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Generation/Activation and Deployment

Delegations will find attached the declassified version of the above document.

The text of this document is identical to the previous version.

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**COUNCIL OF
THE EUROPEAN UNION**

Brussels, 26 September 2002

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**ESDP/PESD
COSDP 295**

FORWARDING NOTE

From: Secretariat
To: Delegations

Subject : General Principles and Procedures for EU Force Identification,
Generation/Activation and Deployment

Delegations will find attached the document "General Principles and Procedures for EU Force Identification, Generation/Activation and Deployment" that was endorsed by the EU Military Committee through expiring of silence procedure on 25 September 2002.

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GENERAL PRINCIPLES AND PROCEDURES

FOR EU FORCE

IDENTIFICATION, GENERATION/ACTIVATION

AND DEPLOYMENT

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References:

- A. MC 133/3 NATO's Operational Planning System
- B. Guidelines for Operational Planning (GOP), Final, January 2001
- C. The strategic movements and transportation concept for EU-led crisis management operations (CCD 02-10/10-06-LOG 30/2002 REV 1 dated 25 April 2002)

A. INTRODUCTION

1. The planning process of building up an EU-led Force from EU Member States' forces and, where appropriate, upon a Council decision, forces from non-EU Troop Contributing Nations (TCN) and assets and capabilities from NATO can be grouped in three phases:
 - Identification phase: to identify a set of capabilities/forces required to undertake the military tasks derived from the mission.
 - Force Generation/Activation phase: to generate/activate a force with all the capabilities required to match the military tasks derived from the mission.
 - Deployment phase: to assemble and deploy committed forces with Transfer of Authority (TOA) completed to the Operation Commander.
2. Although the outlined procedures are shown in a sequence, in some cases the process will involve either concurrent or even out of sequence actions in what is an iterative process.
3. During the elaboration of this paper, due regard was afforded to current NATO procedures and terminology¹.

B. AIM OF THE PAPER

4. This document aims to set out the principles and general procedures for the identification, generation/activation and deployment of military forces from EU Member States and, where appropriate, assets and capabilities from NATO and non-EU TCN.

¹ References A. and B.

C. GENERAL PRINCIPLES

5. The identification, generation/activation and deployment of assets/forces are distinct but interlinked activities within the overall operational planning process from before the development of the Concept of Operation (CONOPS) through to the deployment of the EU-led Force and its sustainment. The entire process at both political and military strategic levels has to be seen as a whole.
6. EU Force Identification, Generation/Activation and Deployment must be tailored to satisfy the specific requirements pertaining to all kinds of possible EU-led crisis management operations. This implies potentially different requirements in terms of response and readiness, and force size.
7. The outlined procedures for EU Force Identification, Generation/Activation and Deployment will apply for the entire scale of military operations within the EU framework.
8. As for the development of the CONOPS and the Operation Plan (OPLAN), Force Generation/Activation is ultimately a core responsibility of the Operation Commander.
9. Although the responsibility for deployment rests with each of the participating Member States and non-EU TCN, the planning for force deployment requires early co-ordination and harmonisation, which fall under the auspices of the Operation Commander.
10. Non-EU TCN participating in the operation following the respective Council decisions will have to follow the procedures for EU Force Identification, Generation/Activation and Deployment as described in this document.

D. OUTLINE SEQUENTIAL PROCESS (SEE ANNEX B)

11. Force Identification Phase.
 - a. The aim is to identify a set of capabilities/forces required to undertake the military tasks derived from the mission.
 - b. This work, in the initial stages of potential crisis, is aimed at early and rough estimates of the force requirements which itself is the basis of the EUMC's information to the Member States on what resources are required to undertake the mission.
 - c. At an early stage of the process, the EUMS will perform preparatory work until the Initiating Military Directive (IMD) is released. The EUMS may base its planning on the Helsinki Force Catalogue (HFC), on the provision of any updates and on any indication of non-availability of forces and assets by Member States.

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- d. Based on the MSO's being developed, Member States should provide the EUMS with indications of intentions to contribute to the operation, before the Council is to select one MSO.
 - e. Any identified requirement for rapid response force elements or enabling force elements will necessitate early preparatory consultations with Member States.
 - f. Consultations with the 15, with the 6, with other potential TCN and with NATO may take place at this point with the aim of ensuring that the nations potentially contributing to an EU-led military crisis management operation are informed of the EU's intentions.
 - g. The preparatory work of the EUMS is refined by the Operation Commander (assisted by EUMS) during the development of the CONOPS and will be the basis for the Provisional Statement of Forces Requirement (SOR) elaborated by the Operation Commander.
12. Force Generation/Activation Phase.
- a. Following the approval of the CONOPS and based on his Provisional SOR, the Operation Commander will initiate the Force Generation/Activation phase when EUMC, upon request of the PSC, tasks him to do so. He will forward the Activation Warning message (EU ACTWARN) and the Provisional SOR to all Member States, and non-EU TCN and NATO, as appropriate.
 - b. The EU ACTWARN formally informs the addressees that a force will be required, outlines the potential operation, including the mission, and provides key planning dates [e.g. Force Generation Conference(s)]. The Provisional SOR provides Member States, and non-EU TCN and NATO, as appropriate, with an indication of the type and scale of forces, assets and capabilities required. Addressees should respond to the EU ACTWARN with informal offers.
 - c. All informal offers will require certification by the Operation Commander as to the suitability of those forces and capabilities to participate in the operation (see para 14).
 - d. Based on the informal force offers the Operation Commander will chair, assisted by the EUMS, one or a series of Force Generation Conferences to establish the Force.
 - e. Once the informal offers meet the requirements, the Operation Commander will develop the Draft SOR reflecting Member States, and non-EU TCN and NATO, as appropriate, offered contributions. Simultaneously it details the proposed force package for the

operation. CONOPS and SOR will be coherently developed in an iterative process. Within the context of the Force Generation Conference(s), movement and deployment aspects will also be addressed.

- f. Once the Draft SOR has been developed, the Operation Commander will issue the Activation Request Message (EU ACTREQ) requesting Member States, and non-EU TCN and NATO, as appropriate, to formally commit to the force package in the Draft SOR. Contributing Member States, and non-EU TCN and NATO, as appropriate, will reply with the formal commitment of contributions through the Force Preparation Message (EU FORCEPREP). This message may include caveats (geographical, logistic, time-related, rules of engagement etc) that govern the employment of committed forces.
- g. Following the receipt of all EU FORCEPREP messages, the Operation Commander may conduct one or a series of Force Balancing Conferences to address any shortfalls or surplus commitments. Once the SOR is met through the Force Generation and Balancing Conferences and if the Operation Commander assesses that any remaining shortfalls are not critical to mission execution, he releases the EU Force List. It confirms the Member States, and non-EU TCN and NATO, as appropriate, commitments to the EU-led Force. However, should the Operation Commander assess that he is not able to fulfil the mission with the forces committed, he will report immediately to the EUMC.
- h. The EU Force List will be included in the OPLAN. This completes the Force Generation/Activation phase. Approval of the OPLAN by the Council will authorise the Operation Commander to issue the Activation Order (EU ACTORD).

13. Force Deployment Phase.

- a. This Activation Order initiates the release of committed forces, the execution of the deployment of the forces, and the transfer of authority of the forces to the Operation Commander.
- b. The development of the deployment plan will be concurrent to the Force Generation/Activation phase. Information on deployment will be formally discussed at the Force Generation Conference(s) and will result in the participating Member States and non-EU TCN preparing their national deployment plans.
- c. As more details become available on the EU Force List, an EU Disposition List containing details for the deployment of the EU-led force (i.e. timing requirements,

locations, sequencing of units) will be produced, updated frequently as the plan develops. From the Disposition List, the Member States and non-EU TCN will produce their detailed deployment planning which will be forwarded to the Operation Commander. To achieve an agreement on deployment, a series of deployment planning conferences will take place aiming to merge all deployment plans into the Operation Commander's Multinational Detailed Deployment Plan (MNDDP). The MNDDP coordinates and synchronises the arrival of all forces in the theatre.

- d. Transfer of Authority. Upon arrival in theatre Member States and non-EU TCN should authorise TOA of their respective forces to the Operation Commander. Once Member States and non-EU TCN rotate force contingents (i.e. for sustainment purposes), TOA should also be granted.

E. CERTIFICATION

14. The necessary certification lies within the responsibilities of the Operation Commander. In order to facilitate certification, the following interoperability information, inter alia, are required:
 - a. details on the forces' organisation, manpower, training, armament and equipment, communications, logistics and medical facilities;
 - b. an assessment of the forces' military effectiveness (i.e. the ability to conduct missions and tasks as specified in the appropriate OPLAN);
 - c. an assessment of the forces' ability to conduct all external operational communication in the English language, and to achieve interoperability in key functional areas.

F. SPECIAL CIRCUMSTANCES REQUIREMENTS

15. Rapid Response.

If there is a requirement to deploy forces at short notice, the Provisional SOR will be developed in parallel with the CONOPS, including preliminary deployment information. In these cases the EUMS may conduct as much work in the preparatory phase as necessary. The EUMS will enter into discussions with Member States, and, if so decided, with non-EU TCN or with other organisations. However, the capability for rapid response will heavily depend on a rapid designation of the Operation Commander and the Operations Headquarters and the speed of the overall EU decision-making process.

16. Early Deployment

In certain circumstances there may be the need to authorise the deployment of enabling forces and/or HQs prior to OPLAN approval. When authorised, following the formal commitment of contributing Member States and non-EU TCN (EU FORCEPREP), the Operation Commander issues a Pre-deployment Activation Order Message (EU ACTPRED). This requests those Member States and non-EU TCN concerned to deploy enabling forces and to authorise TOA. Under these conditions, the MNDDP must contain a sufficient level of detailed information concerning the pre-deployment of the enabling forces as early as possible.

G PLANNING TOOLS

17. The capability to expedite the complex process of Force Identification, Generation/Activation and Deployment is a prerequisite for any EU response. To that end, for an operation, an automated data and planning support system, providing a database with all pertinent data and information, and tools for the planning process at OHQ level, as well as provisions for the audit trail for the whole process are required.
18. In supporting EU Force Identification, Generation/Activation and Deployment, use should be made of existing planning tools that are readily available for Member States and NATO, such as TOPFAS, ORBATs, ADAMS etc.

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Glossary

Term	Explanation	Source
<p>Activation Order EU ACTORD</p>	<p>The Operation Commander will issue the EU ACTORD message for the operation to all participating Member States, and non-EU TCN, and NATO, as appropriate. It initiates release of national forces, and as appropriate, NATO assets and capabilities and TOA to the Operation Commander, as well as authorising the deployment of forces. If the pre-deployment of Enabling Forces has been authorised, the Operation Commander issues an EU ACTPRED to those Member States and non-EU TCN, concerned, and, as appropriate to NATO, to initiate the deployment of those forces. If the pre-deployment of Enabling Forces has not been authorised, any pre-positioning of national forces prior to EU ACTORD release and TOA is carried out under national authority.</p> <p>In any event, the pre-deployment/deployment of all forces should be conducted in accordance with the Operation Commander's MNDDP and, on arrival in-theatre, Member States and non-EU TCN, and NATO, as appropriate, should authorise TOA of forces, assets and capabilities to the Operation Commander.</p>	<p>Derived from NATO MC 133/3</p>
<p>Activation of Pre-Deployment EU ACTPRED</p>	<p>Following receipt of EU FORCEPREP messages, if the pre-deployment of Enabling Forces has been authorised, the Operation Commander may request Member States and non-EU TCN concerned, and, as appropriate to NATO, to deploy forces, assets and capabilities to assigned staging areas by issuing an EU ACTPRED message. The EU ACTPRED requests Member States and non-EU TCN concerned and NATO, as appropriate, to deploy Enabling Forces and, on their arrival in-theatre, to authorise Transfer of Authority (TOA).</p>	<p>Derived from NATO MC 133/3</p>

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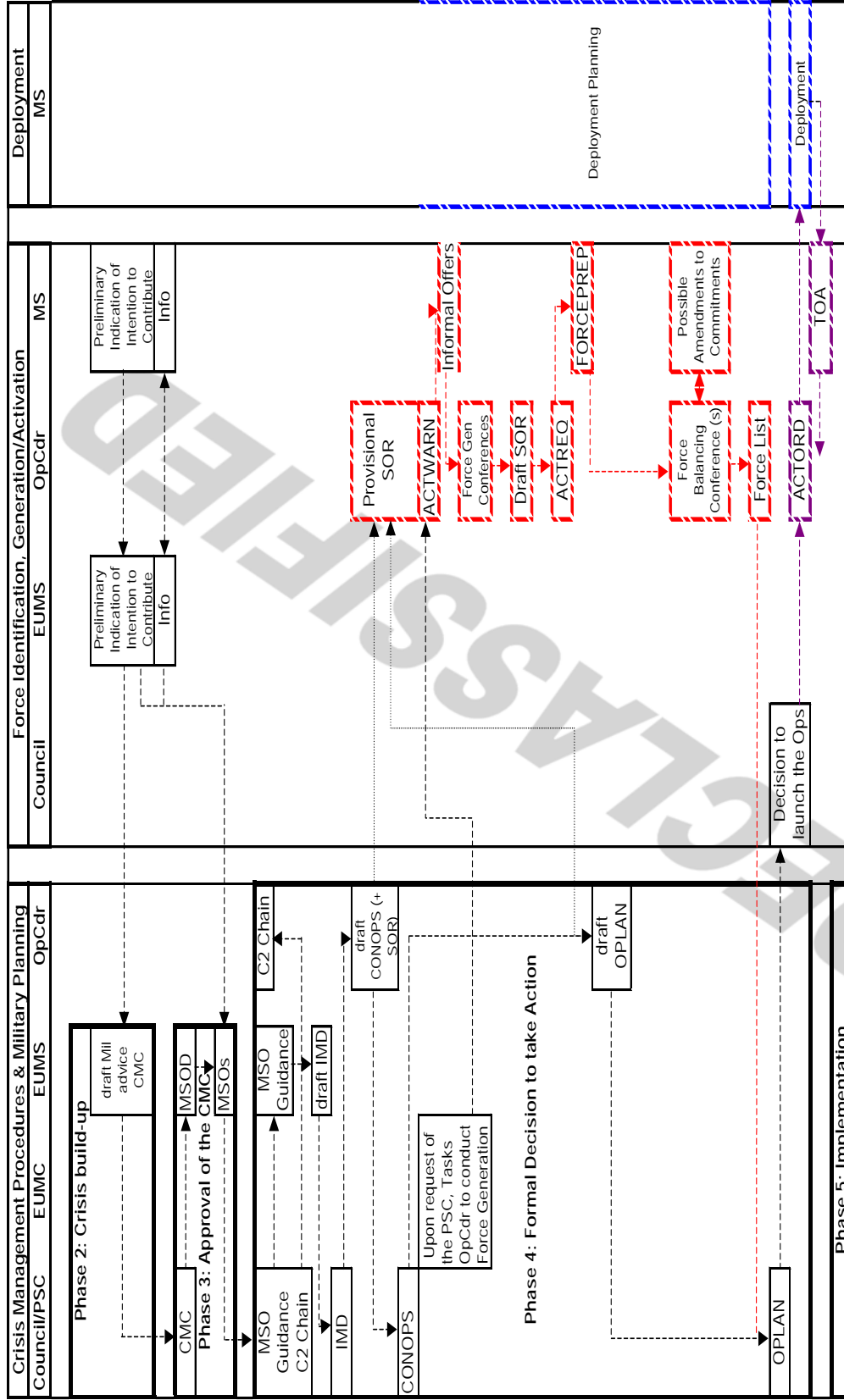
<p>Activation Request EU ACTREQ</p>	<p>The EU ACTREQ message requests Member States and non-EU TCN and NATO, as appropriate, to formally commit to the force package in the Draft SOR. It must state clearly when Member States and non-EU TCN, and NATO, as appropriate, are expected to respond to the EU ACTREQ, by sending a reciprocal force preparation (EU FORCEPREP) message to the Operation Commander.</p>	<p>Derived from NATO MC 133/3</p>
<p>Activation Warning EU ACTWARN</p>	<p>With the issue of the EU ACTWARN, the EU Force Generation/Activation phase commences formally. It outlines the mission and identifies key dates (e.g. Force Generation Conference).</p>	<p>Derived from NATO MC 133/3</p>
<p>EU Disposition List</p>	<p>The Disposition List is an expression of the time-phased requirements for deploying the contributed forces. The Disposition List specifies the OpCdr of EU-led CMO operational requirements by listing the Commander's Required Date (CRD), priority, Port of Debarkation (POD), Desired Order of Arrival (DOA) and Final Destination (FD) for each unit. Its development should take into account, to the extent possible; time phasing based on available force strength, civil market assessment and throughput capacities.</p>	<p>STRATEGIC MOVEMENTS AND TRANSPORTATION CONCEPT FOR EU-LED CRISIS MANAGEMENT OPERATIONS</p>
<p>Force Preparation Message EU FORCEPREP</p>	<p>Upon receipt of the EU ACTREQ message, Member States, and non-EU TCN and NATO, as appropriate, provide the Operation Commander with a EU FORCEPREP message, which is the formal commitment of national contributions to the Draft SOR force package. Member States, and non-EU TCN and NATO, as appropriate, also use EU FORCEPREP messages to state caveats (geographic, logistic, time-related, ROE, command status, etc.) on the employment of their contributions.</p>	<p>Derived from NATO MC 133/3</p>

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Statement of Requirement SOR	<p>The Statement of Requirements lists force capabilities required to perform each military task, including an initial Commander Required Date (CRD) window and required locations for force elements in the theatre. This is continually refined along with the CONOPS.</p> <p>The Provisional SOR provides Member States, and non-EU TCN and NATO, as appropriate, an indication of the type and scale of forces, assets and capabilities required.</p>	Derived from NATO MC 133/3
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FORCE GENERATION



Elements in black: according to the existing procedures
Elements in color: to be added and/or developed

List of Acronyms

ACRONYM	ABBREVIATED WORDS
ADAMS	Allied Deployment and Movement System
CMC	Crisis Management Concept
CONOPS	Concept of Operation
EU	European Union
EU ACTORD	EU Activation Order
EU ACTPRED	EU Activation of Pre-deployment
EU ACTREQ	EU Activation Request
EU ACTWARN	EU Activation Warning
EU FORCEPREP	EU Force Preparation
EUMC	European Union Military Committee
EUMS	European Union Military Staff
GOP	Guidelines for Operational Planning
HFC	Helsinki Force Catalogue
HQs	Headquarters
IMD	Initiating Military Directive
MNDDP	Multinational Detailed Deployment Plan
MSO	Military Strategic Option
MSOD	Military Strategic Option Directive
NATO	North Atlantic Treaty Organisation
OPLAN	Operation Plan
ORBAT	Order of Battle
PSC	Political and Security Committee
SOR	Statement of Requirements
TCN	Troop Contributing Nations
TOA	Transfer of Authority
TOPFAS	Tools for Operational Planning, Force Activation and Simulation

**FORMATS for the sequential process for Force Identification,
Generation/Activation and Deployment in the EU:**

- 1 The following FORMATS outline the structure and content of the messages required for the sequential process for Force Identification, Generation/Activation and Deployment in the EU
2. The FORMATS of these messages are at Appendix 1 to 5.

APPENDIXES

Appendix 1- EU ACTWARN FORMAT

Appendix 2- EU ACTREQ FORMAT

Appendix 3- EU FORCEPREP FORMAT

Appendix 4- EU ACTPRED FORMAT

Appendix 5- EU ACTORD FORMAT

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EU ACTWARN FORMAT

FROM: (*Selected OHQ*)

TO:

INFO:

SUBJ: EU ACTWARN

REFS:

A.

B.

1. SITUATION: Free Text (This introductory paragraph describes an update of the situation or the anticipated situation).
2. INTENTIONS: Free Text (A brief description of how the requested Force (s) would be employed and what operations would be conducted)
3. DESIRED MILITARY END-STATE: Free Text (A description of the overall intent for the military end-state)
4. TASKS: Free Text (A description of the Military Tasks that must be undertaken during the conduct of the operation)
5. COMMAND AND CONTROL: Free Text (A description both of command control (C2) concept and communication and information systems (CIS) requirements.)
6. FORCE GENERATION/ACTIVATION: Free Text (A brief description of the required Force and also identification of key planning dates. *e.g. Force Generation Conference (s)*).
7. REMARKS: Free Text

EU ACTREQ FORMAT

FROM: (*Selected OHQ*)

TO:

INFO:

SUBJ: EU ACTREQ

REFS:

A.

B.

1. SITUATION: Free Text (This introductory paragraph describes an update of the situation or the anticipated situation).
2. INTENTIONS: Free Text (A brief description of how the requested Force (s) would be employed and what operations would be conducted)
3. FORCE GENERATION/ACTIVATION: Free Text (This paragraph requesting Member States, and non-EU TCN and NATO, as appropriate, to formally commit to the force package. Identifies also the key planning dates. *e.g. Force Balancing Conference(s)*. Moreover could also include caveats such as geographical, logistic, time-related, rules of engagement, etc)
4. REMARKS: Free Text

EU FORCEPREP FORMAT

FROM: *Member State X*

TO:

INFO:

SUBJ: EU FORCEPREP / *Member State X*/001/DATE

REFS:

A.

B.

1. EFFECTIVE DATE (S) (the date (s) that the force is available)
2. CONTRIBUTION: Free Text (This paragraph provides the formal commitment to the force package by Member States and non-EU TCN and NATO, as appropriate.)
3. REMARKS: Free Text

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EU ACTPRED FORMAT

FROM: (*Selected OHQ*)

TO:

INFO:

SUBJ: EU ACTPRED

REFS:

A.

B.

1. SITUATION: Free Text (This introductory paragraph describes an update of the situation or the anticipated situation).
2. INTENTIONS: Free Text (A brief description of how the requested Force (s) would be employed and what operations would be conducted)
3. FORCE PRE-DEPLOYMENT: Free Text (This paragraph requesting those Member States, and non-EU TCN, and NATO, as appropriate, to deploy the enabling forces, assets and capabilities and on their arrival in-theatre, to authorise Transfer of Authority (TOA)).
4. REMARKS: Free Text

EU ACTORD FORMAT

FROM: (*Selected OHQ*)

TO:

INFO:

SUBJ: EU ACTORD

REFS:

A.

B.

1. **SITUATION:** Free Text (This introductory paragraph describes an update of the situation or the anticipated situation).
2. **MISSION:** Free Text (This paragraph provides a direction to appropriate Subordinate Commanders to assume Operational Command and/or Control of allocated Forces. The actual mission statement concise and specify the exact mission that the designated commander is required to perform.)
3. **EXECUTION:** Free Text (This paragraph provides guidance on tasking priorities, specify summary details on requested forces, assets and capabilities from Member States, and non-EU TCN and NATO, as appropriate, and also gives co-ordination instructions such as deployment of forces, TOA, Rules of Engagement (ROE), etc)
4. **SERVICE SUPPORT:** Free Text (This paragraph describes the administrative and logistic support arrangements necessary for mission accomplishment.)
5. **COMMAND AND CONTROL:** Free Text (A description both of command control (C2) concept and communication and information systems (CIS) requirements.)
6. **REMARKS:** Free Text