRO)
MC 0348	NATO Command and Control Warfare Policy
MC 0362/1	NATO Rules of Engagement
MC 0389/1	Military Committee Policy on NATO's Combined Joint Task Force (CJTF) Capability
MC 0400/2	MC Guidance for the Military Implementation of the Alliance Strategy
MC 0402/1	NATO Military Policy on Psychological Operations
MC 0411/1	NATO Military Policy on Civil-Military Cooperation (CIMIC)
MC 0422/3	NATO Military Policy on Information Operations
MC 0457/1	NATO Military Policy on Public Affairs
MC 0458/1	NATO Education, Training, Exercise and Evaluation Policy
MC 0472	NATO Military Concept for Defence Against Terrorism
MC 0477	Military Concept for the NATO Response Force
MC 0526	Logistics Support Concept for NATO Response Force (NRF) Operations
MC 0534	Intelligence Fusion Centre (IFC) Concept
MCM-0054-2007	MC Position on Military Support to Stabilization Activities and Reconstruction Efforts
MCM-0142-2007	Military Committee Transformation Concept for Future NATO Electronic Warfare
STANAG 2287	Task Verbs for Use in Planning and the Dissemination of Orders
NATO Crisis Response System Manual (NCRSM)	