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## **NATO DEFENCE PLANNING PROCESS. IMPLICATIONS FOR DEFENCE POSTURE**

### Introduction

The aim of the NDPP is “to provide a framework within which national and Alliance defence planning activities can be harmonized to meet agreed targets in the most effective way. It should facilitate the timely identification, development and delivery of the necessary range of forces that are interoperable and adequately prepared, equipped, trained and supported as well as the associated military and non-military capabilities to undertake the Alliance’s full spectrum of mission” (NDPP – PO(2009)0042, 2009, p. 1-2).

### The NATO strategic concept and the alliance initiatives

In accordance to the NATO Strategic Concept, there are three core tasks for the Alliance: collective defence, crisis management, cooperative security (NATO Strategic Concept, 2010, p. 6). The principle of collective defence means that an attack against one of Ally is considered as an attack against all Alliance. The founding member states of the Alliance in the North Atlantic Treaty agreed to mutual assistance in case of armed attack. Individually, each of the member state is obligated to determine sort of assistance that he believes is necessary for responding to threatening situation. On the basis of the agreements, which concluded the Lisbon Summit, leaders outlined importance of crisis management. The Alliance commits to resolving crisis politically, military or humanitarian motivated. Involvement in the crisis management helps NATO resolving conflicts and protects from destabilising regions in NATO’s member states neighbourhood. The Alliance recognizes that areas of instability could potentially jeopardize situation in the bordering states (e.g. Turkey and Baltic States). Under cooperative security

assignment, the NATO is trying to strengthen partnerships across the globe and regions. Increased collaboration supports the Alliance in sustaining dialogue with partners on wide range of security issues, such as arms control, non-proliferation and disarmament. The positive perception of the NATO activities, allowed creation of the largest coalition of states which for years were supporting the government in Kabul. Under the International Security Assistance Force mission in Afghanistan have been working 45 states from around the world (NATO Beyond, 2010, p. 2-3).

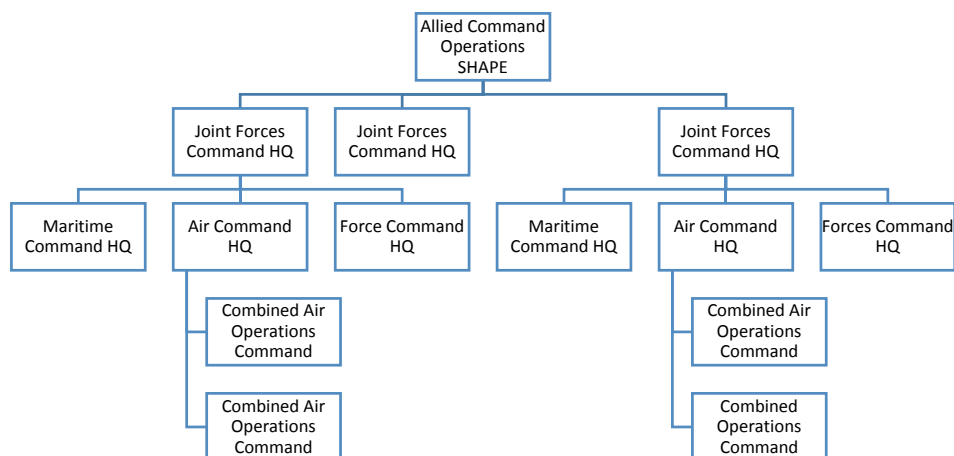
The leaders of Alliance last year in Newport released declaration of agreed political and financial measures which response to a new challenges. The most importance matter was setting a realistic goals for resolving problem with capabilities shortfalls essential for collective defence. Due to Russian activities in Eastern Ukrainian and increased Moscow assertiveness in defence and foreign policy, reemerged new threat to NATO which possess direct threat for countries with the larger number of Russian inhabitants. Additionally, the arise of the Islamic State of Iraq and Levant and its quick expansion on the south-eastern border of NATO demands new approach in ensuring security for European countries. The Alliance leaders agreed to introduce Readiness Action Plan (RAP)(NATO's Readiness, 2014) and the Very High Readiness Joint Task Force (VJTF) (Zapfe, 2015, p. 1-4) to meet threat posed by hybrid warfare, which could be used for the Baltic States destabilisation. Additionally, member states agreed to deploy forces in the region and enhance air policing and maritime patrols due to high number of incidents. The communique from Wales Summit underlined need to continue development of Missile Defence and cyber defence capabilities. After the Summit arisen questions about prioritization of the Alliance investments and capabilities development to respond to the challenges of security environment. Definitely answer for this questions lies in the NATO Defence Planning Process and a new vision of strategic posture (Larsen, 2014, p. 1-2).

### The NATO Defence Planning Process – overview

The Alliance from the last decade is still under the transformation process. Planning has become more complex after the Cold War, due to changes in the security environment. The Allied Command Transformation in Norfolk have organized last year workshops under the title “NATO Framework for Future Alliance Operations” (FFAO, 2014, p. 4-6). In the first step the experts analysed the Common Challenges to all the Instability Situations for the Alliance. The Instability Situations reflects key possible scenarios for the

NATO, which requires respond. As an output was created report about Strategic Military Perspectives, which with high probability will be included in the NDPP process. The most pressing is the ensuring access and use of Global Commons (Assured Access, 2011, p. 46-47) in situation of increasing lack of resources and climate changes. Second situation is conflict in Euro-Atlantic Region. The conflict in Europe can be caused by expansionism policy at NATO borders or beginning of hybrid warfare within NATO border. Experts underlined threat posed by massive migration, which will cause economical and ethnical tensions. The document is mentioning: large-scale cyberattacks, natural disasters (pandemics, natural disasters), turmoil's in megacities, attacks of non-state actors on critical infrastructure or governmental institutions (finances, energy), disruption in space, interstates conflicts and use of Weapons of Mass Destruction by terrorist groups to create crisis.

**Fig. 1.** Current NATO Command Structure

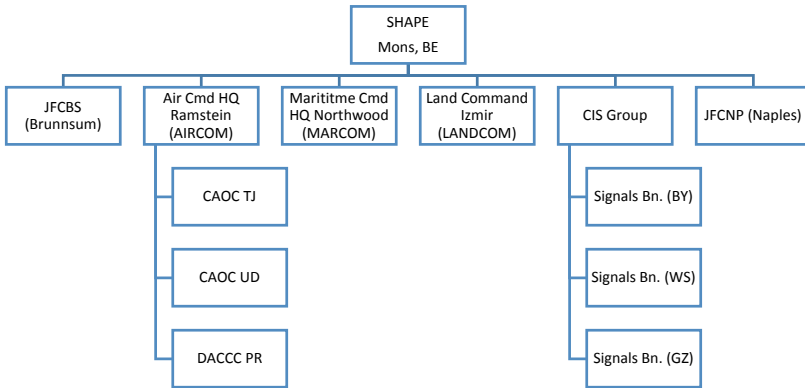


Source: NCSR, 2011, p. 1.

The NATO planners to deliver desired capabilities last year started new defence-planning cycle. The range of threats have extent and the Alliance possess experience from operations in Afghanistan and Libya, which at this moment need to be analysed. The Lessons Learned from Operation Unified Protector and ISAF mission have to be reflected in requirements for the NATO forces, despite putting emphasises on territorial defence. For example, the Alliance still need to enhance its interoperability within air

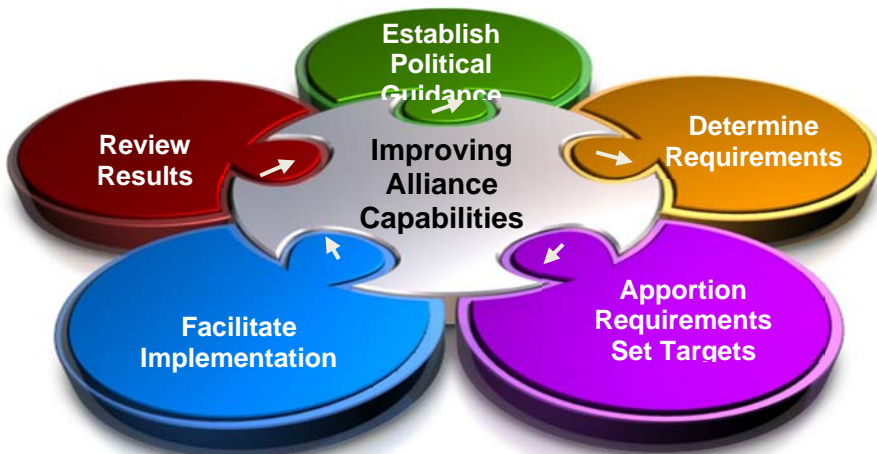
domain to conduct effective surveillance missions. By the end of 2015, NATO will change its military command structure to ensure the ability to operate at the strategic, operational and tactical level. New structure will influence not only planning domain but also conducting military operations (Gaub, 2012, p. 2-6).

**Fig. 2.** NATO Command Structure from 2016



Source: NCSR, 2011, p. 1.

**Fig. 3.** NATO Defence Planning Process Cycle



Source: Biziewski, 2014, p. 3.

## Step I – political guidance

Under the Political Guidance delivers complete aims and objectives for the Alliance with the framework of Alliance defence planning. This document is based on the main assumptions derived from the NATO Strategic Concept. Document defines scale and nature of the operations the Alliance should be capable to conduct in the future. The NATO Level of Ambition include conducting two major joint operations and four small joint operations. Major joint operation is understand as a operation conducted by forces up to corps-size or maritime Task Force Level. Small Joint Operation is carried out by forces up to division- size. Due to shortfalls, shown and identified during Operation Unified Protector in Libya. For example, the Alliance suffered from bad air reconnaissance at the ground. Despite sending Special Operation Forces to Libya and dropping leaflets and sending radio messages broadcasts, due to Allied strikes died more than 100 hundred civilians. Without integration air power with land forces (especially special forces component), operations will bring more civilian casualties and will not bring straight winning (Gaub, 2012, p. 2-3).

The NATO leaders in previous defence planning process agreed to prepare forces for article 5 and non-article 5 crisis response operations and development capacity to sustain operations. Secondly, they agreed to deploy and support capabilities for full range of missions (Major Joint Operation and Small Joint Operation). The NATO members states agreed to improve defence capabilities. The capabilities started to be modern, interoperable, deployable and sustainable forces and capabilities including non-military the usability targets (Cathro, 2012).

The most important capabilities are related to the Alliance's priorities. Firstly, NATO must have ability to deploy, sustain and redeploy joint expeditionary forces. Second, the Alliance must be able to provide full coverage and protection for all NATO European populations, territory and forces, against the increasing threat posed by the proliferation of ballistic missiles. Third, under the Political Guidance is emphasized need for high-readiness forces, together with reinforcement.

The current priority shortfall for operations are related with: strategic airlift and tactical, Collective Logistics Contracts, including medical support capabilities to deal with current evolving and emerging threats; expansion of ALTBMD (Active Layered Theatre Ballistic Missile Defence, protection against Cyber Attacks, Bi-SC automated infor-

mation systems, Air Command and Control System (ACCS) Joint Intelligence, Surveillance and Reconnaissance Alliance Ground Surveillance System (AGS) (Hohe Abhängigkeit).

The NATO Defence Planning Process is derive a single list of requirements and priorities needed to Allies. Multinational cooperation and cost-effective capability development. In the spirit of this are developed capabilities under the Smart Defence Initiative.

Smart Defence Initiative consists from three components: cooperation, prioritization and specialization. Cooperation provides access to more affordable capabilities and improving interoperability. Concentration on burden-sharing will generate economies of scales in result increased dependency among member nations. Second component is sensitive issue for defence planning. Prior projects have to be harmonized with results of defence planning and provide capabilities to conduct the most demanding operation in uncertain future. The past examples show that Alliance cannot rely on member states initiatives, which are conform to national interests. NATO should adjusted national defence goals with collective defence planning. Specialization brings concerns on states sovereignty. Reducing duplication and competitiveness will harmonies defence and security polices, but increase fears of abandonment in providing capabilities to the NATO missions. Extensive defence cuts leads to capabilities decrease and leaving others with obligation to maintain them. The nations need to decide which capabilities they want to maintained to the Alliance for fulfilling shortfalls.

Smart Defence Initiative (Henius, McDonald, 2012, p. 4-12) will have straight impact on national inventories and way on their management. Role of the Alliance is to facilitate collective capabilities and prevent them from deterioration. NATO and EU as security providers should consider cooperation in exchange of capabilities management good-practices and avoiding collisions in developing of capabilities packages. On-going Initiative should take into consideration future security environment and not closed itself for current operation's needs. NATO has to avoid impression of members' partition by promoting multinational cooperation between nations with similar experience and cultural factors. Smart Defence suppose not to create new structures but rely on existing one e.g. Centres of Excellences.

## Step II – determine requirements

The planners from Allied Transformation Command with support from Allied Operations Command officers, are identifying set of capabilities considered to meet quantitative and qualitative requirements determined in the Political Guidance. Experts from ACT and ACO are conducting analysis to support setting of requirements for all planning domains. Analysis are based on results of previous defence planning processes outputs, MC 161 NATO agreed intelligence, lessons learned from previous operations and member states Capability Surveys. Under this step, officers are defining Minimum Capabilities Requirements (MCR)<sup>1</sup>. The MCR is a set of required capabilities to meet Level of Ambition and other objectives included in NATO Strategic Concept or Political Guidance.

## Step III – apportionment of requirements and setting of targets

Under this process members of Defence Planning Staff Team are conducting comparison between data included in national defence questionnaires (including information about existing and planned capabilities) and the MCR. Members of the DPST are establishing target packages for nations to be delivered to the Alliance. The most important task during this step is mitigation of shortfalls. Nations are treated equally. Desired capabilities are targeted under the principle of fair burden sharing. After a deep analysis, experts from the DPST are developing targets for all capabilities and trying to associate with timeline and priorities outgoing from the MCR and political guidance. During this phase members of the DPST are searching for solutions to address priority shortfalls, currently those related to collective defence. Members of the DPST which visiting capitals are conducting discussion with nations to draft and specified target packages. Afterwards, the DPST members are presenting reviewed packages to the Alliance. The nations, on their request or insist can change determined objects in accordance to fair burden sharing rule and reasonability of inquiry.

The DPST work is finished after summarizing conducted process of apportion by sending report on the agreed packages and targets to the North Atlantic Council, the Defence Planning Committee and the Nuclear Planning Group. The three bodies are forwarding reports for the submission and implementation to Defence Ministries. Ministries of Defence receives a report which includes all targets apportioned under step

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<sup>1</sup> The complete set of capabilities is the Minimum Capability Requirements.

three of the NDPP, together with an assessment of possible shortfalls on the Alliance Level of Ambition.

#### Step IV – facilitating implementation

The Alliance member's states are implementing the apportioned targets in their defence plans. Under fourth step nations are obliged to address capability shortfalls, both in terms of national and multinational targets. The Executive Working Group is responsible for monitoring the capability development and reporting on progress which have been made to the North Atlantic Council. The Council is presenting annually report to the Defence Ministries on the subject of implementation process. The NATO bodies are reinforcing nations in development of capabilities. In case of the delays, Defence Planning Staff Team upon request of the member states can provide advice on capability development. This possibility is opportunity for the nations, which do not have abilities to develop required capabilities for the Alliance.

#### Step V – review results

The final step is concern on providing overall assessment of the NATO Defence Planning Process. Under the review process members of the DPST assess individually national plans and policies needed for reaching their targets. The review process is also including cross-checking of existing military capabilities and non-military capabilities. As a result, the Defence Planning Staff Team releases the NATO Capabilities Survey, which includes all information about national inventories, defence expenditures and preliminary analysis of targets implementation progress. Additionally, each Ally receives draft assessment, which includes degree of fulfilment of the national forces and capabilities with the appreciated targets. The Defence Planning Staff Team prepares recommendations to the nations, which are having a deficiencies in capabilities. For example, the Alliance may recommend members states a new approach to redistribution of the existing resources or supplies. Initial assessment prepared by the Defence Planning Staff Team is subject for a discussion within the DPST and national authorities. Both sides are undertaking revision of the documents which will be used for preparation of the NATO Capability Report. At the same time, the Military Committee is preparing the MC Suitability and Risk Assessment(What is Transformation, 2015) which deter-



mines risks in accordance to the settlements of Political Guidance. Mentioned documents are used for preparation of the NATO Capabilities Report. Document presents overall assessment of risks, including capabilities shortfalls in relation to the NATO Level of Ambition. The NATO Capabilities Report determines direction of the capability development, in accordance to apportioned and non-apportioned, national and multinational capability requirements. Every two years, Executive Working Group is developing NATO Capabilities Progress Update which shows progress of mitigating capability shortfalls. Document is forwarded to Defence Ministries, after acceptance of the North Atlantic Council. Recommendations included in the Update are being implemented to defence planning process of the Alliance and member states.

### The NDPP and the alliance level of ambition

The NDPP for the most of experts may appear to be a technocratic process, which takes a long time without confidence in the final results. In the light of the crisis in Donbas raised question about the NATO defence posture and measures to respond to those threats. Currently, the Alliance analysts and experts must prepare a detailed assessment of a new challenges and establish new requirements for a member states. The political establishment must one more time, rethink the development of military capabilities and fair burden-sharing among Allies and level of defence expenditures. The three NATO core tasks: collective defence, crisis management and co-operative security are still the principal signposts for defence planners. Due to withdraw of the NATO troops from Afghanistan, arose a problem of assessment of the crisis-management missions. After a decade of involvement in Afghanistan mission, we know that the costs were higher than we expected.

The Russian annexation of the Crimean peninsula turned discussion among the NATO's member states about the new principles and tasks. The threat posed by Russia brought to the foreground collective defence. In light of the occurred changes in European security architecture, defence planers should consider emphasizing in the future Political Guidance importance of development more suitable capabilities. The Europeans states needs to reconsider security policy in relation to southern neighbourhood. During talks among the Allies, should be expected that the discussion about importance of Article V will stimulate the question on burden-sharing. Transformed defence policy, which will highlight the territorial defence, will satisfy the East European member states.

Without the US involvement in the Old Continent the enhancement process of collective defence shall fail. The Alliance's must clear stated and persuade members, that level of ambition will be delivered only by increasing military capabilities of European NATO members. Among the European member of the Alliance are some nations, such as Poland, Great Britain, Norway and Latvia which are boosting their defence expenditures and will reach their level of ambitious in the medium-term. Because of those states, the gap between current posture shortfalls and future capabilities shortfalls should be closed soon.

The Alliance need to avoid dropping the quantitative and qualitative level of ambition, which will give signal to the potential rivals that the Alliance suffers from lack of the funds or the political will for reaching level of ambition. The Member States during upcoming defence planning process should look closer to the scope of NATO missions and tasks, in order to avoid overextension. The Alliance perhaps downsized its ambitious and combine existing capabilities needed for fulfilling level of ambitious. New defence capabilities supposed to consists from conventional and expeditionary capabilities, which will help in rebalancing NATO's core tasks. Despite changes in the capabilities development, still the Alliance should emphasize strengthening of the interoperability, development of the new military technologies and multinational exercises. Undertaking those steps should help in taking advantage over potential rivals.

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## **NATO Defence Planning Process. Implications for defence posture**

### **Abstract**

The NATO Defence Planning Process (NDPP) is the most important element affecting the Alliance's defence posture. Under the process states commit themselves to provide capabilities and forces required to fulfil NATO missions, defined in the NATO Strategic Concept. The NDPP directly affects national defence plans by harmonizing them with identified security and defence objectives as well by influencing development of the novel national defence capabilities. The emergence of new threats in the NATO environment, demands modifications in the defense planning process and establishing new goals for the Alliance. Enhancement of the NDPP should be priority during the time of unrest.

**Keywords:** *NATO, defence, planning, security, process*

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