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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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THE EUROPEAN UNION**

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NOTE

From : Committee for Civilian Aspects of Crisis Management
To : Political and Security Committee

Subject : Draft Guidelines for Command and Control Structure for EU Civilian Operations
in Crisis Management

Delegations will find attached the Draft Guidelines for Command and Control Structure for EU Civilian Operations in Crisis Management as finalised by CIVCOM.

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Draft Guidelines for Command and Control Structure for EU Civilian Operations in Crisis Management

I. REFERENCES

- a. Title V of Treaty on EU;
- b. Presidency conclusions of FEIRA, NICE and GÖTEBORG;
- c. Report of the Panel on United Nations peace operations known as Brahimi Report.
- d. Doc. 6922/02 on Guidelines for Command and Control Structure for EU Police Operations in Civilian Aspects of Crisis Management.
- e. Doc. 6923/02 on EU Concept for Police Planning.
- f. Doc. 11127/03 on Suggestions for procedures for coherent, comprehensive EU crisis management.
- g. Letter of SG/HR to the Heads of State and Government on Hampton Court Follow-up, dated 13 June 2006.
- h. Council Decision 2005/395/CFSP of 10 May 2005 amending Decision 2001/80/CFSP on the establishment of the Military Staff of the European Union.

II. INTRODUCTION

1. A single and identifiable chain of command is imperative for the safe and efficient conduct of any ESDP crisis management operation. It is the structure through which command instructions flow down from the political to the strategic, operational and tactical levels, and through which control is exercised by specified procedures and feedback.
2. Since 2002, the "Guidelines for Command and Control Structure for EU police operations"¹ have been applied as a provisional command and control (C2) reference for civilian ESDP operations of any type. The actual chain of command for each civilian ESDP operation has been addressed in the Joint Action adopted by the Council.

¹ Doc. 6922/02.

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3. Experience has shown that improvements are needed. In his letter of 13 June 2006 to the President of the European Council, the Secretary-General/High Representative put forward specific ideas for strengthening the EU's crisis management structures, including appointing a Civilian Operation Commander to establish a clearer chain of command for civilian ESDP operations.

III. PURPOSE and SCOPE

4. This paper clarifies the command and control structures in civilian ESDP crisis management operations in line with the responsibilities for each group set out in the SG/HR's letter to the President of the European Council on 13 June 2006. It sets out the functions, roles and responsibilities of the Civilian Operation Commander (CivOpCdr), who will have command and control authority over the contributions put at the disposal of civilian ESDP operations by Member States, without prejudice to the European Commission's competences in implementing the CSFP budget. This paper also seeks to render the civilian command structure more comparable with the military levels of command, thereby facilitating civil/military coordination, mutual support and coherence, where required.

IV. CONCEPT OF COMMAND AND CONTROL

5. Command and Control is a complex concept. For the purpose of this document, the following three different aspects can be identified:
 - Command and Control is the exercise of authority and direction by a properly designated official over assigned human resources.

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- As a process, the C2 process is a continuous “sense, assess, decide and act” cycle executed in order to accomplish an assigned mission. It is the process of issuing orders and monitoring/evaluating of the outcomes achieved. This happens through planning, organising, managing, coordinating and controlling resources (personnel, fund, equipment, etc), to achieve mission objectives. People and tools are the main components which enable the C2 process. Typically, the people are part of an operational unit and the tools are in form of integrated systems (information and technology means that can support the required level of data storage, transmission and analysis).
 - As an architecture. The units and integrated systems are tied together by communication networks which combine to create a Command and Control Architecture.
6. These three aspects can be further developed:
- 1) **Command status.** The authority, responsibilities and activities of an ESDP official in the direction and co-ordination of individuals, teams and units and in the implementation of orders related to the execution of civilian ESDP operations can be exercised according to the following command options:
 - a. **Full Command:** the authority and responsibility of a superior official to issue orders to subordinates. It covers every aspect of operations and administration and exists only within national services. No ESDP official has full command over the individuals, teams and units that are assigned to him through the Transfer of Authority. This is because Member States and contributing nations, in assigning those to EU, assign only operational command or control.
 - b. **Operational Command (OPCOM):** the authority assigned to an ESDP official to assign missions or tasks to subordinate officials, to deploy individuals, teams and units, to reassign them, and to retain or delegate it, as well as operational or tactical control as may be deemed necessary. It does not of itself include responsibility for administration and logistics. May also be used to denote the forces assigned to an ESDP official.

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- c. **Operational Control (OPCON):** the authority assigned to an ESDP official to direct individuals, teams and units assigned so that he/she may accomplish specific missions or tasks which are usually limited by function, time, or location; to deploy them, and to retain or delegate operational control or tactical command or control as may be deemed necessary. It does not include authority to assign separate employment of the teams and units concerned. Neither does it, of itself, include administrative or logistic control.
- d. **Tactical Command (TACOM):** the authority assigned to an ESDP official to assign tasks to individuals, teams and units under his command for the accomplishment of the mission assigned by a higher authority.
- e. **Tactical Control (TACON):** the detailed and, usually, local direction and control of movements or actions necessary to accomplish missions or tasks assigned.

Such command and control options will have to be modulated on a case-by-case basis depending on the specific nature of each operation and/or of its components.

- 2) Command and Control as both a process and an architecture will aim at:
 - a. Issuing orders and organising control procedures over all activities to enable the monitoring of progress and evaluation of the outcomes achieved.
 - b. Defining the reporting and information exchange requirements among all actors involved in the operation to ensure the adequate flow of information. This implies reporting and information exchange within the established chain of command as well as with other external organisations to the mission (other international actors, NGOs, local authorities, etc).
 - c. Identifying and ensuring the deployment of the necessary Communication and Information Systems (CIS). The mission should be provided with equipment that will guarantee the required secure, reliable and adequate Communications and Information Systems. These means should be in place in theatre of operations as early as possible. It would then facilitate the further deployment of the mission and its maximum efficiency.

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V. EU CIVILIAN ESDP ARCHITECTURE

7. The chain of command is the succession of commanding officials from a superior to a subordinate through which command and control is exercised.
8. For all ESDP operations, the Council has overall responsibility in accordance with the Treaties. The Political and Security Committee (PSC) exercises the political control and strategic direction as laid down in the Treaties and in relevant Council decisions; the various preparatory bodies, in particular CIVCOM, involved in civilian ESDP operations fulfil their advisory role to the PSC. The responsibilities of the Council and its structures, and the assignment of decisions to be taken at the various stages of preparing and launching a new operation, will remain unchanged following the appointment of a Civilian Operation Commander as described in paragraph 15.
9. When appointed, the Civilian Operation Commander, under the political control and strategic direction of the PSC and the overall authority of the SG/HR, will be the commander of the civilian ESDP operations at the strategic level (see below).
10. The Head of Mission (HoM) will exercise command and control at theatre level. The Head of Mission will be directly responsible to the Civilian Operation Commander (see below).
11. In order to ensure the coherence of the EU action in theatre, the Head of Mission shall, without prejudice to the chain of command, receive from EUSR (if appointed) local political guidance, especially with regard to matters for which the EUSR has a particular or stated role. The EUSR will not be in the chain of command of civilian ESDP operations, nor will he/she issue operation-related instructions to the HoM. EUSRs will also promote overall EU political coordination and help ensure that all EU instruments in theatre act coherently to attain the political objectives set out by the Council.
12. The respective roles and responsibilities of the Civilian Operation Commander and the Head of Mission are described below.

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The Civilian Operation Commander (CivOpCdr)

13. The Civilian Operation Commander will exercise command and control at strategic level for the planning and conduct of all civilian ESDP operations under the political control and strategic direction of the PSC and the overall authority of the SG/HR. He/She will be the overall commander of all civilian Heads of Mission. He/She will report directly to the SG/HR, and through him, to the Council. Member States and third States contributing to an ESDP operation will transfer the command and control authority over their units and personnel to the Civilian Operation Commander. The full command over national personnel will remain with the National Authorities. He/she will be assisted by a COS/Deputy Civilian Operation Commander who will substitute the CivOpCdr when necessary to maintain continuity of command and control.
14. The main responsibilities of the CivOpCdr will include:
- (a) with regard to the strategic planning of civilian operations, contributing to the Crisis Management Concept (CMC) produced by DGE IX and producing the CSOs as Director of the Civilian Planning and Conduct Capability (CPCC);
 - (b) with regard to the operational planning of civilian operations, production of CONOPS and supervising production of the OPLAN;
 - (c) with regard to the conduct of operations:
 - receiving the transfer of authority of personnel, teams and units from contributing States to civilian ESDP operations through the Joint Action and taking overall responsibility for ensuring that the EU's duty of care is properly discharged in accordance with agreed Council policy, including as laid down in Doc. 9490/06;

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- ensuring proper and effective implementation of the Council's decisions, including the PSC's decisions, also by instructions addressed as required to the Heads of Mission, so that the mission and tasks are accomplished in a manner consistent with the EU mission's objectives, parameters and limitations (including directing their planning of security measures for personnel, assets, resources and information within the mission area);
 - providing advice and technical support to the HOM including with respect to logistics, procurement, personnel and financial aspects of the operation, in co-ordination with the European Commission as contracting authority as appropriate;
 - reporting through the SG/HR to the Council;
 - reporting to PSC and other Council bodies to keep them informed on issues within his/her area of responsibility;
 - monitoring the proper execution of the operation and being responsible for quality control;
 - relations with contributing third States on operational developments;
 - and acting as an interlocutor concerning individual civilian ESDP operations for operational purposes outside the operation area in which specific capacity he/she will serve as the main link between these operations and EU institutions, Member States and, where appropriate, other relevant parties (third states, regional and international organisations, etc); without prejudice to the competences of the crisis management directorates and to the European Commission's competences.
- (d)** supporting the review and lessons learned processes for civilian crisis management operations.

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15. The Director of the CPCC will be part of the General Secretariat of the Council under the authority of the SG/HR. He/she will direct the Civilian Planning and Conduct Capability (CPCC) established in the General Secretariat of the Council to assist him/her in planning and conduct of the operation(s). He/she will have functional authority over planning capabilities and expertise contributed by the EUMS through the Civ/Mil Cell, and over the Watchkeeping Capability (WKC) as far as their support to civilian operations is concerned. He /she will participate in the Crisis Management Board. The joint action establishing a specific operation will include the appointment of the Director of the CPCC as Civilian Commander for that operation.
16. The Director of the CPCC will be appointed for an initial period of one year to implement the CPCC. The selection board will include the chair of the Political and Security Committee and the Secretary-General/High Representative will inform the Council of the person intended to be appointed.

Any subsequent appointment will be made by the Council at the level of deputy-director general or higher for a fixed term to ensure periodic rotation, subject to availability of a budgetary post for a temporary agent at this grade. Any selection board will include the chair of the Political and Security Committee.

The Civilian Heads of Mission (HoM)

17. Heads of Mission in theatre (appointed by Council decision) will assume responsibility and leadership of the mission in theatre. They will exercise command and control over personnel, teams and units from contributing States as assigned by the CivOpCdr together with administrative and logistic responsibility including over assets, resources and information put at the disposal of the mission. They will coordinate as appropriate with other EU actors on the ground, including EUSRs.

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18. The main responsibilities of the Head of Mission include:

- (a) within the parameters set by the CONOPS and under the supervision of the CivOpCdr, developing an OPLAN to be approved by the Council;
- (b) issuing instructions and orders for the effective conduct of the operation in theatre, assuming its coordination and day-to-day management, in accordance with the Command Status assigned by the CivOpCdr and defined in the Joint Action and following his/her directives, orders and instructions;
- (c) being responsible for the security of the operation and for ensuring compliance with minimum security requirements applicable to the operation in line with the policy of the European Union on the security of personnel deployed outside the EU in an operational capacity under Title V of the TEU;
- (d) fulfilling contractual obligations as "CFSP Special Adviser" to the European Commission regarding the implementation of the CFSP budget for the operation;
- (e) reporting to the PSC and other Council bodies as directed to keep them informed on all relevant aspects of the operation;
- (f) and representing the respective civilian ESDP operation in the operation area.

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European Union Military Staff (EUMS) -Civ/Mil Cell

19. In accordance with its TOR, the EUMS through the Civ/Mil Cell will assist with planning, support (including the planning for a possible use of military means) and conduct of civilian ESDP operations. Moreover, the Civ/Mil Cell will provide a watch-keeping capability (WKC) in order to ensure 24/7 links with the various civilian ESDP operations and the CPCC. The WKC will be established within the OpsCentre without prejudice to its full activation for the planning and conduct of an autonomous EU military operation. Activation of the watch-keeping capability using the facilities of the OpsCentre in relation to each civilian operation should be confirmed in the respective Joint Action. It should contribute to ensuring a continuous monitoring and processing of operation-related information, consistent with the CivOpCdr's responsibilities as stated in paragraph 14 and should be available during the preparation of each civilian operation. For civilian operations, the services of the Civ/Mil Cell and the watch-keeping capability will be under the functional authority of the CivOpCdr, but will remain under the responsibility of DGEUMS.

EU Special Representative (EUSR)

20. EUSRs will provide local political guidance to the ESDP HoMs. EUSRs and the CivOpCdr will consult each other as required. The EUSR will not be in the chain of command of civilian ESDP operations.
21. EUSRs will also promote overall EU political coordination and help ensure that all EU instruments in theatre act coherently to attain the political objectives set out by the Council.

VI. EU CIVILIAN COMMAND AND CONTROL STRUCTURE

22. The chain of command is the succession of commanding officials from a superior to a subordinate through which command is exercised. That is, a structure through which command instructions flow from the political to the strategic, operational and tactical levels, and through which control is exercised by specified procedures and feedback.

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23. The EU civilian chain of command for civilian ESDP operations will be addressed in the joint action adopted by the Council. In general it can be summarised as follows:

- Under the responsibility of the Council, the PSC shall exercise the political control and strategic direction of the civilian ESDP operations.
- The Civilian Operation Commander, under the political control and strategic direction of the PSC and the overall authority of the SG/HR, is the commander of the civilian ESDP operations at the strategic level.
- The Head of Mission (HoM) will exercise command and control at theatre level. The Head of Mission is directly responsible to the Civilian Operation Commander.

24. In order to ensure the coherence of the EU action in theatre, the Head of Mission shall, without prejudice to the chain of command, receive from EUSR local political guidance , especially with regard to matters for which the EUSR has a particular or stated role.

VII. COMMAND AND CONTROL IN THE EVENT OF CO-OPERATION WITH INTERNATIONAL ORGANISATIONS

25. The command and control structure described in this document is also designed to be applicable in an EU-led operation including some components provided by international organisations with particular expertise and experience in relevant fields. In such a case, the EU will receive the other components under OPCON, without prejudging the political decision on coordination with the other organisation. Consultations would be required between the EU and the international organisation in question.

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26. Where the EU provides and leads a civilian support component to an operation led by an international organisation, the CivOpCdr will in accordance with paragraph 14 be responsible for exchanging appropriate information with the mission and exercising the necessary duty of care for EU personnel, including security measures. The Council will decide on a case by case basis on the liaison and/or command and control arrangements it wants to establish. Consultations would be required between the EU and the international organisation concerned. Based on lessons learned from past or ongoing supporting actions the Council will adopt a comprehensive EU concept with regard to supporting actions and will adopt for each specific operation clear guidelines and coordinating and reporting instructions for the Head of the support component setting out the overall objectives of the EU support to an international organisation. These guidelines will also cover the management, safety and welfare of the EU component/personnel concerned.
27. The autonomy of decision making of the EU will in any case be respected.
28. In case of cooperation between civilian ESDP operations and an international organisation at tactical level, the role of the Head of Mission will be pivotal.

VIII. IMPLEMENTATION

29. In the light of the Council's deliberations, the selection process for the Director of the CPCC will be launched. Full implementation of the new structures will require reorganisation of existing staff (while continuing to manage existing operations) and recruitment of suitably qualified persons with the required skills and experience to fill identified gaps.
30. During the transitional phase to full implementation of the new structures, an interim operational capability will be established under the Director of the CPCC when he/she takes up appointment. Full operational capability should be achieved as soon as possible thereby allowing the CivOpCdr to exercise and assume full responsibility progressively.

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I. LIST OF ACRONYMS AND ABBREVIATIONS

C2	Command and Control
CFSP	Common Foreign and Security Policy
CIS	Communication and Information System
CIVCOM	Committee for Civilian Aspects of Crisis Management
CivOpCdr	Civilian Operation Commander
CMC	Crisis Management Concept
CONOPS	Concept of Operation.
COS	Chief of Staff
CPCC	Civilian Planning and Conduct Capability
CSO	Civilian Strategic Option
DGEUMS	Director General of EU Military Staff
ESDP	European Security and Defence Policy
EU	European Union
EUMS	European Union Military Staff
EUSR	Special Representative of the European Union
HoM	Head of Mission
NGO	Non Governmental Organisation
OPCOM	Operational Command
OPCON	Operational Control
OPLAN	Operation Plan
PSC	Political and Security Committee
SG/HR	Secretary General/High Representative
TACOM	Tactical Command
TACON	Tactical Control
WKC	Watch-keeping Capability