

## ANNEX 1A – UK ADVANCE PLANNING

**1A1. Joint Planning Guides.** The requirement for a Joint Planning Guide (JPG) can be identified by MOD HQ, the Permanent Joint Headquarters (PJHQ), the Supporting Commands or other government departments (OGDs) and communicated to the Chief of Joint Operations (CJO) via the Operational Tasking Group (OTG). If, after direction from the OTG, CJO considers the subject or region suitable for a JPG, he will issue instructions to the PJHQ Plans Division (J5) to compile the JPG following the procedure below:

- a. CJO issues planning direction to ACOS J5 outlining the planning parameters for the JPG; the likely objectives, timelines and any political or military constraints.
- b. A Contingency Planning Team (CPT) is formed under J5 lead normally at DACOS/SO1 level, with representation from all the relevant Divisions at the PJHQ together with any specialists from other military headquarters or outside agencies.
- c. If it is a regional JPG, a reconnaissance is organised to the region, in co-operation with the British military representative in theatre, if one exists, and/or a Military Intelligence Liaison Officer (MILO). The size and exact composition of the reconnaissance team will depend on the number and size of the countries to be visited and on local advice on any sensitivities on parties of visiting military. Although not specifically covert, JPG reconnaissance is normally carried out in as discreet a way as possible and with the smallest practicable team.
- d. On completion of the reconnaissance, the CPT produces a draft JPG which is then circulated to all interested parties including OGDs, the Supporting Commands and relevant Embassies/High Commissions, via the Consular Division of the FCO.
- e. Once any comments have been incorporated, the JPG is allocated a number and added to the list of contingency plans maintained at the PJHQ. The schedule for the review of a JPG will be decided by CJO.

**1A2. Joint Contingency Plans.** A proposal to compile a Joint Contingency Plan (JCP) may be generated by MOD HQ, the PJHQ or the Supporting Commands, but in order to target planning staffs effectively, compilation of a JCP will only commence on receipt of Planning Guidance from the Deputy Chief of Defence Staff (Commitments) (DCDS(C)) on behalf of CDS. The procedure for the production of a JCP is:

- a. DCDS(C), with advice from the OTG as appropriate, issues Planning Guidance to CJO to compile the JCP. The Planning Guidance will contain, as a minimum, the military strategic objective(s), the timeline for planning and any political, military or resource constraints. The Planning Guidance also serves as a warning order to the Supporting Commands that planning is taking place and gives the scope of the planning.
- b. A CPT is formed under J5 lead normally at DACOS/SO1 level, with representation from all the relevant Divisions at the PJHQ together with any specialists from other military headquarters or outside agencies.
- c. The PJHQ, in concert with the Supporting Commands and/or other outside agencies as appropriate, conducts such reconnaissance that may be required to support the estimate.
- d. A military strategic estimate is conducted by the CPT at the PJHQ, with inputs from MOD HQ, Supporting Commands and other specialist staffs, including OGDs as appropriate. The output of the estimate will be a draft JCP, and possibly submissions for further guidance from MOD HQ.
- e. The draft JCP is circulated to all relevant authorities for comment.

1A3. Depending on the level and scope of the intended operation, the final JCP may be submitted to the COS Committee. It will then be approved by DCDS(C) on behalf of CDS. The JCP is then issued to all relevant authorities and added to the list of joint contingency plans maintained by the PJHQ. The schedule for review of JCPs will be decided by the MOD.

## ANNEX 1B – THE NATO PLANNING PROCESS

### NATO Organisations

1B1. Command of NATO forces is vested in one European-based Strategic level Commander, the Supreme Allied Commander Operations (SACO),<sup>1</sup> who holds all of the operational responsibilities formerly held by the Supreme Allied Commander Europe (SACEUR) and the Supreme Allied Commander Atlantic (SACLANT).

1B2. A functional strategic-level Commander, now known as Supreme Allied Commander Transformation (SACT), is based in the USA. SACT's role is primarily to transform NATO military structures, forces, capabilities, and doctrine in order to improve the military effectiveness of the Alliance. This is achieved by conducting strategic level operational analysis in close co-operation with SACO to identify and prioritise the type and scale of future capability and interoperability requirements and to inform the NATO Defence Planning Process.

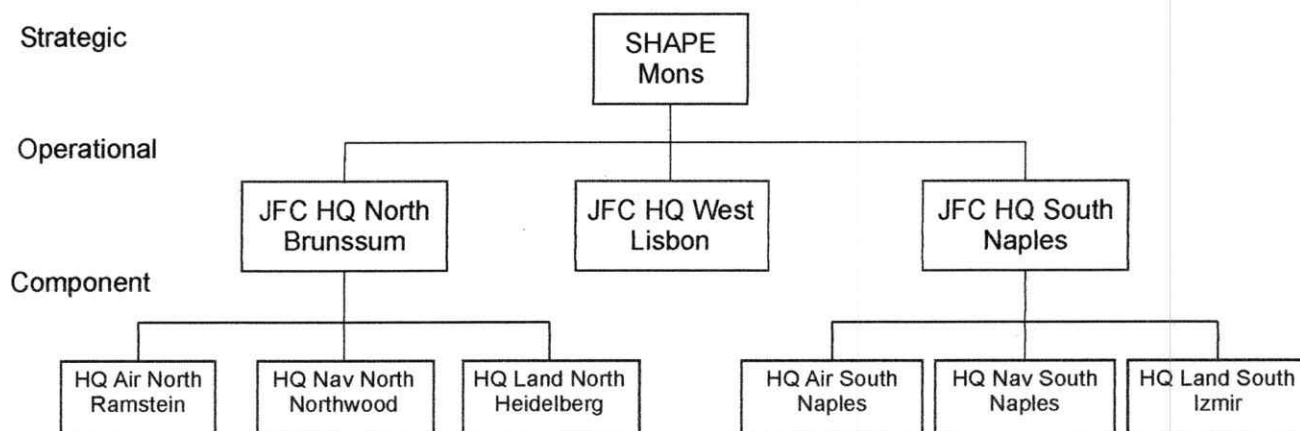
1B3. Alignment of the Strategic level Commanders' operational and functional responsibilities ensures that both Strategic Commands (SCs) have the necessary authority to perform their distinct tasks, while maintaining complementary roles and being mutually supporting.

### The Operational Structure

1B4. **General Outline.** From an operational perspective, there is no fundamental difference between the architecture of a military command and control structure for an Article 5 operation or a non-Article 5 Crisis Response Operation (NA5CRO). Both will be met by a combination of NATO Command Structure (NCS) and NATO Force Structure (NFS) command and control (C2) deployable and static capabilities which will be optimised to meet the challenges of a specific mission. The operational C2 structure (see Figure 1B.1) has 3 levels of command, with NCS HQ at the strategic and operational level and NCS HQ and NFS HQ (Land Component Commander and Maritime Component Commander only) at the tactical level. The operational structure of the NCS is composed of permanently established integrated HQs, widely distributed geographically and commonly funded.

---

<sup>1</sup> Although renamed the original nomenclature SHAPE/SACEUR will remain to avoid rewriting legal documents/SOFAs etc. However SHAPE (which is now the HQ for ACO, rather than ACE) now stands for Supreme HQ Allied Personnel in Europe.



**Figure 1B.1 – Allied Command Operations**

**1B5. Strategic Level.** At the strategic level, Allied Joint Forces are employed within a political-military framework agreed by the Military Committee (MC) and endorsed by the North Atlantic Council (NAC) in order to achieve the strategic objectives of the Alliance. SACO assumes overall command of the operation at the strategic level and exercises his responsibilities from his HQ in Mons, Belgium. He issues military strategic direction to the Joint Task Force Commander (JTFC) – known in NATO as the Joint Force Commander (JFC). SACO is responsible for the preparation and conduct of all operations, including routine operational activities and other non-operational tasks as appropriate. SACO also co-ordinates multinational support and the reinforcement and designation of supported/supporting commands, including issuing military strategic direction to the operational level of command. In addition, SACO has a requirement for access to, or control over some functional entities and NATO agencies/bodies. He also exercises command and control of the NATO Airborne Early Warning and Control Force Command and has direct links with future capabilities/entities developed under the Prague Capabilities Commitment. SACO will provide, if required, an Operational Headquarters capability for EU-led operations from within his HQ.

**1B6. Operational Level.** During an operation the designated operational level commander exercises his responsibilities through a joint HQ that, depending on the characteristics of the operation (e.g. type, size, duration, level of jointness, location of the Joint Operation Area (JOA), etc.), is either static or deployed as a CJTF HQ.

- a. **Headquarters at the Operational Level.** The Alliance has 3 operational level standing joint HQs: 2 JFC HQs and a 3<sup>rd</sup> more limited Joint HQ. These HQs are appropriately sized, manned and able to conduct three Major Joint Operations<sup>2</sup> (MJO) during the initial stage and also, with the exception of the 3<sup>rd</sup> Joint HQ, during the sustainment stages. The 3 Joint HQs allow for the implementation of the CJTF Tailored Capability (TC): the ability

<sup>2</sup> The definition of an MJO is provided in MCM-131-02, MC Input to MG 2002, 25 Oct 02.

to conduct two concurrent CJTF operations, one commanded by a sea-based CJTF HQ for the initial stage of an MJO and one commanded by a land-based CJTF HQ for the initial and sustainment stages. In the context of NATO-EU arrangements, the Alliance will offer to the EU the requested C2 elements (including CJTF HQ capabilities) needed for an EU led operation at the required level of command.

(1) **Joint Force Commander Headquarters.** Each of the 2 JFC HQs has the capability of conducting an MJO, or an operation larger than MJO in the initial stage, from their static location. In addition, either one of the 2 JFCs can provide the land based CJTF HQ, drawing from one set of deployable equipment. JFC HQ NORTH is based in Brunssum, Netherlands and JFC HQ SOUTH is based in Naples, Italy.

(2) **Joint Headquarters.** The 3<sup>rd</sup> Joint HQ has the capability of commanding an MJO as a sea-based CJTF HQ. It is not suited to run operations from its static location or to sustain itself beyond the initial stage. This Joint HQ is located in Lisbon, Portugal but the command platform is currently provided by the US and operates out of Norfolk, Virginia (VA). When the sea-based CJTF HQ is deployed, the Joint HQ's remaining ability is limited to routine functions.

b. **Links to Component Commands.** The 2 JFC HQs have subordinated land, maritime and air component HQs. To fulfil operational requirements, the component commands (CC) could be tasked by SACO to provide a C2 capability under the command of any of the three joint commanders.

1B7. **Component Command Level.** At this level, battles and engagements are planned and executed within an overall campaign. In principle, the operation dictates the type of command and formation deployed. The CC HQs provide the environment-specific expertise for the Joint (Force) Commanders at the operational level, as well as operational level environment specific advice on joint operational planning and execution. JFCCs exercise their responsibilities from static or deployed HQ, depending on the characteristics and requirements of the operation.

a. **Joint Force Land Component Commander.** The NCS has 2 Joint Force Land Component Commander (JFLCC) HQs: LANDNORTH at Heidelberg, Germany and LANDSOUTH at Izmir, Turkey. The JFLCC HQs within the NCS normally deploy only to command one land operation larger than an MJO<sup>3</sup> in the initial stage, whilst drawing on the same set of deployable commonly funded equipment. The High-readiness Force (Land) HRF(L) HQs from the NFS are normally employed as JFLCC HQs in MJOs.

---

<sup>3</sup> For Land operations larger than MJO must be understood as larger than corps size.



b. **Joint Force Air Component Commander.** The NCS has 2 static Joint Force Air Component Commander (JFACC) HQs: AIRNORTH at Ramstein, Germany and AIRSOUTH at Naples. Both JFACC HQs have the capability to command simultaneously the air component of an MJO from their static locations and between them provide one deployable JFACC HQ. To fulfil their functions these HQs are supported by 6 Combined Air Operations Centres (CAOCs) (4 static and 2 deployable).

c. **Joint Force Maritime Component Commander.** The NCS has 2 static Joint Force Maritime Component Commander (JFMCC) HQs: NAVNORTH at Northwood, UK and NAVSOUTH at Naples. Both JFMCC HQs have the capability to command the maritime component from their static location and, in addition, activities in support of joint campaigns outside the JOA. Deployed C2 capabilities at component level for maritime operations will normally be provided by High Readiness Force (Maritime) (HRF(M)) HQs for an MJO, or HQ STRIKFORSOUTH for larger than MJO, as deployed JFMCC HQs. To fulfil their functions, NCS JFMCC HQs are supported by specialised entities for C2 of submarine operations and C2 of maritime air operations.

## NATO Planning Categories

1B8. While the broad principles of NATO planning are similar to the UK's operational planning process, there are differences in terminology and the initiation and approval process. Details of NATO Planning are found in MC 133/3.<sup>4</sup> Planning in NATO will be conducted at a number of levels and hence the plans explained below will be developed at all levels of the NATO military command structure. The highest level plans are those developed at the strategic command level. Beneath these will be plans conducted at the subordinate level. Within NATO there are 2 planning categories, Advance Planning and Crisis Response Planning. A broad comparison of the terms used in UK and NATO planning is at Figure 1B.2.

---

<sup>4</sup> Development of AJP-5 is currently under consideration by the International Military Staff.

Activity	UK	NATO
Contingency Planning	Joint Planning Guides	Contingency Plan (COP)
	Joint Contingency Plans	Standing Defence Plans (SDP)
Crisis Planning	Political Strategic Analysis	Political Military Estimate (PME)
	Military Strategic Estimate (MSE)	Military Estimate
	Operational Estimate	
	Campaign Plan	Operation Plan (OPLAN)
		Supporting Plans (SUPLANs)
Directives	CDS's Planning Guidance	
	CDS's Directive	NAC Initiating Directive
	Jt Comd's Mission Directive	
		Execution Directive

**Figure 1B.2 - Comparison of Terms Used in UK and NATO Planning Process<sup>5</sup>**

1B9. **Advance Planning.** Advance planning is conducted with a view to preparing the Alliance to deal with possible future security risks, either Article 5 or non-Article 5 and, calls for 2 distinct types of plan. These are:

- a. **Contingency Plan (Article 5 and Non-Article 5).** A COP is designed to cater for a possible future security risk, either Article 5 or non-Article 5. Direction for the production of a COP would follow a periodic Defence Requirement Review that takes account of changes in the security environment and developments in defence planning. A COP would be based on a number of planning assumptions and as such would be insufficiently developed to allow immediate execution.
- b. **Standing Defence Plan.** An SDP is designed to cater for a long term, short/no notice Article 5 potential security risk. The requirement for a commander to have a developed SDP will normally be identified in his Terms of Reference (TORs). An SDP needs to be a fully developed plan capable of execution. By their nature, SDPs will create a framework to assist in the identification of future force structures and capabilities and will be modified in response to changing situations.

1B10. **Crisis Response Planning.** Crisis response planning is conducted in response to an actual or developing crisis, both Article 5 or non-Article 5, and calls for the development of an operational plan.

<sup>5</sup> This diagram is provided to assist the reader in understanding the use of different terminology used in the UK's and NATO's planning systems. It is not intended to imply identical staffing processes.

- a. **Operation Plan.** An OPLAN is designed to counter an actual or developing crisis, both Article 5 and non-Article 5. If a crisis was foreseen the OPLAN may be developed from an appropriate COP. An OPLAN is a detailed and comprehensive plan capable of execution, which has forces assigned and all the necessary preparations undertaken for successful execution of the assigned mission. OPLANs are endorsed by the MC and approved by the NAC.
- b. **Supporting Plans.** Depending on the complexity of an operational plan (COP/SDP/OPLAN) there may be the need to develop a series of SUPLANs.

### NATO Planning Responsibilities

1B11. Within NATO's operational planning system there is a clear division of responsibility for initiation, development, approval, execution and cancellation of operational plans. These responsibilities are divided between the NAC or Defence Planning Committee (DPC), as appropriate, MC, SACO and Subordinate NATO Commanders within the NATO military command structure. Specifically the division of responsibilities for crisis response planning is as follows:

- a. **North Atlantic Council.** The NAC, as the senior political authority within the Alliance is responsible for the initiation and approval of all operational plans developed in response to actual or developing crises. In the course of the Politico-Military Estimate (PME), the NAC will select one or more Military Response Options (MROs). Should the NAC decide on the requirement for military intervention, it will issue a NAC Initiating Directive (political guidance) to initiate detailed operational planning. The NAC is also responsible for issuing a NAC Force Activation Directive and a NAC Execution Directive.
- b. **Military Committee.** The MC is responsible during the planning process for assisting the NAC in its deliberations concerning the initiation of OPLAN development. Following this the MC will submit potential MROs to the NAC for its consideration. Should the NAC decide on a requirement for military intervention, the MC is responsible for translating NAC political guidance into strategic military direction to SACO. The MC is also responsible for endorsing a CONOPS/OPLAN prior to it being forwarded to the NAC for approval.
- c. **Supreme Allied Commander Operations.** SACO is responsible, when directed by the NAC, for assisting in the further development or refinement of potential MROs during the PME process. Should the NAC decide on the requirement for military intervention, SACO is responsible for the development of a strategic-level OPLAN and, where appropriate, the



development of any necessary SUPLANs. When the OPLAN is complete it is forwarded through the MC to the NAC for approval. SACO is also responsible for force activation and deployment procedures when directed by the NAC.

d. **Subordinate NATO Commanders.** Subordinate NATO Commanders<sup>6</sup> are responsible, when so tasked by the appropriate Initiating Authority, for the development of subordinate-level OPLANs and, where appropriate, the development of any SUPLANs.

**1B12. Operation Plan Execution.** In order to execute an OPLAN it is necessary to activate and deploy the forces required by the OPLAN. Force activation is the responsibility of SACO and is initiated by a NAC Force Activation Directive.

**1B13. NATO Estimate Process.** NATO employs an Estimate process that is similar to that used for UK national planning. This involves mission analysis followed by the identification of various courses of action (CoAs). Once a preferred CoA is selected a CONOPS is then developed. The CONOPS provides a clear and concise statement of how the military commander intends to accomplish the assigned mission, including the desired military end-state, and is forwarded to the initiating/superior authority for approval. A CONOPS would normally consist of a situation overview, a mission statement, an outline concept for execution, including the commander's intent, conduct of operations and force and capability requirements, an outline service support concept and key C2 arrangements.

### **NATO Force Activation Process**

**1B14. North Atlantic Council Force Activation Directive.** The first step in the force activation process is the issue by the NAC of the Force Activation Directive, which direct appropriate SCs to initiate force activation. The earliest point at which the NAC can issue the Force Activation Directive is coincident with CONOPS approval.

**1B15. Strategic Commander Activation Warning.** The NATO Force Activation Process is shown at Figure 1B.3. Upon receipt of the Force Activation Directive, SACO commences the formal force activation process by means of the Activation Warning (ACTWARN) message, together with the Provisional Statement of Requirement (SOR). The ACTWARN informs NATO Regional commanders and nations that a force is required; it outlines the mission and identifies key dates. The Provisional SOR provides nations with an indication of the type and scale of forces and capabilities required. Nations should respond to the Provisional SOR with informal force offers. These offers provide SACO with an early indication of the

---

<sup>6</sup> Such as JFC HQ North, West or South.

probable formal offers, prior to the Force Generation Conference. Following release of the ACTWARN, formal negotiations commence between SACO and nations.

**1B16. Strategic Commander Force Generation Conference.** Having received the nations informal force offers, in response to the Provisional SOR, SACO calls a Force Generation Conference, with all potential Troop Contributing Nations. The output of the Force Generation Conference is the Draft SOR, which reflects nations force offers and details the proposed force package for the operation.

**1B17. Strategic Commander Activation Request.** Following the development of the Draft SOR, the SCs issue the Activation Request (ACTREQ) message to nations. The ACTREQ requests nations formally to commit to the force package in the Draft SOR.

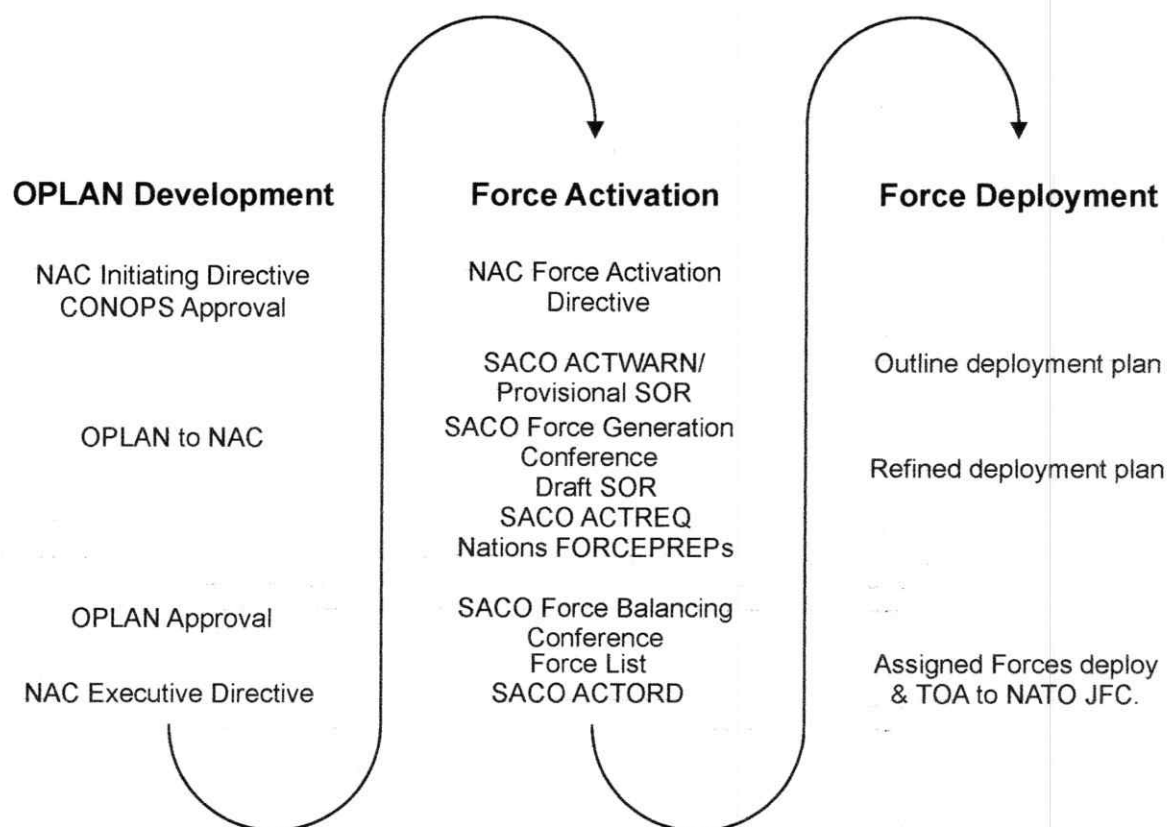
**1B18. Nations Force Preparation Message.** Upon receipt of the ACTREQ, nations provide the SC with a Force Preparation (FORCEPREP) message, which is the formal commitment of national contributions to the draft SOR force package. Nations also use FORCEPREP messages to state national caveats (geographic, logistic, time related, ROE, command status etc) on the employment of their force contributions.

**1B19. Strategic Commander Activation of Pre-deployment.** If the NAC has earlier authorised the pre-deployment of Enabling Forces SACO may request nations to deploy forces to NATO-assigned staging areas by issuing an Activation of Pre-deployment (ACTPRED) message.

**1B20. North Atlantic Council Execution Directive.** Once the OPLAN is endorsed by the MC and approved by the NAC, the NAC can issue its Execution Directive to initiate mission execution.

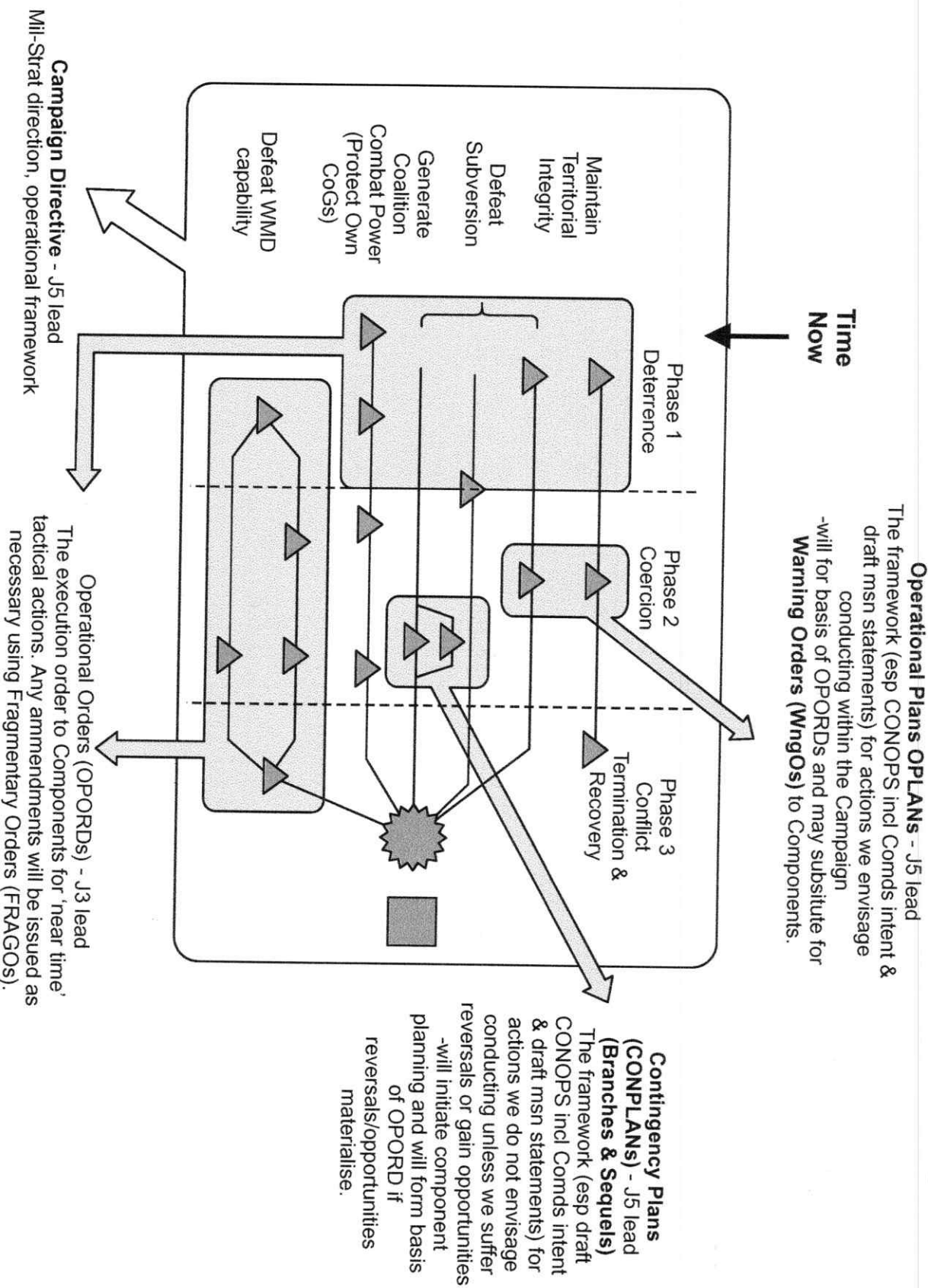
**1B21. Strategic Commander Activation Order.** Upon receipt of the NAC's Execution Directive, the SC issues the Activation Order (ACTORD) message for the operation to all participating nations, which initiates release of national forces and the release of necessary NATO common funding.

**1B22. Transfer of Authority.** To ensure the properly co-ordinated deployment of forces in theatre, nations should authorise Transfer of Authority (TOA) of all forces on arrival. The issue of the SC ACTORD initiates release of national forces. In cases where the NAC may have authorised the earlier pre-deployment of Enabling Forces, the issue of the SC ACTPRED initiates release of these Enabling Forces and TOA to the SC, as well as authorising their deployment.



**Figure 1B.3 - NATO OPLAN Development and Activation Process**

# ANNEX 3F – A HIERARCHY OF OPERATIONAL PAPERWORK



3F-1

# ANNEX 3C – OUTLINE CDS DIRECTIVE TO THE JOINT COMMANDER

**CONFIDENTIAL OR SECRET WHEN COMPLETED**

**CDS/NN/YY** [*CDS Registry*]

**OP XXXXX** [*CDSDO*]

## **CDS DIRECTIVE TO THE JOINT COMMANDER (JT COMD)**

*Note: The requirement to issue CDS direction at an early stage is paramount. This may require an issue of a draft CDS Directive, which will be superseded by the formal Directive when appropriate.*

**EXERCISE EXERCISE EXERCISE (If Applicable)**

**FROM CDS FOR JT COMD**

**REFERENCE(S): (If Applicable)**

- A. EG ROEAUTH DTG
- B. EG PLANNING GUIDANCE DTG

### **1. SITUATION.**

*Include a brief political/military statement of the current situation and the task.*

**2. APPOINTMENT.** *E.g. You are appointed Jt Comd for Op XXXXX and you are to exercise Operational Command (OPCOM) of UK Forces assigned to the operation from PJHQ Northwood. Within your Theatre of Operations, you are responsible to me for the conduct of operations of all assigned UK Naval, Land and Air Forces, including their intelligence, logistics, communications, administrative, and medical support.*

**3. HMG'S STRATEGY.** *HMG's strategy is to .....*

**4. HMG'S OBJECTIVES.** *HMG's objectives are as follows:*

a. **POLITICAL OBJECTIVE(S).**

b. **MILITARY OBJECTIVE(S).** *e.g. In parallel, to deploy and sustain UK forces assigned to OP XXXXX.*



12. **COMMAND AND SIGNAL.**

- inher-  
speak  
force*
- a. **NATIONAL COMMAND.** *All UK Forces remain under National Command.*
  - b. **FULL COMMAND.** *CINCs retain Full Command of all forces assigned. DSF retains Full Command of all assigned SF Forces.*
  - c. **OPERATIONAL COMMAND.** *You are to exercise OPCOM of UK assigned Naval, Land, and Air Forces.*
  - d. **OPERATIONAL CONTROL.** *You may delegate Operational Control (OPCON) of UK assigned forces in theatre to the JTFC, once the JTFHQ is established. OPCON of submarines will remain with CTF311.*
  - e. **ALLIED/COALITION COMMAND AND CONTROL.** (If Applicable)
  - f. **INFORMATION AND REPORTING.**
  - g. **CODEWORD.** *The codeword for this operation is XXXXX. Its meaning is (Classification).*
  - h. **SIGNALS.** *All message traffic on Op XXXXX is to bear the SIC I9X, in addition to subject SICs.*
  - i. **CIS.** *CIS responsibilities are at Annex G.*

DTG Z

**CHIEF OF THE DEFENCE STAFF**

[Original Signed]

AUTHENTICATED  
DOps

## ANNEXES:

- A. TASK ORGANISATION.
- B. ROE DIRECTIVE.
- C. INTELLIGENCE DIRECTIVE.
- D. INFO OPS DIRECTIVE.
- E. MEDIA OPERATIONS.
- F. LOGISTICS DIRECTIVE.
- G. CIS RESPONSIBILITIES.
- H. TARGETING DIRECTIVE (NOTAL).

## ANNEX 1D – US STRATEGIC PLANNING

### US Planning Organisations

**1D1. US National Organisations.** As established in the United States (US) Constitution, the ultimate authority and responsibility for national defence lies with the President. The National Security Council (NSC) directs the formulation of National security policy and strategy; the NSC has 4 statutory members: the President, the Vice President, the Secretary of State and the Secretary of Defense (Sec Def). The Chairman of the Joint Chiefs of Staff (CJCS) and the Director of the Central Intelligence Agency serve as statutory advisers. Supporting these are the senior officials of the Office of the Secretary of Defense (OSD) and the individual Services, the other members of the Joint Chiefs of Staff (JCS), the combatant commanders,<sup>1</sup> and a number of agencies with unique defence responsibilities.

**1D2. Department of Defense.** The supporting participants in the Department of Defense (DOD) - the individual Services, combatant commands, and defence agencies - provide their advice and recommendations through the Secretary of Defence and the Chairman of the Joint Chiefs of Staff (CJCS).

**1D3. Contingency Planning Guidance.** The Sec Def has a statutory requirement to provide the CJCS with written guidance for the preparation and review of contingency plans. The Contingency Planning Guidance (CPG) provides this guidance and directs the CJCS to develop plans to carry out specific missions. The Under Secretary of Defense for Policy prepares the CPG and co-ordinates it with the CJCS and other DOD components before the Sec Def submits it to the President for approval. The closest equivalent in UK terms is the advance planning process (see paragraph 105), where the OTG agrees priorities for the planning of Joint Planning Guides (JPGs), Joint Contingency Plans and Joint Operation Plans.

**1D4. Joint Planning and Execution Community.** The headquarters, commands and agencies involved in the planning for mobilization, training, movement, reception, employment, support and sustainment of forces assigned to a theatre of operations are collectively termed the Joint Planning and Execution Community (JPEC). The JPEC consists of the CJCS and other members of the JCS, the Joint and single-Service Staffs, the combatant commands (including their component, sub-unified commands and joint task forces) and Defence agencies.

---

<sup>1</sup> A Combatant Command (COCOM) is defined as 'a unified or specified command with a broad continuing mission under a single commander established and so designated by the President, through the Secretary of Defense and with the advice and assistance of the Chairman of the Joint Chiefs of Staff. Combatant commands typically have geographic or functional responsibilities.' Combatant command provides full authority to organise and employ commands and forces as the combatant commander considers necessary to accomplish assigned missions. (JP 1-02 'Department of Defense Dictionary of Military and Associated Terms').

**1D5. Joint Strategic Planning System.** The Joint Strategic Planning System (JSPS) is one of the primary means by which the CJCS, in consultation with the other members of the JCS and the combatant commanders, carries out his statutory responsibilities required by US law. The JSPS is a flexible and interactive system intended to provide strategic guidance for use in Joint Operation Planning and Execution System (JOPES) and as such is the nearest thing to the UK's Defence Crisis Management Organisation (DCMO) process.

**1D6. Joint Operation Planning and Execution System.** The JOPES is the principal DOD system for translating policy decisions into operational plans and orders. It includes a set of publications, an operational planning process and an automated data processing (ADP) support system which assist in the development of deliberate plans (i.e. operation plans (OPLANs)), operation plans in concept format (i.e. concept plans (CONPLANs)) and operation orders (OPORD). JOPES consists of deliberate and crisis action planning processes and emphasises joint planning for deterrence and effective transition to operations through rapid co-ordination and implementation of plans. There is no real comparison with the UK system since JOPES encompasses both US strategic and operational level planning.

**1D7. Combatant Commands.** The US organises its forces under the Unified Command Plan (UCP) into combatant commands.<sup>2</sup> The commanders of these commands exercise combatant command (COCOM) of assigned forces; COCOM is the authority to perform those functions of command involving the organisation of forces, assignment of tasks, designation of objectives and direction to all aspects of military operations, joint training, and logistics necessary to accomplish assigned missions. Although not formally part of the Joint Strategic Planning System (JSPS), the UCP supports joint strategic planning by establishing the missions, responsibilities and force structures of the combatant commanders, delineating their geographic areas of responsibility (AORs) and specifies functional responsibilities for the functional combatant commanders. The UCP is prepared by the Sec Def and approved by the President with the advice and assistance of the CJCS.

**1D8. Combatant Command J5.** The J5 develops and co-ordinates plans and policies for military instruments of power in support of US national, diplomatic, and economic policies, regional strategy, strategic and contingency plans, theatre force structure, and warfighting requirements pertaining to the combatant command's AOR. In UK terms this equates to the Permanent Joint Headquarters (PJHQ) J5 cell. In a similar vein to the UK, the role of the combatant command J5, on behalf of the Commander, is:

- a. Planning guidance to the subordinate headquarters or Joint Task Force Headquarters J5 through the Operations Planning Team (OPT). The OPT is

<sup>2</sup> Currently SOUTHCOM, NORTHCOM, CENTCOM, PACOM, EUCOM, JFCOM, STRATCOM, SOCOM and TRANSCOM.

activated upon receipt of any pending crisis or activity that may involve military forces within the combatant command's AOR.

- b. Co-ordinate for interagency and non-governmental and international organisations liaison officer (LO) representation for the Joint Task Force (JTF).
- c. Co-ordinate with the Sec Def and CJCS for guidance and planning data related to JTF transition or termination.
- d. Co-ordinates multinational forces points of contact.
- e. Co-ordinates United Nations (UN) related issues.

**1D9. Combatant Command Operations Planning Team.**<sup>3</sup> The US OPT conducts a similar function to that of the UK CPT in PJHQ. The US OPT enhances the Crisis Action Planning (CAP) process by establishing a planning element at the combatant command level with component participation. The OPT normally falls under the staff supervision of the combatant command J3. Upon designation of a JTF, a deployable joint task force augmentation cell (DJTFAC),<sup>4</sup> from the combatant command, is deployed and will augment the JTF planning cell. Additionally, upon designation as a JTF, the J-5 will often send a J5 LO to participate in the combatant command OPT.

**1D10. Combatant Command Deployable Joint Task Force Augmentation Cell.**<sup>5</sup> The combatant commander will provide the DJTFAC as a staff augmentation package within 24 hours of the designation of a Service component HQ as a JTF to facilitate joint planning and execution efforts.

**1D11. Combatant Command Crisis Action Team.** The combatant command Crisis Action Team (CAT), normally led by J3, serves as the primary focal point for the synchronisation of effort across the combatant command staff during crisis action. When activated, the combatant command CAT begins 7 days-per-week, 24-hours-per-day coverage from the combatant command joint operations centre.

### Types of US Planning

**1D12. Deliberate Planning.** US Deliberate planning prepares for a possible contingency based upon the best available information and in this respect is similar to UK advance planning (see paragraph 105). It currently is accomplished in five stages: initiation, concept development, plan development, plan review, and supporting plans. The process relies heavily on assumptions regarding the political and military

<sup>3</sup> Not all combatant commands use the term OPT, some refer to it as the Operations Planning Element (OPE) or Joint Planning Group (JPG).

<sup>4</sup> To be replaced by Standing Joint Task Force Headquarters.

<sup>5</sup> The US is going away from DJTFACs and is in the process of implementing Standing Joint Task Force Headquarters (SJFHQ).



circumstances that will/may exist when the plan is implemented. Deliberate planning is conducted principally in peacetime to develop joint operation plans for contingencies identified in strategic planning documents. Deliberate plans are prepared under joint procedures and in prescribed formats as an OPLAN, CONPLAN with or without time-phased force and deployment data (TPFDD),<sup>6</sup> or functional plan.

- a. **OPLAN.** An OPLAN is a complete and detailed operation plan containing a full description of the concept of operations and all required annexes with associated appendixes. It identifies the specific forces, functional support, deployment sequence, and resources required to execute the plan. An OPLAN can be used as the basis of a campaign plan (if required) and then developed into an OPORD.
- b. **CONPLAN.** A CONPLAN is an operation plan in an abbreviated format that would require considerable expansion or alteration to convert it into an OPLAN, campaign plan, or OPORD. A CONPLAN contains the Commander of a combatant commands Strategic Concept and those annexes and appendixes either required by the JSCP or deemed necessary by the combatant commander to complete planning.
- c. **CONPLAN with Time-phased Force and Deployment Data.** A CONPLAN with TPFDD<sup>7</sup> is the same as a CONPLAN except that it contains more detailed planning for the deployment of forces.
- d. **Functional Plans.** Functional plans involve the conduct of military operations in a peacetime or permissive environment. These plans are traditionally developed for specific functions or discrete tasks (e.g. nuclear weapon recovery or evacuation) but may also be developed to address functional operations such as disaster relief, humanitarian assistance, peacekeeping, or counter-drug operations.

1D13. **Crisis Action Planning.** CAP is based on current events and conducted in time-sensitive situations and emergencies – what the UK calls crisis planning. CAP follows prescribed procedures, but remains flexible and responsive to changing events.

- a. **Crisis Action Planning Process.** CAP is executed within a framework of 6 phases as illustrated in Figure 1D.1. These 6 phases integrate the workings of the President of the United States, the Sec Def and the JPEC into a single process. The process provides for the identification of a potential requirement for military response, the assessment of the requirement and formulation of strategy, the development of feasible courses of action (CoAs)

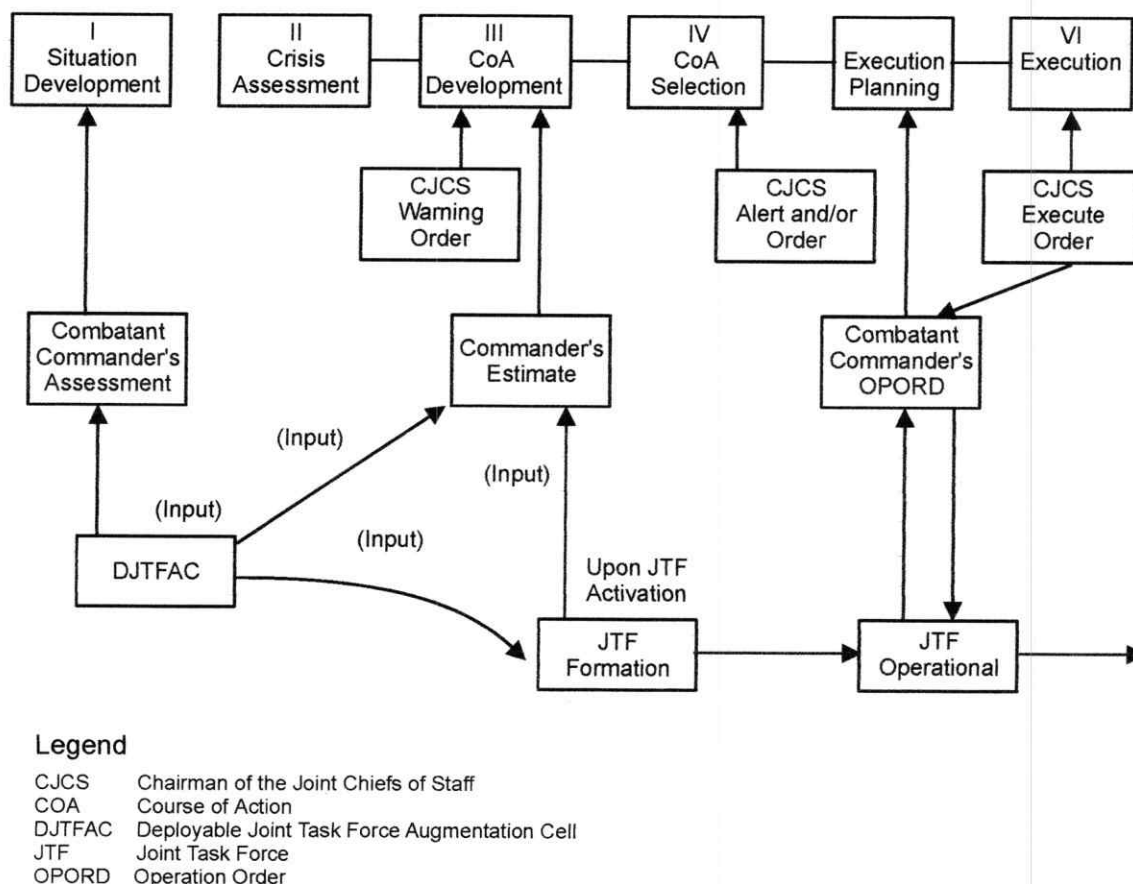
<sup>6</sup> The process is currently under review.

<sup>7</sup> TPFDD is a computer database used to identify types of forces and actual units required to support an OPLAN or OPORD. Additionally, TPFDD contains estimates for logistics support and designates ports for loading and unloading. It can also establish the sequence for moving the forces and support into the AOO. (User's Guide for JOPES).



by the supported commander, the selection of a CoA by the President and Sec Def and, when directed, implementation of the approved CoA by the supported commander. The phases are as follows:

- (1) **Situation Development.** The focus of this phase of crisis action planning is on the combatant commander in whose area the event occurs and who will be responsible for the execution of any military response.
- (2) **Crisis Assessment.** During the crisis assessment phase of crisis action planning, the President and Sec Def, the CJCS, and the other members of the JCS analyse the situation and determine whether a military option should be prepared.
- (3) **Course of Action Development.** The CoA development phase of crisis action planning implements the President and Sec Def decision or CJCS planning directive to develop military options.
- (4) **Course of Action Selection.** The focus of the CoA selection phase is on the selection of a CoA by the President and Sec Def and the initiation of execution planning.
- (5) **Execution Planning.** The President and Sec Def approved CoA is transformed into an OPOD during the execution planning phase of crisis action planning.
- (6) **Execution.** The execution phase begins when the President and Sec Def decide to execute a military option in response to the crisis.



**Figure 1D.1 - 6 Phases of Crisis Action Planning and Key Documents**

**1D14. US Campaign Planning.** US doctrine defines a campaign ‘as a series of related joint major operations that arrange tactical, operational, and strategic actions to accomplish strategic and operational objectives within a given time and space’.<sup>8</sup> Combatant commanders translate national strategy into strategic and operational concepts through the development of theatre campaign plans. The campaign plan embodies the combatant commander’s vision of the arrangement of related operations necessary to attain theatre strategic objectives. Campaign planning encompasses both the deliberate and crisis action planning processes. If the scope of contemplated operations requires it, campaign planning begins with or during deliberate planning. It continues through crisis action planning, thus unifying both planning processes. This is the means by which combatant commanders give the President and Sec Def and the CJCS information needed for co-ordination at the national level. Subordinate campaign plans may also be created by joint task forces commands if required. Tasking for strategic requirements or major contingencies may require the preparation of several alternative plans for the same requirement using different sets of forces and resources to preserve flexibility. For these reasons, campaign plans are based on reasonable assumptions and are not normally completed until after the President and Sec Def selects the CoA during CAP.

<sup>8</sup> US JP 5-0 ‘*Doctrine for Planning Joint Operations*’.

## ANNEX 3G – CAMPAIGN DIRECTIVE TEMPLATE

JFHQ/????

See Distribution

[date]

### OP [XXXX] – CAMPAIGN DIRECTIVE

#### References:

- A. CDS/??? dated ?? (UK CDS's Directive to Jt Comd).
- B. D/PJHQ/? dated ?? (Jt Comd's Directive to JTFC Op XXXX).
- C. OPORD 0001/?. *[Include whichever OPORDS/WngOs are to be issued concurrently.]*
- D. JFHQ/XXXX dated XXXX (Force Instructions Document (FID) for Op XXXX). *[If issued in parallel; more often it is to fol.]*
- E. INTSUM 00?/??.
- F. *[Mapping as appropriate.]*

Time Zone Used Throughout this Directive: [ZULU]

**Forces Assigned.** Annex A *[This is written to include forces assigned to the JTFC, and may therefore exclude strategic forces such as SF and SSGN, and will arrange those forces by initial Component TASKORG rather than by capability provider (Front Line Command) as is done in the Jt Comd's annex.]*

#### SCOPE AND METHODOLOGY [J5 to complete]

1. This Campaign Directive will be supported by the Force Instructions Document (FID), which contains supplementary instructions and supporting information. Together, these capstone documents set the operational framework of the Campaign. Within this construct, Operations Orders (OPORDS) will address discrete parts of the Campaign as outlined in Ref C. The issue of Contingency Plans (CONPLANS), and the subsequent Component planning, will accommodate potential reverses and opportunities.

#### SITUATION

- 2. **Geo-Strategic Background.** [J5 to complete]
- 3. **Enemy Forces.** [J52 to complete]

b. **JTFC.** The JTFC will be *[name]*. Command the Force from a Joint Task Force Headquarters (JTFHQ) located in ..., which will include LNOs from ...

c. **JFMCC.** The JFMCC will be *[name]*. The JFMCHQ will be established at *[location]*.

d. **JFLCC.** The JFLCC will be *[name]*. The JFLCHQ will be established at *[location]*.

e. **JFACC.** The JFACC will be *[name]*. The JFACHQ will be established at *[location]*.

f. **JFSFCC.** The JFSFCC will be *[name]*. The JFSFCHQ will be established at *[location]*.

g. **JFLogCC.** The JFLogCC will be *[name]*. The JFLogCHQ will be established at *[location]*.

h. **Force Troops.**

21. **Alternate JTFC/JTFHQ.** [J5 to complete] *Appointment (name)/HQ*

22. **Command & Control (C2).** [J5 to complete] An overview of the Force C2 arrangements, along with the detail of Component C2, is at Annex E.

a. **Jt Comd.** *[CJO]* will exercise OPCOM of all assigned UK forces less ...

b. **JTFC.** The JTFC will exercise OPCON of all assigned UK forces less *[SSN and Strategic SATCOM (TACON)]*.

c. **JFMCC.** *[Detail command arrangements, e.g. I delegate TACOM of the forces at para ? to Annex A to the MCC/MCC is to exercise TACOM over the assets listed at ...]*

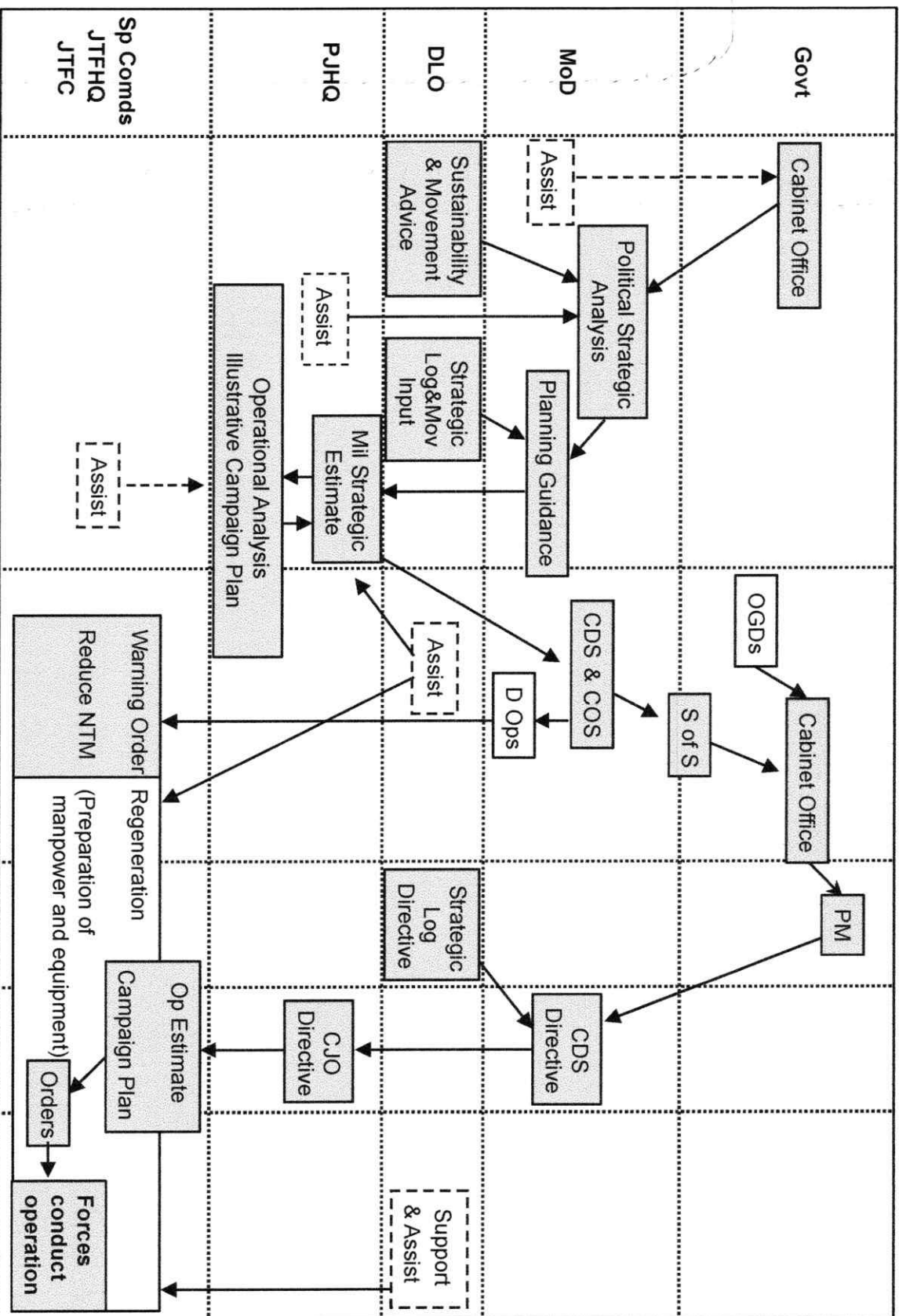
d. **JFLCC.** *[Detail command arrangements]*

e. **JFACC.** *[Detail command arrangements]*

f. **JFSFCC.** *[Detail command arrangements]*

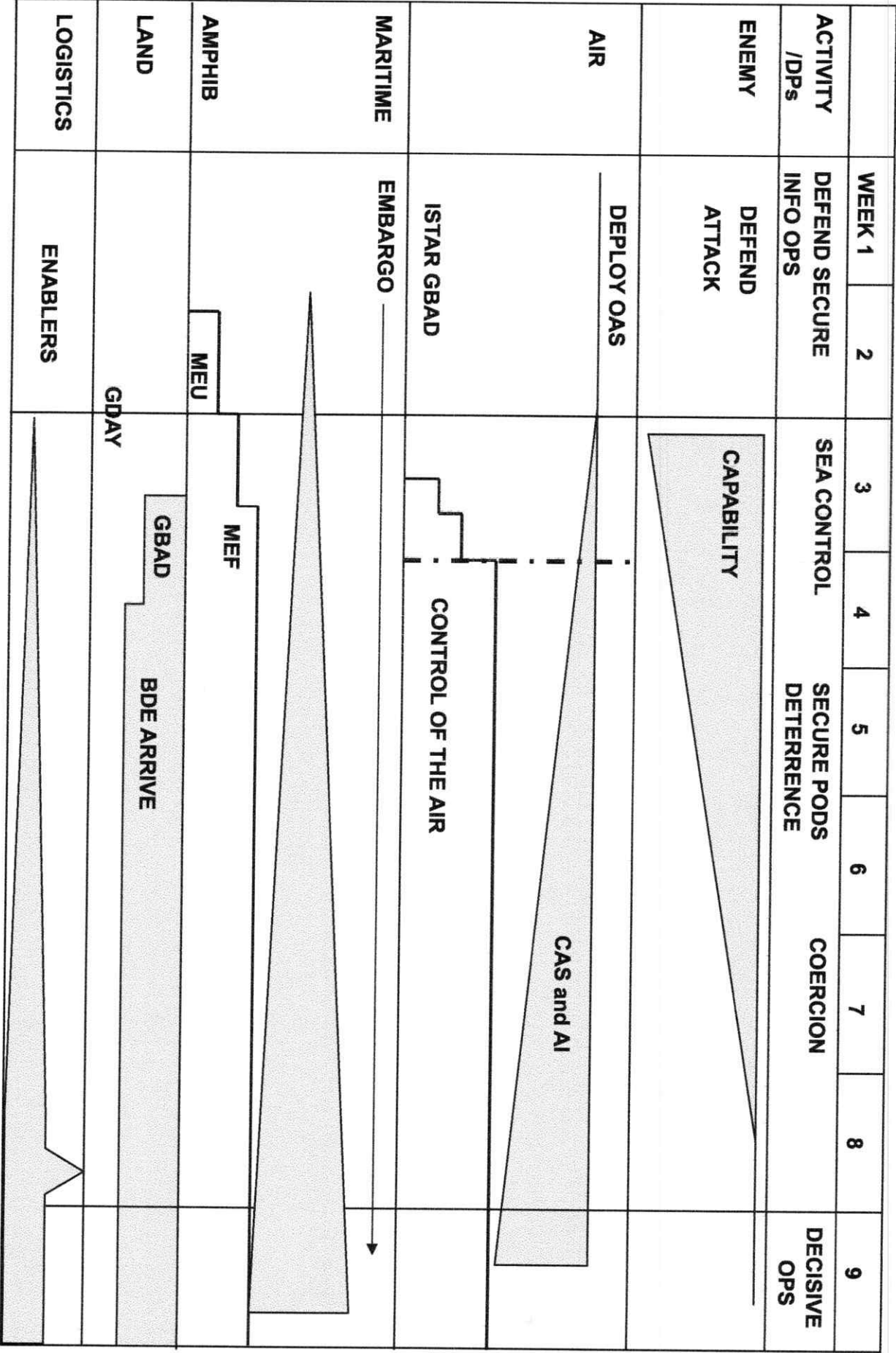
g. **JFLogCC.** *[Detail command arrangements]*

# ANNEX 1G - STRATEGIC PLANNING DEVELOPMENT FLOWCHART





APPENDIX 2B1 - OPTION 1 – DEFINING THE ART OF THE POSSIBLE



2B1-1

# APPENDIX 2E3 – EXAMPLE CAMPAIGN EFFECTIVENESS ANALYSIS SCHEMATIC BY OPERATIONAL OBJECTIVE

Operational Objectives (Examples)		Insignificant Success	Minimum Success	Partial Success	Significant Success	Mission Success	Recommendations (Examples)
<ul style="list-style-type: none"> <li>• Territorial integrity restored</li> <li>• Unhindered passage through international waters and airspace re-established</li> </ul>			↓				• No change in apportionment of CAS/A1 in sp of JFLCC in ATO AB
					↑		• Increase in OCA & ISR apportionment Branch plan needed for alternate SPOD
<ul style="list-style-type: none"> <li>• Withstand further attacks through generation of security apparatus</li> <li>• Use of WMD prevented</li> </ul>			↑				• JFPG/JCB to raise priority of training sp and SSR
					↓		• JEM/JCB to lower priority on TNL/TEL serviced by ATOs AB & AC
<ul style="list-style-type: none"> <li>• Appropriate stabilisation/monitoring mechanism in place facilitating recovery of CJTF</li> </ul>							• Seek mil-strat guidance

2E3-1