

Draft **Exercise Policy of the European Union**

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I. Introduction

1. In accordance with the conclusions of the European Council at Cologne, Helsinki, Feira and Nice, the European Union is developing both its military and civilian crisis management capabilities in a coherent framework encompassing the instruments pertaining to different pillars across the whole range of Petersberg tasks as defined in the Treaty covering humanitarian and rescue tasks, peacekeeping and tasks of combat forces in crisis management, including peacemaking. This will be in support of the CFSP and will also strengthen the Union's contribution to international peace and security in accordance with the principles of the UN Charter.
2. The EU needs to be able to carry out effectively its role in the field of crisis management. Therefore, the EU must ensure that structures, procedures and arrangements are properly tested and validated through exercises in order to ensure appropriate readiness and efficient functioning in a crisis. Exercises can also indicate possible requirements for new capabilities and represent a valuable means to demonstrate the solidarity between the Member States of the Union and their willingness to contribute to conflict prevention and crisis management. Hence, exercises contribute substantially to the credibility of the CESDP in support of the CFSP.
3. The Union is developing an autonomous capacity to take decisions and, where NATO as whole is not engaged, to launch and then to conduct EU-led military operations in response to international crises in support of the objectives of the CFSP. This requires adequate military capabilities and effective decision-making arrangements. NATO elements like assured access to NATO planning capabilities and presumed availability of pre-identified assets and capabilities are also of particular importance for EU-led operations.
4. In the civilian field, a number of measures have been taken to enhance and to improve the co-ordination of civilian crisis management resources and instruments of the Community, Union and the Member States. Ensuring their rapid and smooth deployment, in particular the effective co-ordination between civil and military instruments, is one of the main objectives in testing crisis management procedures so that they can be adapted in the light of experience.

5. This EU Exercise Policy is developed in full respect of the EU single institutional framework. It identifies the EU requirements for exercises and categories of exercises, and will be the basis for the effective implementation of all EU exercises. Subsequent conceptual and technical exercise documents will be based on this document.
6. The exercise policy will be revised as necessary in the light of further developments in the EU, in particular the entry into force of the Treaty of Nice.

II. EU Requirements for exercises

7. Exercise objectives will be defined according to the spectrum of exercise requirements as set out in this section. This becomes important in the context of programming and in the design of each individual exercise (elaboration of exercise specifications). The number and complexity of selected objectives for an individual exercise will determine the effort (time, personnel and money) required for the planning and conduct of the exercise.
8. In general, the following aspects would need to be covered by exercises: (1) the Union's internal structures and mechanisms, in particular the interaction among EU institutional actors and Member States (2) the whole range of civilian and military instruments available and their interaction in a comprehensive, coherent and co-ordinated manner; (3) the strategic partnership between the EU and NATO in the management of crises, with due regard for the two organisations' decision-making autonomy; (4) consultation with and participation of non-EU European NATO members and other countries which are candidates for accession to the EU; (5) consultation and co-operation with other international organisations like the UN, the OSCE and the Council of Europe; (6) consultation and participation of other potential partners.
9. As the Union is following a comprehensive approach, any action on Petersberg-type assignments may require a strong synergy between military and civilian components. Exercises must contribute to the achievement of this objective. They should involve both military and civil assets and capabilities as well as instruments of the Community, the Union and Member States'. In its exercises the EU will also address public relations aspects comprehensively.

10. The Union's determination to increase and improve its capacity to respond effectively to crises includes actions in civilian areas in which the Commission will play a prominent role. Furthermore, Member States have undertaken to strengthen their crisis response capacity in the field of police, the strengthening of the rule of law, civil administration and civil protection. These civilian capacities and the interaction between Community, the Union and Member States' resources and instruments will need to be tested in exercises.
11. The Union does not have a permanent military command structure. For crisis management operations involving military force a range of exercises will be necessary to ensure that all levels of the chain of command from the relevant Council instances to potential Operation Headquarters (OHQ) and Force Headquarters (FHQ) level (whether provided by Member States -national and multinational headquarters- or NATO), are exercised in accordance with crisis management procedures. The EU must exercise each of these possible courses of action, from the Political and Security Committee (PSC) ensuring the political control and strategic direction, down to the level of Forces Headquarters (FHQ). Normally only two levels of command would be exercised at any one time. For those aspects of such crisis management exercises involving military capabilities which have a civilian dimension, the appropriate involvement of the Commission and the relevant bodies and structures within the Council will be necessary.
12. The EU is committed to strengthening its institutional and practical co-operation with NATO on the question of military responses to crises to ensure effective crisis management. In this context, key elements are the assured access to NATO planning capabilities and the presumed availability of pre-identified NATO assets and capabilities in times of crisis, which will need to be tested in exercises. Co-operation will take place inter alia in full respect of the decision-making autonomy of the EU and NATO, each organisation dealing with the other on an equal footing and without discrimination against any of the Member States. Lessons learnt from joint WEU/NATO exercises (CMX/CRISEX 2000 and JES01) could be taken into account as appropriate.
13. The EU is also committed to dialogue, consultation and co-operation with non-EU European NATO members and other countries who are candidates for accession to the EU as well as other prospective partners in EU-led crisis management. These arrangements too will need to be covered in relevant exercises.

14. EU's operational capacities could also be used in response to a request by a lead organisation like the UN or the OSCE. Exercises must contribute to this objective. Relevant modalities for EU contributions to UN- and OSCE-led missions will need to be developed and tested as appropriate. Exercises should therefore, as appropriate, involve observers and/or participation from these organisations. Co-operation with other organisations, including NGOs could be given consideration.
15. Given the EU's place within the European security architecture, exercises need to be carried out on the basis of necessary transparency and complementarity between the EU and other organisations, the economy of resources and the avoidance of unnecessary duplication. The EU will co-ordinate its exercise programme with those of Member States, NATO/PfP and other relevant organisations as much and as early as possible. Experience gained in exercises in the form of lessons learnt should be exchanged.

III. Categories of Exercises

16. For the effective implementation of EU-led operations, the European Union will have to determine, according to the requirements of the case, whether it will conduct
 - EU-led operations using NATO assets and capabilities or
 - EU-led operations without recourse to NATO assets and capabilities.The Union must exercise each of these possible courses of actions as well as the pre-decisional phase where both options are open.
17. The design of each individual exercise will depend on the selection of and the focus on specific exercise objectives. EU Exercises can include the following:
 - a) The EU will need to test its crisis management procedures, measures and arrangements at the strategic politico-military level. This will require crisis management exercises (CME) involving the Member States (capitals and delegations), the relevant Council instances, the Secretary General/High Representative, the Commission and other levels as appropriate. Appropriate structures and modalities established for dialogue and consultation with NATO and third countries respectively can also be subject to such exercises. Legal arrangements such as status of forces agreements and host nation

support should also be exercised.

- b) EU Exercises could also test the ability of the EU to deploy and to co-ordinate in the crisis area a combination of civilian and military instruments in a timely and co-ordinated manner. The degree of involvement of headquarters (OHQ/FHQ, military and/or civilian, i.e. for police forces), depends on the selected objectives in this regard.
- c) EU's contributions to civil crisis management will be the subject of specific EU Exercises. These will involve Member States, the Commission, the co-ordinating mechanism for civil crisis management, other relevant Council instances and selected potential civil assets and capabilities in accordance with defined exercise objectives. These exercises could test the Union's planning and decision-making arrangements, e.g. regarding the mobilisation of civil capabilities (e.g. police, judges) and the pooling of these resources as part of a common approach in co-ordination with the Community instruments.
- d) The EU will similarly conduct exercises concentrating on military aspects only e.g. Command Post Exercises (CPX) involving the level below that of politico-military decision making. Such military exercises would include potential EU Headquarters designated for the purposes of the exercise, but may also involve Member States (capitals and delegations) and relevant Council services (i.a. SitCen, Military Staff and DG E).
- e) When the EU examines options with a view to an operation, drawing up its strategic military options could involve a contribution from NATO's planning capabilities in accordance with the provisions of the agreement for EU guaranteed permanent access to NATO's planning capabilities. This will have to be taken into account in exercises with a military element.
- f) The Council Secretariat and/or the Commission might consider it necessary to test and train the functioning of overall co-operation and co-ordination between relevant internal services. This will be done through the planning and conduct of either an internal Council Secretariat exercise or an internal Commission exercise or an exercise in which both will work together.

- g) Joint crisis management exercises with NATO will be based on scenarios to EU-led operations when the EU will have recourse to NATO assets and capabilities. These exercises could include i.a. politico-military crisis management exercises, and will normally involve Member States, EU institutions (e.g. Council, Commission) and NATO Headquarters in Brussels. EU and NATO might consider it necessary to exercise NATO-provided military Headquarters in the specifics of EU-led operations. Such military exercises (CPX) will e.g. concentrate on the chain of command below the strategic politico-military level, in other words, on the interaction of an Operation Headquarters (OHQ) and Force Headquarters (FHQ)/ Combined Joint Task Force Headquarters (CJTF HQ) provided by NATO. These joint EU/NATO exercises could also concentrate on EU's ability to deploy and co-ordinate a combination of civil and military instruments. Programming, planning, conduct, evaluation and reporting will have to be done in close co-ordination between EU and NATO using, respectively, compatible procedures.
- h) EU exercises may also involve other organisations like the UN, the OSCE and as appropriate NGOs, if the Council so decides.

IV. Participation and observation in Exercises

18. The decision to invite other states and organisations to participate or to observe in the conduct of each exercise will be taken by the Council:
- a) EU will invite NATO, on the basis of reciprocity regarding crisis management exercises, to observe EU exercises including those which are not executed jointly.
 - b) Non-EU European NATO members and other countries which are candidates for accession to the EU will be invited to participate in the conduct of relevant exercises in line with the provisions for their participation in EU-led operations. In line with the established dialogue, consultation and co-operation, these countries should be invited to observe in relevant exercises.
 - c) States engaged in political dialogue with the Union and other interested states should as

appropriate be invited to participate in or to observe relevant exercises.

- d) EU exercises should as appropriate be open for participation and observation by other international organisations and as appropriate NGOs.
19. Decisions on participation and observation in EU-NATO exercises will be taken, after EU-NATO consultations, by the Council and the appropriate body in NATO. In this context the EU will seek to ensure that all non-NATO EU candidate countries participate in or observe these exercises.
20. Modalities of participation and observation by other states and organisations in exercises will be laid down in the relevant exercise specifications which will be subject to a decision by the Council.

V. Other Exercise Activities

21. The EU does not intend to carry out exercises involving military forces below the FHQ level. Exercises of national and multinational forces below this level will remain under the responsibility of Member States. This type of exercise can also be conducted, for the nations concerned, within the framework of NATO's command structure and/or NATO's Partnership for Peace (PFP). It is assumed that a Member State or a group of Member States may plan and conduct exercises based on scenarios related to potential EU-led crisis management operations. To the extent they may contribute to these operations relevant information should be shared with the other Member States through the Military Staff which for information purposes will make a compilation of it. Member States, the Council Secretariat and the Commission could be invited to attend as observers.
22. Participation of the Union in exercise activities other than described above can be envisaged e.g. by invitations for observation of exercises forwarded officially to the EU by third countries or international organisations. Each invitation is likely to be different and ought to be assessed according to the politico-military implications, contributions and benefits. Therefore, participation of EU observers will be decided by the relevant authorities as set out below on a case by case basis taking into account the specific objectives of the exercise concerned.

VI. Roles and Responsibilities

23. The EU Exercise Policy will be developed and implemented in accordance with EU procedures and fully respecting the competence of the institutions and bodies as set out in the Treaty. Responsibility for all EU exercises will lie with the Union. The Commission will be associated in accordance with the relevant Treaty provisions.
24. The Council will approve the Exercise Policy and, in close association with the Commission, ensure the consistency between the different bodies involved in the implementation of the Exercise Policy and take the relevant decisions. The Council approves the annual EU Exercise Programme and the basic planning document of each individual exercise - the Exercise Specifications (EXSPEC) - in close association with the Commission as appropriate.
25. Without prejudice to paragraph 28, the PSC has the overall responsibility for the programming, planning, conduct, evaluation and reporting of all EU exercises, in particular the preparation of the annual EU Exercise Programme and the development of the Exercise Specifications (EXSPEC). The Military Committee supported by the EUMS will provide its advice to the PSC on all relevant aspects of the exercise policy, the exercise concept, the exercise programme and its implementation. Exercises concentrating on purely military aspects will, take place under the direction of the Military Committee, which is supported by the EUMS, and under the guidance of the PSC. The Committee for Civilian Aspects of Crisis Management will also provide information, formulate recommendations and give advice as well as play a role in accordance with the guidelines for the Committee agreed by the Council. For exercises concentrating on civilian crisis management tools, the Commission will take an active part.
26. The EU may decide to ask Member States (e.g. national/multinational HQ) and/or NATO (e.g. DSACEUR/CJPS according to the relevant arrangements for assured access) to support and contribute to the planning of EU exercises.
27. Conceptual and procedural documents, including exercise specifications will have to be elaborated. Preparatory work for programming including co-ordination of EUs exercise

programs with that of NATO and other organisations will need to be carried out. This work will be led by the Council Secretariat/Directorate Operations and Exercises together with the Operations and Exercises Division in the EUMS under the authority of the SG/HR. Relevant structures of the Commission will participate in this work. This principle applies also to the planning, conduct, evaluation and reporting of individual exercises. Necessary contacts with Member States' experts in the preparatory process could be conducted through an extended PMG/MCWG working format.

28. Internal Council Secretariat exercises, internal Commission exercises or exercises in which both will work together will be subject to decisions by the SG/HR and the Commission respectively.

VII. Guidelines for the Implementation of the Exercise Policy

29. This policy paper defines the political and operational framework for future EU exercise activities. Further details for the implementation as well as for the selection and shaping of exercises will be provided as soon as possible in an EU exercise concept. This will also include the definition of procedures for the planning, conduct, evaluation and reporting for each individual exercise.
30. An annual exercise programme needs to be established and forwarded for Council approval. It must be progressive, with each exercise taking into account the lessons learnt from those which preceded it, and allow adequate long-term planning of exercises in the EU including co-ordination with other organisations. The overall programme of agreed, tentatively agreed and envisaged exercises should therefore encompass a five-year period. The impact of real live commitments must also properly be taken into account.
31. In order to take into account the various demands on Member States' exercise planning capacity responsible for input into both EU, national and multinational and NATO programmes, close co-ordination not only of programming but also of planning meetings will be essential.
32. Modalities for financing of exercises will have to be elaborated.