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To: EAPC Ambassadors
From: Secretary General

EXPANDING AND ADAPTING THE
PARTNERSHIP FOR PEACE PLANNING AND REVIEW PROCESS (PARP)

I attach a report from the PMSC (PARP) on expanding and adapting the PfP Planning and Review Process (PARP) which has been prepared on the basis of recommendations in the SLG Consolidated Report on PfP Enhancement. The report has been agreed by Permanent Representatives of Allies and Partners participating in the PARP. It is now being brought to the attention of the EAPC meeting at the level of Defence Ministers with all Partners on 12th June 1998.

(Signed) Javier SOLANA

This document includes: 1 Annex

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EXPANDING AND ADAPTING THE
PARTNERSHIP FOR PEACE PLANNING AND REVIEW PROCESS (PARP)

Report by the PMSC(PARP)

Introduction

1. In 1994, within the framework of Partnership for Peace (PFP), the PFP Planning and Review Process (PARP) was established. Based on the North Atlantic Council's guidelines, procedures were drawn up by the Political-Military Steering Committee (PMSC)⁽¹⁾ and applied in the 1995 and 1997 PARP cycles. Since its inception, PARP has been broadened and deepened and the report by the Senior Level Group (SLG) on PFP Enhancement⁽²⁾, which was agreed by Ministers in Spring 1997, contained a number of recommendations for further expanding and adapting the PARP. These recommendations have now been incorporated in revised procedures set out at Annex, which will, over time and in the light of experience, be kept under review by the PMSC(PARP) meeting with Allies and Partners participating in the PARP. The main features of the expanded and adapted PARP are described in the paragraphs below.

2. In addition, as part of its work to adapt Alliance defence planning procedures so that they meet the Alliance's agreed military requirements, including support for WEU-led operations, Allies have considered a WEU request that potential contributions to WEU-led operations by non-Allied WEU observers should also be taken into account. Allies have concluded that PARP could provide an appropriate mechanism to identify and assess for such operations the possible contributions of forces and capabilities of the three non-Allied WEU observers (Austria, Finland and Sweden) who participate in PARP.

PARP Ministerial Guidance

3. PARP Ministerial Guidance will be developed by the PMSC(PARP) for approval in the Spring of odd years by Defence Ministers meeting in the EAPC(PARP) format. PARP Ministerial Guidance for each cycle will need to take account of the issues of greatest importance to Allies and Partners at that time. It will provide a framework for future directions in the PARP on the basis of which Partners may define the extent and speed of their involvement in the process. As views may change over time about priority areas, there is merit in not attempting to be too prescriptive in setting out in the procedures the areas to be

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covered by the Guidance, although the new procedures suggest some areas the Guidance will need to cover. The first PARP Ministerial Guidance will be produced in Spring 1999.

Partnership Goals

4. Partnership Goals will be based on PARP Ministerial Guidance, with work commencing for each cycle in the Autumn of odd years. Partnership Goals for PARP participants who also take part in WEU activities related to defence planning for the WEU would be developed in response to WEU requirements as reflected in NATO Ministerial Guidance as well as to PARP Ministerial Guidance. Each Partner's package of Partnership Goals will be reviewed individually by the PMSC(PARP) meeting with Allies and the Partner concerned in the Spring of even years and forwarded to Permanent Representatives of Allies and the Partner concerned for formal approval. If there are no outstanding issues, formal approval would normally be sought under silence. A Summary Report describing in general terms the trends and developments with regard to Partnership Goals will be considered by the PMSC(PARP) meeting with Allies and Partners participating in the PARP and forwarded for approval by Permanent Representatives meeting in the same format. The agreed Summary Report will be brought to the attention of Defence Ministers at their Spring EAPC meeting in even years.

5. Partnership Goals will need to continue to fulfill the role of IOs in enhancing interoperability for those units and capabilities declared for PFP. However, the Partnership Goals could also seek additional capabilities and forces required for the success of PFP operations, such as support and augmentation modules or national staff officers for CJTF HQs, and particular valuable, but scarce, assets required for such missions. Taking into account the growing risk of proliferation of NBC weapons and their means of delivery, Partnership Goals could also address specific units and capabilities to address the dangers arising from possible use of NBC weapons during a mission. The PARP Survey should also be adapted to support work in this area.

6. The development of such Partnership Goals going beyond interoperability should be based on military requirements drawn up, in the first instance, by the NMAs, but could also incorporate proposals made by Allies and Partners. However, in all cases it will be for the Partner concerned to decide whether a particular Partnership Goal would form part of its agreed package. In order to facilitate medium term planning, the PFP planning period will be extended to six years (instead of the current three years).

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7. Partnership Goals apply to forces and capabilities declared by, or sought from Partners for PfP training, exercises or operations. However, Partners may also choose to use Partnership Goals to develop interoperability with NATO forces throughout their force structures, both to avoid operating parallel systems within those structures and to provide greater flexibility in being able to call on a wider range of units for PfP purposes. To meet the different purposes mentioned above, and to help Partners allocate resources, the Partnership Goals offered to Partners should be given a relevant broad priority designation. Partners who aspire to Alliance membership would also benefit from such an approach which could better prepare them for the obligations of possible membership.

8. A full package of new Partnership Goals will not, under the previously agreed timescales, be offered to Partners until Spring 2000. In the meantime the formal validity of the current IOs will expire in 1999. In order to manage the transition from IOs to Partnership Goals, the current IOs should be reviewed during the consultation on the draft Planning and Review Assessments to be carried in Spring 1999 to confirm their continuing viability and to formally extend their validity to 2000. A review of progress in implementing the current IOs will, under current procedures, form part of these Assessments in any case.

9. Additionally, responding to the wishes of a number of Allies and Partners, a limited number of Partnership Goals should be developed for Partners who wish to accept them following agreement on the revised PARP procedures and before the end of the current PARP cycle. These should cover additional forces and capabilities for PfP operations, including support and augmentation for CJTF HQs (depending on progress in the ongoing CJTF trials) and NBC defence capabilities. These Partnership Goals should be prepared during the Autumn of this year and formally agreed in Spring next year in parallel with work on the Planning and Review Assessments. They should run in parallel to existing, revalidated IOs until 2000 when new packages of Partnership Goals will be prepared for agreement by Allies and the individual Partner concerned.

Transparency

10. The objective of greater transparency amongst all Partners, Partners participating in PARP, and Partners and Allies is widely supported. However, this aim must be reconciled with the desire of a number of nations to maintain the 16+1 character of PARP and with Alliance requirements to protect information relevant for Article 5 purposes. In order to enhance

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transparency, the new documents (PARP Ministerial Guidance and the Summary Report on Partnership Goals) to be developed by Allies and all Partners participating in PARP should be circulated to all Partners as the Consolidated Report is now. Partners are encouraged to circulate their individual PARP documents to other PARP participants. To this end, Partners are requested to inform the International Staff on the status of provision of relevant documents to other Partners. The International Staff would provide a broad indication to the PMSC(PARP) on the extent to which this information is being exchanged.

11. Planning targets developed in Alliance defence planning, and subsequent assessments of performance against these targets, cover requirements for both Alliance Article 5 and non-Article 5 missions as part of a single, coherent process. Consequently, they cannot be treated in exactly the same way as planning targets and assessments for Partners, which deal only with requirements for PFP. However, in considering the section of the Consolidated Report addressing Allies' policy, commitments and capabilities in the defence planning field relevant to PFP operations, the Allies should aim to provide as much relevant information as possible, consistent with the need to protect information relating to Article 5 capabilities and to avoid bifurcation of the NATO force planning process. Recognizing the importance of this information to Partners in terms of their participation in the PARP, the objective should be to provide them with sufficient information to put their proposed contributions in a wider context.

12. Country specific PARP meetings will continue to be held on a 16+1 basis. When matters specifically related to NATO defence planning for WEU are discussed, any PARP participant who also takes part in WEU activities related to defence planning for the WEU, and who so wishes, may invite, through the International Staff, other such states to participate in its PARP meetings. The WEU Planning Cell may also attend country specific meetings of PARP participants who also take part in defence planning in the WEU.

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PARTNERSHIP FOR PEACE PLANNING AND REVIEW PROCESS (PARP)

DETAILED PROCEDURES

1. PARP is open to all Partners. Participation is optional and allows for self-differentiation between Partners both in the extent and speed of involvement. PARP aims at promoting transparency in national defence planning and better preparing Partner forces to cooperate with those of the Alliance. It seeks to encourage the development of interoperability between Partner forces and those of Allies for the full range of PFP operations and related training and exercises.

2. The PARP is based on a biennial cycle, with both bilateral and multilateral elements in the following form.

A. PARP MINISTERIAL GUIDANCE

3. PARP Ministerial Guidance, covering a six-year planning period, is developed biennially in the PMSC(PARP) during the Spring of odd-numbered years. It sets out the overall political guidance necessary to ensure that PARP meets aspirations of Allies and participating Partners during a six-year planning period. It reflects the political, economic and military factors which could affect the PARP process itself and the development of capabilities and forces declared to PFP. The guidance includes priority areas which should be addressed in the PARP Survey and PARP Assessments; the scope and focus for the development of Partnership Goals; and, if appropriate, how implementation is to be supported. The aim should be to identify forces and capabilities which might be declared available for PFP activities and measures to be taken to make these interoperable with Allies' forces. This will provide for effective coordination of Partnership planning between individual nations and the Alliance, and allow timely decisions to ensure efficient force structuring and interoperability. In addition, the PARP Ministerial Guidance should contain resource guidance relating to implementation of the Partnership Goals. This guidance should include ways to improve cost-effectiveness and to optimize use of national resources, as well as bilateral and multilateral support, if appropriate.

4. The PMSC(PARP), meeting with Allies and all PARP participants, is responsible for preparing PARP Ministerial Guidance. The PARP Ministerial Guidance is approved by Defence Ministers meeting in the EAPC(PARP) format in the Spring of odd years. To ensure transparency the PARP Ministerial Guidance is then circulated to all Partners.

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B. PARTNERSHIP GOALS

Development of Partnership Goals

5. Partnership Goals are developed on the basis of PARP Ministerial Guidance. Partnership Goals for PARP participants who also take part in WEU activities related to defence planning for the WEU are developed in response to WEU requirements as reflected in NATO Ministerial Guidance as well as to PARP Ministerial Guidance. They are tailored to the needs of the Partner concerned and the progress achieved in the previous cycle. The aim is to produce planning targets for individual Partners, agreed by Allies and the Partner concerned, which are realistic, achievable and affordable. They will also take account of general proposals made by Allies or Partners for areas to be covered and any specific proposals by Partners for individual Partnership Goals to be addressed to them. To this end, the NATO Military Authorities (NMAs), in consultation with the IS and the PCC, will develop draft Partnership Goals for individual Partners in the Autumn of odd years. A principal objective of Partnership Goals is to enhance interoperability of forces and capabilities declared available for PfP activities. They may also seek additional forces and capabilities which the NMAs consider would be valuable for the successful achievement of PfP operations. Partnership Goals should also address, as appropriate, the development of capabilities to address the risks posed by the proliferation of NBC weapons and their means of delivery. They should provide sufficient detail for Partners to identify any additional forces or capabilities sought and should also define proposed improvements in interoperability, including any qualitative enhancements in training, readiness and equipment. Each of the Partnership Goals should be given a relevant broad priority designation.

Consultation

6. After the development of the draft Partnership Goals, a NATO team led by the IS and consisting of representatives of the NMAs and PCC, conducts bilateral discussions in the beginning of even years with representatives of the Partner nations concerned. The objective of the bilateral discussions is to clarify any issues related to the draft Partnership Goals and to resolve ambiguities.

Approval of Partnership Goals

7. Subsequently, a Partnership Goal Report for each individual nation, briefly describing the Partner's objectives,

the areas covered in the draft Partnership Goals and, if appropriate, a description of any additional forces and capabilities sought from the nation concerned is drafted by the IS, in consultation with the NMAs and PCC. This report, to which the draft Partnership Goals will be annexed, is forwarded to the PMSC(PARP) meeting with Allies and the Partner concerned for review and, subsequently, to Permanent Representatives of Allies and the Partner concerned for formal approval. If there are no outstanding issues, formal approval by Permanent Representatives will normally be sought under silence.

8. Following agreement of the Partnership Goals, and in order to promote transparency, Partners are encouraged to make the agreed package of Partnership Goals available to other PARP participants.

Summary Report

9. Following the series of consultations between Allies and individual Partners in the PMSC(PARP), the IS in consultation with the NMAs and PCC will prepare a draft Summary Report, describing in general terms the trends and developments with regard to the Partnership Goals. This report is considered by the PMSC(PARP) meeting of Allies and all PARP participants and then forwarded for approval to Permanent Representatives of Allies and Partners participating in PARP. Subsequently, the agreed report is brought to the attention of Defence Ministers at their Spring EAPC meeting in even-numbered years.

C. ASSESSMENT OF PARTNER PLANS

PARP Survey

10. A Survey of PFP Interoperability, which is agreed by the PMSC(PARP) before issue, is circulated to all Partners by the IS in late Spring of even years. It will seek, inter alia, information on the following areas:

- (a) a statement on overall defence policy, and defence and financial plans for the PFP planning period;
- (b) a statement of national policy relating to areas of PFP cooperation;
- (c) a statement of forces and capabilities which could be made available for PFP activities, together with a description of their suitability and readiness, and

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relevant transport, sustainability and command, control and communications capabilities;

- (d) special questions related to PFP cooperation;
- (e) a statement on progress with regard to implementation of Partnership Goals.

PARP Survey Response

11. In the Autumn of even years all Partners participating in PARP submit to the IS, the NMAs and the PCC their replies to the PARP Survey covering the six-year PFP planning period.

12. The completed Survey replies will be circulated by the IS as a PMSC(PARP) document to Allies. In order to promote transparency, Partners are encouraged to make copies of their Survey replies available to other PARP participants.

Draft Planning and Review Assessments

13. On the basis of Survey data supplied by the Partners, the IS, in consultation with the NMAs and PCC, analyses Partners' plans and policies (the draft Planning and Review Assessments) with respect to PFP in general, the extent to which the Partners' forces made available for PFP purposes can operate successfully with Allies' forces, and the extent to which Partnership Goals agreed between individual Partners and the Alliance have been met. The Assessments should also cover areas needing improvement and recommendations for addressing these.

Consultation

14. On the basis of each Partner's Survey and the draft Planning and Review Assessment, the IS, in cooperation with the NMAs and the PCC, conducts bilateral consultations with the Partner concerned in the first half of odd years. The IS then circulates the revised draft Planning and Review Assessment to Allies and the Partner concerned.

Approval of Planning and Review Assessments

15. On the basis of the draft Planning and Review Assessment, the PMSC(PARP), meeting with Allies and the Partner concerned, reviews the Partner's plans with regard to the six-year PFP planning period and the extent to which Partnership Goals have been implemented. The draft Planning and Review Assessment is then subsequently forwarded to the Permanent

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Representatives of Allies and the Partner concerned for approval. If there are no outstanding issues, formal approval by Permanent Representatives will normally be sought under silence. The agreed Planning and Review Assessment provides a baseline for developing individually-tailored Partnership Goals during the following year. In order to promote transparency, Partners are encouraged to make the agreed Assessment available to other PARP participants.

Consolidated Report

16. Following the series of consultations between Allies and individual Partners in the PMSC(PARP), the IS in consultation with the NMAs and PCC prepares a draft Consolidated Report. This provides an overview of the agreed Planning and Review Assessments of all Partners participating in the process and summarizes their policy, commitments and capabilities to support PFP operations. It also provides a summary of Allies' policies, commitments and capabilities in these fields. This section is developed by Allies before being considered by Allies and participating Partners in the PMSC(PARP). The draft Consolidated Report is considered by the PMSC(PARP) meeting with Allies and Partners and all PARP participants.

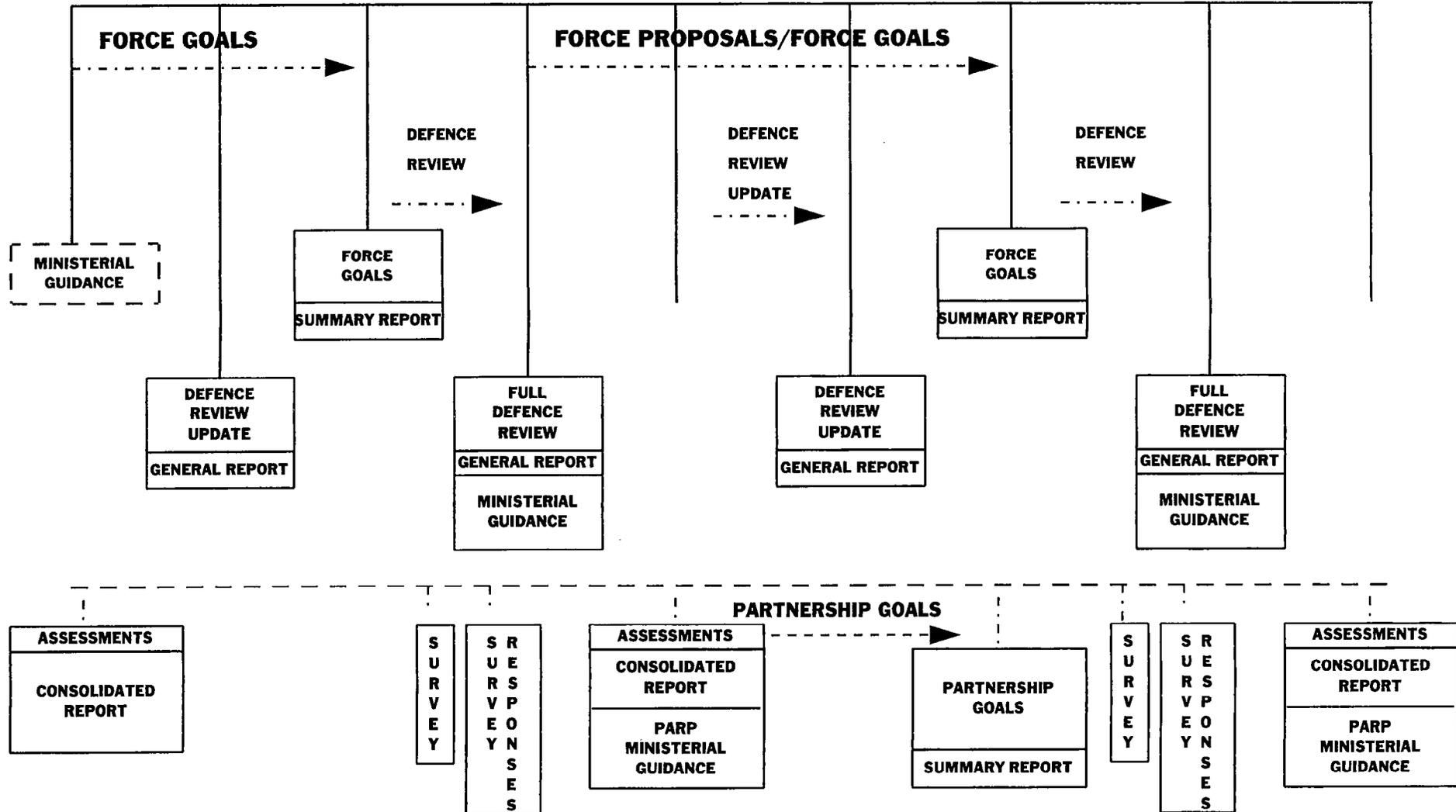
17. The Consolidated Report is forwarded by the PMSC(PARP) for agreement at a meeting of the Permanent Representatives of the Allies and Partners participating in the process. The agreed report is then brought to the attention of Defence Ministers at their Spring EAPC meeting in odd-numbered years.

D. SPECIAL PROVISIONS

18. Country specific PARP meetings will continue to be held on a 16+1 basis. When matters specifically related to NATO defence planning for WEU are discussed, any PARP participant who also takes part in WEU activities related to defence planning for the WEU, and who so wishes, may invite, through the International Staff, other such states to participate in its PARP meetings. The WEU Planning Cell may also attend country specific PARP meetings of PARP participants who also take part in defence planning in the WEU.

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EXPANDED AND ADAPTED PARP