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**NATO DEFENSE PLANNING PROCESS
- CONECTION TO THE ROMANIAN DEFENSE
PLANNING¹ -**

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Abstract:

The NDPP in the Alliance is a crucial tool which allows member countries to benefit from the advantages (political, military and resource) of working together. Within the planning process, Allies contribute to enhance security and stability, and share the burden of developing and delivering the necessary forces and capabilities needed to achieve the NATO's objectives. The defense planning process prevents the renationalization of defense policies, while at the same time it recognizes national sovereignty.

Key words: NATO, defense, planning, NDPP, step

1. Introduction

The defense ministers of the Allied nations tasked, in 2008, the EWG(R)² to conduct a review of the NDPP³. The capability development is the outcome of their functioning within each of distinct domains.

The capability development is not conducted in a holistic approach. In addition, the deficiencies in providing capabilities and forces for the ongoing operations led the Nations to express the desire for a further review of the NDPP, in order to integrate all the various strands of the capability development.

The elements of the review are the evolving approach and opportunities for increased coherence of the capability development with EU⁴ and partner nations, with the view to avoid (unnecessary) duplications.

The old NDPP (review completed in 2004) introduced a 10 year planning period. The aim is to use of a step-by-step approach to overcome the Alliance shortfalls and to better support the nations' long term planning cycle. A four year planning cycle with four year elements – Political Guidance and FG⁵ – and biannual elements (defense reviews) was adopted and the use of Reinvestment Goals was meant to better support the defense reform and the transformation process of the Nations and of the Alliance as a whole. The

¹ The document is unclassified and all the information has been extracted from unclassified references documents (Romanian and NATO)

² EWG(R) – Executive Working Group (Reinforced)

³ NDPP – NATO Defence Planning Process

⁴ EU – European Union

⁵ FG – Force Goals

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emphasis was placed on a capability-based approach in the process of deriving of the MMR⁶ and the formulating of the FG addressed to Nations.

The NDPP in the Alliance is a crucial tool which allows member countries to benefit from the advantages (political, military and resource) of working together. Within the planning process, Allies contribute to enhance security and stability, and share the burden of developing and delivering the necessary forces and capabilities needed to achieve the NATO's objectives. The defense planning process prevents the renationalization of defense policies, while at the same time it recognizes national sovereignty.

2. Defense Planning process – an overview

2.1. Aim

The aim of defense planning is to provide a framework where national defense planning and NDPP can be harmonized to meet the agreed targets in the most effective way. In other words, defense planning seeks to ensure that the Alliance has necessary forces (interoperable, equipped, trained, supported) – and associated military and non-military capabilities – to undertake the Alliance's full spectrum of missions in accordance with the Strategic Concept⁷.

The NDPP could address some non-military capabilities and expertise to complement the military support to stabilization operations and reconstruction efforts. These

The NDPP has a coherent and comprehensive defense planning process. It applies a specific approach and mechanism through which NATO is bringing its civilian and military side, including the Strategic Commands, closer together by engaging them in a common, functionally integrated approach to the issue of defense planning alongside national planners. Work is done in a functionally integrated manner while at the same time ensuring that products are fully coordinated, coherent, persuasive, clear, result-oriented and delivered on a timely basis.

2.2. Elements

The NDPP consists of five steps or functions. The process is sequential and cyclical in nature, but the frequency of the individual functional activities may vary and the function of the facilitating implementation (step 4) is a continuously activity:

1. establish political guidance;
2. determine requirements;
3. apportion requirements / set the targets;
4. facilitate implementation;
5. review results.

Any of these elements can be conducted out of cycle or at intermediate intervals if it is necessary.

⁶ MMR – Minimum Military Requirements

⁷ The Strategic Concept is an official document that outlines NATO's enduring purpose and nature and its fundamental security tasks. It also identifies the central features of the new security environment, specifies the elements of the Alliance's approach to security and provides guidelines for the adaptation of its military forces. Generally speaking, since the birth of NATO, there have been three distinct periods within which NATO's strategic thinking has evolved: the Cold War period; the immediate post-Cold War period; and the security environment since 9/11.

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At the **first step**, the political guidance provides the goals and the objectives to be met by the Alliance within the framework of the planning process. At this moment is defined the LoA⁸ - what the Alliance should be able to do (qualitative and quantitative capability terms).

The purpose of this step is to establish a unified political guidance document (a single one) for defense planning. The political guidance should reflect the political, military, economical, legal, civil and technological factors which could have an impact on the development of the capabilities. The document will be reviewed at least every 4 years.

The responsibility for preparing the political guidance belongs to EWG(R). The first draft will be elaborated by the Defense Planning Staff Team taking into account the initial inputs provided to EWG(R) by NATO bodies and committees responsible for various planning domains. The draft will be forwarded to EWG(R) for further development by nations. Once this draft is mature, it will be forwarded to NAC/DPC/NPG by EWG(R) for submission to and approval by ministers and endorsement by Heads of State and Government

A detailed analysis will be conducted, within the **second step**, to identify the capabilities required to achieve the LoA and to steer the capability development efforts of Allies. These capabilities will be identified by the SCs⁹. The complete requirements determination will be conducted every 4 years. To ensure flexibility, a mechanism for out-of-cycle adjustments, mid-point revision or updated will be provided.

The results of the analysis will be translated into targets addressed to the Nations. For this reason the SCs will provide rational and transparency in how the requirements have been developed.

After the single set of required capabilities, MCR¹⁰, is determined, the SCs will conduct a comparison between these and the existing and planned national, multinational and NATO owned capabilities potentially available for the operations. The SCs will identify the shortfalls in required capabilities.

This set of shortfalls form a subset of MCR and will be used to derive a set of PSA¹¹ taking into account the risks associated with each shortfall. On the other hand, the comparison will identify the surpluses against the MCR.

The **next function** is apportioning requirements and setting the targets to nations, on the basis of fair burden sharing and reasonable challenge. The targets can be met individually or by using a multinational approach – some targets or target elements can be assigned for collective implementation.

This step is conducted every 4 years, but there is the possibility to introduce out-of – cycle targets, according to the needs of the Alliance or the Nations.

The DPST¹² (initially led by SCs) will develop targets for existing and planned capabilities against the MCR and will consolidate them in the draft target packages, together with their associated priorities and timeframes. Targets are expressed in capability terms and are flexible enough to allow national and multinational implementation.

Each member country has the opportunity to seek clarification on the content of targets and to present its national views on their acceptance during a meeting between the

⁸ LoA – Level of Ambition

⁹ SC – Strategic Commander, i.e. Allied Command Operation (ACO) and Allied Command Transformation

¹⁰ MCR – Minimum capability Requirements, formerly Minimum Military Requirements. MCR will be made available to the Nations

¹¹ PSA - Priority Shortfall Areas

¹² DPST – Defense Planning Staff Team

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relevant national authorities and representatives from the DPST. The DPST will consider the member country's perspective and priorities with the aim of refining the NATO target packages and providing advice on what constitutes a reasonable challenge.

Following discussions with member countries, the leadership of the DPST will transition from the Strategic Commands to the IS¹³. At this point, the DPST will continue to refine and tailor individual draft target packages in line with the principle of reasonable challenge. To ensure transparency and promote Alliance cohesion, packages will be forwarded to Allies with a recommendation of which targets should be retained or removed to respect this principle. Allies will review these packages during a series of multilateral examinations.

Agreed packages are accompanied by a summary report, which is prepared by the Defense Policy and Planning Committee (Reinforced), on the targets as a whole. This will subsequently be forwarded to permanent representatives for submission to defense ministers for adoption. The summary will include an assessment of the potential risk and possible impact caused by the removal of planning targets from packages on the delivery of the Alliance's Level of Ambition.

The **fourth step** is a continuous activity. It seeks to acquire the capabilities by monitoring and encouraging national implementation by facilitation and supporting multinational implementation and by executing collective implementation¹⁴.

The DPST will

- identify further action to be taken, including solution development,
- conduct planning activities and develop proposal for allocating lead responsibility where this has not already been done,
- offer suggestions for multinational solutions,
- and will identify the need for remedial action (if necessary).

The detailed work needed to develop and implement a capability improvement or action plan is carried out by multidisciplinary task forces. These task forces are composed of representatives from all stakeholders, under the lead of a dedicated entity. Each task force is supported by a "Capability Monitor" who keep themselves abreast of progress in the implementation phase and report to all relevant bodies and committees, providing feedback and additional guidance to the task force leader

The **last step**, review results, examines the degree to which the aims and objectives (political objectives, ambitions and associated targets) have been met. It also seeks to offer feed back and direction for the planning process and its associated activities for the next cycle. Capability reviews will be carried out every two years.

The review process starts with the development of NATO Capability Survey, which seeks information on:

- national plans and policy, including on Allies' efforts (national, multinational, collective) to address their targets, and
- on the national inventory of military forces and associated capability, any relevant non-military capabilities potentially available for NATO operations, and NATO financial plans¹⁵.

¹³ International Staff

¹⁴ Outline model for a NATO defense planning process, phase 2 (PO(2009)42

¹⁵ Outline model for a NATO defense planning process, phase 2 (PO(2009)42

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3.Connection to the Romanian Defense Planning

The Romanian Defense Planning is conducted in accordance to the provisions of the Defense Planning Law (473/2004). In accordance to this law, the defense planning is an essential component of the Romanian defense policy. It consists in a complex activities and measures meant to promote the national interests and to define and fulfill the defense-related national security objectives.

The planning process includes the programs, actions and measures initiated by Romania

- to contribute to security and collective defense in the Alliance and EU,
- to continue and enhance the bilateral and multilateral military cooperation,
- and to meet its commitments to other international organizations, agreements and conventions.

In the fig. 1 is presented the provisions of the law, into a graphical form, concerning the main elements of the Defense Planning Process and their functional relations.

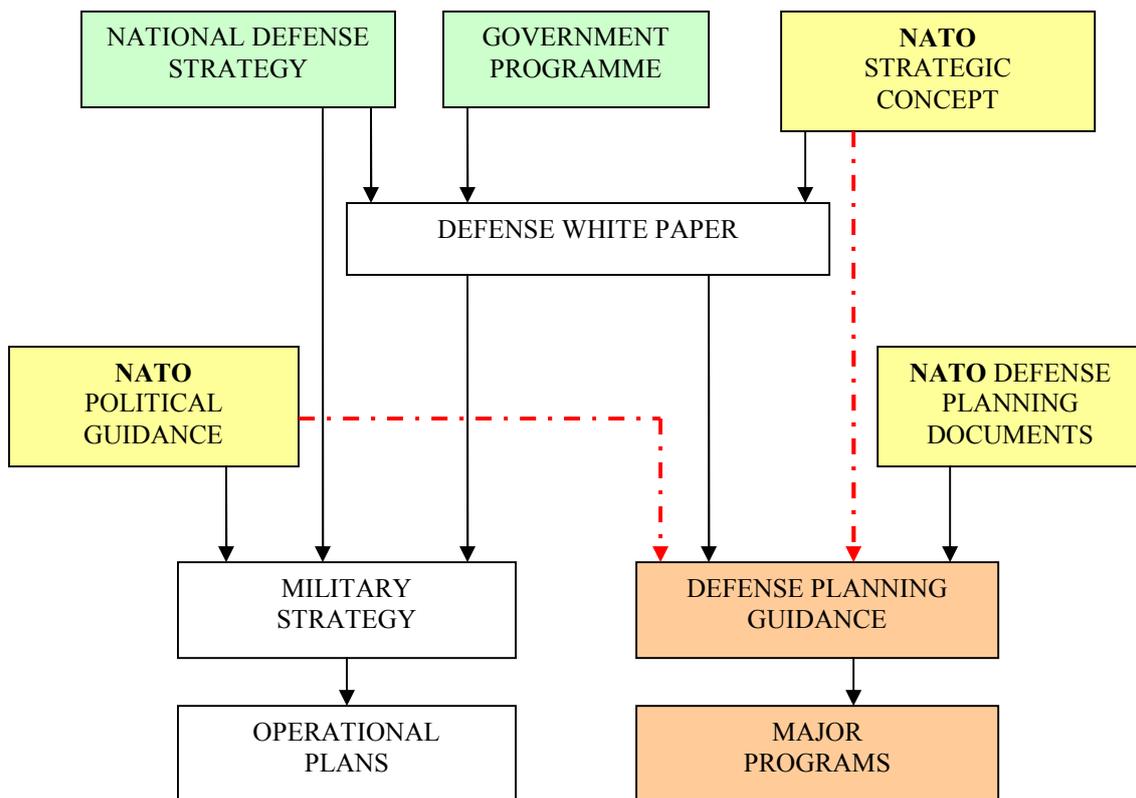


Fig.1 Elements of the National Defense Planning System

The figure shows that the main NATO documents, which direct the NDPP, are used to provide inputs into the main elements of the national defense planning process:

- NATO Strategic Concept has direct inputs into Defense White Paper¹⁶ and indirect inputs into Defense Planning Guidance;

¹⁶ Defense White Paper has 4 years validity.

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- NATO Political Guidance has direct inputs to Military Strategy and indirect inputs to Defense Planning Guidance;
- NATO Defense Planning Documents has direct inputs into the Defense Planning Guidance.

It is obvious that given the functional relations between the NATO documents and the Romanian Defense Planning structural elements, the implications are to be expected following changes/updates of the Alliance's Defense Planning System.

The Romanian Defense Planning System is harmonized with the Alliance's Defense Planning System at two tiers:

1. incorporation of the main provisions of NATO Planning related documents into the national defense planning system at all levels and stages;
2. temporal alignment of these two systems.

At this moment, the temporal alignment has become partial because the Defense Planning Guidance looks at a 6 years time frame, while NATO defense planning period is 10 years.

Why?

- At the time the Defense Planning Guidance was introduced as the main tool of the planning, the NATO defense planning period used to be six years.
 - But the difference is not a problem because, although the Major Programs are designed for a six years time frame, the implementation plans for the force goals are developed for ten years.
- Moreover, the national documents are issued in the relation with the election period – the president and the government are requested to produce new main defense planning documents – and the election years are not synchronized with the years when the Allied main documents are published.
 - This is not a problem because the new main defense planning documents will be in line with the provisions of NATO document that are in force at the time of their approval.

If we looking how the Romanian Defense Planning System was created – to closely interact at all levels and during all stages with the NDPP – updates in the Alliance's Defense Policy will be mirrored in the Romanian defense planning documents.

Changes or updates of the internal mechanism of the NDPP do not have a direct influence on the national defense planning. All the new elements (i.e. multinational approach) must be known and their implementation supported (if these are requested by the Alliance), but they do not have an impact on the regular functioning of the national defense planning mechanism as they are described by the current national laws and regulations.

4. Conclusion

The new NATO Defense Planning Process and the associated procedures developed by EWG(R) have the potential to improve the synergy between all activities related to the development and delivery of capabilities.

The updated mechanisms are though to be flexible enough in order to involve all planning domains, aiming and eliminating the duplication of efforts and thus increasing the overall efficiency.

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The new NATO Defense Planning Process will be able to better assist nations in their efforts to develop necessary capabilities, offering enhanced possibilities for multinational solutions.

The Romanian Defense Planning system will not be critically affected by the new NATO Defense Planning Process. It will continue to adapt to the new NATO political guidance and the evolving mechanism of the Alliance, always trying to deliver in time interoperable capabilities as sought by the agreed target package.

References

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