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**A COMPARATIVE ANALYSIS OF THE NATO DEFENSE
PLANNING PROCESS AND THE NATIONAL DEFENSE
PLANNING PROCESS**

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Abstract:

The present paper intend to address the *NATO Defence Planning Process (NDPP)* and the *National Defence Planning System (NDPS)*¹ in terms of legal framework, definitions, functioning, actors involved and official documents issued within the frame of defence planning. The academic approach of the paper is a *mixture between a description of a several theoretical notions used by NATO and Romania policies, strategies, processes, laws and regulations* within the area of defence planning and a number of *personal viewpoints concerning the adjustment of NDPS to NDPP provisions*. I have made this option due to the *timely and updated NDPP* that has begun this year its first complete cycle since its very beginnings in 2001², considering also important to illustrate *how, where, when and who adapts the NDPS to NDPP provisions*. Therefore, *my initial supposition is saying that the causality condition between NDPP and NDPS enhance the national defence planning system, slightest to higher level decision and mostly to medium and low level decision along the defence planning area*. The chapter 1 of the paper refers to an overview of the national defence planning system giving more than a glance over the legal framework, actors involved, planning documents and definitions within NDPS area.

The above idea is supported along the entire chapter 2 of the paper, that address the process of adaptation of national defence planning to NDPP along the five steps, particularly with reference to the Ministry of National Defence level.

The conclusion of the paper comprises several *personal points of view concerning the synergy between NDPP and NDPS regarding the development and maintaining of credible capabilities by Romania throughout PPBES*.

Keywords: NATO, defense planning, steps

1. Introduction

Why should address the issue of adapting Romanian defence planning system to NATO Defence Planning Process? Are these two military or political issues? These are some of the questions that I am going to find an answer or at least to provide a perspective over its.

NATO is a political and military alliance having the essential purpose to safeguard the freedom and security of its members through political and military means. But what does it mean through political and military means? Each NATO member states agree to embrace the values of the North Atlantic Treaty consisting, generally speaking, in promoting freedom, peace, and security and shared values. If to all or these we add the fact that becoming a NATO member the states do not lose their sovereignty, which is a genuine state attribute, it becomes clear that the decision along NATO stand in the politician hands.

¹ The notion and acronym are not supported by any official paper.

² The reference stands for the current NATO defence planning process philosophy - capability based planning

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A NATO decision is the expression of the collective will of all 28 member countries since all decisions are taken by [consensus](#) within the North Atlantic Council which is the highest decision making authority where nations are represented by presidents or chief of governments. Alternatively, by military means NATO is committed to the peaceful resolution of disputes. But if the diplomacy fails, then the Alliance has to have the military capacity to fulfil, in accordance with international law, the two of three core tasks namely collective defence³ and crisis management⁴.

In order to reach or to maintain that credible military capacity Allies undertake to provide, individually or together, the forces and capabilities needed for NATO to fulfil its security and defence objectives. The NATO Defence Planning Process (NDPP) is the primary means to identify the required capabilities and promote their timely and coherent development and acquisition by Allies. By participating to NDPP and, as I mentioned above, without losing their sovereignty, Allies harmonize their national defence plans with those of NATO to identify, develop and deliver a fair share of the overall forces and capabilities needed for the Alliance to be able to undertake its full range of missions.

The NDPP is designed to influence national defence planning efforts and identifies and prioritises NATO's future capability requirements, apportions those requirements to each Ally as targets, facilitates their implementation and regularly assesses progress and take the necessary measures to improve or correct it, if necessary. It provides the framework for the harmonization of national and Alliance defence planning activities aimed at the timely development and delivery of all the capabilities, military and non-military, needed to meet the agreed security and defence objectives inherent to the Strategic Concept.

Therefore, Romania, as a NATO member state, takes part to NDPP and, based on political decisions, assumes commitments to NATO that are converted within the national defence planning system into several provisions captured by the laws, strategies, guidance, programs, plans which govern the area of national defence planning.

At the same time, according to the National Defence Strategy⁵, Romania is a national, sovereign and independent state that seeks to promote and protect its national interests in compliance with its NATO and European Union member status.

Defence planning is an essential part of the defence policy which together with military international cooperation and military diplomacy defines and accomplishes the defence policy objectives, Romanian Army missions and military objectives. In this respect, Ministry of National Defence (MoD), as the national designated authorities to conduct and implement the defence planning activities plays a key role in the defence planning area.

2. Overview of the National Defence Planning System

2.1 Legal framework

The legal framework that rules the National Defence Planning System comprises in a number of laws that regulates the defence planning, budget and finance activities or functioning and competency of the actors, administrative authorities with responsibilities within the national defence planning. Under the above mentioned legislative framework that set out the legal basis at the national level, at the MoD level and in full respect of the

³ This task is carried out under article 5 of the Washington Treaty - NATO's founding treaty

⁴ This task is carried out under a UN mandate, alone or in cooperation with other countries and international organizations.

⁵ National Defence Strategy adopted through Parliament Decision no 30/4.11.2008

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national legislation and NDPP provisions, defence planning is put in place, starting with 2001, within a tool called Planning, Programming, Budgeting and Evaluation System (PPBES).

The defence planning process is founded on the basis of the Law no. 473/2004 on defence planning, which provides the national legal framework for it. The law streamlines the national defence process and mechanisms by detailing the main national and departmental planning documents, as well as the responsibilities of national institutions and bodies acting in the areas of national security and defence. Moreover, the law provides compliance of national defence planning with NATO's defence planning process.

Due to the fact that the political-military environment has changed since 2004 and the MoND command and force structures are planned to be revised, this law is being reviewed in order to take into account all these changes. Consequently, the new drafted law takes into consideration the NATO's new planning process and envisages a 10 years planning period instead of 6 years as it is for now. All the other changes that the new drafted law comprises will be address consequently at their relevant topics.

Apart of the Law no. 473/2004 on defence planning there are other several laws that have significant inputs into the area of national defence planning. Two of them are related to the financial and budgetary fields and the other two settles the organizing and functioning of two major actors within national defence planning system.

Then, the Law no. 500/2002 on Public Finance stipulates concerning our area of concern, among general procedures, two landmarks: the budget holders' responsibilities and the budget time frame and the budgetary programs. As a consequence of its provision, the Law on the budget, which is the other law that bring more accurate information regarding the budget within the national defence planning system, is annually. Therefore, the administrative authorities will have their budget spitted on budgetary chapters and respective budget holders within the law on the budget.

Shifting to the major actors primarily involved in the national defence planning system it is the proper time to clearly state that „*national defence planning is accomplished based on political decisions of the President of Romania and Romania's Government, both endorsed by the Supreme Council of National Defence, and sanctioned by the Parliament. It also includes those measures and actions taken by other public institutions, which have legal responsibilities in the field of national defence.*”⁶

The first part of this provision regarding the political decisions of the President, Parliament and Govern should be usually supported by The Supreme Council of National Defence (SCND), which is the highest decision making body in the field of security and national defence.

The second part of the provision is addressed mainly to Ministry of National Defence that is the foremost administrative authorities in defending the country and, therefore in national defence planning.

Both administrative authorities, SCND and MoND, have their own laws on the organizing and functioning⁷ that depicts their responsibilities and roles.

Apart of the President, Parliament, Govern and MoND there are other several public authorities which have their own responsibilities and roles within the national defence

⁶ The draft of the new law on defence planning, art. 3, line 4

⁷ Law no. 415/2002 – The Law on the organizing and functioning of the Supreme Council of National Defence and Law 346/2006 – The Law on the organizing and functioning of the Ministry of National Defence

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planning. Thus, civil emergency planning, whatever is a defence planning domain, falls under a specific law provisions being a responsibility of Ministry of Interior which is supported by MoND under a Memorandum of Understanding provisions.

Similar to the above mentions, those commitments that Romania must to fulfil in NATO and EU and involved non-military capability and exceed MoND responsibility could be subjects of other ministries or governmental agencies under the coordination of SCND, with MoND in support regarding speciality expertise.

To sum up, as it results from what it was written above, the legal framework that regulates the national defence planning field comprises in one law specially designated to regulates the field and other several laws whose part of the provisions serve as inputs within the field. Moreover, based on the provisions of all of these laws there are other several planning documents that are issued at the ministries and agencies level and stand for internal regulations.

2.2 Planning documents, actors and governance within NDPS

As I have mention above, the national defence planning system is based on and consistent with political guidance provided by either the national authorities which have responsibilities in the field of national defence or by international political-military organisations in which Romania is member, namely the North Atlantic Treaty Organisation (NATO) and the European Union (EU).

The main strategic documents that substantiate the defence planning at national level are: the *National Defence Strategy* and the *Governance Programme*.

At the departmental level, at MoND level, the defence planning documents are: the *Defence White Paper*, the *Military Strategy*, the *Defence Planning Guidance*, the *Major Programmes* and the *Annual Plans*.

The defence planning documents at national and departmental level take into account the commitments and recommendations resulted from: NATO defence planning process, the **Alliance's Strategic Concept**, the **NATO Political Guidance**, the **European Union Security Strategy**, **strategic scenarios and operational planning documents** and **any other relevant defence planning papers issued by NATO and EU**.

The *National Defence Strategy (NDS)* is the basic document that substantiates the defence planning at national level comprising:

- the national security values, interests and objectives;
- the assessment of the international security environment;
- the potential risks, identified threatens and vulnerabilities;
- the strategic objectives and the priorities in the defence field, as well as the main actions to be undertaken in order to assure the Romanian national security in the defence field.

The President of Romania drafts and presents the NDS in the Parliament plenary within 6 months⁸ from sworn into office. The Parliament debates and approves the Strategy by joint Parliamentary Decision of the two Chambers.

If significant changes in the security environment occur while the Strategy is in force, the President of Romania may initiate the process of amending/adjusting the document accordingly, followed by Parliament's approval in urgent procedure. NDS covers a period of 5 years⁹ and comprises long term provisions.

⁸ within 60 days from sworn into office according to the new draft law on defence planning

⁹ a presidential mandate including, in addition, medium and long-term provisions.

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The *Governance Programme* set the objectives, priorities and guidance within the defence field that the Government pledges to achieve along its mandate.

The Defence White Paper (DWP) is issued by the Ministry of National Defence in order to enforce the provisions of the National Security Strategy and the defence objectives lay down by Government Programme and in accordance with the NATO Strategic Concept.

The Defence White Paper sets out:

- defence policy objectives – area policy in the area of defence
- measures and actions to be taken in order to achieve them;
- Armed Forces' specific missions and requirements;
- policies in the field of human and material resources, infrastructure, procurement and in the area of managing the relationship with the defence industry;
- financial resources to be provided ,under the form of a strategic expenditure plan;

The Defence White Paper is endorsed by Government and the Supreme Defence Council, and then approved by Parliament no later than 6 months after the vote of confidence is granted to the Government. It covers a period of 4 years and encompasses long term provisions and may be revised in case the National Defence Strategy is amended or a new Strategy is issued, or if circumstances require.

The Defence White Paper is the basis regarding policy, domains strategies and priorities established to be address by the MoND within the request on annually drafted budget.

The Military Strategy (MS) is issued by the MoND based on NDS, DWP and relevant NATO and EU documents.

The Military Strategy includes:

- the potential security risks and threats identified from a military viewpoint;
- the national military objectives;
- the defence capabilities¹⁰ and priorities in their establishing;
- Romanian Army's force structure and guidelines regarding its configuration, sizeing, training and endowment;
- the strategic and operational concepts established to fulfil these objectives and the Armed Forces' missions.

The Defence Planning Guidance (DPG) is developed by the Ministry of National Defence based on the National Defence Strategy, Defence White Paper and NATO and EU relevant documents.

The Defence Planning Guidance is a ten year planning document, updated annually that includes:

- the objectives and priorities of the Ministry of National Defence;
- the Major Programmes' titles and their programme managers;
- the specific objectives and their capabilities for each Major Programme;
- the budget line for each Major Programme.

The DPG is approved by the Minister of National Defence, after being endorsed by the Defence Planning Council, which is the deliberative body empowered to decide on the major objectives and actions to be undertaken for fulfilling the tasks of Ministry of National Defence, and on the quantity, structure and allocation of the necessary resources as well.

¹⁰ Capability is the ability to execute the required actions in order to achieve the desired objectives.

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Once the DPG is issued the strategic/national planning phase ends and MoND level planning phase starts under PPBES framework. The PPBES mechanism used by MoND offers the necessary tools for the democratic oversight over the formulation and implementation of defence policy. It also allows a proper correlation between defence objectives/tasks that shall be achieved/executed and the allocated resources. In addition, it allows an audit of MPs implementation status and budget execution.

*The Major Programmes*¹¹ are developed at the level of Ministry of National Defence, based on the DPG, and include all specific measures and actions carried out for the establishment, modernization, procurement, training, maintenance of the armed forces at peace time, and for their preparation for missions abroad as well as for crisis and war contingencies, ensuring optimal condition for personnel, providing logistics support and rations for mobilization and war, development and maintenance of infrastructure for military operations under NATO collective defence, international cooperation, as well as the resources allocated annually for achieving the here above measures and actions. The establishment of a capability takes into account a complex of actions and measures in a broad perspective including doctrine, organization, training, materiel, leadership development, personnel, facilities, and interoperability elements.

The Major Programmes' development and implementation falls under the responsibility of the Programme Managers which is the head of a structure responsible for generating capabilities. In order to accomplish this task, he is given the necessary human, material and financial resources, and specific objectives are assigned. On the other side, the Major Programme's oversight and monitoring falls under the responsibility of the central defence planning structure from the Ministry of National Defence level.

The Major Programmes are generated annually, with a time horizon of 6¹² years.

Basically, the major programmes are the instruments that translate the long term objectives stated in the NDS, DWP and DPG to medium term objective and relate them with allocated resources.

The Annual Plans are developed by the major programme managers based on the Major Programmes, the funds from the State budget allocated for the current year, taking into account the previous year's budget execution, and also including the degree of accomplishment of the approved programme indicators.

The Annual Plans represents the first year of a major programme, its proposed measures and actions being updated accordingly to budget adjustments. The Annual Plans execution status represents inputs for the next major programm cycle.

Apart of the above defence planning documents that are related moreover to resource planning field, there are other several plans issued within MoND that put in place measures and actions related furthermore to capability planning within NDPP. The defence planning aim is also to support the national operational planning process in order to fulfil the missions and objectives in the defence field.

Consequently, the *Plans on Implementing Capability Targets* stands for the activities, measures and resources to implement the national and multinational capabilities targets committed to NATO based on NDPP provisions. Likewise, *The Strategic Scenarios, The Permanent Defence Plans and Contingency Plans* include the missions, the relevant scenarios, the forces to be employed, the financial, human and material resources to be allocated and the course of action for their implementation.

¹¹ As it defined in Article 2 paragraph 37 of Law 500/2002 on public finances, as amended and complemented, as well as the meaning of "budgetary program".

¹² 10 years , according to the new draft law on defence planning

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THE NATIONAL DEFENCE PLANNING SYSTEM CHART

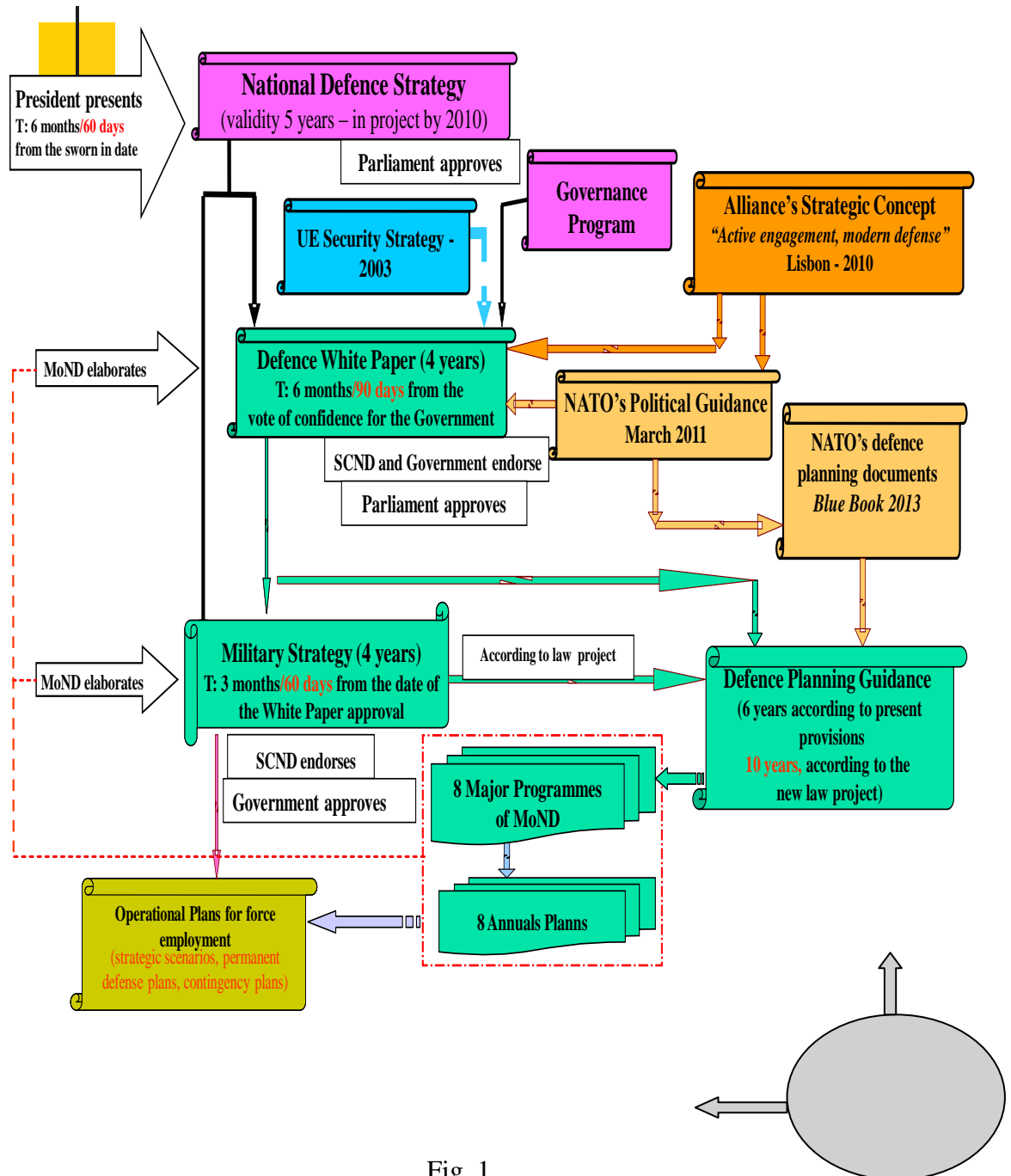


Fig. 1

Coming back to **PPBES**, some mentions must be made in order to stressed its main role as a tool in the hands of decision stakeholders but **the multi-annual planning cycle**, as its quintessence, **which is the basic planning mechanism** that ensures the MoND long-term sustainability and its **5 yearly phases** (*planning, programming, budgeting, and execution/evaluation*) that ensures fulfilment of the medium and short term objectives based on the resource allocation and provide feed- back to the next cycles of planning.

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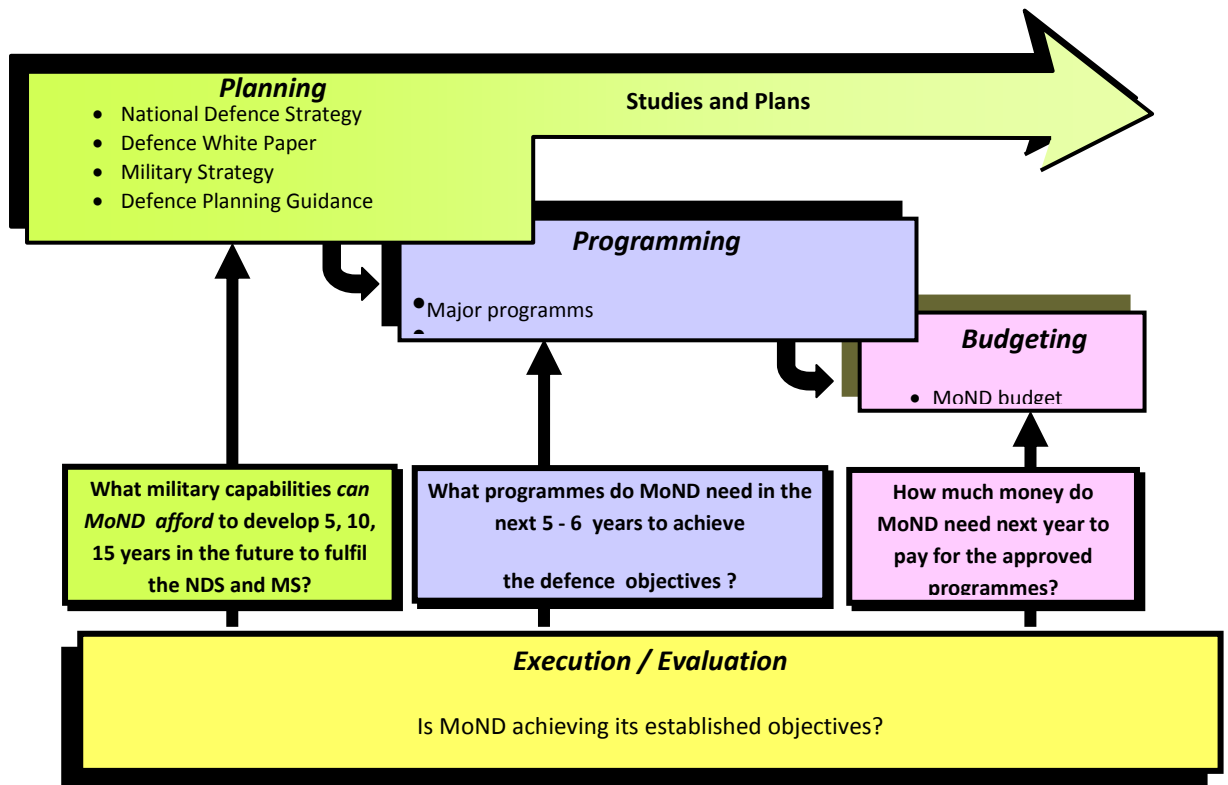


Fig. 2

In the *planning phase* the MoND priorities and objectives, based on the approved national and international politico-military policies and planning documents and the necessary financial resources to achieve these objectives are defined. It also includes the process of projection of combat forces, command and administrative structures. This phase has as the output the issuing of long-term strategies and plans.

In the *programming phase* the concrete actions and activities meant to be taken in order to ensure the implementation of the major programmes general and specific objectives described by DPG. The Programming phase is about how to convert from long term objectives to medium term objectives and with what resources.

Within the *budgeting phase*, all major programmes activities costs are evaluated (i.e. personnel, acquisition, maintenance and operation, infrastructure costs) and translated into a financial plan (Annual Plan), in both national and NATO categories of expenditures. During the budgeting phase, the first programmed year is translated into financial details and the programme costs into annual funding requirements. At this stage the defence budget is approved.

In the *execution phase* the *evaluation process* is also conducted. If during the evaluation process a need/requirement for improving the major programmes execution phase is identified, the appropriate measures shall be taken in order to make the necessary corrections. The evaluation process is conducted bi-directional: a regular evaluation during each phase and a final evaluation (annual review) at the end of the PPBES cycle, which is the end of fiscal year. During evaluation process, the specialized planning structures from major programmes directors, General Staff and Department for defence policy and planning analyse and assess the sustainability and affordability of the established objectives and the progress made in implementing them.

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The results of regular analyses and the annual review conduct to adjustment of several plans (annual plans, Capability target plan) and later on taken into consideration at the new DPG preparation. Also, the evaluation phase of the first PPBES cycle have impact on programming and budgeting phases within the second cycle and on planning phase from the third cycle. As a result, the major programmes directors, their planning staff and MoND level experts are involved in more than one PPBES cycle at the same time which makes the activities within PPBES very complex and challenging.

3. Adapting NDPS to NDPP

The issue of adapting National Defence Planning System to NATO Defence Planning Process could be at first sight a matter of misunderstandings in terms of systems theory approach, as long as, generally, a system consists, apart of principles, rules, elements etc of one or more processes that influence the system performance and not on the other way round.

To begin with a more clear understanding it will be helpful to take a look on what the NDPS and NDPP stands for as long as a wide range accepted definitions are not available.

NDPS it provides the frame for national defence planning to promote national interests and fulfil the national security objectives in the defence field, as well as to perform those actions needed to comply with NATO and EU requirements regarding the national defence actions.

NDPP is designed to influence national defence planning efforts and identifies and prioritises NATO's future capability requirements, apportions those requirements to each Ally as targets, facilitates their implementation and regularly assesses progress. It provides a framework for the harmonisation of national and Alliance defence planning activities aimed at the timely development and delivery of all the capabilities, military and non-military, needed to meet the agreed security and defence objectives inherent to the Strategic Concept.

Hence, NDPP is interested in influencing the NDPS, foremost in its part that address the national will in establishing, developing and sustaining the capabilities committed to the Alliance.

Within the next lines I would like to have a glance over the NDPP five steps and to come up with the each step implications over the national defence planning.

3.1 Within NDPP step1 - Establish political guidance

Political guidance sets out the overall aims and objectives to be met by the Alliance. It translates guidance from higher strategic policy documents, such as the Strategic Concept, in sufficient detail to direct the defence planning efforts of the planning domains in order to determine the capabilities required.

Political guidance aims at defining the number, scale and nature of the operations the Alliance should be able to conduct in the future (commonly referred to as NATO's Level of Ambition). It also defines the qualitative capability requirements to support this ambition. By doing so, it steers capability development efforts within the Allies and NATO. It defines associated priorities and timelines for use by the planning domains.

Within this step, Romania (especially Ministry of Foreign Affairs and Ministry of National Defence representatives), along with the other Allies, support the effort of issuing of the Political Guidance throughout the national viewpoints expressed by national experts and decision makers within the various discussions that take place in order to reach the consensus among the Allies.

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3.2 Within NDPP step 2 - Determine requirements

The NDPP step 2 is, along with step 1 (establish political guidance) an internal business of NATO, meaning that the nations are not playing a very important role in spite of being invited to participate to working sessions at NATO level.

NATO's capability requirements (current and future) are consolidated into a single list called the Minimum Capability Requirements. These requirements are identified by the planning domains and the two Strategic Commands (Allied Command Operations (ACO) and Allied Command Transformation (ACT)). ACT has the lead in determining the requirements. The process is structured, comprehensive, transparent and traceable and uses analytical tools coupled with relevant NATO expert analysis. This is done once every four years, although out-of-cycle activity for particular capabilities can be undertaken as circumstances dictate.

Like the step 1 case, Romania through MoND experts, can be involved to NATO's working group activities within the Alliance spirit of transparency regarding the process of determine requirements and shortfalls.

3.3 Within NDPP step 3 - Apportion requirements and set targets

Target setting apportions the Minimum Capability Requirements to the Allies (either individually or as part of an agreed multinational undertaking) and NATO entities in the form of target packages. The apportionment process aims to apply the principles of fair burden-sharing and reasonable challenge.

The Strategic Commands (with ACT in the lead) develop a target package for each Ally for existing and future capabilities, with associated priorities and timelines. Targets are expressed in capability terms and are flexible enough to allow innovative solutions to be developed rather than replacing 'like with like'.

Once each Ally has been consulted, the International Staff replaces the Strategic Commands in leading the process. Target packages are forwarded to Allies with a recommendation of which targets should be retained or removed. Allies review these packages during a series of Multilateral Examinations and agree a target package for each Ally on the basis of "consensus minus one", meaning that a single Ally cannot veto what otherwise would be a unanimous decision on its own target package.

Agreed target packages are subsequently forwarded to Allies for submission to defence ministers for adoption. A summary report is also prepared which includes an assessment of the potential risk and possible impact caused by the removal of targets from packages on the delivery of the Alliance's Level of Ambition.

Within the step 3, the drafted capability package addressed to Romania is analyzed within MoND in cooperation with other ministries or national agencies for those targets that exceeds the MoND responsibility. The analyze process outcome consist in Romania position regarding the acceptance level of each capability target and the proposed ways of implementing them.

This paper is submitted to NATO and represents the basis for next consultations within bilateral discussions NATO-Romania. Coming after the bilateral consultations, Romania take part to the multilateral consultations „28 minus 1” that establish the consolidated capability targets package for each Ally, and later on assumed the agreed commitments through minister of national defence approval.

3.4 Within NDPP step 4 - Facilitate implementation

This step assists national measures, facilitates multinational initiatives and directs NATO efforts to satisfy agreed targets and priorities in a coherent and timely manner. Unlike other steps in the process, this step – or function - is continuous in nature.

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At the MoND level, the forth NDPP step consist of the process of issuing the Implementation Plans of Capabilities Targets that are implemented through the major programm within MoND.

3.5 Within NDPP step 5 - Review results

This step seeks to examine the degree to which NATO's political objectives, ambitions and associated targets have been met and to offer feedback and direction for the next cycle of the defence planning process. Step 5 provides an overall assessment of the degree to which the Alliance's forces and capabilities are able to meet the political guidance, including the NATO Level of Ambition. It is carried out by a Defence Planning Capability Review (DPCS) which scrutinises and assesses Allies' defence and financial plans.

Every two years, Allies complete a Defence Planning Capability Survey which seeks data on Allies' national plans and policies, including efforts (national, multinational and collective) to address their capability targets. The survey also seeks information on the national inventory of military forces and associated capabilities, any relevant non-military capabilities potentially available for Alliance operations and national financial plans.

On the basis of this and the individual assessments, the DPPC prepares a NATO Capabilities Report, highlighting individual and collective progress on capability development as it relates to NATO's Level of Ambition.

At MoND level the review results consist in filling and transmitting the information requested by NATO within DPCS and also in several internal evaluations aiming to evaluate the capabilities targets implementation status, the annual plans and major programmes execution. All these evaluations fall under the execution/evaluation phase within PPBES.

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THE NATO DEFENCE PLANNING PROCESS CHART

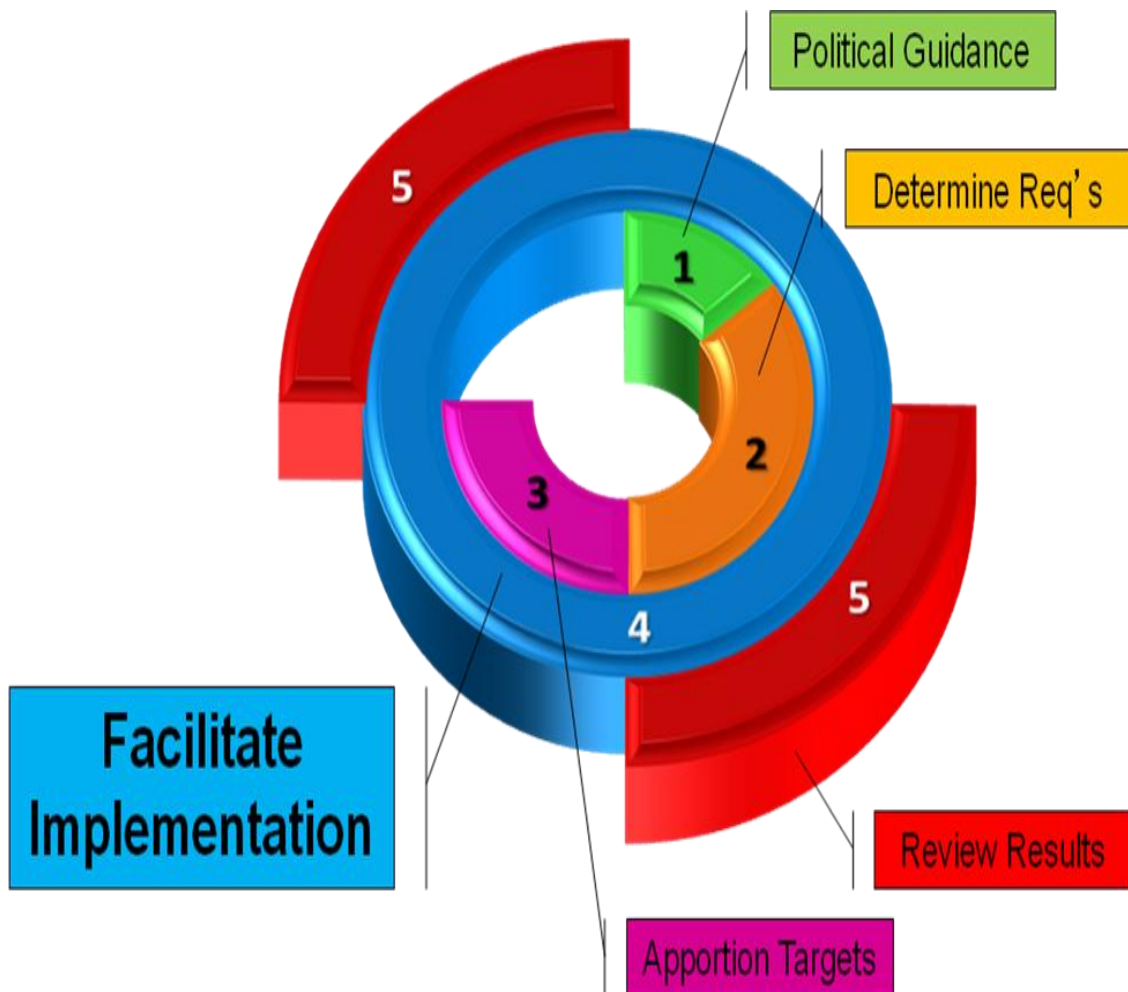


Fig. 3

4. Conclusion

Adapting the National Planning Defence System to NATO Defence Planning Process represents one of the consequences of being a NATO member country. Although NATO does not request to the nations a specific national defence system, the Alliance request the alignment of national plans with NATO's plans and encourage nations to invest mainly in those capabilities included in the Capability Package committed by nations to NATO. Therefore, the Alliance is particularly interested in the process of establishing, developing and sustaining of the committed capabilities within nations, throughout a capability based planning process, namely NDPP.

On the other hand, the Romanian defence planning system stands for wider purposes related to promoting national interests and fulfils the national security objectives in the defence field. Within NDPS are perform, as well, those actions needed to comply with NATO and EU requirements regarding the national defence actions. Therefore, some

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adjustments within NDPS have to be made to comply with the NDPP provisions particularly regarding the process of building up, developing and maintaining the national capabilities within NDPS.

At present, Romania is within the crucial phase of building up the critical and relevant capabilities. Thus, Romanian capability based planning system consists mainly in setting up the capabilities that Romania committed to NATO within NDPP.

In Romania, the national public authority responsible for the building up, developing and maintaining the military capabilities is The Ministry of National Defence (MoND). For the non-military capabilities committed by Romania to NATO, arrangements among the public authorities involved must be put in place.

The process of building up, developing and sustaining the military capabilities at the MoND level is implemented through a resource planning system that consists in integration in a timely manner of capabilities, priorities and financial resources, using as a implementing tool The Planning, Programming, Budgeting and Evaluation System (PPBES).

Generally speaking, PPBES it has to be seen, also, as a tool to implement the democratic control over the Romanian Army. Thus, Defence Planning Guidance is the paper that connects, for the first time along the process, the objectives, the missions, the capability development process with financial resources and their way of allocation among the major programmes holders and setting up a priority in allocation of financial resources.

In the light of the all considerations from above, I am going to address forward several take away key points:

1. Romania is a NATO and EU member country being beneficiary of collective defence and mutual defence clauses. Therefore all the activities in the national defence area, including defence planning have to start from this fact;

2. Romania, like all the other Allies keeps its sovereignty. Thus, its NDPS is established based on the national political, judicial, social, cultural etc frame. Still, NDPS is influenced by NDPP by:

- a) aligning the national plans for defence to NATO plans;
- b) investing in those capabilities committed to NATO;
- c) persuade countries to spend a minimum of 2% of their Gross Domestic Product (GDP) on defence and 20% of their defence budgets on major equipment, including related Research & Development¹³.

3. The new cycle of NDPP starts this year with a new Political Guidance and a long term approach of 10 years;

4. A new defence planning law has been issued by MoND to comply with the provisions of the new NDPP frame;

5. NDPS could be split in two parts:

- a) strategic/political level – slightly influenced by NDPP;
- b) departamental/MoND level – very influenced by NDPP;

6. NDPS is a top to down approach up to the programming phase of PPBES; this point forward the approach is down to top;

7. being a top to down approach system at strategic level, if one of the document from the strategic level is not issued in due time is going to affect the process by affecting the scope, objectives, missions that are set up at this level within NDS, GP, WDP and MS;

¹³ Wales Summit Declaration 2014, issued by the Heads of State and Government participating in the meeting of the North Atlantic Council in Wales

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8. The timeline of issuing the official papers at the national level (NDS, GP and WDP) is related to the presidential or/and government mandate length, being irrespective of NDPP provisions;

9. Also, different timeline between NDPP and PPBES as follows:

- a) NDPP consists of five steps conducted over a period of four years. It address also to medium (5 years) and long term capability planning (10 years) within the *step 3 - Apportion requirements and set targets*;
- b) PPBES consist, also, in four phases, but, over a period of 1 year. It address also to medium (5 years) and long term capability planning (10 years) regarding the process of capabilities generation;
- c) In terms of resources allocation, PPBES is influenced by the fiscal-budgetary strategy that estimates the resources for four years, the annually budgetary limits that set up the resources ceiling for the major programmes and by the annually budget which substantiate the budget for the Annual Plan (first year of a major programme).

10. Regarding the national capability based planning process it can be assumed that the gap between the needed capability and the existing ones it can not be identified as long as there is no ceiling set up regarding the needed capabilities. That ceiling should stand for the national LoA as a result of political decision holders. Consequently, the gap should be the primary area of national concern and the related risks to be assumed at the highest level of political decision in the national defence field, namely SCND;

11. The lack of a legal frame to facilitate the cooperation between MoND and the other public authorities responsible for carrying out the process of establishing, developing and sustaining of non-military capabilities;

12. The little efficiency of the evaluation process and insufficient implication of the political side in the defence planning, particularly SCND.

All in one, NDPP influences the NDPS along all its levels, by posing some issues to national level that were integrated into the documents issued at this level (NDS, WPD, MS), but mostly the departmental planning level and its tool, the PPBES.

Accordingly, the assumptions stated at the beginning of the paper which stands for the influence of the NDPP over NDPS in a slightest manner to higher level decision and mostly to medium and low level decision along the defence planning area, has been confirmed.

5. References

- [1] *National Defence Strategy* adopted through Parliament Decision no 30/4.11.2008
- [2] *White Defence Paper for Defence*, 2013
- [3] *Law no. 473/2006* – The Law on defence planning
- [4] *The draft of the new law on defence planning*
- [5] *Law no. 415/2002* – The Law on the organizing and functioning of the Supreme Council of National Defence
- [6] *Law 346/2006* – The Law on the organizing and functioning of the Ministry of National Defence
- [7] *Law no. 500/2002* – The law on Public Finance
- [8] www.nato.int
- [9] www.mapn.ro