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Delegations will find attached the declassified version of the above document.

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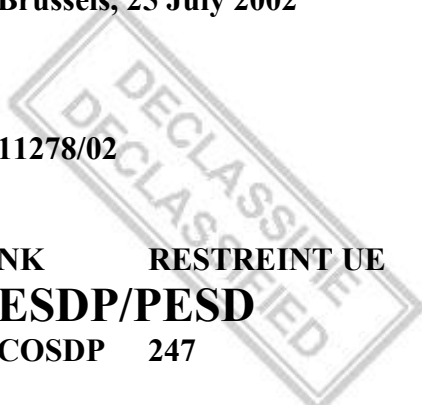


**COUNCIL OF  
THE EUROPEAN UNION**

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## **FORWARDING NOTE**

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From :            Secretariat

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To :              Delegations

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Subject :        EU Framework Nation Concept

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Delegations will find attached the document EU Framework Nation Concept that was endorsed by the EU Military Committee through expiring of silence procedure on 24 July 2002.



**EU FRAMEWORK NATION CONCEPT**

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## FRAMEWORK NATION CONCEPT

### References:

- A. CHODs' Guidance of 9-11-01 (13745/01).
- B. European Union Guidelines for Military Command and Control Aspects of EU-led Crisis management Operations (13342/1/01 REV 1).
- C. European Union Concept for Military Strategic Planning (12046/01).
- D. European Union Suggestions for procedures for coherent, comprehensive EU crisis management. (8945/2/02).
- E. Workplan for the development of Rapid Response capabilities (6117/02).
- F. Autonomous WEU Operations Involving Recourse to a Framework Nation (CM 97-15).
- G. NATO Allied Joint Doctrine Publication 01(A).



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## A. INTRODUCTION

1. The EU Guidelines for Command and Control (Ref. B) states that "*In certain operations in which the most important criteria is the urgency, such as evacuations, a "framework nation" or "lead nation" operation could be envisaged, enabling the EU to mount multinational operations at relatively short notice by using a national HQ enhanced from contributing nations.*"
2. In the context of the preparations of the ESDP-operationality declaration of Laeken, the CHODs gave the guidance to "*...further elaborate on military concepts for EU-led crisis management operations, including the use of a framework/lead nation model by EU Member States*"(Ref. A).
3. The Workplan for Rapid Response capabilities (Ref. E) tasks the EUMS "*to develop a framework/lead nation concept, including multinationality aspects, C2 and planning issues,...for approval by the EUMC*".

## B. PURPOSE AND SCOPE

4. The purpose of this document is to provide a conceptual basis for the conduct of autonomous EU-led CMOs with recourse to a Framework Nation.
5. It identifies the particular characteristics and criteria of a Framework Nation, focusing specifically on the planning, Command and Control, multinationality and force generation aspects.
6. The Framework Nation Concept should be considered as a living document.

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## C. DEFINITION AND CHARACTERISTICS

7. Based on NATO (ref. G), WEU (ref. F) and EU-working definitions (ref. B), the notion "Framework Nation" is defined as: *"A Member State or a group<sup>1</sup> of Member States that has volunteered to, and that the Council has agreed, should have specific responsibilities in an operation over which EU exercises political control.*
- A Framework Nation provides the OpCdr/OHQ and the core of the military chain of command, together with its Staff support, the CIS and logistic framework, and contributes with a significant amount of assets and capabilities to the operation. Although EU concepts and procedures remain applicable, procedures may also reflect those of the Framework Nation."*
8. According to some national doctrines the term "Lead Nation Operation" is used to describe an operation undertaken by one Member State, inviting others to take part, but on the Lead Nation's terms and under the authority of this Lead Nation. These kind of operations, executed by a coalition of willing countries, would not be conducted under the political control and strategic direction of the PSC and therefore not considered as EU-led CMOs. They are not further taken into account in this concept.
- EU documents should therefore henceforth only utilise the notion Framework Nation and EU-led CMO with recourse to a Framework Nation.
9. The Framework Nation Concept is one of the approaches to EU-led CMO, to be conducted as any EU-led CMO under the political control and strategic direction of the PSC.
10. The specific Framework Nation responsibilities as mentioned in paragraph 7 could include a significant contribution to military strategic planning, operational level planning, the mounting, deployment, execution, support and redeployment of the forces for the operation.
11. Although this concept focuses on the EU-led CMO with recourse to a Framework nation as a whole, this principle can also be applied to one specific level of command, the military strategic (Operational Headquarters), operational (Force Headquarters) and/or tactical level (Component Command Headquarters) and to the forces.

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<sup>1</sup> In the context of multinational military structures.

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12. All EU developed and agreed conceptual and procedural documents should also apply in the case of an EU-led CMO with recourse to a Framework Nation, except as set out in this document
13. Recourse to a Framework Nation offers the EU immediate access to a cohesive operational instrument, allowing for a timely response to a fast-arising crisis under specific circumstances, in particular in those cases when no other C2 structure is available or can be set up in time.
14. Therefore, an EU-led CMO with recourse to a Framework Nation could be particularly envisaged in operations in which an important criterion is urgency. Conceivable types of operations include evacuation operations, disaster relief, or any other humanitarian assistance operations, which may require a rapid response. Under such circumstances and at an early stage of the crisis, a Member State might offer her services as a Framework Nation to the EU and multilateral consultations between Member States may well take place outside the institutional framework of the EU.

### **D. FRAMEWORK NATION DESIGNATION**

15. The Council decision on a Member State (or a group of member States) to be the Framework Nation(s) of an autonomous EU-led CMO with recourse to a Framework Nation will be primarily based on the criterion of military effectiveness.
16. To this end, a number of factors may be taken into account, such as knowledge of the theatre or the timely availability of capabilities in the crisis area. The potential Framework Nation should also be able to provide the key elements of the chain of command of the operation and be further prepared to contribute significantly to the force itself. Any views of the potential Framework Nation how to conduct the EU-led CMO with recourse to a Framework Nation may additionally play a role in this consideration.



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## E. PLANNING

17. Refs. C and D describe the role and responsibilities of EU bodies in the crisis response military strategic planning process in preparation of an EU-led CMO, which also apply to an EU-led CMO with recourse to a Framework Nation. However, the detailed delineation of planning activities between EU bodies and the Framework Nation will depend on the particular circumstances of each crisis.
18. The EUMS should deploy, as soon as possible, a dedicated staff element to ensure close co-ordination between EUMS/EUMC and the potential Framework Nation, thereby assuring that EU specific requirements are taken into account into subsequent national planning. The modalities of EUMS-Framework Nation co-ordination need to be determined. Furthermore, the recourse to information and planning tools of the EU should be guaranteed for the Framework Nation (SitCen, Policy Unit, Intelligence Division EUMS, SatCen...).
19. A Council decision to conduct an EU-led CMO with recourse to a Framework Nation should be taken as early as possible. Following the regular procedures, the Council would designate the Framework Nation while selecting one of the Military Strategic Options (MSOs) developed by the EUMS. However, and more probable if urgency is required, the Framework Nation could be designated at any moment earlier in the crisis response military strategic planning process, after planning products have been developed and offered by the candidate Framework Nation, willing to commit itself in terms of resources and proposals for tackling the crisis.
20. In the latter case, these planning products offered to the Council for approval should correspondingly contain the same essential elements, normally mentioned in an EU-MSO. Those elements are, following Ref. C, mainly describing the Political<sup>2</sup> & Military objectives and the outline of the military option designed to achieve them; the C2 structure (including OpCdr and FCdr recommendations) and force requirement including, if possible, an indication of forces that might be made available by Member States, and finally an initial indication of the Use of Force policy.

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<sup>2</sup> In particular if the planning process has been accelerated and no agreed EU Crisis Management Concept (CMC) is available.

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21. Before the Framework Nation will submit its developed planning products (e.g. CONOPS, OPLAN) to the Council, the relevant EU bodies, including the EUMC and the PSC will provide respectively their military advice and opinion according to EU procedures. They may also advise this Member State (or Member States) to modify the planning, if deemed necessary.
22. The Council, based on the military advice of the EUMC and the opinion of the PSC, approves the provided planning products. If not, it can request the Framework Nation to adapt its planning accordingly, in consultation with the EUMS.
23. Until the designation of the Framework Nation by the Council, the relevant EU bodies could continue their planning activities, following the regular crisis response military strategic planning process, expedited as necessary to address the urgency of the crisis.
24. In any case, the Council decision to launch the operation will be taken in accordance with Refs. C and D, after its approval of the OPLAN, provided by the Framework Nation. In certain circumstances, when authorised, force elements need to be deployed as mission-critical enablers before the finalisation and agreement of the OPLAN.

### F. EU COMMAND & CONTROL

25. The conduct of an EU-led CMO with recourse to a Framework Nation will not affect political control & strategic direction as described in Ref. C.
26. The character of the operation and eventually, if necessary, rapid response aspects are to be reflected in the proposed and implemented C2 structure. A 'flat' military chain of command could further ensure effective time management and promote a rapid response. The responsibility of the establishment of an effective C2 structure rests with the Framework Nation.
27. The Framework Nation must be in a position to provide for the necessary duration the key operational functions within the military chain of command. Arrangements for multinationalisation will come into effect as soon as possible.

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28. The Framework Nation providing the OHQ will in principle also provide the OpCdr, who will be designated by the Council. The composition, size and structure of this OHQ could vary, according to the particular circumstances of the operation.
29. In accordance with ref B, the Framework Nation providing the OHQ should also provide the CIS infrastructure for the OHQ, to support the command of the operation down to the FHQ and to other relevant authorities and/or organisations. The EU is responsible to ensure the necessary military communication links from the relevant EU bodies to the national planning capabilities and the provided OHQ.
30. The Framework Nation may provide all levels of the military chain of command. It is also possible to use the Framework Nation Principle at different levels (also FCdr/FHQ and/or CC) Multinational formations, including from NATO, could also be incorporated. This implicates that the FCdr not necessarily has to be provided by the Framework Nation.
31. Depending on the duration of the operation, it should be possible to rotate HQs and Forces if necessary, preserving or not the Framework Nation principle.
32. Commonly agreed EU HQ-requirements are essential to ensure the requested characteristics and criteria for EU-led CMOs. Ref. B establishes a set of minimum requirements that should be met also in case of an EU-led CMO with recourse to a Framework Nation. Once additional, concrete and detailed HQ requirements are developed, their application for a Framework Nation will be examined.
33. During the conduct of an EU-led CMO with recourse to a Framework Nation, the dynamic process of exchange of information between the relevant EU bodies and the OpCdr will take place according to the regular EU procedures. This implicates that the OpCdr can receive guidance from, and will report to the PSC, through the EUMC, where the CEUMC will act as single point of contact. Depending on the nature of the operation, the reporting modalities, including reporting to a Committee of Contributors, will be adapted to the specific situation.
34. Appropriate financing arrangements for EU-led CMOs with recourse to a Framework Nation will follow agreed EU procedures on the financing of operations having military or defence

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implications. As given by this agreement precise financial arrangements intended to cover common costs will be established on a case by case basis by the unanimous Council decision launching the operation.

## G. MULTINATIONALITY

35. Multinationality is one of the governing principles for the planning and conduct of EU-led CMOs. The principle of multinational participation applies equally to operations with recourse to a Framework Nation.
36. EU Member States<sup>3</sup> have the opportunity to participate in the EU-led CMO with recourse to a Framework Nation and in the Staff of the OHQ/FHQ. In principle, the degree of their representation in the HQs should reflect their participation. All Member States may also attach liaison teams/officers to the Framework Nation OHQ. Third States could contribute to the operation and be represented in the OHQ/FHQ, in accordance with EU procedures.
37. However, the principle of multinationalisation and transparency needs to be carefully assessed against the requirement of military effectiveness and urgency. Therefore the responsibility to organise his OHQ effectively, according to the mission demands and given guidance, rests with the OpCdr, who will address details of multinationalisation during the Force Generation/Activation process.
38. In cases of a rapid response, multinationalisation will normally not be realised at the beginning of an EU-led CMO with recourse to a Framework Nation. The Framework Nation should therefore aim the possibility to achieve it progressively, during the development of the operation. This should be prepared as early as possible so that the arrangements for multinationalisation will come into effect as soon as possible, and also core functions within the (O)HQ could be manned in due time by multinational augmentees of States participating in the operation. Therefore the OpCdr should be ready to integrate in all planning activities primary augmentees detached from Member States, as soon as they reach the (O)HQ.

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<sup>3</sup> In accordance with the TEU and the protocols annexed thereto.

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39. The implementation of the Framework Nation principle should remain compatible with the objectives set for preparedness and multinationalisation. This would cover training and the development of the necessary instruments to facilitate implementation, including agreements/MOUs to be agreed between the Member States.

### H. FORCE IDENTIFICATION AND GENERATION/ACTIVATION

40. Force identification and generation/activation is an iterative and repetitive process. In the situation of an EU-led CMO with recourse to a Framework Nation, it may be that consultations on possible participation and resourcing start between Member States on the initiative of the candidate Framework Nation, prior to its designation by the Council. Those consultations would probably assist to secure the amount of resources corresponding to the envisaged operation.
41. Thus, the follow-up of the identification, generation/activation and deployment process, conducted under the primary responsibility of the OpCdr, could be significantly shortened.
42. The Framework Nation may have to co-ordinate the entire support for the operation. Nevertheless, within an EU-led CMO with recourse to a Framework nation other Member States and/or non-EU Troop Contributing Nations might volunteer for role specialisation in one functional support service and may be given specific responsibilities with regard to various functional, as well as geographical areas.
43. Military effectiveness, including interoperability with relation to the mission of the EU-led CMO with recourse to a Framework Nation, will have to be taken into account while conducting the force identification, generation/activation and deployment process.