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Subject : **Suggestions for procedures for coherent, comprehensive EU crisis
management**

Delegations will find attached the suggestions for procedures for coherent, comprehensive EU crisis management. These have been revised in the light of discussions at the first PSC workshop on EU crisis management procedures held in Brussels on 18 June 2001 with a view to further work to be carried out during the Belgian Presidency and the second workshop on crisis management procedures. It is a "living document", reflecting the current state as laid down in political decisions and should continue to be reviewed and up-dated in light of developments.

**SUGGESTIONS FOR
PROCEDURES
FOR
COHERENT, COMPREHENSIVE EU CRISIS MANAGEMENT**

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INTRODUCTION

The paper has been drawn up to include crises of the highest degree of complexity. Although the widest range of activities during the crisis cycle are described and appear sequentially, this is only for ease of reference. In other terms, the paper should not be taken to imply that the EU is constrained to rigidly follow the same course of events; on the one hand, many instruments and processes mentioned might be relevant in several or all phases of a crisis, on the other hand, some of the processes mentioned could be skipped altogether.

Coreper exercises the role conferred on it by Article 207 of the Treaty establishing the European Community and by Article 19 of the Council's Rules of Procedure. To that end, it will be informed in good time by the PSC.

The present suggestions are based on current Treaty provisions. After the entry into force of the Treaty of Nice these suggestions will need to be amended accordingly. They should also reflect developments in the EU-NATO arrangements for the implementation of Berlin Plus.

Police aspects, following from the Police Action Plan adopted by the Göteborg European Council, have been introduced in the paper and will be developed as appropriate.

It has been widely recognised that the establishment and implementation of an agreed information policy is of paramount importance in time of crisis. Information policy is mentioned in each phase as a separate section that will need to be developed subsequently.

It is noted that Denmark recalled the Protocol on the position of Denmark annexed to the Treaty on European Union and to the Treaty establishing the European Community.

NB. References in the paper to the Council Secretariat include in particular the Directorate General E External Relations and its Police Unit, the EU Military Staff, the Policy Unit, the Legal Service, but can also include other Directorate Generals as appropriate.

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Phase 1 ROUTINE PHASE

- **Pre-crisis, support to stability and conflict prevention**
- **Monitoring and analysis, early warning and advance planning**

A. Stability promotion and conflict prevention

1. Following up the principles of the UN Charter and of the OSCE Charter for European Security, the Union is active in stability promotion, early warning and conflict prevention and co-operates with the UN, the OSCE, the Council of Europe and other international organisations in a mutually reinforcing manner. The EU contributes to these objectives for example through projects to combat the destabilising accumulation of small arms, and through a broad range of programmes in support of human rights, democracy, institution building and market economy, through EU instruments, Community action and individual Member States' initiatives (placeholder for possible reference to an illustrative list of civilian instruments). NB. These instruments can be used in all subsequent phases of a crisis.

B. Monitoring and analysis of the situation, early warning

- Work within the EU
2. The Member States and the Commission carry out routine monitoring and exchanges of information within the Political and Security Committee (PSC), as well as within the relevant geographic and thematic Council working groups.
 3. The EU joint Situation Centre (EU SITCEN), operating on a permanent basis, monitors international developments, provides early warning, receives and evaluates information and disseminates information and evaluation to competent bodies, and acts as point of operational contact for the SG/HR.
 4. The EU Satellite Centre (SatCen), as directed by the SG/HR in accordance with the Joint Action, contributes to early warning.

5. The Policy Unit provides the PSC in particular with timely assessment and early warning of events or situations which may have significant repercussions for the EU's foreign and security policy. The Policy Unit produces policy options papers.
6. The Police Unit¹, provides information and assessment on public security and criminal issues related to potential crises, and contributes to early warning and situation assessment.²
7. The Military Staff monitors potential crises by relying on appropriate national and multinational intelligence capabilities and performs early warning and situation assessment.
8. The Military Committee provides the forum for military consultation and co-operation between the EU Member States in the field of conflict prevention and crisis management. Its Chairman participates as appropriate in the PSC. The military representatives of the Member States are encouraged to do likewise. The Military Committee assesses the risks of potential crises and provides military advice and makes recommendations to the PSC, at the latter's request or on its own initiative, acting within guidelines forwarded by the PSC.

¹ Co-ordinating and co-operating with their DG H (Justice and Home Affairs) counterparts, as required.

² The 'Police Action Plan', contained in the Presidency report to Goteborg, points to the integration of police expertise and input into EU structures for early warning and timely assessment as an aspect deserving particular attention.

- Consultations and contacts

9. The development of the ESDP will also lead to a genuine strategic partnership between the EU and NATO in the management of crisis with due regard for the two organisations' decision-making autonomy.

The EU consults and co-operates with NATO in accordance with the provisions of the standing arrangements for consultation outside times of crisis³. The Presidency, the SG/HR, the Council Secretariat and the Military Staff maintain regular contacts with NATO at the appropriate level.

10. The EU consults with non-EU European NATO members and other countries which are candidates for accession to the EU in accordance with the provisions of the permanent consultation arrangements during non-crisis periods on involvement in crisis management operations with military and/or police forces.^{4 5}

³ Meetings between the PSC and the NAC will be held not less than three times, and EU-NATO ministerial meetings not less than once, per EU Presidency. Either organisation may request additional meetings as necessary. Meetings between the EU and the NATO Military Committees may be held as required, at the request of either organisation with at least one such meeting during each Presidency. There may also be:

- meetings between subsidiary groups (e.g. PMG/PCG or Military Committee working groups);
- meetings in the form of ad hoc EU/NATO groups;
- expert groups along HTF Plus lines.

When necessary, and in particular where NATO capabilities and expertise are concerned, NATO representatives will be invited to meetings, in accordance with the provisions of the TEU and on a basis of reciprocity. This will apply to:

- the Secretary General of NATO for ministerial meetings, in particular those attended by Defence Ministers;
- the Chairman of the NATO Military Committee for meetings of the Military Committee;
- DSACEUR for meetings of the Military Committee, in view of his responsibilities for the European pillar of NATO and his potential role in EU-led operations.

⁴ The PSC plays a leading role in the implementation of these arrangements, which include notably during each Presidency:

- a minimum of two meetings in EU+15 format and of two meetings in EU+6 format;
- one ministerial meeting bringing together the 15 and the 6 countries;
- a minimum of two meetings at Military Committee representative level, as well as exchanges at military experts level (in particular concerning the establishment of capability objectives).

Each third country may appoint from its mission an ESDP interlocutor with regard to the PSC. To facilitate the association of third countries wishing to be involved in EU military activities, they may appoint an officer accredited to the EU Military Staff who will serve as a contact. A minimum of two information meetings will be held during each Presidency for these officers from the 15 and the 6 countries.

⁵ The Presidency report to the Göteborg European Council contains provisions on contributions of non-EU states to EU police missions in civilian crisis management (Annex II), the specific modalities of which are to be further elaborated as well as considered by the PSC. The Presidency report states that contributions by non-EU states to EU police missions will be given favourable consideration, in accordance with modalities to be determined with full respect for the decision-making autonomy of the EU and the single institutional framework of the Union. It suggests that dialogue and information in issues related to police could also take place within the

11. The EU conducts exchanges of information with third countries on ESDP and military crisis management within the framework of political dialogue.
12. Contacts with other third countries, the UN and other international and regional organisations (e.g. OSCE, Council of Europe), NGOs, etc are maintained.

C. Advance planning and preparatory actions, including civil and civil-military co-ordination

13. The PSC continues to monitor and assess potential crises.
14. The Military Committee continues to provide military advice and make recommendations to the PSC, at the latter's request or on its own initiative, acting within the guidelines forwarded by the PSC.
15. The Committee for Civilian Aspects of Crisis Management provides information, formulates recommendations and gives advice on civilian aspects of crisis management to the PSC and to the other appropriate Council bodies in accordance with their respective competencies.
16. The Member States provide the Co-ordinating Mechanism for civilian aspects of crisis management⁶, set up at the Council Secretariat and fully interacting with the Commission services (hereafter the "Co-ordinating Mechanism"), with information on civil crisis management assets available, including their state of readiness or deployment and any bilateral contributions.

EU+15 format. In the event of a crisis, this structure could also serve for consultation, in view of possible contributions to a mission, in the period leading up to a decision of the Council to launch a police operation.

⁶ "A co-ordinating mechanism, fully interacting with the Commission services, should be set up at the Council Secretariat. It would run the database project and the different capabilities initiatives. In particular crises, depending on the EU's role, it may set up an ad hoc centre to co-ordinate the effectiveness of EU Member States' contributions. This should be a lean, efficient, non-bureaucratic structure permitting close interaction with the Commission ." (Presidency conclusions Helsinki, Annex 2 to Annex IV).

17. The Military Staff carries out the military aspects of strategic advance planning for the missions set out in Article 17(2) TEU, the so-called Petersberg Missions. It also reviews regularly existing plans.

- Civil and civil-military co-ordination

18. The Police Unit conducts advance planning in close co-ordination with the Military Staff.
19. Crisis management procedures are tested and further developed within a comprehensive exercise policy. All relevant Council Secretariat services, the SatCen Agency, the Commission, Member States and, appropriate external actors ⁷ participate in the crisis management exercises.
20. The Commission performs advance planning fully interacting, where relevant, with the Co-ordinating mechanism.
21. Close co-ordination takes place between the Council Secretariat and the Commission. This includes the possibility of co-ordinated advance planning.

D. Information policy

22. The Presidency, SG/HR, Member States and the Commission implement a coherent information policy during the routine phase.
23. The PSC agrees guidelines for an overall coherent information policy in response to crises.

⁷ Principles regarding participation and observation in EU exercises are set out in the Exercise policy of the European Union (doc. 8373/1/01 REV 1, p.8, § 18-20).

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Phase 2 CRISIS BUILD-UP

- Detection of the crisis, analysis, policy options, first measures taken

A. Detection of the crisis

- *Work within the EU: analyses, policy options, first measures taken*
24. The PSC monitors and assesses crises. The SG/HR, the Presidency, the Military Committee, a Member State and/or the Commission draw the PSC's attention to a mounting crisis.
 25. The provision of information, including intelligence, from Member States and the Commission is intensified. If necessary, the PSC identifies specific areas or subjects on which additional information is required. The PSC should have access to all necessary information processed through agreed channels (including from NATO) and to all proposals and initiatives relating to the crisis.
 26. The EU SITCEN steps up the collection of information, processes it, and reports on the situation to the SG/HR and to the competent bodies for crisis management (in particular the PSC and the Military Committee).
 27. The Council Secretariat provides analysis papers and policy options. To this end, Member States will provide classified information.
 28. The Commission provides policy analysis and policy options for action as appropriate. Where relevant, this is done in conjunction with the Council Secretariat.
 29. The Military Committee provides military advice and makes recommendations to the PSC, on the latter's request or on its own initiative, acting within guidelines forwarded by the PSC, with regard to the military dimension of a crisis and its implications.
 30. Relevant geographical working groups examine particular aspects of the situation in greater detail, as appropriate, and report to the PSC.

31. The PSC meets to assess the causes and consequences of the crisis, on the basis of the information, policy options papers, advice and reports presented to it, and with a view to reaching a common political understanding of the crisis.
32. The Commission, which participates fully in the work of the PSC, informs the PSC on measures taken or under preparation and starts reflecting on the possible use of other instruments. Member States do likewise, informing the PSC on measures taken on a national basis.
33. In accordance with its preliminary political assessment, the PSC may review its information requirements and request specific information or types of reports from the EU SITCEN, the Commission and from Member States. The PSC may ask competent bodies (Military Committee, geographical working groups etc.) to provide further analysis of the crisis. The SG/HR gives operational direction to the SatCen to ensure that it will support as effectively as possible the decision-making of the Council and he reports as appropriate to the PSC.
34. The Committee for Civilian Aspects of Crisis Management provides information, formulates recommendations and gives advice on civilian aspects of crisis management to the PSC and to the other appropriate Council bodies in accordance with their respective competencies.
35. The SG/HR alerts other Council instances that might be called upon to participate in the crisis management.
36. The Council, either in a regular session or in an ad hoc session, may proceed to assess the situation and provide guidance to the PSC.
37. The PSC may agree that fact-finding missions (FFM), including police and military personnel where appropriate, be dispatched to verify facts and assess the needs for further EU action.

- Civil and civil-military co-ordination

38. The Council Secretariat, including Military Staff and police experts, and the Commission continue co-ordinated contingency planning for their respective spheres of responsibility.

- Consultations and contacts

39. Contacts and meetings between EU and NATO are stepped up, from the level of relevant services (including military staffs) and bodies, to Ministers if appropriate, so that, in the interest of transparency, consultation and co-operation, the two organisations can discuss their assessments of the crisis and how it may develop, together with any related security problems.
40. Dialogue and consultation with the non-EU European NATO members and other countries which are candidates for accession⁸ to the EU are intensified at all levels, including ministerial level, in the period leading up to the Council decision. When a crisis develops, these intensified consultations will provide an opportunity for exchanges of views on situation assessment and discussion of the concerns raised by the countries affected, particularly when they consider their security interests to be involved.
41. Exchanges of information with other potential partners take place within the framework of political dialogue. Additional meetings are organised if the Council deems it necessary.
42. Contacts with other third countries, the UN and other international and regional organisations (e.g. OSCE, Council of Europe), NGOs, etc. are intensified.

⁸ For police, see footnote 5.

B. EU action is considered appropriate: identification of available instruments, capabilities and resources with a view to an overall approach (hereinafter crisis management concept)

- Work within the EU, including civil and civil-military co-ordination

43. The PSC, possibly in the light of Council guidance, analyses the situation and considers that EU action is appropriate (possibly on request from an international organisation, e.g. UN or OSCE), triggering the development of a crisis management concept⁹. To this end, the PSC should have access to all necessary information processed through agreed channels (including from NATO), proposals and initiatives relating to the crisis in order to make a global assessment. After consulting the Presidency and without prejudice to Article 18 of the TEU, the SG/HR may chair the PSC.
44. An ad hoc crisis response co-ordinating team, consisting of members of the Council Secretariat and the Commission, is set up¹⁰. It will further elaborate the crisis management concept and ensure coherence of all proposals put to the PSC, and assist in ensuring the coherence of the implementation of measures taken. The SG/HR will draw on this work in formulating his suggestions to the PSC and in developing the draft crisis management concept.
45. The Military Committee provides military advice to the PSC on the military dimension of the crisis, on possible military strategic objectives and available military capabilities and capacities including in support of civilian instruments. Its Chairman participates in the PSC. The military representatives of the Member States are encouraged to do likewise.

⁹ Tentative definition drawing on the "Military bodies in the European Union" ("Toolbox") paper (this could be updated in the light of the "Military Strategic Planning" paper when agreed).
Crisis management concept: a conceptual framework describing the EU's overall approach to the management of a particular crisis, addressing the full range of activities (diplomatic, economic, humanitarian, military) including the definition of politico-military objectives for any possible military activities.

¹⁰ The ad hoc crisis response co-ordinating team is a vehicle for inter-service co-ordination in response to a given crisis. It will consist of officials from the relevant services in the Council Secretariat and the Commission. The team would ensure close co-ordination in the planning of various military and civilian measures so that suggestions for an EU response to a crisis are both coherent and comprehensive when put to the PSC by the HR. This team would also contribute to co-ordinated implementation of EU action. This team would continue to work on those strategic and operational planning aspects that need to be further developed in the light of subsequent PSC meetings.

46. The Military Staff, under the direction of the Military Committee, provides military expertise to EU bodies and, in particular to SG/HR. In the light of military advice (see § 14, 29, 45), the Military Staff contribute to the definition of the crisis management concept, in particular the definition of politico-military objectives for any possible military activities, the objectives and end-state that form the basis of the work on military strategic options.
47. The Member States provide the Co-ordinating Mechanism with information on civil crisis management assets available, including their state of readiness or deployment and any bilateral contributions.
48. The Police Unit identifies how police could contribute to the management/resolution of the crisis, contributes to the definition of a crisis management concept, and identifies available police capabilities and capacities.
49. The SG/HR makes suggestions on a coherent EU response to the crisis. Such response may, from the outset or at a later stage, imply recourse to military means and thus require the development of a politico-military component within the overall crisis management concept. This overall crisis management concept is presented to the PSC by the SG/HR. The Chairman of the Military Committee acts as the military advisor to the SG/HR.
50. Close contacts are maintained between the SG/HR and the Commission throughout the process.
51. The Committee for Civilian Aspects of Crisis Management assists the PSC and other appropriate Council bodies to acquire a comprehensive view of the non-military means available to the EU and to the Member States.
52. Community measures or CFSP measures may be taken during this phase.

53. The PSC:

- makes the general political assessment, keeping in mind the totality of measures applicable, and
- examines the crisis management concept, with a view to preparing a cohesive set of options.

The Commission, which participates fully in the work of PSC, informs the PSC on measures taken or under preparation. Each measure will be dealt with by the competent body according to the applicable procedures: for Community measures, Coreper will continue to exercise fully its role. Member States inform the PSC about measures taken or that they intend to take at national level.

54. The Presidency, the SG/HR and the Commission will ensure the consistency of the work of the Council bodies and of the different Council configurations.**55. Meanwhile, monitoring of the developing crisis continues, information gathering is strengthened from all available sources such as missions of the Member States, Commission delegations, international organisations and NGOs on the ground, exploitation of SatCen products, etc.****- Consultations and contacts****56. The EU maintains intensified dialogue and consultations with NATO (see § 39).****57. The EU maintains intensified consultations with the non-EU European NATO members and other countries which are candidates for accession to the EU¹¹ (see § 40), in particular:**

- a) possibility of extra meetings if circumstances require;
- b) Military Staff holds information meetings for officers from the 15 and the 6 countries serving as contact to the Military Staff.

¹¹ For police, see footnote 5.

- 58.** Contacts with other third countries (see § 42), the UN and other international and regional organisations (e.g. OSCE, Council of Europe), NGOs etc. that are envisaging contributing to the management of the crisis are further intensified.

C. Information policy

- 59.** The PSC agrees on the EU information strategy in relation to the crisis and the possible EU response to the crisis. The Presidency, SG/HR, Member States and the Commission implement this coherent information strategy.

Phase 3 APPROVAL OF THE CRISIS MANAGEMENT CONCEPT
A. Approval of the crisis management concept

- Work within the EU

60. The Council approves, on the basis of an opinion by the PSC, the general political assessment and a cohesive set of options. In particular, the Council:

- a) if European Council conclusions exist, further specifies the EU political objectives; otherwise, the Council may define such objectives;
- b) agrees the crisis management concept;
- c) may invite the Commission to consider proposing or adopting the measures in pursuit of the political objectives thus selected which fall within its area of responsibility.

61. The Member States provide the Co-ordinating Mechanism with information on civil crisis management assets available, including their state of readiness or deployment and any bilateral contributions. The Committee for Civilian Aspects of Crisis Management assists the PSC and other appropriate Council bodies to acquire a comprehensive view of the means available to the EU and to the Member States.

62. The EU SITCEN continues to produce comprehensive and timely situation reports and assessments, especially to the SG/HR, the PSC and other competent bodies for crisis management.

- Consultations and contacts

63. The EU maintains intensified dialogue and consultations with NATO (see § 39 and § 73).

64. The EU intensifies dialogue and consultation with the 15 and with the 6 at all levels¹², including ministerial level, to exchange views on situation assessment and discusses the concerns raised by the countries affected, particularly when they consider their security interests to be involved (see also § 72 and § 73, second sub-paragraph).
65. Consultations with other potential partners:
- a) take place in the framework of political dialogue; if the Council deems it necessary, additional meetings in the PSC Troika format are organised.
 - b) when a military operation is being considered, the Troika or the SG/HR conduct such consultations, which constitute the framework for exchanges of views and discussions on possible participation by potential partners (see also § 73, second sub-paragraph for Canada). These consultations will include police issues as appropriate.¹³
66. Intensive contacts with third countries, the UN and other international and regional organisations (e.g. OSCE, Council of Europe) and NGOs, etc. are maintained.

B. Development of the military elements of the EU approach

67. Upon the PSC's request (including guidance as appropriate), the Military Committee issues an Initiating Directive¹⁴ to the Director General of the Military Staff to draw up and present prioritised military strategic option(s). This military directive will translate the PSC request, including such guidance as the PSC considers appropriate, into military terms.
68. Member States and, as appropriate, interested third countries, give preliminary indications to the Military Staff of their intention to contribute, initially in support of planning for an EU-led operation, personnel, Headquarters and forces.

¹². For police, see footnote 5.

¹³ The Presidency report to the Göteborg European Council states that police could be included in the dialogue, co-operation and consultation on ESDP issues with potential partners (i.e. Russia, Ukraine, other European States with which the union maintains political dialogue, and other interested states such as Canada) within the framework of existing arrangements.

69. Having received the Initiating Directive from the Military Committee, the Military Staff develops and prioritises military strategic options as the basis for the military advice of the Military Committee to the PSC by:

- a) defining initial broad options;
- b) drawing as appropriate on planning support from external sources which will analyse and further develop those options in more detail;
- c) evaluating the results of this more detailed work and commissioning any further work that might be necessary;
- d) presenting an overall assessment, with an indication of priorities and recommendations as appropriate, to the EUMC.

Developed and prioritised military strategic options should include an assessment of feasibility and risk, a C2 structure including recommendations regarding an Operation Commander, an Operation Headquarters, a Joint Force Commander, a Force Headquarters, Force capability requirements and an indication of forces that might be made available by contributing states;

70. The Military Committee evaluates the military strategic options developed by the Military Staff and forwards them to the PSC, together with its evaluation and military advice.

71. The PSC, based on the advice by the Military Committee, assesses the military strategic option(s), and prepares an opinion to Council.

72. Consultations with the 15 and with the 6 (which could be held at politico-military experts level)¹⁵ take place with the aim of ensuring that the countries potentially contributing to an EU-led military crisis management operation are informed of the

¹⁴. The Initiating Directive is a military directive from the EUMC to the DGEUMS to draw up military strategic options. This Initiating Directive should not be confused with NATO's Initiating Directive which is a directive from the NAC to the Strategic Commander to commence operational planning.

EU's intentions, particularly with regard to the military strategic options being envisaged.

73. Should the Union intend to look more closely at an option calling for pre-identified NATO assets and capabilities the PSC will so inform the NAC.

Once the EU begins to examine in depth an option requiring the use of NATO assets and capabilities, particular attention will be paid to consultation of the six non-EU European NATO members and with Canada.

C. Development of the police elements of the EU approach

P.M. The development and validation of arrangements for planning and conduct for police operations at political strategic level are not yet elaborated.

D. Civil and civil-military co-ordination

74. In order to ensure coherence at the planning stage in the context of a possible Joint Action or where a Joint Action is initiated in parallel to existing or imminent Community measures, the crisis response co-ordinating team will:

- a) work to prepare co-ordinated plans involving civil instruments from the first and second pillar, particularly but not exclusively in the areas of police, strengthening the Rule of Law, Civil Administration and Civil Protection;
- b) ensure consistency and develop the appropriate sequence of military and civilian instruments.

E. Information policy

75. The Presidency, SG/HR, Commission and Member States continue to implement the agreed and coherent information strategy.

¹⁵ For police, see footnote 5.

Phase 4 FORMAL DECISION TO TAKE ACTION
A. Council decision to take action

76. The PSC submits an opinion to the Council recommending the adoption of a decision to take action. The Council adopts the decision to take action to tackle the crisis (this decision could, where appropriate, take the form of a Joint Action in full respect of the single institutional framework and of Article 47 of the TEU). Within that decision, the Council:

- a) defines the political context in which the Joint Action is to be carried out;
- b) takes the necessary measures to that end;
- c) defines the conditions under which the SG/HR will be responsible for implementing political, police (Title V) and military aspects, in particular his role in the implementation of the measures falling within the 'political control and strategic direction' exercised by the PSC for the crisis-management operation. For such measures, SG/HR acts with the PSC assent;
- d) invites the Commission to direct its action towards achieving the objectives and priorities of the Joint Action, where appropriate by pertinent Community measures or notes that the Commission intends to do so;
- e) invites Member States to direct their action in support of the Joint Action.

In parallel the Council may adopt any new Commission proposals for additional measures falling under the EC Treaty. Such measures will be agreed following normal procedures and in full respect of the role of Coreper.

B. Selection of a strategic military option

NB. Activities are described here for ease of reference but may take place in earlier or subsequent phases.

77. The Council, in the light of the opinion delivered by the PSC based on the advice from the Military Committee, selects a strategic military option including a proposed chain of command (cf. § 69), and invites Member States to confirm, subject to national procedures, their readiness to support the selected option.

The Chairman of the Military Committee attends the Council meeting acting as the spokesman of the Military Committee.

78. The strategic military option selected by the Council implies either an EU military operation without use of NATO assets and capabilities, or an EU military operation with recourse to NATO assets and capabilities. (NB. The order of the options does not imply a priority choice.)

- Option 1: *EU military operation without use of NATO assets and capabilities*

- a) The Council, on the basis of the response from the Member State(s) concerned.
- appoints the Operation Commander and designates the Operation Headquarters;
 - designates the Force Commander, (the Force Headquarters and the Component Commands, if appropriate)
- b) The PSC, on the basis of opinions and recommendations from the Military Committee assisted by the Military Staff, sends via the Military Committee, to the Operation Commander strategic directives enabling him to draw up the necessary planning documents (CONOPS, OPLAN). The Military Committee provides military advice on the operational planning documents and forwards them to the PSC for approval.

- c) Non-EU European NATO members and other candidates for accession to the EU having, upon invitation to give such indication, expressed a clear intention to participate in the operation, may deploy liaison officers to European operational headquarters, in order to enable the exchange of information on the operational planning and on the foreseen contribution.
- d) EU keeps NATO informed of the general progress in preparations.

- Option 2: *EU military operation with recourse to NATO assets and capabilities*

- a) Staffs of the two organisations, in close contact with DSACEUR as strategic coordinator, meet in order to specify the pre-identified NATO assets and capabilities considered for this option.
- b) The EU addresses a formal request to NATO for the use of its assets and capabilities.
- c) NATO assets and capabilities needed for the EU operation, as well as the modalities for their release, including the possible conditions for their recall, are identified at a PSC/NAC meeting.
- d) The Council, on the basis of responses from NATO and the Member States:
 - appoints the Operation Commander and designates the Operation Headquarters;
 - designates the Force Commander, (the Force Headquarters and the Component Commands, if appropriate);
 - approves on the basis of the "Berlin Plus" agreement the arrangements for hand-over and any recall conditions.

- e) The PSC, on the basis of the opinion and recommendations from the Military Committee assisted by the Military Staff, sends via the Military Committee, to the Operation Commander strategic directives enabling him to draw up the necessary planning documents (CONOPS, OPLAN), making use of the guaranteed access to NATO planning capabilities. The Military Committee provides military advice on the operational planning documents and forwards them to the PSC for approval.
- f) The non-EU European allies will be involved in the planning according to the procedures laid down within NATO.

- For Option 1 and Option 2

- 79. On the basis of the military strategic option selected by the Council, after approval by the PSC the Military Committee authorises an Initial Planning Directive¹⁶ to the Operation Commander.
- 80. On the basis of the Initial Planning Directive, the Operation Commander prepares a "Concept of operations" (CONOPS), including guidelines on the use of force.
- 81. Upon request of the PSC, the Military Committee tasks the Operation Commander, assisted by the Military Staff, to hold technical exchanges in order to present operational planning work to the non-EU European NATO members and the other candidates for accession to the EU that have expressed their intention in principle of taking part in the operation, so as to enable those countries to determine the nature and volume of the contributions they could make to the EU-led operation. These countries, and other third countries, which have expressed their intention, will provide the Operation Commander with an initial indication of their contribution.

¹⁶ The Initial Planning Directive is a military directive that the PSC sends via the EUMC, on the basis of opinions and recommendations from the EUMC assisted by EUMS, to the Operation Commander to commence operational planning. The Initial Planning Directive is equivalent to NATO's Initiating Directive.

[Alternative A:

82. The PSC submits to the Council its opinion on CONOPS based on the advice and recommendations of the Military Committee supported by an evaluation from the Military Staff. The Council, possibly convened in an extraordinary session, approves CONOPS including guidelines on the use of force and formally invites third countries to participate in the operation.]

OR

[Alternative B:

77. In the light of advice and recommendations of the Military Committee supported by an evaluation from the Military Staff, the PSC reaches agreement on the CONOPS including guidelines on the use of force and suggests that the Council by simplified written procedure agree to formally invite third countries to participate in the operation.]
83. Subsequently, the Operation Commander prepares a "Operation Plan" (OPLAN) with guidelines on the use of force, which will include the Rules of Engagement (RoE).
84. Upon request of the PSC, the Military Committee tasks the Operation Commander, in co-ordination with the Military Staff, to conduct the Force Generation process.
85. Member States, NATO when appropriate, and other troop contributors confirm the level and quality of their contributions at the Force Generation Conferences.
86. When appropriate, the Council Secretariat will prepare a Status of Forces (SOFA) and negotiate with the receiving nation(s), which will be submitted to the Council via the Military Committee and the PSC.
87. A PSC/NAC meeting will confirm, if appropriate, the availability of pre-identified assets and capabilities and all the practical arrangements, including hand-over and recall.

88. The PSC submits to the Council its opinion on the OPLAN with the advice and recommendations of the Military Committee, supported by an evaluation from the Military Staff.
89. Following the Force Generation Conferences, the Council, possibly convened in an extraordinary session, on the basis of the opinion of the PSC:
- a) approves OPLAN and the guidelines on the use of force, which will include the RoE;
 - b) decides to launch the operation once all preconditions such as the force generation are complete;
 - c) approves, where appropriate, the SOFA;
 - d) adopts the decision setting up the Committee of Contributors.

The Chairman of the Military Committee, supported by the Operation Commander, attends the Council meeting acting as the spokesman of the Military Committee.

C. Development of the police elements

P.M. The development and validation of concepts and systems for command and control at the operational level for police operations (Title V), including police operations as part of EU crisis management operations including also military means will need to be carried out¹⁷.

90. Upon decision by the Council to launch a police operation or an integrated operation with police components:
- the full strength of Member States' pledges is assessed on the basis of the Co-ordinating Mechanism's work¹⁸;
 - non-EU states that are willing and capable of contributing to a particular operation may be invited, by a decision by the Council, to take part in the operation.

¹⁷ Planning and preparation of a police element will include designation of the Commissioner, the establishment of his staff and the preparation of a "concept of operations" and an operation plan, containing guidelines on the use of force.

¹⁸ Additional modalities to generate the full requirement of a police element may need to be addressed.

D. Civil and civil-military co-ordination

91. Within the PSC, the Member States and the Commission confirm information on the non-military crisis management assets that they have committed for the implementation of the Council decision as well as their state of readiness or deployment and any bilateral contributions.
92. The Commission completes plans for the measures falling within its area of responsibility.

The Council Secretariat, including the Police Unit, completes plans for the other civilian instruments. The planning capacity of the Council Secretariat could be reinforced by the addition, on an ad hoc basis, of national experts.

93. The crisis response co-ordinating team completes (cf. § 74) the co-ordinated planning required by the Joint Action or for any other coherent response in which military instruments, as well as first and second pillar civilian instruments (particularly but not exclusively in the areas of police, strengthening the Rule of Law, Civil Administration and Civil Protection), to be used in synergy.
94. The EU SITCEN continues to produce comprehensive and timely situation reports and assessments, especially to the SG/HR and the competent bodies for crisis management.

E. Consultations and contacts

95. The EU maintains:

- a) intensified dialogue and consultations with NATO (see in particular § 78, Option 1.d) and Option 2);
- b) dialogue and consultations with the 15 and the 6 countries (see also § 78, Option 1.c) and Option 2.f));
- c) contacts with third countries in the framework of political dialogue;
- d) contacts with other third countries, the UN and other international and regional organisations (e.g. OSCE, Council of Europe) concerned.

F. Information policy

96. The Presidency, SG/HR, Commission and Member States continue to implement and up-date agreed and coherent information strategy and information policy.

Phase 5 IMPLEMENTATION

A. General implementation, civil and civil-military co-ordination

- Work within the EU

97. The Council exercises the overall responsibility for the conduct of the action. The Chairman of the Military Committee represents the Military Committee at the Council meetings, as appropriate. The Council:

- a) receives reports and updates from the SG/HR in his role as PSC Chairman on the follow-up measures (political, civilian, police and military aspects) it entrusted to him and gives the necessary direction;
- b) adopts any further proposals presented meanwhile by the Commission;
- c) receives reports from the Commission on the implementation of measures of which the Commission is in charge;
- d) receives reports from Member States on national measures.

98. Throughout the implementation:

- a) The PSC, without prejudice to the role of the Commission, supervises the implementation of the measures taken and assesses their effects;
- b) the SG/HR takes the necessary follow-up measures as entrusted to him by the Council according to the conditions defined in the Joint Action;
- c) the Commission keeps the PSC informed about the measures it has taken or envisages. The Commission ensures the proper implementation of Community measures;

- d) the EU SITCEN continues to produce comprehensive and timely situation reports and assessments, especially to the SG/HR and the competent bodies for crisis management.

- Consultations and contacts

99. The EU maintains contacts with NATO (see in particular § 103 and § 104), the 15 and the 6 countries, the UN and other relevant international and regional organisations, third countries and NGOs.

B. Conduct of the military operation

100. The PSC exercises, under the authority of the Council, the political control and strategic direction of the military operation.

101. Throughout the operation, the Chairman of the Military Committee acts as the primary point of contact with the Operation Commander.

102. The Military Committee, supported by the Military Staff, monitors the proper execution of military operations conducted under the responsibility of the Operation Commander by:

- a) reporting regularly to the PSC on the military implementation of the operation;
- b) providing, in co-ordination with the Operation Commander, information and assessments to the PSC;
- c) elaborating as necessary, in the light of political and operational developments and in accordance with guidance set by the PSC, new strategic military options (cf. § 69);
- d) advising the PSC on the merits of carrying on, changing or terminating the operation.

- 103.** In case of an EU operation without the use of NATO assets and capabilities, the EU keeps NATO informed of the general progress of the operation.
- 104.** In the event of an operation calling on NATO assets and capabilities, NATO will be kept informed of the use of its assets and capabilities throughout the operation, if necessary by convening a meeting of the PSC and the NAC. When NATO command options are being used, NATO will be informed of the development in the situation by appropriate EU bodies, in particular the PSC and the Chair of the Military Committee.¹⁹
- 105.** The Military Committee may invite the Operation Commander to report on the progress of the operation. The President of the Council and the Chairman of the PSC respectively may invite the Operation Commander to the GAC and the PSC.
- 106.** The Committee of Contributors meets regularly during the operation. It will be supplied with detailed information regarding the operation on the ground via the EU bodies responsible for follow-up. It receives regular information from the Operation Commander who may be heard by the Committee. It deals with the various problems concerning the implementation of the military operation, the use of forces, and all day to day management matters which are not exclusively, under the instructions he will have received, the responsibility of the Operation Commander. The Committee provides opinions and recommendations on possible adjustments to operational planning, including possible adjustments to objectives, which may affect the situation of the forces. In these areas, the PSC, which exercises the political control and strategic direction of the operation, will take account of the views expressed by the Committee of Contributors. Depending on the nature of its tasks, the Committee may meet in the appropriate format. For Member States, it may be comprised of representatives on the PSC and on the Military Committee.

¹⁹ In the case of a EU-led operation calling for a NATO command option, the entire chain of command must remain under the political control and strategic direction of the EU throughout the operation, after consultation between the EU and NATO. In that framework the operation commander will report on the conduct of the operation to EU bodies only.

The Committee of Contributors will usually be chaired by a representative of the SG/HR or the Presidency, assisted by the Chairman of the Military Committee or his Deputy. The Director General of the Military Staff and the Operation Commander may also attend or be represented in the Committee. The Chairman of the Committee of Contributors will be responsible for conveying the outcome of the Committee's discussions to the PSC and to the Military Committee.²⁰

C. Conduct of the police operation

PM. To be developed.²¹

107. The PSC exercises, under the authority of the Council, the political control and strategic direction of the police operation.

D. Civil and civil-military co-ordination

108. The crisis response co-ordinating team will assist in ensuring full coherence between the civil and military aspects of the EU action;

109. The Council Secretariat, where appropriate, reinforced as foreseen in § 92, prepares plans as regards other civilian instruments.

E. Information policy

110. The Presidency, SG/HR, Commission and Member States continue to implement and up-date the agreed and coherent information strategy.

²⁰ The text reflects the current state as laid down in political decisions and should be amended in light of further developments.

²¹ Modalities for the day-to-day management of police operations have not yet been developed. However the Presidency report to the Göteborg European Council stated that "All third states, which are making significant contributions to an EU-led police operation, will have the same rights and obligations in terms of day-to-day management of the operation as EU Member States taking part in the operation. To that end, appropriate formulas for day-to-day management should be developed in the case of EU police operations, as well as in the case of integrated operations involving both military and police components.

**Phase 6 REFOCUSING OF EU ACTION ON STABILITY PROMOTION
AND PEACE BUILDING**

A. Refocusing of EU Action

- Work within the EU

- 111.** The crisis response co-ordinating team as appropriate (this may require a revised crisis management concept, which would be developed following the procedures outlined in previous phases):
- a) works to prepare co-ordinated plans necessary for the refocused EU action involving civil instruments from the first and second pillar, particularly but not exclusively in the areas of police, strengthening the Rule of Law, Civil Administration and Civil Protection;
 - b) ensures consistency and develops the appropriate sequence of military and civilian instruments.
- 112.** The Member States provide the Co-ordinating Mechanism with information on civil crisis management assets available, including their state of readiness or deployment and any bilateral contributions.
- 113.** The SG/HR contributes with a view to the PSC deliberations on a set of measures aimed at refocusing the EU action. The SG/HR prepares his contributions in the light of information, including classified, provided by Member States and other parties concerned, and drawing on the work of the crisis response co-ordinating team.
- 114.** The Commission provides the Council, including the PSC, with a policy analysis and policy options for actions within its competence. It informs the PSC of the nature and details of these plans as concerns those Community measures.

115. The PSC, as part of its continuous political assessment of the situation, as appropriate on the basis of new information, policy options papers, advice and reports presented to it, evaluates the political appropriateness of discontinuing some or all actions employed to resolve the crisis, in particular the military operation. The termination of the current military operation may or may not be accompanied by a transition to other military measures or to civilian measures.

116. The PSC prepares its opinion to the Council on a cohesive set of options. For the development of these options the procedures outlined in the preceding phases apply.

117. The formal proposals are submitted to and dealt with by the competent bodies according to normal procedures.

- Consultations and contacts

118. The EU maintains contacts with NATO (see in particular § 119), the 15 and the 6 countries, the UN and other relevant international and regional organisations, third countries and NGOs.

B. Termination of the current military operation where appropriate

119. If NATO assets and capabilities are being used in the operation, the PSC informs the NAC of the plans to terminate the operation.

120. The Committee of Contributors is consulted on matters related to planning the end of the operation and the withdrawal of forces.

The PSC in the light of the advice of the Military Committee prepares its opinion to the Council on the termination of the military operation.

C. Termination of the police operation

PM. Termination of the police operation or its future role as part of refocused EU action would be included in the HR's suggestions.

D. Council decision

121. The Council in the light of the opinion by the PSC advised by the Military Committee:

- a) decides to terminate the current military operation. The Chairman of the Military Committee represents the Military Committee at the Council;
- b) decides to terminate the other measures that are no longer needed;
- c) decides about the launching of further actions needed at this stage;
- d) may invite the Commission to re-examine the measures falling under its responsibility, or to make the necessary proposals to that end;
- e) invites Member States to re-examine actions taken at national level, and if necessary, to adapt them.

E. Information policy

122. The PSC agrees guidelines for a coherent information policy. The Presidency, SG/HR, Commission and Member States continue to implement the agreed and coherent information strategy, concentrating on termination of the military operation and on any transition and follow-up measures.

F. Documentation

123. All decisions of the Council and deliberations of Council bodies leading to decisions will be recorded and archived according to the Council rules and practices.

G. Lessons learned

124. Once the military and/or police operation is terminated, the PSC:

- a) requests the Military Committee to evaluate lessons learned on the basis of the reports by the Operation Commander and the Military Staff;
- b) requests the Committee for Civilian Aspects of Crisis management to evaluate lessons learned within its area of responsibility. In particular, this Committee will evaluate lessons learned for police operations on the basis of reports by the police unit and the police commissioner;
- c) the Committee of Contributors may be requested to provide its assessment of the lessons drawn from the operation;
- d) proceeds to an overall assessment.

Phase 7	STABILITY PROMOTION, POST CONFLICT RECONSTRUCTION
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ANNEX 1 to Annex

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