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from:	European External Action Service
to:	Political and Security Committee
Subject:	Suggestions for crisis management procedures for CSDP crisis management operations

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Delegations will find attached the revised EEAS document with reference ARES (2013)2270818.

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**EUROPEAN EXTERNAL ACTION SERVICE****Executive Secretary General****Brussels, 18 June 2013****ARES (2013) 2270818  
REV 2****LIMITE****CIVCOM  
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PROCIV****NOTE**


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<b>From:</b>	Executive Secretary General
<b>To:</b>	Political and Security Committee
<b>Subject:</b>	Suggestions for crisis management procedures for CSDP crisis management operations

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Delegations will find attached the revised suggestions for crisis management procedures for CSDP crisis management operations. This document replaces "Suggestions for procedures for coherent, comprehensive EU Crisis Management" (doc.11127/03, LIMITE, of 3 July 2003).

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**SUGGESTIONS FOR CRISIS MANAGEMENT PROCEDURES  
FOR CSDP CRISIS MANAGEMENT OPERATIONS**

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## INTRODUCTION

As a direct result of the Council Conclusions on CSDP, dated 1 December 2011, the "Suggestions for procedures for coherent, comprehensive EU crisis management" (doc. st11127/03) have been reviewed to capture both lessons learnt in crisis management processes over the first decade of ESDP/CSDP and the developments of the EU Security Policy and CSDP structures<sup>1</sup>, particularly in view of the implementation of the Lisbon Treaty and the establishment of the European External Action Service (EEAS).

There are clear reasons to review the existing Crisis Management Procedures (CMP): the establishment of the Civilian Planning and Conduct Capability (CPCC), the establishment of the Crisis Management and Planning Directorate (CMPD), the entry into force of the Lisbon Treaty and the creation of the EEAS has significantly changed the organisational set-up and thus the related coordination and coherence requirements of EU crisis management in relation to crisis prevention and crisis response; lessons learnt over the past 10 years of CSDP; a need to capture and consolidate established practice where applicable; the need to standardise and harmonise where appropriate in order to be more effective; and to meet MS intent as a direct result of the Foreign Affairs Council (FAC) Conclusions in December 2011. The EEAS and the Commission responsibilities related to the programming and implementation of development cooperation also need to be reflected in the various phases.

These revised CMP should help facilitate the implementation of the EU comprehensive approach<sup>1</sup>, and to develop better integration of the civilian and military aspects of crisis management, where the specific suitability and added value of CSDP is considered in the context of the whole of the EU external action, alongside the use of the various Union's instruments. In particular, an effective EEAS-Commission coordination and cooperation is to be pursued during all crisis management phases. The EU Crisis Response System, established as a part of implementation of the Lisbon Treaty, provides a frame to the EU's reaction to a crisis. These procedures should also allow the framework for faster decision making in response to crisis if political consensus has been achieved.

All EU CSDP missions/operations operate in accordance with International Humanitarian and Human Rights Law and promote and protect human rights, including gender equality.

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<sup>1</sup> The EEAS crisis management structures (i.e. EUMS, CMPD and CPCC) are part of the CSDP structures.

<sup>2</sup> These procedures will not prejudice the Joint Communication on the Comprehensive Approach expected in 2013, and will be revisited in the light of that document.

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Lessons observations and the Lessons Learnt process read across to all missions and operations, and this mechanism is reflected in all mission/operation reporting structures. Lessons are to be continuously collected and analysed at all stages of the process with the view to being resolved within the operational tempo. In addition, the use of the Lessons Learned process should continually inform, and shape, broader developments in the CMP. In order for these CMP to remain current they should be routinely reviewed<sup>3</sup>.

## **CONSULTATIONS AND CONTACTS WITH THIRD PARTIES**

EU external action is guided by the principles of the UN Charter and of international law, as outlined in the Treaty on European Union (TEU). The EU consults and co-operates with third parties throughout all phases of the crisis management procedures, noting that this fully respects the decision making autonomy of the EU. Consultations and cooperation are conducted, as required, with the United Nations, the North Atlantic Treaty Organisation (NATO), other international and regional organisations (e.g. Organisation for Security and Cooperation in Europe (OSCE), Council of Europe, African Union (AU)), and other strategic actors in accordance with agreed arrangements.

These procedures reflect, and do not change, all agreed arrangements for cooperation in crisis management including: arrangements on EU-NATO relations, in particular the Berlin-Plus

arrangements, and arrangements between the EU and other non-EU European NATO members, and other countries which are candidates for accession to the EU.

The EU conducts exchanges of information on the Common Security and Defence Policy (CSDP) and crisis management within the framework of political dialogue, under the direction of the PSC, and largely under the execution of the EEAS Political Affairs Department, including through CSDP/crisis management consultations. Contacts are maintained, along with appropriate co-operation as necessary, with civil society.

## AIM

To describe the process through which the EU engages in a crisis with its CSDP instruments as a part of its overall comprehensive approach. The process is described throughout its full conceptual

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<sup>3</sup> the Crisis Management Procedures will be revisited after the EEAS Review, after publication of the Joint Communication on the Comprehensive Approach, and in light of future Member States conclusions with a view of optimising CSDP

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steps, and also contains a Fast Track procedure if rapid response is required.

## SCOPE

The CMP have been drawn up to include crises of the highest degree of complexity. Although the widest range of activities during the crisis cycle is described and appears sequentially, this is only for ease of reference. Therefore, they do not limit the EU to developing its approach to a crisis in the sequence set down here. 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 may be skipped altogether. In particular, recommendations concerning the identification and/or the designation of an Operation Headquarters (OHQ) and the appointment of an Operation Commander (OpCdr)<sup>4</sup> may be made in the process at any suitable moment, and when appropriate, without prejudice to respective prerogatives and responsibilities<sup>5</sup>. Furthermore, many of these processes, such as the development of a Crisis Management Concept (CMC), are iterative in nature, and all CSDP planning documents should be considered as "draft" documents until approved by the PSC or the Council. Additionally, nothing in these procedures remove the flexibility that may be required to augment the planning services with additional planners or financial resources should that be deemed

...the planning process with additional powers of financial resources should be deemed necessary. The CMP also include procedures and guidance for the strategic review of CSDP missions and operations, with the aim to refocus or terminate activity as required. The establishment and implementation of a co-ordinated information strategy is important throughout any CSDP engagement. The strategy will be formulated in line with the Guidelines for ESDP Crisis Response Information Activities<sup>6</sup> and will be applied in all phases of the crisis.

Finally, it is important to emphasise that these CMP are designed to ensure that any CSDP activity is conceived, planned, launched, conducted, and closed with direct political control and strategic direction of the PSC, under the responsibility of the Council and of the High Representative. Therefore these procedures provide the framework to dovetail the planning between Member States, the Commission and the EEAS into a coherent mechanism for achieving the desired CSDP effect for external relations, whilst fully maintaining their specificities and remit.

<sup>4</sup> the formal identification of the CPCC as the civilian OHQ is required to trigger the assignment of additional resources required for new tasking. This may include personnel and financial resource.

<sup>5</sup> On the civilian side, the "Guidelines for Command and Control Structure for EU Civilian Operations in Crisis Management" (doc. 9919/07 of 23 May 2007) states that the CPCC Director, supported by the CPCC, is the Civilian Operations Commander and, as such, "will exercise command and control at strategic level for the planning and conduct of all civilian ESDP operations".

<sup>6</sup> Doc. 13817/02, to be revised in 2013.

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<p><b>PHASE 1 IDENTIFICATION OF A CRISIS AND DEVELOPMENT OF AN OVERALL EU APPROACH</b></p>
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**A. Development and review of the EU strategies**

1. Any CSDP activity will be conducted to contribute – together with other instruments - to achieving the defined EU objectives for the respective region or country. These objectives will normally be defined by existing regional or country-specific EU strategies, developed by the EEAS in close cooperation with other EU actors. Foreign Affairs Council (FAC)

Conclusions can also provide guidance. When developing and reviewing EU strategies in non-crisis mode, the role of CSDP should be considered, thereby allowing early involvement of CSDP planners.

2. The Comprehensive Approach to crisis management underpins the EU's crisis management procedures, and is a constant theme throughout the process. Although not stated at all phases of the process for ease of reading, this approach will be conducted throughout. The use of the comprehensive approach benefits from Member States to providing a "whole of Government" response to planning documents, and thus where possible, routine planning and review documents should be submitted to Member States in sufficient time before the issue is discussed in PSC or in other Council preparatory bodies.

**B. Monitoring and analysis of the situation, early warning**

*Work within the EU*

3. 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.
4. The High Representative, assisted by the EEAS, contributes to conflict prevention and strengthening international security through monitoring and early warning. This encompasses situation assessment and development of policy option papers by the Conflict Prevention Group, utilising the EEAS Intelligence Steering Board (ISB) as required. The EEAS CSDP structures are represented on the ISB and thus advance planning is addressed

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in a coherent manner.

**C. Advance planning, including civil-military coordination**

5. Advance planning can either be conducted at the request of Member States or by the initiative of the EEAS services themselves.
6. Advance planning in the field of crisis management is conducted by:

- a. The EEAS, within the context of the development, implementation and review of EU overarching strategies;
  - b. The EEAS/CMPD for CSDP, in particular through coordinating and ensuring the political-strategic framework for civilian and military CSDP instruments;
  - c. The EEAS/EUMS for military input to the political-strategic planning in support of CMPD, and the development of military strategic options and contingency plans;
  - d. The EEAS/CPCC for the civilian input to the political-strategic planning in support of CMPD;
  - e. EEAS other services, such as Directorate K for Security Policy and Conflict Prevention.
7. CSDP advance planning by CMPD, supported by CPCC and EUMS, will engage with other Services, such as Geographic, Conflict Prevention/Peace-building/Mediation, MD CROC, EEAS Security, Human Rights and Democracy, EU Delegations, the Commission (FPI, ECHO, DEVCO, HOME, ELARG), EU Agencies (EUROPOL, FRONTEX, EUROJUST), Member States embassies, and NGOs as required. Where appropriate the EEAS will consult with international organisations (UN, AU, NATO etc), and third states that may have a role/interest in the resolution of the crisis.
8. The EEAS has the lead responsibility for the programming of the geographical development funds. Their implementation is managed by the European Commission. Furthermore, most of the action undertaken under the Instrument for Stability (IfS) rests under the responsibility of the HR. The EEAS also maintains political dialogue within the framework of the CFSP and can revert to a variety of other conflict prevention modules (mediation etc). The utility of political reporting by the respective EU Delegations, as well as by EUSRs where in place, significantly adds an element of "ground truth", and this may be enhanced by permanent CSDP expertise in some Delegations, or may be bolstered by deploying CSDP

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expertise during the evolving stages of the crisis.

#### **D. Detection of the crisis**

*Work within the EU: analyses, political framework for crisis approach, first measures taken*

9. Initial work can be stimulated by PSC or by initiative of the HR. Coordination/information sharing will be conducted between institutions at, for example, a Crisis Management Board (CMB), Conflict Prevention Group, or Crisis Platform (CP).
10. In particular, the CMB will provide internal political and strategic guidance for further action and planning, initiating the political framework for crisis approach, in coordination with the Commission. The Crisis Platform, chaired by the HR, the ESG or the MD CROC in consultation with the ESG, shall facilitate the definition of options, shaping decision-making and the streamlining of information-sharing amongst participants, without impinging on the core competence of the respective *chef de files*.
11. It is likely during the early stages of a crisis that the EU's strategy, if previously established, may need to be reviewed in consequence of new events. The **Political Framework for Crisis Approach (PFCA)** will, based on shared analysis<sup>7</sup>, set the political context, clearly articulating what the crisis is, why the EU should act (based on the EU's interests, objectives, and values) and what instruments could be available, and best suited, for that action. These could range from economic sanctions, diplomatic actions and mediation, humanitarian aid<sup>8</sup>, development aid, and CSDP. The PFCA will be, by definition, much broader than CSDP but it is essential to allow CSDP planners and other actors the ability to "hook-in" to a common understanding of the crisis, leading to an overall strategy and objectives. Given that the inherent strength of the EU is the ability to operate within a comprehensive framework, the so-called 'Comprehensive Approach', it is apparent that any

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<sup>7</sup> Shared analysis may be informed *inter alia* by field trips to gather information by EEAS and Commission services, as appropriate.

<sup>8</sup> Whilst all levers and instruments should be harnessed to achieve the political objective, there will always be the requirement for humanitarian aid, under DG ECHO, to work under the EU's humanitarian aid principles of humanity, neutrality, impartiality and independence. Every decision DG ECHO takes must be in accordance with these four principles which are at the heart of the European Consensus on Humanitarian Aid. As such, DG ECHO's humanitarian aid is distributed without regard for any political agendas, and without exception seeks to help those in the greatest need, irrespective of their nationality, religion, gender, ethnic origin or political affiliation.

CSDP crisis management activity must sit within a broader framework<sup>9</sup>. The basis for the PFCA will be shared analysis provided by advance planning, and by building on the comprehensive framework of activity contained within Joint Framework Documents and/or

country or regional strategies where they exist.

12. The **Political Framework for Crisis Approach** will be prepared by the EEAS Geographical Desk, drawing together Subject Matter Experts from across the EEAS and Commission. The establishment of a Crisis Platform Implementing Group (CPIG) could be considered to coordinate work. Although the PFCA covers a broad range of topics, for the CSDP elements the CMPD will be in the lead, drawing together both civilian and military expertise from across the EEAS as required. The respective EU Delegations contribute to the development of this EU-wide strategic crisis approach. The financial viability of potential options are to be considered, ensuring potential activities can be properly funded. During this phase, consultation with International Organisations and Third States will be intensified in line with existing procedures.
13. The outcome of the PFCA will be a range of broad options available to the EU. Some of the options will rest under the responsibility of the Commission, some will rest with the Council and/or the HR. The PSC will be presented with the PFCA to allow both an understanding of the EU's potential comprehensive approach, and to be fully informed of the current analysis of the crisis. PSC can then consider, within its remit, what further steps are required.<sup>10</sup> Even though the PFCA is not, in itself, a decision-making paper - it is there to facilitate - CIVCOM, EUMC, PMG, as well as regional working groups where appropriate, may be invited to provide advice and recommendations.
14. In order to ensure that the Comprehensive Approach remains fully applicable to any action, consideration could be made of utilising, or refreshing, Joint Framework Documents<sup>11</sup>. This would be unlikely to be undertaken in crisis-mode, but can be a natural follow-on step.

<sup>9</sup> As stated in the **TEU art.21.1 / TEU art.26.1 / TEU art.26.2.**

<sup>10</sup> It is self-evident that the PFCA must be timely to allow decision-making and follow-on detailed planning from the different instruments.

<sup>11</sup> The main purpose of the JFD would be to integrate a broad policy mix referring to the EU or EU and Member States' instruments and policies in relation to a partner country or region, including diplomatic and political aspects (Common Foreign and Security Policy, political dialogue, democracy and human rights, etc.), development cooperation, humanitarian aid, security, and the external projection of internal policies. Detail contained within the **JOINT COMMUNICATION TO THE EUROPEAN PARLIAMENT AND THE COUNCIL - Global Europe : A New Approach to financing EU external action.**

15. As regards options for CSDP engagement, ESC will consider tasking the CIMD to develop a Crisis Management Concept (CMC) for CSDP action, or ask for further development of possible CSDP options. Such tasking may also come directly from the Council.
16. The EU SITROOM, INTCEN, EEAS Security Directorate, EEAS Directorate K (conflict analysis and early warning), and EUMS INT Directorate step up the collection of information, processes it, and report on the situation to the HR and to the relevant bodies for crisis management (in particular the PSC, the CIVCOM, the EUMC, and the PMG as appropriate). At the request of the Director General of the EUMS (DGEUMS), the EUMS should draw, as appropriate, on planning support from external resources which will analyse and further develop these options in more detail<sup>12</sup>.
17. Periodic joint assessments, on-going analysis through situational assessments, security assessments, and risk assessments are prepared by the EEAS, jointly with the Commission where relevant.
18. The HR provides impetus in the definition and follow-up to the EU's response, and may draw on on-going work to present to the PSC his/her views on the crisis.
19. The Commission will continue to inform the PSC of measures that it has taken or under preparation and, where appropriate, how these align with the political strategy, Council and HR activity. Member States do likewise, informing the PSC of measures taken on a national basis.
20. In accordance with its preliminary political assessment, the PSC may review its information requirements and request specific information or types of reports from the EEAS, the Commission, and from Member States. The PSC may ask competent bodies to provide further analysis of the crisis. The HR may give operational direction to the EU bodies, such as tasking the EU Satellite Centre (SATCEN)<sup>13</sup>.

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<sup>12</sup> An example would be drawing on planning support from an established OHQ.

<sup>13</sup> The SATCEN shall, in coherence with the European Union Security Strategy, support the decision making of the European Union in the field of the CFSP and in particular the CSDP, including European Union crisis management operations, by providing products resulting from the analysis of satellite imagery and collateral data, and related services.

Co-ordination, including civil-military co-ordination

21. The EEAS and the Commission continue close co-ordination in identifying possible actions. The setting up of multi-disciplinary planning teams should be considered.

**E. Option for Urgent Response**

22. While the above process should be considered the norm, flexibility will remain central to the EU's response. As a consequence, a PSC decision to move directly to the development of a Crisis Management Concept (CMC) should remain an option in cases of urgency<sup>14</sup>. In that case, options for possible CSDP engagement, drafted by CMPD, with the support of EUMS and CPCC as appropriate, may, after senior management approval and approval of the HR, be presented to PSC. This will allow early tasking by PSC on the elaboration of a CMC or on further development of CSDP options.

**F. Information Strategy**

23. The Information Strategy, covering at least key Lines To Take (LTT), and subsequent Master Messages, will be developed by competent EEAS services and discussed in relevant Council bodies<sup>15</sup>.

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<sup>14</sup> Whilst the PFCA is designed to facilitate the PSC debate, if PSC decide to move directly to a CMC then a broad understanding of the EU's potential comprehensive approach would be required as soon as possible.

<sup>15</sup> Doc. 13817/02, to be revised in 2013.

**PHASE 2 DEVELOPMENT OF THE CMC AND ESTABLISHMENT OF THE MISSION/OPERATION**

**G. Development of the Crisis Management Concept (CMC)**

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

24. The PSC analyses the situation and considers that CSDP action may be appropriate, triggering the development of a CMC. To this end, the PSC provides guidance as appropriate. Such tasking may also come directly from the Council.
25. CMPD, as the primary service for political strategic planning on CSDP, prepares the CMC, in consultation with and the support of relevant EEAS services (in particular CPCC, EUMS, and Directorates K and IV.A), the relevant EU Delegations, the involvement of Commission services, and the ATHENA mechanism (for military operations). Deployment of a Fact Finding Mission (FFM)<sup>16</sup> in-theatre would be routinely required, and informal force sensing should commence<sup>17</sup>. At this stage or any later stage, support of subject matter experts, such as the Crisis Response Team, human rights and gender experts, or the Security Sector Reform Pool, will be considered. CMPD will consult with international organisations, third states, international NGOs (such as ICRC) and representatives of civil society, as appropriate.
26. The CMC will analyse and propose political strategic CSDP option(s). In this process the CMPD analyses the situation and proposes the option(s) and objectives, supported by the CPCC for civilian aspects and the EUMS for military aspects, and other instruments and

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<sup>16</sup> For the purposes of CSDP planning, a FFM mainly aims to engage with local authorities and other relevant stakeholders on the ground with a view to assess requirements, opportunities, local buy-in for CSDP in the given country or region; it should normally result in a clear understanding where CSDP could add value and also inform regarding the nature of the CSDP engagement (civ and/or mil, strengthening or executive function, training and/or MMA, border management or maritime security etc.). FFMs are lead by the CMPD and are composed of subject matter experts, including from other services notably the EUMS, CPCC, Geo desks/EUSR office, the Directorate for Security Policy/Conflict Prevention and DevCo. The findings of the FFM inform the CMC.

<sup>17</sup> The Field Security Policy defines the core measures, roles, responsibilities and core tasks with regard to the security and safety of EEAS personnel in preparatory missions / Fact Finding Missions / Technical Assessment Missions. In this context, preparatory missions are missions undertaken under the responsibility of the HR, on

the basis of orientations by the Political and Security Committee, to determine the feasibility of conducting, or to prepare, a crisis management operation.

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Phase 2

services as required. CMPD will analyse and exploit available information from the mission area, in particular fresh information from EEAS Services that have recently deployed to the area. CMPD will, in addition, ensure coherency with the EU's other lines of activity throughout the whole planning process. The CMC will include, whilst describing the EU Action(s), the proposed exit strategy, and possible related follow on EU actions. This will be coordinated with the Commission and other stakeholders as required. All EU CSDP missions/operations will include relevant considerations on human rights, child protection, protection of civilians, gender equality, and international humanitarian law.

27. The HR, or the HR's representative, presents the CMC to the PSC. The Commission for its part presents the elements of complementary activity which pertain to its competence. The CMC includes elements for a draft information strategy. The PSC, as appropriate, could request advice and recommendations from CIVCOM, EUMC, and PMG<sup>18</sup>.
28. Member States provide, if possible, an indication on the results of the informal force sensing, noting that this is given on a voluntary basis and is non-committal. For the military process, informal force sensing could be conducted by the EUMS during the development of military considerations to the CMC and/or MSO. It would aim at facilitating Member States early consideration of the estimated capability requirements (*inter-alia* Operation/Mission Commander, framework/lead nation, volume and nature of estimated capabilities required) and may shape the planning depending on response. In due course, an assessment of the indicative contributions should be part the military advice to the CMC, noting that is a non-binding process. Inputs would also inform and may facilitate the development of the Provisional Statement Of Requirements (PSOR) by the OHQ and the follow-on formal force generation process.

#### **H. Approval of the CMC by the Council**

29. The respective Council working bodies (EUMC / CIVCOM / PMG) provide an essential role in finalising the planning documents, thereby achieving Member States consensus in advance of their presentation to PSC.

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<sup>18</sup> It is recommended that working groups utilise written comments and subsequent discussion/drafting, to accelerate the approval process.

## Phase 2

30. On the basis of advice and recommendations, and noting that this may be an iterative process, the PSC agrees the CMC and forwards it to the Council for approval, via Coreper. Furthermore, the Council may decide to:
- a. invite the Commission to submit appropriate proposals or adopt the measures which pertain to its competence in order to pursue the political objectives thus selected;
  - b. invite Member States to orient their action in accordance with the crisis management concept.
  - c. appoint an EUSR in relation to the crisis.
  - d. authorise the PSC to approve the CONOPS.
31. The PSC:
- a. tasks the director of CPCC as the future Civilian Operation Commander, who will initiate operational planning and recruitment of the future Head of Mission and his/her core team who will be associated with the subsequent planning stages (*if CSO are conducted this element will be decided after approval of CSO*);
  - b. considers possible CPCC augmentees required for the conduct of the new mission (*if CSO are conducted this element will be decided after approval of CSO*);
  - c. upon recommendation of the EUMC, identify the future military OHQ and future Operation Commander (*if MSO are conducted this element will be decided after approval of MSO but an Operation Commander and OHQ should be pre-identified as soon as possible*).
32. As necessary, financial resources (e.g. preparatory measures) are considered and put forward by PSC, and made available according to agreed procedures (e.g. CFSP budget or Athena mechanism) in order to provide a rapid deployment of personnel and resources needed.
33. The planning process will now move to the MSO (and/or CSO if so directed by PSC) or to the CONOPS and OPLAN if MSO/CSO are not conducted. This subsequent planning will

be conducted in parallel to the preparation of the Council Decision (Para 44) establishing the mission/operation, noting that, at present<sup>19</sup>, the Council Decision establishing a civilian mission must include the Budget Impact Statement (BIS). The BIS, finalised by FPI and

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<sup>19</sup> It is desirable to re-assess, or if required to modify, the current financial procedures to allow an "indicative" amount to be presented before the BIS is finalised. This would allow an early Council Decision to establish the mission, with the corresponding political message and earlier movement to the next stage.

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supported by CPCC, will allow the Council Decision to establish the civilian mission no later than CONOPS approval.

#### **I. Status of Mission Agreement (SOMA) and Status of Forces Agreement (SOFA)**

34. The HR/EEAS will propose to the Host State to issue a unilateral declaration granting basic privileges and immunities for the benefit of the mission/operation, pending the conclusion of the Status of Forces Agreement (SOFA) and/or Status of Mission Agreement (SOMA).
35. The SOMA/SOFA are negotiated and concluded on the basis of Council Decisions to open negotiations and to conclude the SOFA/SOMA.
36. Work on the SOMA/SOFA should commence as early as possible after the adoption of the CMC.

#### **J. Development of the Military and/or Civilian Strategic Options**

37. Based on the CMC, and in order to ensure full coherence between the possible parallel civilian and military engagement, coordinated planning is to be ensured. CMPD should ensure coherence throughout the planning phase.

#### **Development of MSOs**

38. In order to facilitate the development of MSOs, Member States give preliminary indications to the EUMS on their intention to contribute to a potential operation and/or indications of possible non-availability.

39. The EUMS develops and prioritises MSOs, supported by CMPD, CPCC and other services as required. The EUMS will draw as appropriate on planning support from the potential OHQs suitable for the planning and command of a possible military operation. Developed and prioritised MSOs should include an assessment of feasibility, risk, cost, and Command and Control (C2) structure, Force capability requirements and an indication of forces that might be made available by Member States and Third States.

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Development of CSOs (if directed by the PSC)

40. In order to facilitate the development of CSOs by the CMPD, Member States give preliminary indications on their intention to contribute to a potential mission and/or indications of possible non-availability, either through PSC or CIVCOM.
41. The CMPD develops and prioritises CSOs, supported by CPCC, EUMS and other services as required. Developed and prioritised CSOs should include an assessment of feasibility and risk, capability requirements and an indication of contributions that might be made available by Member States, or by external recruitment.

**K. Evaluation and approval of MSOs and/or CSOs,**

42. The CIVCOM evaluates the CSOs and forwards them to the PSC, together with its advice. The EUMC evaluates the MSOs and forwards them to the PSC, together with its advice. The PMG considers the need for recommendations regarding the wider politico-military aspects.
43. The PSC, based on advice from the CIVCOM/EUMC/PMG as appropriate, agrees the CSOs and/or MSOs and their overall coherence. In addition, PSC:
- a. tasks the director of CPCC as the future Civilian Operation Commander, who will initiate operational planning and recruitment of Head of Mission and his/her core team.
  - b. upon recommendation of the EUMC, identify the future military OHQ and future Operation Commander.

**L. Council Decision establishing the Mission/Operation**

44. Based on the PSC recommendation, the Council adopts a Decision establishing the mission/operation whereby it:
- a. sets out the objectives and the mandate of the mission/operation;
  - b. appoints the military/civilian Operation Commander and designates the OHQ;
  - c. may authorise the PSC to take relevant decisions concerning the political control and strategic direction of the crisis management operation;
  - d. may invite third States to participate in the mission and may authorise the PSC to invite third States to offer contributions and to take relevant decisions concerning the

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- acceptance of proposed contributions and the establishment of the Committee of Contributors (CoC);
- e. directs that a SOFA/SOMA should be concluded;
  - f. sets out the reference amount on the basis of a Budget Impact Statement prepared by CPCC and the Commission, or the draft reference amount prepared by the ATHENA Administrator.

Consultations and contacts

45. The EU maintains intensified dialogue and consultations with all relevant organisations and potential actors, in line with existing procedures. Consideration should be given to holding informal PSC gatherings to inform key (potential) partners.

**M. Invitation to 3rd Parties to participate in the EU mission/operation**

46. CMPD will lead, with relevant EEAS services, the EU Delegations and others, to prepare a list of countries that would be invited to offer a contribution to the EU-led crisis management operation. The EEAS proposes that list to PSC for decision. The timing of such activity will not be constrained to Phase 2, but will likely continue through the Operational planning stage and beyond.

47. Following PSC decision, CMPD will prepare letters (to be signed by HR) to ask the

concerned 3rd States to offer a contribution to participate, and leads on these consultations. It also looks to develop possible synergies for action by partner countries.

48. In case a contribution is offered and accepted by PSC, the condition of participation of the concerned 3rd State will be defined by the participation agreement concluded, or to be concluded, by the EU and the concerned 3rd State. The PSC takes the necessary decisions to establish a Committee of Contributors (CoC)<sup>20</sup>. Information briefings, by the relevant EEAS services, should be offered to the invited 3rd States in order to allow them to determine their potential contribution.

49. In parallel additional measures falling under non-CFSP measures may be agreed. The

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<sup>20</sup> The PSC may decide to convene the CoC before the finalisation of the OPLAN.

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Council may also take note of any relevant Instrument for Stability (IfS) project(s).

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Phase 3

<p><b>PHASE 3 OPERATION PLANNING OF THE CSDP MISSION OR OPERATION AND DECISION TO LAUNCH</b></p>
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**N. Development and Approval of the Initiating Military Directive (IMD)**

50. For military operations the EUMS develops an Initiating Military Directive towards the military OpCdr, with the view to ensuring that the CMC is well translated into military direction and guidance with the appropriate level of detail. The EUMC approves the IMD, and the release of the IMD to the Operation Commander in order to commence operation planning.

**O. Development of Concept of Operations (CONOPS)**

51. A continued multidisciplinary approach to military and civilian operation planning at this occasion and at all subsequent stages, will allow an overall coherence, including through joint meetings and respective standard templates, harmonised to the extent possible.

Civilian

52. Based on the CMC, and PSC tasking (see Para 33), the Civilian OpsCdr prepares a draft CONOPS. The designated (or appointed) Head of Mission (HoM) and his/her core team, as well as the relevant EEAS Services, will be directly associated with the CPCC planning team. A CPCC-led Technical Assessment Mission (TAM)<sup>21</sup> would be required with a view to developing the CONOPS, supported by the relevant EEAS Services, the EU Delegation and/or EU Special Representative's Office as appropriate. Close association of the CMC planners should be routinely considered.

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<sup>21</sup> For the purposes of CSDP planning, a TAM mainly aims to collect all data necessary for the operational planning and mission design, notably as regards concrete tasks, numbers, logistical aspects and security. Local absorption capacity, coordination requirements and management of expectations are additional key considerations to be looked at by the TAM. TAMs are led by the CPCC and are composed of subject matter experts, including from other services notably FPI, but also CMPD, EUMS, Geo desks/EUSR office, the Directorate for Security Policy/Conflict Prevention, and DevCo. The findings of the TAM inform the CONOPS, the mission budget and the later development of the OPLAN.

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Military

53. Based on the CMC and respective advice, the Council Decision to establish the operation, and the IMD, the military OpCdr prepares a draft CONOPS and a Statement of Requirement (SOR), supported by EEAS services.

54. The Chairman of the EUMC may invite the OpCdr to brief and update on the appropriate planning steps of the operation planning process.

Consultations and contacts

55. Military and civilian operation planning includes, as appropriate:

- a. relevant inputs by EEAS and Commission services, including through joint meetings;
- b. consultations with the UN and/or other international and regional organisations, where

applicable;

c. contacts with other potential partners;

d. consultations with third states that have indicated their intention to contribute to the CSDP engagement.

e. consultations with regional/sub-regional bodies.

The OpCdr will be supported by CMPD in these consultations.

## **P. Approval of CONOPS**

56. The respective Council working bodies (EUMC / CIVCOM) provide an essential role in finalising the planning documents, thereby achieving Member States consensus in advance of their presentation to PSC.

57. The military OpCdr presents the CONOPS to PSC. EUMC provides advice and recommendations to the PSC on the draft military CONOPS and the accompanying documents.

58. The civil OpsCdr presents the CONOPS to PSC. CIVCOM provides advice and recommendations to the PSC on the draft civilian CONOPS.

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Phase 3

59. Whilst noting this may be an iterative process, the PSC agrees the CONOPS, as well as supporting planning documents, and submits them to the Council for approval, or approves directly if previously authorised by the Council when it approved the CMC.

## **Q. Force Generation/Activation, Call for assets**

### Military

60. The military OpCdr/Mission Commander, in co-ordination with the EEAS, conducts the formal Force Generation process.

61. Member States and other troop contributors confirm the level and quality of their contributions at the Force Generation Conference.

CONTRIBUTIONS AT THE FORCE GENERATION CONFERENCES.

62. If using the Berlin Plus construct, a PSC/NAC meeting will confirm, if appropriate, the availability of pre-identified NATO common assets and capabilities, beyond those used in the planning phase, and all the practical arrangements, including hand-over and recall.

### Civilian

63. The Civilian OpsCdr, supported by the HoM, conducts the Force Generation Process.

## **R. Development of Operations Plan (OPLAN) and Rules of Engagement (ROE) / Rules for the Use of Force (RUoF)**

64. The civilian and military OpCdr prepare the draft OPLAN respectively, and/or the draft Rules for the Use of Force and the Rules of Engagement, where applicable. For civilian planning, the Head of Mission and his/her core team will be fully associated with this planning.

## **S. Evaluation of military and civilian OPLANS**

65. The respective Council working bodies (EUMC / CIVCOM) provide an essential role in finalising the planning documents, thereby achieving Member States consensus in advance of their presentation to PSC.

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66. The civilian or military OpCdr present their draft OPLAN / RUoF / ROE to PSC. Based on EUMC and/or CIVCOM advice, if so tasked, the PSC agrees the civilian and/or military OPLAN / RUoF / ROE and submits them to Council for approval.

## **T. Decision to Launch the CSDP mission and/or operation**

67. The Council:
- a. approves the civilian and/or military OPLANS and the relevant RUoF/ROE;
  - b. adopts a Decision whereby it launches the CSDP mission and/or operation, based on

the recommendation by military and/or civilian OpCdr(s), once all key preconditions are met, such as logistical requirements and adequate resource. This Decision will stipulate the date on which the mission/operation will start.

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Phase 3

<p><b>PHASE 3 - OPERATION PLANNING OF THE CSDP MISSION OR OPERATION AND DECISION TO LAUNCH - <u>FAST TRACK PROCESS</u></b></p>
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**U. Context**

68. Under specific circumstances, notably the speed of reaction required and the relative lack of complexity of any proposed CSDP action, the need to deploy a mission/operation at very short notice may require rapid decision-making for a rapid response to a crisis, including

rapid deployment. Accordingly, the ambition of the EU is to take the decision to launch an operation within a few days of the approval of the CMC. This ambition requires simplified procedures on the way to the Council Decision to launch a mission/operation. At the same time, the EU rapid response will require rapid access to financial resources and personnel as well as rapid national decision-making<sup>22</sup>. The PSC will decide whether to utilise the fast-track process.

69. The minimal political decision-making steps before the launch of a mission/operation are:
- For a civilian CSDP Mission: the approval of the CMC, the adoption of the Council Decision establishing the mission, the approval of the OPLAN;
  - For a military CSDP operation/mission: the approval of the CMC, the IMD, the adoption of the Council Decision establishing the mission/operation, and the approval of the OPLAN.
70. Past experiences have demonstrated the importance of adjusting the planning and decision-making process to the circumstances of a situation. In practice, the work on the draft OPLAN should be concurrent with the preparation of the draft CMC, with the aim of the PSC receiving the relevant documents promptly following the approval of the CMC by the Council. It is important that the quality of the planning documents should not be diluted.

## V. Development of Operation Planning Documents

71. The fast track procedure provides for the development of a single operation planning document in view of the Council Decision to launch a mission/operation. This does not

<sup>22</sup> Rapid access to resources may include the availability of the EU Battle Groups, the use of the Military Rapid Response mechanism, and early PSC and national decision making on the selection and designation of a military OpCdr and activation of an OHQ, and/or civilian Head of Mission and/or military Mission or Force Commander.

impinge on the internal working methodology, noting in particular that military OpCdrs may wish to conduct CONOPS but retain it at OHQ level.

72. In case of a civilian CSDP mission, this single operation planning document will be the OPLAN, developed by the Civil OpsCdr based on the CMC, assisted by the

designated future FOM and his/her core team, as well as the findings of CFCU-led Technical Assessment Mission (TAM), and it will include rules for the use of force when applicable.

73. In case of a military CSDP operation/mission, the operation planning document will be the OPLAN, developed by the military OpCdr, based on the CMC, the Council Decision and the IMD, and where necessary rules of engagement.

#### Consultations and contacts

74. Civilian and military operation planning includes, as appropriate:

- a. relevant inputs by EEAS and Commission services, including through joint meetings;
- b. consultations with the UN and/or other international and regional organisations, where applicable;
- c. contacts with other potential partners;
- d. consultations with third states that have indicated their intention to contribute to the CSDP engagement.
- e. consultations with regional/sub-regional bodies.

The OpCdr(s) will be supported by CMPD in these consultations.

#### **W. Information Strategy**

75. Information strategy will be further developed by competent EEAS services and discussed in relevant Council bodies.

#### **X. Evaluation of the military and/or civilian operation planning document**

76. The respective Council working bodies (EUMC / CIVCOM) provide an essential role in finalising the planning documents, thereby achieving Member States consensus in advance of their presentation to PSC.

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Phase 3

77. CIVCOM provides advice and recommendations to the PSC on the draft civilian OPLAN, and the Rule of the Use of Force (RUoF).

78. The EUMC, supported by an evaluation by the EUMS, provides advice and recommendations to the PSC on the draft military OPLAN, and agrees a draft ROE Authorisation (ROE AUTH) in response to the ROE Request (ROEREQ).
79. The PSC agrees the draft civilian OPLAN and the relevant RUoF if applicable, the draft military OPLAN and the ROEAUTH, taking into account CIVCOM and EUMC advice respectively and submits them to Council for approval.
80. The PSC agrees the information strategy/master messages.

**Y. Decision to Launch the CSDP mission and/or operation**

81. The Council:
- a. approves the civilian and/or military OPLANs and the relevant RUoF/ROE AUTH;
  - b. agrees to launch the CSDP mission and/or operation, based on the recommendation by the civilian and/or military OpCdr(s), once all key preconditions are met, such as logistical requirements and adequate resource.

<b>PHASE 4 DEPLOYMENT OF THE CSDP MISSION OR OPERATION</b>
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**Z. PSC**

82. Under the responsibility of the Council and of the HR, the PSC exercises political control and strategic direction of the CSDP mission /operation.

**AA. HR**

83. The HR ensures implementation of the Decision establishing the mission / operation.

**BB. Commission**

84. The Commission keeps the PSC informed about the measures it has taken or envisages, including detail on relevant programming activities in alignment with the political framework for crisis approach. Liaison and cooperation with CSDP actors is maintained in-theatre as appropriate.

**CC. Civil Operations Commander (CivOpsCdr) and Head of Mission**

85. The CivOpsCdr exercises command and control of all civilian CSDP missions at the strategic level, and reports through the HR to the Council as well as the PSC and relevant Council bodies at regular intervals or ad hoc as required by special circumstances. He/she may be invited to PSC/CIVCOM meetings as appropriate.

86. The Head of Mission (HoM) exercises command and control of the mission in-theatre at the operational level in accordance with established Command and Control principles. The HoM, based on guidance received through the CONOPS and OPLAN, develops subordinate planning for mission implementation under CivOpsCdr supervision and reports as directed.

**DD. Military Operation Commander (OpCdr) / Mission Commander<sup>23</sup> / Force Commander**


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<sup>23</sup> The relevant aspects relating to the OpCdr and Force Commander (FCdr) will apply to a Mission Commander (MCdr) where one is appointed and combines the function of OpCdr and FCdr.

## Phase 4

87. The military Operation Commander exercises command and control of the military operation at strategic level and shall report to the EUMC at regular intervals. He/she may be invited to EUMC and/or PSC meetings, as appropriate, and commence routine written reporting to PSC on a 6-monthly basis, or as required

88. The military Force Commander exercises command and control of the operation in theatre at operational-level in accordance with standing military Command and Control principles.

**EE. CIVCOM**

89. CIVCOM provides information, formulates recommendations and gives advice on civilian aspects of crisis management to the PSC. In particular, the Committee exercises its role with regards to civilian CSDP mission's planning and periodic reports as well as the development of concepts for civilian crisis management.

**FF. EUMC**

90. The EUMC, supported by the EUMS:

- a. monitors the proper execution of military operations;
- b. reports regularly to the PSC on the military implementation of the operation; to that end, the CEUMC participates in the PSC;
- c. provides, in co-ordination with the military OpCdr, information and assessments to the PSC.

The CEUMC:

- a. represents the EUMC at the Council meetings, as appropriate;
- b. acts as the primary point of contact with the military OpCdr.

**GG. PMG**

91. The PMG monitors the wider politico-military aspects of the mission/operation.

**HH. Watch-keeping Capability**

92. The Watch-keeping capability provides 24/7 monitoring and information flow for each mission/operation.

**II. EU Delegation**

93. The EU Delegation is responsible for representing the EU in the country where it is located, and the Head of Delegation is the permanent and political interlocutor of the EU *vis-à-vis* the local authorities, the international community and other stakeholders. As such, the Head of Delegation will have an instrumental role in preparing his accredited country (and region as required) for the arrival of the mission/operation, and should liaise and coordinate with the CSDP activity as required. The Head of the EU Delegation gives local political guidance. He/she will work in close consultation with the EUSR where applicable.

**JJ. EU Special Representative (EUSR)**

94. Where appointed, EUSR will provide political guidance to the mission/operation within his/her specific role and responsibilities.

**KK. Member States**

95. Member States inform the PSC on national measures.

**LL. Committee of Contributors (CoC)**

96. The CoC for civilian CSDP mission provides a forum of consultation and information sharing with contributing third states regarding the implementation of the mission, the use of force, and day to day management matters which are not exclusively, under the instructions he will have received, the responsibility of the HoM. The CivOpsCdr organises and chairs the CoC, with the support of CMPD.

## Phase 4

97. The CoC for the military operation provides a forum of consultation and information sharing with contributing third states regarding the implementation of that operation, the use of force, and day to day management matters which are not exclusively, under the instructions he will have received, the responsibility of the OpCdr. CMPD organises and chairs the CoC, with the support of military OpCdr.

98. The PSC will take into account the views expressed by the CoC(s) as appropriate.

**PHASE 5 STRATEGIC REVIEW OF THE CSDP MISSION OR OPERATION -  
REFOCUSING AND/OR TERMINATION OF OPERATIONS**

**MM. Strategic Reviews of EU Action, including possible refocusing and termination of operations**

99. The PSC evaluates the necessity of refocusing a given CSDP action based on a Strategic Review<sup>24</sup> developed by the CMPD, supported by CPCC, EUMS, and other Directorates as required. The Strategic Review can be triggered on request by PSC, or initiative of the HR. This is conducted when the strategic context of the mission/operation changes, or at mid-term of the operation or mission mandate, or when the mandate is nearing the end date. The template for the strategic review is attached in annex.
100. The result of the Strategic Review could be to extend the existing mandate, noting that planning documents may need to be adapted. Where the Strategic Review suggests the termination of the mission/operation it will, with the input of the relevant EEAS and Commission services, suggest possible ways to ensure sustainability of the CSDP achievements by non-CSDP means.
101. Where the Strategic Review recommends refocusing of EU action, this may trigger, in particular, a revision of the CMC by the Council. In this process:
- a. The HR proposes to PSC a set of measures aimed at refocusing the EU action;
  - b. The Commission provides the PSC with a policy analysis and policy options for actions within its competence;
  - c. EUMC, CIVCOM, PMG, and other relevant working parties where appropriate, respectively advise the PSC on the military and civilian implications of continuing, changing or terminating elements of the operation;
  - d. The CoC(s) provide opinions and recommendations on possible adjustments to operational planning, including possible adjustments to objectives, which may affect the situation of forces or deployed personnel

situation of forces or deployed personnel.

e. The consultation with relevant stakeholders, such as the UN, regional organisations, civil society organisations, and the analysis from *academia* (not least the EUISS), could be considered to inform the review.

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<sup>24</sup> A formal Strategic Review may not be required if responding to an external *Force Majeure*.

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Phase 5

102. The refocusing of the EU action may need a revision of the Council Decision, including through a change to the provisions relating to the duration of the mission/operation.
103. Should the envisaged refocusing of the EU action imply a termination of a military operation using NATO assets and capabilities, the PSC informs the NAC.
104. The PSC agrees and forwards to the Council its recommendation on the refocusing of the EU action and a comprehensive course of action comprising the different possible elements, including the possibility of terminating some or all elements of the action.

#### **NN. Decision to refocus or terminate the operation**

105. The Council, as appropriate:
- a) decides to refocus the EU action, including possible termination of some or all of its elements;
  - b) decides about the launching of further actions needed at this stage;
  - c) invites the Commission to re-examine the measures falling under its responsibility, or to make the necessary proposals to that end;
  - d) invites Member States to re-examine actions taken at national level, and if necessary, to adapt them;
  - e) For a military operation, the ATHENA Special Committee provides a new reference amount for any prolongation or approves a budget for the winding-up phase of the military operation.
  - f) For a civilian mission, a new Budget Impact Statement will be developed and approved, as required.
  - g) approves, in due course, the adapted planning documents as required, or repeal / amend the Council Decision establishing the Mission/Operation as required

under the Council Decision establishing the mission/operation as required.

106. In case of termination of the mission/operation, the OpCdr(s) will produce a termination plan in close liaison with the EEAS, Commission services, and the Head of Delegation and EUSR as required. In addition, they will provide a final report, informed by the respective HoM / FCdr's final reports, including lessons learned, and an evaluation about the achievements of the CSDP objectives.

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Phase 5

107. The EEAS, in coordination with Commission services, prepares a communication strategy to support the closure, and to ensure that the mission archiving process is completed in accordance with the standing procedure.
108. Overall lessons review should be conducted in accordance with the civilian and military processes.
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## **FRAMEWORK ORGANISATION**

### Committee of Permanent Representatives (Coreper)

Coreper is responsible for preparing the work of the Council. All issues must pass through Coreper before they can be included on the agenda for a Council meeting. Coreper meets in two configurations, Coreper II and Coreper I, dealing with different subject areas. For CSDP, Coreper II is the competent body with Member States represented by their permanent representatives in Brussels dealing with general affairs and external relations, noting the key role of PSC below.

### Political and Security Committee (PSC)

The Political and Security Committee is the linchpin of the CFSP and of CSDP. Article 38 of the Lisbon Treaty provides that the PSC "shall exercise, under the responsibility of the Council and of the High Representative, the political control and strategic direction of the crisis management operations". The PSC may also be authorised by the Council "to take the relevant decisions concerning the political control and strategic direction" of a specific crisis management operation. The PSC is chaired by a representative of the High Representative.

### Committee for Civilian Aspects of Crisis Management (CIVCOM)

CIVCOM is a Council working party and reports to Committee of the Permanent Representatives (Coreper). It provides information, formulates recommendations and gives advise on civilian

aspects of crisis management to the PSC. It helps to ensure a high degree of coherence in the civilian aspects of EU crisis management, and promotes improvements in the crisis response capabilities of the EU. It contributes to the setting-up of mechanisms for the exchange of information, co-ordination, and rapid reaction between the Union and the Member States. In particular, the Committee exercises its role with regards to civilian CSDP mission's planning and periodic reports as well as the development of concepts for civilian crisis management. In this role CIVCOM can provide full engagement of Member States in the timely development of planning documents, including the finalisation, through drafting if required, of relevant documents. CIVCOM is chaired by a representative of the High Representative.

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### European Union Military Committee (EUMC)

The European Union Military Committee (EUMC) is a Council preparatory body composed of the Member States' Chiefs of Defence (CHODs) represented by their military representatives (Milreps). The EUMC meets at the level of CHODs as and when necessary. It directs all EU military activities and provides the Political and Security Committee (PSC) with advice and recommendations on military matters. The EUMC is the highest military body established within the Council. The EUMC has a permanent Chairman, selected by the CHODs and appointed by the Council. The Chairman of the EU Military Committee (CEUMC) attends meetings of the Council when decisions with defence implications are to be taken. The CEUMC is the senior military advisor to the High Representative and the Point of Contact with the Operation Commanders of the EU's military operations.

### Working Party of Foreign Relations Counsellors (RELEX)

RELEX is responsible for discussing legal and financial aspects of CFSP and all of its instruments, including EU Special Representatives, non-proliferation, sanctions and CSDP. With regards to CSDP, it exercises its functions over the institutional, legal, logistical and budgetary dimensions of missions and operations. It prepares the Council decisions and related financial instruments allowing the deployment of CSDP engagements before submitting them to the Council for adoption. It is chaired by a representative of the rotating Presidency of the Council.

### The Politico-Military Group (PMG)

The Politico-Military Group carries out preparatory work in the field of CSDP for the Political and Security Committee. It covers the political aspects of EU military and civil-military issues, including concepts, capabilities and operations and missions. It prepares Council Conclusions, provides Recommendations for PSC, and monitors their effective implementation. It contributes to the development of (horizontal) policy and facilitates exchanges of information. It has a particular responsibility regarding partnerships with third states and other organisations, including EU-NATO relations, as well as exercises. The PMG is chaired by a representative of High Representative.

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### EEAS Structures for crisis management

#### The EEAS Crisis Management Board (CMB)

Chaired by the High Representative (HR) or by the Executive Secretary General (ESG), this has been established within the EEAS as the permanent entity addressing horizontal aspects of EEAS crisis response. The CMB meets on a regular basis to ensure coordination of EU measures related to crisis prevention, preparedness and response capabilities in crises varying from health emergencies and humanitarian disasters to conflict and other security risks. The CMB shall consist of the Chairman of the EU Military Committee, the Chief Operating Officer (COO), the Deputy Secretary Generals, the Managing Director for Resources, the chair of the Political and Security Committee, the relevant EEAS services such as the MD Crisis Response and Operational Coordination (MD CROC), the geographical and thematic Managing Directorates, the Conflict Prevention and Security Policy Directorate, the EU Intelligence Analysis Centre (INTCEN), the Crisis Management Planning Directorate (CMPD), the EU Military Staff (EUMS), the Civilian Planning Conduct & Capability (CPCC), the Security Directorate and the Commission's Foreign Policy Instruments Service (FPI).

## Crisis Platform

In response to a crisis the HR, the ESG or the MD CROC in consultation with the ESG, may decide to activate the Crisis Platform (CP) in order to provide political and strategic guidance for further action and planning and to deactivate it when appropriate. The CP shall also facilitate information-sharing amongst participants. Chaired by the HR, the ESG or the MD CROC, it shall provide the EEAS services with a clear political or strategic objective for the management of a given crisis, including guidelines and assessments of constraints to, and needs for, planning. Drawing on all services' expertise, while respecting the competences of each actor, the CP shall help in defining options, shape decision-making and streamline the information in order to provide the EEAS services with the requisite parameters and guidance for developing the appropriate response to the crisis. Meeting on an ad-hoc basis, the CP shall consist of the relevant EEAS services as well as relevant Commission services and General Secretariat of the Council services. The secretariat support is ensured by MD CROC, which performs and overall operational coordination function in support to the ESG, on the basis of conclusions agreed at the crisis platform meetings. The

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conclusions of the meetings of the CP shall be endorsed by the HR or by the ESG and shall be considered as instructions to the services concerned.

## Conflict Prevention Group

In close cooperation with the INTCEN, the Conflict Prevention Group aims at gathering and reviewing on continuous basis early warning information on countries and regions at potential risk of conflicts and crisis. It identifies early response/early action options for the CMB or, as appropriate, the CP. It brings together experts from across the EEAS and the Commission, including on political, military/civilian crisis management, human rights, and development matters.

## Intelligence Steering Board

The EEAS Intelligence Steering Board (ISB) is the permanent entity addressing all aspects of EEAS Intelligence support. It defines the Intelligence requirements, Intelligence contributions to advance planning and priorities at the strategic level. The ISB is chaired by the HR or ESG and consists of

EEAS top level management, the Chairman PSC and EU military OpCdr (in case an EU OHQ is activated). The EEAS Intelligence Working Group (IWG) supports the ISB and proposes Strategic Intelligence Direction and the Prioritised Intelligence Requirements for Intelligence support of EEAS activities. It synchronises the tasking of Single Intelligence Analysis Capacity (SIAC) and defines an Intelligence product range that covers the specific needs of the different levels within the EEAS. The IWG meets on a monthly basis, is co-chaired by the Directors INTCEN and Director EUMS Intelligence Directorate, and consists of the different EEAS entities and the EU OHQ (if activated).

### EU Intelligence Centre (INTCEN)

The INTCEN supports CSDP planning by monitoring and assessing international events, focussing particularly on sensitive geographic areas, terrorism, the proliferation of weapons of mass destruction, and other global threats. It collates and provides analysis on information based on Member States intelligence and security services, providing an in-depth interpretation of unfolding events.

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### EU Situation Room (SITROOM)

Operating on a 24-hour, seven-day-a-week basis, under the responsibility of MD CROC, the SITROOM supports all the EEAS structures, acting as the EEAS switchboard and embedding crisis related information given inter alia by EU delegations, Member States, EUSR teams, and International Organisations, within situation reports or flash reports. The main task of the SITROOM is to streamline the flow of real time information relating to the crises. They are supported by the EUMS Watch-keeping capability for EU CSDP Operations and Missions.

### EEAS Services for CSDP

#### Crisis Management and Planning Directorate (CMPD)

Established as an integrated civilian-military strategic planning structure for CSDP operations and

Established as an integrated civilian-military strategic planning structure for CSDP operations and missions, the CMPD is the primary EEAS service for political-strategic planning on CSDP. It is in charge of conducting strategic and advance planning of new CSDP missions or operations, ensuring coherence between CSDP and other EU instruments as required, operationalising the EU policy on mainstreaming human rights and gender in CSDP and developing options and the Crisis Management Concept (CMC). In addition, it is in charge of conducting Strategic Reviews of existing CSDP missions and operations in the light of a changing strategic context, ensuring their coherence with agreed political strategic objectives and of EU policies, and with other EU actions and establishing contacts and agreements with partners for participation in CSDP missions/operations. It also leads on EU-NATO and EU-UN dialogue on CSDP, produces supporting concepts and policy papers, and conducts training and lessons learnt. It is continually involved in the development of planning products at all levels, and in the day to day support of missions and operations at the political-strategic level.

### European Union Military Staff (EUMS)

The EUMS, as the source of military expertise in the European External Action Service, provides military expertise to the HR and support to the EUMC. It develops military strategic and advance planning by contributing to possible military aspects of the political framework for crisis approach and to the CMC and by delivering Military Strategic Options and the draft Initiating Military Directive. It ensures coherence in military planning between the EEAS and the Operation Commander (OpCdr) and may support the military OpCdr planning at the level of CONOPS and

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OPLAN. It conducts military-related lessons learned. In addition, it provides military Intelligence to the EU's early warning system, and contributes by providing key enablers such as logistic, CIS and intelligence expertise to CSDP structures.

### Civilian Planning and Conduct Capability (CPCC )

The CPCC supports the Civilian Operations Commander (CivOpsCdr), who is also the CPCC Director, in exercising his/her responsibilities related to the operational planning and conduct of civilian CSDP missions. The CPCC supports CSDP advance planning, contributes to the development of the CMC for new missions and supports CMPD in the strategic reviews of ongoing missions. It supports CMPD in the development of Civilian Strategic Options (CSO) if so required

and in coordination with EUMS as appropriate. It leads the operational planning, i.e. the development of the civilian CONOPS and OPLAN, in coordination with the military OpCdr as appropriate. It prepares the draft mission budget, in coordination with the Commission, and it is associated to the debate in RELEX for the definition of the Budget Impact Statement to be annexed to the Council decision establishing or extending a mission. Once the mission is established, the Civilian Operations Commander exercises command and control of the mission. In particular he issues instructions as required to the Head of Mission and provides him with advice and support, including on financial, personnel and logistical issues. In addition the CPCC manages force generation for civilian CSDP missions. It processes and presents the mission reports to PSC and CIVCOM accompanied by the HoM as appropriate. It constantly inter-relates with the Commission seeking civilian-civilian synergies and within the perspective of the Comprehensive Approach. It supports the standardisation of civilian CSDP operational procedures by issuing instructions, producing guidelines and participating to the Lessons Learned cycle through the identification of lessons and best practices. It constantly inter-relates with EUMS for the identification and implementation of CSDP civil-military coordination requirements.

#### Crisis Platform Implementing Group (CPIG)

Where appropriate, the CP shall be supported by Crisis Platform Implementing Groups, dedicated to detailed and specific aspects of the EU response or to implementing its decisions. The CPIG shall be chaired by the relevant lead EEAS authority (as established by the CP) and limited to the essential functional expertise. Depending on the nature and the dimensions of the crisis, the Implementing Group may include representatives of the Deputy Secretary Generals, MD CR&OC, EUMS, CMPD, CPCC, SITCEN (analysis and open source), FPI, the concerned Geographical

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Directorate(s), the Conflict Prevention and Security Policy Directorate, the Human Rights and Democracy Directorate the Security Directorate and the Resources Directorates. Commission services may be invited to participate. Coordination with the Council, including in the framework of the Crisis Coordination Arrangements (CCA), will be ensured.

#### Committee of Contributors (CoC)

The Committee of Contributors (CoC) is formed of contributing third states to an EU mission/operation. The CoC for the military operation deals with the various problems concerning

mission/operation. The CoC for the military operation deals with the various problems concerning the implementation of that 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 OpCdr. The CoC for the civilian operation deals with the various problems concerning the implementation of the mission and all day to day management matters which are not exclusively, under the instructions he will have received, the responsibility of the HoM. The CoC provides opinions and recommendations on possible adjustments to operational planning, including possible adjustments to objectives, which may affect the situation of forces or the deployed personnel. Depending on the nature of its tasks it may meet in the appropriate format.

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## DEFINITIONS

**Early warning** is the communication of prioritised risks to those with the capacity to act upon them, based on the forecasting of the probability and severity of a latent conflict escalating into violence. Early warning contributes to the avoidance of strategic surprise.

**Advance planning** is conducted continuously at differing levels (strategic, operational, tactical) to allow the EU to deal with potential crises in a timely manner. The products of advance planning can range from country books, in their most generic form, to possible military and/or civilian actions suitable for dealing with specific crises, in their most detailed form. These products inform and allow a smooth transition to crisis response planning for an identified crisis. EU's response time is significantly reduced by the use of advance planning. CMPD will ensure political strategic coherence of advance planning.

The **Political Framework for Crisis Approach (PFCA)**, which could/should be based on country or regional strategies<sup>25</sup>, is the conceptual framework describing the potential comprehensive approach of the EU to the management of a particular crisis. Its inclusive methodology aims at developing a common appreciation of the crisis to all EU stakeholders and at assessing the impact of the crisis on EU interests, values and objectives. It envisages possible lines of engagement and objectives for EU engagement in the short, medium and long terms and seeks synergies across instruments. It will be prepared by the relevant EEAS Geographical Desk, drawing together Subject Matters Experts from across the EEAS and Commission. Based on the **Political Framework for Crisis Approach**, the PSC will further evaluate the appropriateness of further planning of a CSDP mission/operation.

**The Crisis Management Concept (CMC)**, based on advance planning, is the conceptual framework describing CSDP activity to address a particular crisis within the EU comprehensive approach. The CMC defines the political strategic objectives for CSDP engagement, and provides CSDP option(s) to meet the EU objectives. Within the EEAS, it is prepared by CMPD, supported by CPCC and EUMS for civilian and military considerations.

**Options** describe "what could we do" and constitute a generic term, which covers different meanings per respective levels:

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<sup>25</sup> such as the strategy for the Horn of Africa or the Sahel.

- the PFCA lays out the different options that may be developed by the respective EU services and institutions, and their coherence with a view to reaching the EU's objective(s).

- In the Crisis Management Concept, the option(s) are about CSDP at political strategic level and combine the civilian and military CSDP instruments as appropriate to allow a choice by the political decision-makers.

- In the Civilian and/or Military Strategic Options, the options describe the respective commitments of the civilian and/or military CSDP instrument(s) to reflect the political direction and guidance, as expressed in the CMC.

**Civilian CSDP Mission:** CSDP crisis management operation subject to a civilian chain of command and financed through the CFSP budget or by Member States if the Council unanimously so decides<sup>26</sup>.

**Military CSDP Operation/Mission:** CSDP crisis management operation subject to a military chain of command and financed through ATHENA mechanism as regards common costs.

**Concept of Operations (CONOPS):** It is a planning document indicating the line of action chosen by the civilian/military OpCdr to accomplish the mission/operation, thus translating the political intent into direction and guidance.

**Operation Plan (OPLAN):** It is the plan of the crisis management operation. It further elaborates the operational details necessary for the implementation the chosen line of action into specific tasks as per civilian/military OpCdr's objectives indicated in the CONOPS. For military missions it includes an annex on the use of force, and is, where applicable, accompanied by the Rules of Engagement. For civilian missions, it includes, where appropriate, Rules for the Use of Force.

**Initial Operational Capability (IOC):** Statement delivered by the Operation Commander, indicating that the execution of the mission essential tasks can commence in theatre, as adequate resources have been put in place

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<sup>26</sup> TEU Art 41(2)

**Full Operational Capability (FOC):** statement delivered by the Operation Commander, indicating that all forces and equipment are in place to implement the full range of tasks.

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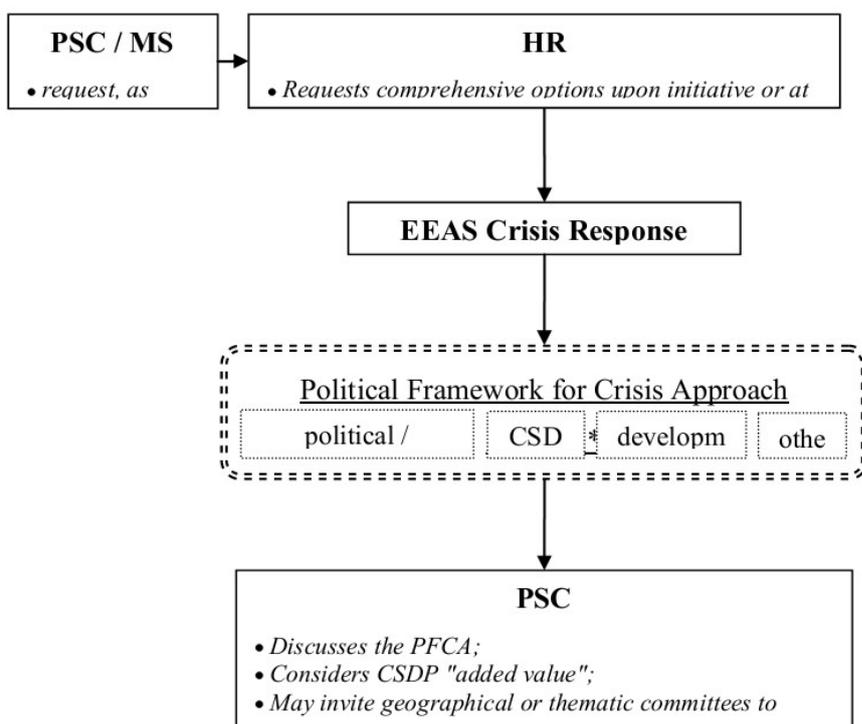
## SUMMARY CHART OF KEY DECISION MAKING STEPS

### Notes

- The chart is intended to be a tool to facilitate understanding and use of the present Crisis Management Procedures (CMP) by reflecting the key decision points. It focuses on the EU's own decision-making process and in particular on key moments (i.e. either decisions or presentation of 'products') leading up to the adoption of the Council Decision launching the mission/operation. Text in the flowchart summarises text within the body of the CMP; the latter text clearly has precedence.
- In case of Fast Track Procedure, a dedicated chart provides suggestions for the minimum requirements of an accelerated decision making process.
- Other elements of the CMP may not be reflected in the present chart but clearly remain integral to CSDP decision-making. These include activities that are ongoing throughout the procedures, including for example SIAC assessments by the EU INTCEN and EUMS INT Directorate, or regular information exchanges. Consultations or interactions with third parties, which take place at points in the procedures that can vary depending on the particular crisis, are not reflected.
- The processes within the CMP (and summarised in the chart) are indicative; not all will necessarily be taken during a particular crisis (e.g. a crisis management operation may include exclusively military or exclusively civilian instruments). Many of the processes included in the CMP are iterative in nature.
- It is understood that there is input to Council bodies and decision-making procedures from the EEAS, and Commission services throughout the procedures and at all levels. Co-ordination between services is also an ongoing process. The grey backgrounds in the flowchart indicate stages at which there is a heightened co-ordination, i.e. to ensure the coherence of planning products.
- The arrows in the chart reflect a tasking or the forwarding of a 'product' and are not intended to reflect hierarchical relationships.

**PHASE 1: IDENTIFICATION OF A CRISIS AND DEVELOPMENT OF AN OVERALL EU APPROACH**

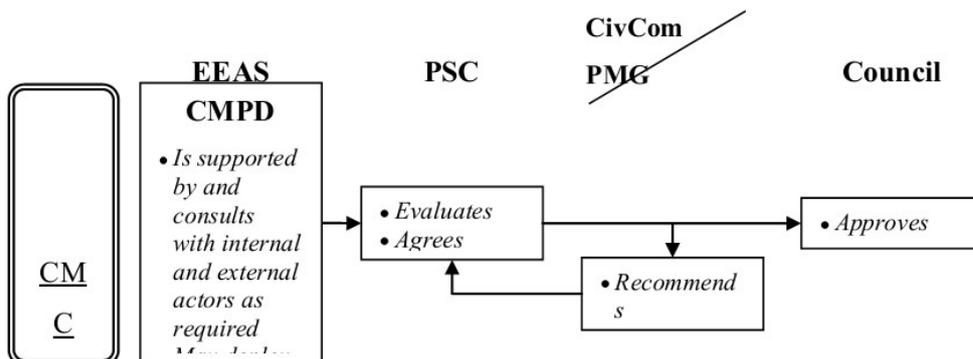
- *Information, assessments, early warning*
- *Consultation with the Commission*
- *Consultations with UN, NATO, other partners and stakeholders*



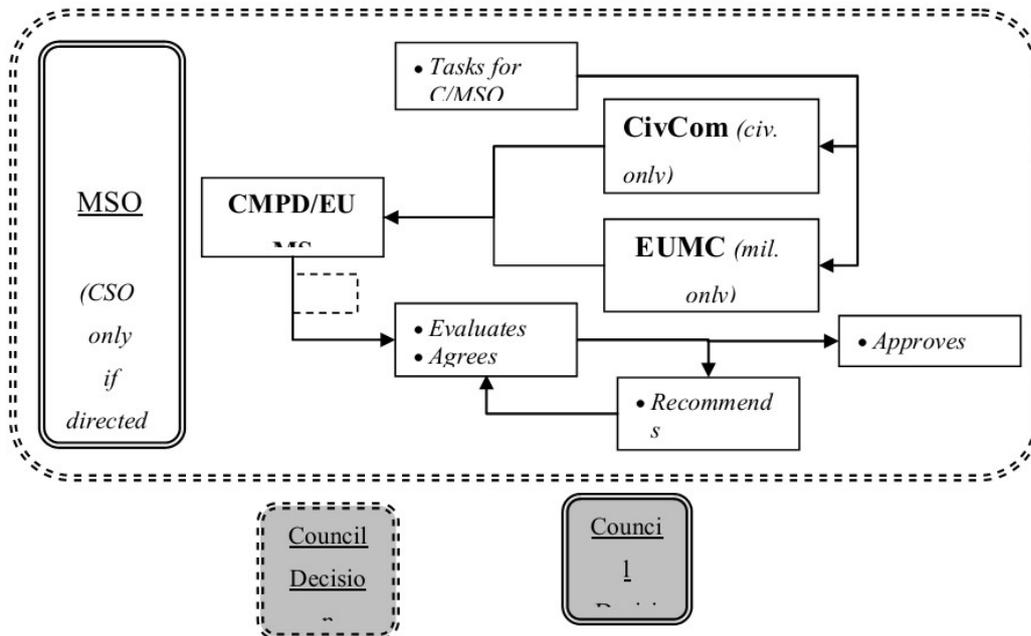
\* this Phase may be skipped in cases of urgency

**PHASE 2: DEVELOPMENT OF THE CMC AND ESTABLISHMENT OF THE MISSION/OPERATION**

**CSDP POLITICAL-STRATEGIC PLANNING**



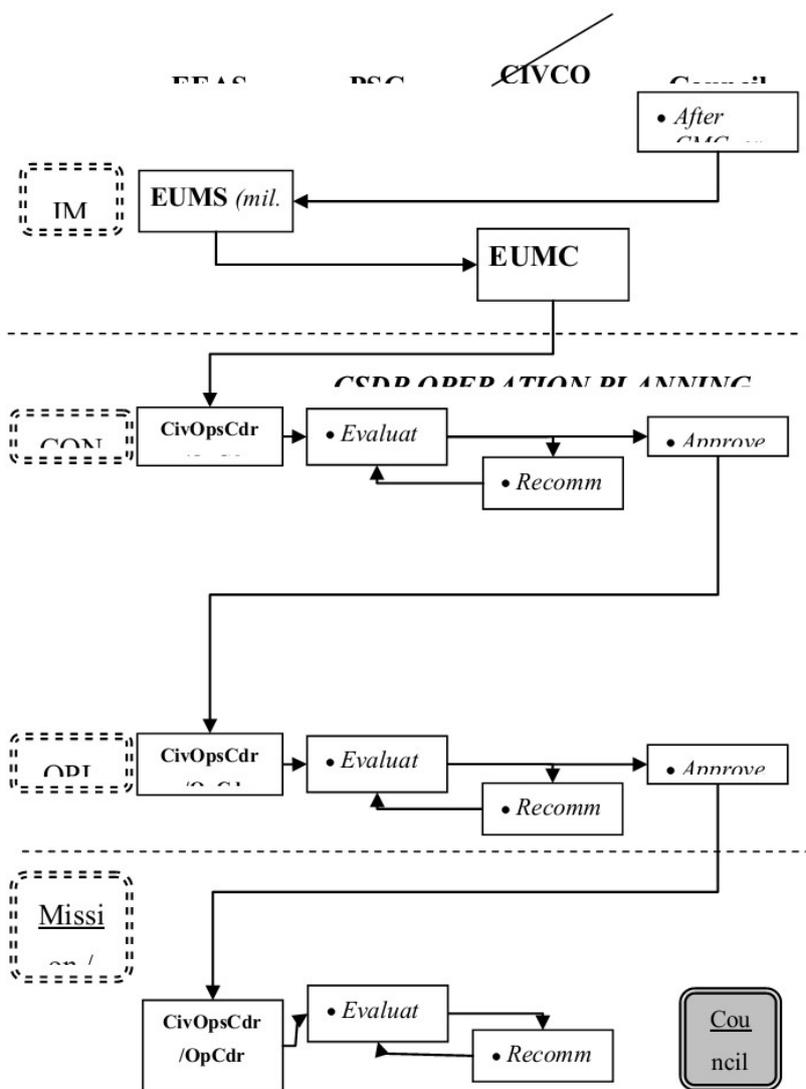
**CSDP STRATEGIC PLANNING**



- To be concluded once the Budget Impact Statement is ready
- Establishes the mission
- Approves the Budget Impact Statement (BIS)

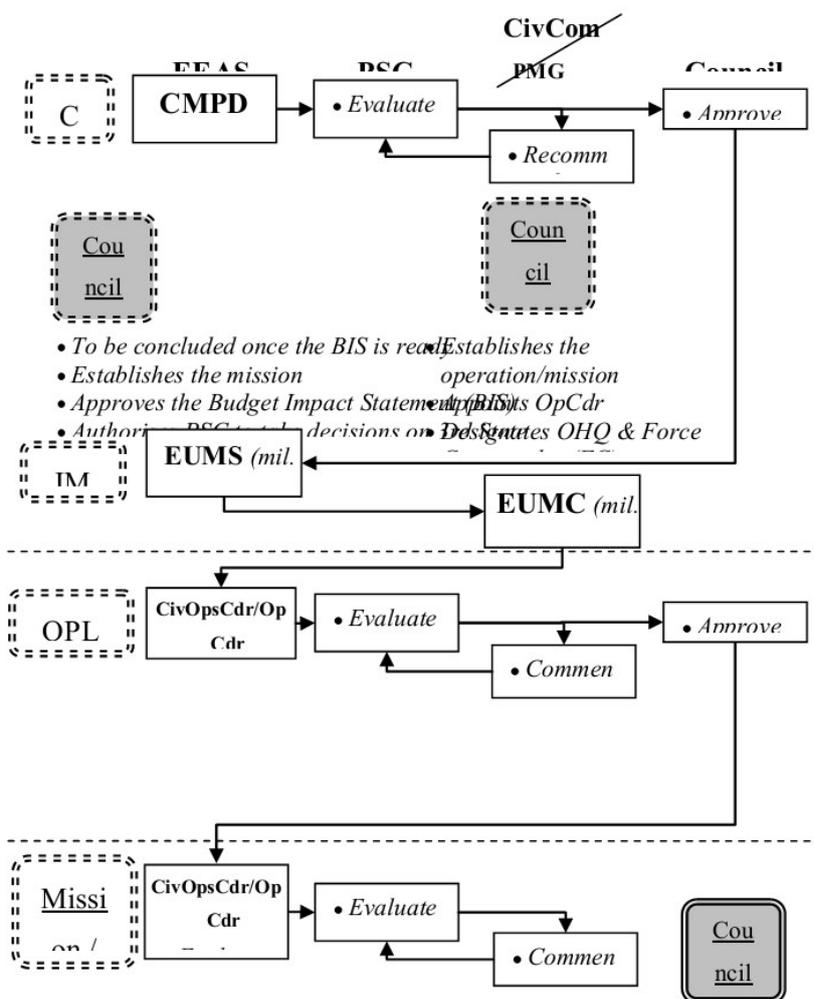
- Establishes the operation/mission
- Appoints OpCdr
- Designates OHQ & Force Commander (FC)
- Approves common costs
- Authorises PSC to take decisions on 3rd

**PHASE 3: OPERATION PLANNING OF THE CSDP MISSION/OPERATION AND DECISION TO LAUNCH - STANDARD PROCESS**



**PHASE 3: - OPERATION PLANNING OF THE CSDP MISSION/OPERATION AND DECISION TO LAUNCH - FAST TRACK PROCESS**

ANNEX 3



### **Template for Political Framework for Crisis Approach**

- I. **Background.** *This should set down the why this multidisciplinary paper has been produced, and which services and external actors have been involved in its joint development. It should include a conflict analysis.*
  
- II. **Analysis and appreciation of the situation**
  
- III. **Political Situation.** *A general description and analysis of the political situation, including a description of current EU activity as well as local, regional and international actors, and a detailed description of political challenges to be addressed.*
  
- IV. **Economic and Humanitarian Situation.** *A general description of the economic and humanitarian situation, including a description of current EU activity as well as local, regional and international actors, and a detailed description of economic and humanitarian challenges to be addressed.*
  
- V. **Security situation.** *A general description of the security situation, including a description and analysis of parties to the crisis (objectives, strengths and weaknesses), and a detailed description and analysis of security challenges to be addressed.*
  
- VI. **Human Rights and Gender Situation.** *A general description of the human rights and gender situation, including a description of current EU activity as well as local, regional and international action and a detailed description of human rights and*

regional and international action, and a detailed description of human rights and gender challenges to be addressed. Will in most cases be based on the Human Rights Country Strategy already approved by the PSC.

**VII. Impact of the crisis on EU current interests, values and objectives in the region.**

**VIII. Objectives to the crisis.** *What the EU wishes to achieve, and why. This should set down a coherent set of strategic interests and objectives for EU-action. This would then constitute the overall frame for the formulation of different options to meet these objectives.*

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**IX. Risks.** *What are the risks of the EU not taking action, and what are the risks of taking action, including on the conflict itself.*

**X. The Way Forward.** *These are the policy options available to the EU. These are likely to be broad options covering a range of potential activity, and they should be separated by the type of instrument available to implement them. These broad options should depict the envisaged lines of engagement and objectives per respective instrument in the short, mid and long terms. Potential interrelation between the various instruments should ideally be outlined where possible. This will ensure further work can be undertaken in a coherent manner, but without disrupting the method of delivery or decision making process. Thus the EU moves from "instrument led" to "instrument delivered" activity sharing a common objective<sup>27</sup>.*

**XI. Resource Implications.** *These will clearly be dependant on which activity is subsequently undertaken, but an initial costing of potential activity is essential to assess the financial feasibility of options.*

**XII. Annexes.** *If required to provide more detail on the specific policy options.*

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<sup>27</sup> Whilst all levers and instruments should be harnessed to achieve the political objective, there will always be the requirement for humanitarian aid, under DG ECHO, to work under the EU's humanitarian aid principles of humanity, neutrality, impartiality and independence. Every decision DG ECHO takes must be in accordance with these four principles which are at the heart of the European Consensus on Humanitarian Aid. As such, DG ECHO's humanitarian aid is distributed without regard for any political agendas, and without exception seeks to help those in the greatest need, irrespective of their nationality, religion, gender, ethnic origin or political affiliation.

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### **Template for Crisis Management Concept (CMC)**

*Note: this is a generic format and it will not constrain the development of CMCs as required due to the specific circumstances of the case. The CMC articulates details required for the political decision-making process at the political-strategic level. If the PFCA stage is not conducted then the CMC could be broadened to include heading IX, X and XI of the PFCA.*

**From:** Crisis Management and Planning Directorate (CMPD)  
**To:** Political and Security Committee  
**Subject:** Draft Crisis Management Concept for a possible CSDP mission/operation in  
 xxx

### **References**

<b>I. <u>Background</u></b>
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<b>II. <u>Situation</u></b>
-----------------------------

### **General**

#### *Political situation*

*Economic situation*

*Humanitarian Situation*

*Human Rights Situation*

*Security Situation*

**Engagement of the international community**

*UN and other stakeholders*

**Existing EU engagement**

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*Political action*

*Humanitarian assistance*

*Security*

**Other actors' engagement**

<b>III. <u>EU Approach</u></b>
--------------------------------

**EU Political Interest**

**EU Political Objective**

**EU Strategic Objective**

<b>IV. <u>Description of the EU Action(s)</u></b>
---

**Mission**

**Assumptions**

**Mission Concept**

**Locations of the Mission**

**Tasks**

**Integration of human rights and gender policies**

**Mission sequencing**

**Force Protection**

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ANNEX 5

**Mission assessment**

**End State**

**EU Exit Strategy**

**Possible Timelines**

**Duration**

**Possible related and/or follow on EU actions**

**Risks to Mission accomplishment**

---

**V. Organisation and Resources**

---

**Command and Control**

**EU Coordination**

**Coordination and Cooperation with External Partners**

**Participation of Non-EU countries**

**Resources**

**Indicative Composition**

**Legal Framework**

**Financing**

**Information Strategy**

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**Security**

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ANNEX 6

## **Template for Civilian Concept of Operations (CONOPS)**

### **Reference documents:**

#### **Table of content:**

#### **Annexes**

## **1 BACKGROUND**

### **1.1 Situation**

*Here the main factors having an influence on the crisis situation are described, from the more general terms (history, culture, geo-strategy) to the more specific ones (the local parameters of the crisis, the ill-functioning institutions, the potential spoilers etc.).*

*Designed as a funnel, this chapter is to lead to the implied demonstration that civilian CSDP has an added value in addressing the identified crisis.*

### **1.2 International community and third state engagement in (Name of the Country)**

*Description of the ongoing, agreed and planned activities of non EU actors addressing the crisis. After we identified the parameters of the crisis in the above chapter, here we identify what is already addressed.*

### **1.3 EU action in (Name of the Country)**

*Description of the activities of other EU Instruments, of EU Member States bilateral projects and activities and, if relevant, of ongoing or previous CSDP activities.*

### **1.4 Security**

*Very succinct summary of the security challenges in theatre and mention of the SIAC risk rating.*

## **2 EU APPROACH AND OBJECTIVES OF CSDP SUPPORT**

### **2.1 EU political and strategic objectives**

*Given in the CMC*

### **2.2 Strategic Assumptions**

*Given in the CMC and further informed by the operational planning*

## **3 MISSION**

### **3.1 Mission statement**

*Given in the CMC*

### **3.2 Desired End State**

*Given in the CMC*

## **4 OPERATIONS DESIGN**

### **4.1 CivOpCdr's analysis**

*Often it is necessary, as an introduction to this chapter, to present a clear definition of the core remit of the mission in the CSDP context ("aviation security", "coast guard function", "integrated border management", and such notions ..)*

*Here are identified the centre of gravity, the key operational considerations (key conclusions of the situation assessment and the mission assessment), the level of ambition of the Mission*

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### **4.2 CivOpCdr's intent and selected course of action**

### **4.3 Mission Objectives for the entire duration of the Mission, and related benchmarking**

4.3.1 Objective 1

4.3.2 Objective 2

### **4.4 Managements of risks to Mission accomplishment**

### **4.5 Instructions for the development of the mission-specific Rules for the Use of Force (if**

applicable)

## 5- EXECUTION

### 5.1 Mission initial duration/duration and area of responsibility

### 5.2 Phases

*In the CONOPS, the phases are broadly described in terms of timelines and general purpose*

### 5.3 Exit strategy

*Given in the CMC*

### 5.4 Indicative Mission Structure

*At this stage, only a functional structure is identified with a total number of Mission staff mentioned, to allow the necessary flexibility at the OPLAN stage.*

### 5.5 Co-ordination requirements/instructions

### 5.6 Identification of lessons and best practice

## 6 COMMAND

### 6.1 Command and Control (C2) concept

### 6.2 Reporting

### 6.3 Technical guidance on CIS

### 6.4 EEAS Security office

## 7 INFORMATION AND COMMUNICATION STRATEGY

## 8 DUTY OF CARE

## 9 MISSION SUPPORT

*Here the general considerations on Mission Support are identified, but detailed considerations will only be registered with the mission support annexes of the OPLAN, to provide a fully informed picture.*

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ANNEX 6

9.1 Legal Aspect

9.2 Mission Support

9.3 Internal Control

### Annexes

**1 Complementary information on the background situation, including EU Member States bilateral activities**

**2 Indicative Mission Structure**

**3 Benchmarking**

- 4 Management of risks to Mission accomplishment
- 5 Code of conduct and discipline
- 6 Safety and Security
- 7 Human Rights and Gender
- 8 List of relevant concepts and guidelines for civilian CSDP
- 9 List of acronyms

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**Template for Military Concept of Operations (CONOPS)**

**REFERENCES**

**FILE REFERENCE:****DATE:****ORIGINATOR'S ABBREVIATED TITLE****FOLLOWED BY FORMAL TITLE****AND THE APPROPRIATE EU CLASSIFICATION**

**REFERENCES:** List of relevant documents on which the concept of operations is based.

**1. SITUATION**

## a. Political Environment.

*It details the neighbouring countries, other regional countries and the current EU involvement in the area of interest.*

## b. Strategic Environment.

*It describes the actors across the political, military, economic, social, infrastructural and information domains as appropriate, and their interactions. It identifies the adversary actors to be opposed and their centres of gravity, the friendly and cooperative actors to be engaged and the neutral actors to be influenced.*

## c. CSDP End-State and Strategic Objectives.

*They are given in the CMC.*

## d. EU Centre of Gravity.

## e. Political Guidance.

*It describes the political constraints and restraints, some of which may be imposed by agencies outside the EU (UN, NATO, OSCE, AU) and by neutral countries involved in the operation with the EU.*

## f. Political Assumptions.

## g. Legal basis.

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**2. MISSION.**

*A clear and concise statement from the IMD detailing who will conduct the military operation*

*or mission, what is to be done, when it will take place, where it will occur, and why it is being conducted.*

### **3. STRATEGIC PLANNING DIRECTION / DESIGN**

#### **a. OpCdr's Intent**

- i. Main Effort
- ii. Military Strategic Aim
- iii. Military Strategic Centre of Gravity

Mil-Strat CoG	
Critical Capabilities	
Critical Requirements	
Critical Vulnerabilities	

- iv. Military Strategic Objectives
- v. Strategic Lines of Engagement (LoE)
- vi. Strategic Effects and Actions:
  1. Military Strategic Effects
  2. Effects to be avoided
  3. Implied actions
  4. Mission Essential Actions
- vii. Cooperation with EU non military and non EU instruments.
- viii. Preconditions for Success
- ix. Criteria for Success
- x. Constraints and Restraints
- xi. Risk Assessment and Risk Management

#### **b. Strategic Planning Assumptions**

#### **c. Theatre of Operations and Joint Operations Area**

- i. Area of Operations (AOO)
- ii. Joint Operations Area (JOA)

- iii. Area of Interest (AOI)

#### **d. Strategic Framework.**

*The strategic framework is set in a Comprehensive Approach and it shows desired effects and actions, aiming at military strategic objectives. Related to the phases of the operation are Decisive Points / Conditions.*

- i. Phase I: Preparation and Shaping
- ii. Phase II: Execution
- iii. Phase IIa: Execution – Initial Effects
- iv. Phase IIb: Execution – Conduct of Operation
  - 1. Desired Effects
  - 2. Essential actions for FCdr
- v. Phase III: Re-deployment

### **4. EXECUTION**

#### **a. Mission and Objectives for FCdr**

#### **b. Force and Theatre Capability Requirements**

- i. Force capability: Land
- ii. Force capability: Air
- iii. Force capability: Maritime
- iv. Force capability: Logistics
- v. Force capability: Medical
- vi. Force capability: Other

#### **c. Coordination of Requirements**

- i. OpCdr Critical Info Requirements
- ii. Crisis Response Measures
- iii. Use of Force
- iv. Joint Effects Management
- v. Force Protection
- vi. Information Activities
  - Public Information/ Public Relations (PI/PR)
- vii. Civil-Military Cooperation (CIMIC)
- viii. Inter Agency Coordination
- ix. Campaign Assessment
  - x. Exit Criteria
  - xi. Critical Timing
  - xii. Environmental Protection
  - xiii. Human Rights and Gender

## **5. SERVICE SUPPORT**

- a. Logistic Concept**
- b. Logistic Standards and Requirements**
- c. Movement Concept**
  - i. Strategic Deployment.
  - ii. Layout of logistic nodes. (APOD/SPOD, MOB/MLB, FOB/FLB)
- d. HNS / CSO Concept**
- e. Supply and Maintenance Concept**
- f. Military Engineering Concept**
  - i. General.
  - ii. Mobility Support. (TBD)
  - iii. Deployment Phase
  - iv. Survivability/Sustainability.
  - v. Countermine and Counter EOD/IED.
  - vi. Environmental Protection.
- g. Medical Support Concept**
  - i. Medical Treatment
  - ii. Medical Evacuation
  - iii. Preventive measures
  - iv. Medical supplies
  - v. Economies of scale
  - vi. Medical support to local population
- h. Finance**
- i. Manpower**

## **6. COMMAND AND SIGNAL**

**a. Command and Control**

- i. Command Structure
- ii. Command Authority
- iii. Delegation of Command Authority
- iv. Liaison and coordination
- v. Conduct and discipline

**b. Communications and Information Concept**

SIGNATURE BLOCK

**Template for Civilian Operations Plan (OPLAN)****Reference documents****Table of content****Annexes****1 BACKGROUND****1.1. CSDP background**

*Since and including the adoption of the CONOPS*

**1.2. Situation update**

*Main changes in comparison with the situation as described in the CONOPS*

**2 MISSION****2.1 Mission statement**

*Given in the CMC*

**2.2 Desired end state of the mission**

*Given in the CMC*

**3- OPERATIONS DESIGN**

*[NB: In the case of an OPLAN drafted during a fast track process, here the following paragraphs will be included:*

- **CivOpCdr's analysis**

*Often it is necessary, as an introduction to this chapter, to present a clear definition of the core remit of the mission in the CSDP context ("aviation security", "coast guard function", "integrated border management", and such notions ..)*

*Here are identified the centre of gravity, the key operational considerations (key conclusions of the situation assessment and the mission assessment), the level of ambition of the Mission*

- CivOpCdr's intent and selected course of action
- Mission Objectives for the entire duration of the Mission, and related benchmarking

#### 4.4.1 Objective 1

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#### 4.4.2 Objective 2

### 3.1 Operational Assumptions

### 3.2 CivOpCdr Operational guidance to the HoM

### 3.3 Tasks related to mission objectives and benchmarking

#### 3.3.1 Objective 1:

- Task 1.1
- Task 1.2

#### 3.3.2 Objective 2:

- Task 2.1

### 3.4 Managements of risks to mission accomplishment

## 4- EXECUTION

### 4.1 Mission initial duration/duration and area of responsibility

### 4.2 Phases

*In the OPLAN the phases must be clearly described and delineated. A Specific attention will be given to the detailed tasks to be completed during the first phase, whilst the description of the following phases can be less detailed to allow the flexibility necessary to mission conduct.*

### 4.3 Exit Strategy

### 4.4 Mission structure

*The description of the Mission structure includes the identification of each position and the reporting lines.*

#### **4.5 Coordination requirements/instructions**

*Emphasis is to be put on the regional and in-theatre coordination on the one hand and on in-mission coordination on the other hand, including horizontal coordinating working group*

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*mechanisms when these ones are identified as crucial to mission success (case of a mission structure mirroring local institutions in stove pipes, but where inter-institution coordination is the key to success)*

#### **4.6 Identification of lessons and best practise**

### **5- DUTY OF CARE**

### **6- MISSION SUPPORT**

*A short introduction to the very detailed annexes attached is required*

#### **Annexes**

- 1 Situation**
- 2 Mission Organization**
- 3 Area of Operation**
- 4 Benchmarking**
- 5 Risks to Mission accomplishment**
- 6 Coordination**
- 7 Rules for the use of force**
- 8 Code of conduct and discipline**
- 9 Security and evacuation plan**
- 10 Communications and information strategy**
- 11 Mission support (To include finance and procurement, general support services, CIS and Medical)**
- 12 Human resources**
- 13 Human Rights and Gender**
- 14 Mission logo**
- 15 List of relevant concepts and guidelines for civilian CSDP**
- 16 List of acronyms**

**Template for military Operations Plan (OPLAN)**

1. Plans for operations and exercises will vary in their requirement for annexes and appendices, depending on the type of plan and the operation, which it covers. To allow easy cross-reference, annexes and appendices of all planning documents are to retain the standard lettering assigned below. The current list of appendices associated with each annex is not all inclusive, nor is each mandatory for inclusion when developing annexes. Appendix names may be modified to more clearly address the operational situation. Tabs may be included under the appropriate appendix as required. Where the operation or exercise does not require a topic to be addressed that annex or appendix may be omitted. The lettering of annexes or appendices in a plan may not, therefore, be sequential throughout. Additional mission-specific required annexes and appendices are to be assigned spare letter / number designators.
2. The standard annex lettering is as follows:

ANNEX		APPENDIX
A	Concept of Operations <sup>28</sup>	A-1: Synchronisation Matrix A-2: EU-Disposition List (EU - DL) A-3: Reserves
B	Task Organisation and Command Relationships	B-1: Task Organisation B-2: Command Structure B-3: Transfer of Authority B-4: Liaison B-5: Coordination Matrix
C	Forces, Missions/Tasks	C-1: EU- Force List (EU- FL) C-2: Task List (TOPFAS)
D	Intelligence	D-1: Areas of Intelligence Responsibility and Interest D-2: Intelligence Estimate

	<p>D-3: Collection, Co-ordination of Intelligence Requirements Management (CCIRM)</p> <p>D-4: Intelligence Architecture</p> <p>D-5: Counter Intelligence</p> <p>D-6: Human Intelligence Collection (HUMINT)</p> <p>D-7: Imagery Intelligence (IMINT)</p> <p>D-8: Signal Intelligence (SIGINT)</p> <p>D-9: Special Intelligence</p>
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<sup>28</sup> For the Annex A, Concept of Operation, where duplication exists between this document and the main plan [inclusive of other annexes] it may be omitted from Annex A.

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ANNEX		APPENDIX
		<p>D-10: Target Intelligence</p> <p>D-11: Security</p>
E	Rules of Engagement	<p>E-1: ROE Planning Profiles</p> <p>E-2: ROE for Land Operations</p> <p>E-3: ROE for Air Operations</p> <p>E-4: ROE for Maritime Operations</p> <p>E-5: ROE for Open Sources</p> <p>E-6: ROE Release Authority Matrix</p>
F	Maritime Operations	<p>F-1: Maritime Air Operations</p> <p>F-2: Anti-Submarine Operations (ASW)</p> <p>F-3: Anti-Air Warfare (AAW)</p> <p>F-4: Anti-Surface Warfare (ASUW)</p> <p>F-5: Mine Warfare</p> <p>F-6: Submarine Operations</p> <p>F-7: Naval Cooperation and Guidance to Shipping</p> <p>F-8: Land Based Air Support of Maritime Operations</p> <p>F-9: Allied World-wide Navigation Information System (AWNIS)</p>
G	Land Operations	<p>G-1: Key Points and Rear Area Security</p> <p>G-2: Cover and Deception</p>

		G-3: Area Damage Control G-4: Aviation Support for Ground Ops
H	Air Operations	H-1: Counter Air Operations H-2: Strategic Air Operations H-3: Anti Surface Force Air Operations H-4: Supporting Air Operations H-6: Air Space Control H-7: Air Bed down H-8: Data Link Coordination
I	Amphibious Operations	
J	Force Protection	J-1: Active Defence J-2: Passive Defence J-3: Protective Security

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ANNEX		APPENDIX
		J-4: Recuperation
K	Special Operations	
L	Psychological Operations	L-1: PSYOPS Task Organisation L-2: PSYOPS Themes and Objectives L-3: PSYOPS Approval Process L-4: PSYOPS Support Requests L-5: PSYOPS Information Coordination
M	Arms Control	
N	Nuclear Operations	
O	Information Operations	O-1: Information Operations Objectives O-2: Information Operations Themes and Messages O-3: Information Operations Synchronisation
P	Electronic Warfare	P-1: EW Reports
Q	Communications and Information Systems	Q-1: Strategic Communications Architecture Q-2: Maritime Communications Q-3: Land Communications Q-4: Air Communications Q-5: VTC

		Q-6: Formal Message Traffic Q-7: Crypto/Key Mat Q-8: Safety Frequencies
R	Logistics	R-1: Multinational Logistics Arrangements R-2: Personnel Administration R-3: Medical Support R-4: Maintenance, Repair and Recovery R-5: Supply R-6: Service Support R-7: Real Estate Management R-8: Host Nation Support R-9: Mission Essential Equipment
S	Movements	S-1: MT C2 Structure S-2: Reception, Staging and Onward Movement (RSOM)

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ANNEX		APPENDIX
		S-3: Designated APOD Data S-4: Designated SPOD Data S-5: Road, Waterway and Rail Network
T	Environmental Support	T-1: Geographical T-2: Meteorological and Oceanography
U	Operations in a NBC Weapons Environment	U-1: Nuclear, Biological and Chemical Defence U-2: Bases and Facilities
V	Search, Rescue and Recovery	V-1: Search and Rescue V-2: Combat Search and Rescue V-3: Evasion and Escape V-4: Recovery
W	Civil-Military Co-operation	W-1: Civil Assessment W-2: CIMIC Structure W-3: Key Civil Organisations W-4: CIMIC Sites of Significance
X	Public Information Policy	X-1: Public Information Organisation

	and Procedures	X-2: APIC/CPIC Structure X-3: Media Ground Rules X-4: PI Master Messages and Talking Points X-5: Visits Policy
Y	Conflict Termination and De-escalation (Transition Strategy)	
Z	Human Rights and Gender	
AA	Legal	AA-1: Guidance on Law and Order International humanitarian law Conduct and discipline (or standards of behaviour and disciplinary measures)
BB	Training and Mission Rehearsals	BB-1: Mission Essential Task List BB-2: Augmentation Training BB-3: Pre-deployment Training BB-4: In-Theatre Training
CC	Command Information	CC-1: Command Information Management

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ANNEX		APPENDIX
	Management	CC-2: Records CC-3: IER Reports CC-4: Historian Support CC-5: Visual Information and Combat Documentation
DD	Space Operations	DD-1: Space Surveillance and Reconnaissance DD-2: Navigation Aids
EE	Engineer Support	EE-1: Engineer Task Organisation EE-2: Infrastructure Engineering EE-3: Environmental Engineering EE-4: Mobility and Counter-mobility EE-5: Explosive Ordnance Demolition (EOD) EE-6: Engineer Capabilities Analysis
FF	Financial Support	FF-1: Funding Support

		FF-2: Contracting Support
GG	Non-EU Force Procedures	
HH	Rear Area Operations	
II	Joint Fires	II-1: Detailed Joint Fires Concept II-2: Targeting Guidance II-3: Joint Targeting Process II-4: Fire Support Coordination Measures
JJ	Crisis Response System (CRS)	
KK	Operational Analytical Support	
LL	Lessons Learned	
MM -	Joint Military Commission  Counter IED, Targeting	(Remark: In accordance with F 05400 – former F 05100)
YY	Miscellaneous	YY-1: Definitions and Abbreviations YY-2: Bibliography and References
ZZ	Distribution	

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ANNEX 10

### **Template for Strategic Review**

#### **1. Situation - General context.**

- a) Objective elements: summary of changes on the ground.
- b) Subjective elements: what has changed for the EU (e.g. interests, objectives, strategy, policy), implications of 2(a) for EU

#### **2. Overview of actions undertaken.**

- a) Comprehensive overview of EU engagement.
- b) Comprehensive overview of other engaged actors and their activities
- c) Risk assessment

### 3. Mission/Operation assessment

- a) Review of the mission/operation's planning assumptions, capacities, progress, impacts, external perceptions (national, international) and visibility of the Mission/Operation (progress and impact assessments to be provided by CPCC/OHQ)
- b) Mandate evaluation - Expresses the conclusions of the following processes: (i) comparison of theory of change and current situation; (ii) evaluation of mandate tasks with respect to fixed criteria.
- c) How to address the 'delta' between current situation and EU end-state.
- d) Exit strategy, describing the delta between the current situation and the transition of responsibilities, noting what has to be done by EU and others to move forward.
- e) New opportunities.

### 4. Way ahead - Actions for future engagement

- a) main parameters of the suggested future actions
- b) Options, pros and cons (including estimate of resource implications, assumptions, conditions for success).
- c) Implementation of recommended option
  - in terms of mandate/tasks/functions
  - in terms of organization (resources, coordination, C2, comprehensiveness,

### 5. Planning process - Next steps

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**List of Abbreviations**

CEUMC	Chairman of the EUMC
CFSP	Common Foreign and Security Policy
CIVCOM	Committee for Civilian Aspects of Crisis Management
CivOpsCdr	Civilian Operations Commander
CMB	Crisis Management Board
CMC	Crisis Management Concept
CMP	Crisis Management Procedures
CMPD	Crisis Management and Planning Directorate

CoC	Committee of Contributors
CONOPS	Concept of Operations
COO	Chief Operating Officer
Coreper	Committee of Permanent Representatives
CP	Crisis Platform
CPB	Conflict Prevention Board
CPCC	Civilian Planning and Conduct Capability
CPG	Conflict Prevention Group
CPIG	Crisis Platform Implementation Group
CRCT	Crisis Response Coordination Team
CSDP	Common Security and Defence Policy
CSO	Civilian Strategic Option
DGEUMS	Director General of the EUMS
EEAS	European External Action Service
ESG	Executive Secretary General
EU Del	EU Delegation
EUMC	European Union Military Committee
EUMS	European Union Military Staff
EUMS/INT	EUMS/Intelligence Directorate
EUSR	European Union Special Representative
FOC	Full Operational Capability
HoM	Head of Mission
HR	High Representative
IMD	Initiating Military Directive
INTCEN	EU Intelligence Centre
IOC	Initial Operational Capability
ISA	Intelligence Structure Architecture
ISB	Intelligence Steering Board
IWG	Intelligence Working Group
MD CROC	Managing Directorate for Crisis Response and Operational Coordination
MS	Member States
MSO	Military Strategic Option
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organisation
NGO	Non-Governmental Organisation
OHQ	Operation Headquarters
OpCdr	Operation Commander
OpCdr(s)	Civilian and/or military Operation Commanders
OPLAN	Operation Plan
OSCE	Organisation for Security and Co-operation in Europe

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ANNEX 11

PFCA	Political Framework for Crisis Approach
PMG	Politico-Military Group
PSC	Political and Security Committee
PSOR	Provisional Statement Of Requirements
RELEX	Working Party for Foreign relations Councillors
ROE	Rules of Engagement
RUoF	Rules for the Use of Force

INICEN  
SITROOM  
SOR  
TEU  
TFEU  
UN

EU Intelligence Centre  
EU Situation Room  
Statement of Forces Requirement  
Treaty on European Union  
Treaty on the Functioning of the European Union  
United Nations

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