



**COUNCIL OF
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NOTE

from : European Union Military Staff
to : European Union Military Committee

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Subject : EU Concept for Force Generation

Delegations will find attached the EU Concept for Force Generation which was agreed by the EUMC on 9 June 2008. This document supersedes the General Principles and Procedures for EU Force Identification, Generation/Activation and Deployment (doc. 12398/02, dated 26 September 2002).

**EUROPEAN UNION CONCEPT FOR
FORCE GENERATION**

**EU CONCEPT FOR
FORCE GENERATION**

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REFERENCES:

- A. Suggestions for procedures for coherent, comprehensive EU crisis management (doc. 11127/03, dated 3 July 2003).
- B. EU Concept for Military Planning at the Political and Strategic level (doc. 10687/08, dated 16 June 2008).
- C. EU Military Rapid Response Concept (doc. 5641/1/03 REV 1, dated 16 September 2003).
- D. EU Maritime Rapid Response Concept (doc. 15294/07, dated 15 November 2007).
- E. EU Air Rapid Response Concept (doc.16838/07, dated 21 December 2007).
- F. EU Battlegroups Concept (doc. 13618/06, dated 5 October 2006).
- G. EU Strategic M&T Concept (doc. 6457/06, dated 16 February 2006).
- H. Reception, Staging, Onward Movement and Integration Concept (doc. 13020/06, dated 20 September 2006).
- I. EU Concept for Military Command and Control (doc. 10688/08, dated 16 June 2008).

A. INTRODUCTION

1. Member States (MS) political commitment, which later translates into appropriate military assets and/or capabilities offered, constitutes a key for the success of an operation. Without significant offers from MS, the Force Generation (FG) process cannot be accomplished and an EU-led military operation cannot be launched. Limitations imposed by Troop Contributing Nations (TCN) on their offered military assets, can also endanger the launch of a planned operation and/or the success of an operation.
2. This concept reflects the framework for preparing EU-led military operations as well as the practical experience gained during planning of operations. It is in line with the general Crisis Management Procedures (Ref. A) and the principles of the Military Planning at the Political and Strategic level (Ref. B).
3. This document should be read in conjunction with the EU Concept for Military Planning at the Political and Strategic level and the EU Concept for Military Command and Control.

B. AIM

4. This document sets out the principles and procedures for the generation of military forces and capabilities for EU-led military operations.

C. SCOPE

5. The principles and the process described in this document apply to the full spectrum of potential EU-led military operations and have been designed to assist all relevant stakeholders to identify and activate military assets and/or capabilities required for a particular operation, from the initial considerations up to the Transfer of Authority (TOA) of the deployed force to the Operation Commander (OpCdr).

D. DEFINITIONS

6. FG is the process where the military assets and capabilities required for an EU-led military operation are designated by TCN and/or International Organisations¹ and made available to the OpCdr to meet the requirements of the operation. It comprises the identification and the activation of the required assets and/or capabilities and ends with their TOA by TCN to the OpCdr.
7. TCN are those MS and, after a Council decision (Ref. A), third States providing military assets or capabilities for a particular operation.

E. PRINCIPLES

8. FG is integral to the planning of the operation. It should be considered at the earliest stages of the planning process. It has to be tailored to the specific requirements of each operation. A lack of precise and timely information will affect adversely the MS' considerations and decisions regarding force contributions and the establishment of a chain of command, in particular the Operation Headquarters (OHQ) and the Force Headquarters (FHQ).
9. It is the OpCdr who provides the necessary level of detail for FG through the production of the Concept of Operations (CONOPS) and the Operation Plan (OPLAN) in a later stage of the planning process (Ref. A). However, to assist TCN deliberations on force contributions the EUMS should produce an initial estimate of the generic capability requirement.

¹ The Berlin + arrangements set the conditions for the release, monitoring and return or recall of NATO assets and capabilities for their use in an EU-led military operation.

10. MS' commitments of assets and capabilities are the basis of the whole FG process. Ideally, the forces for an operation should be committed without caveats. Nevertheless, MS are ultimately responsible for the conditions upon which their committed forces are made available to the EU. Caveats should be stated by TCN as early as possible to allow timely modifications of the Statement of Requirements (SOR), and as a consequence to adjust operational planning accordingly.
11. The EU can invite third States to contribute to an EU-led military operation. When a third State participates, the principles and guidelines described in this document will apply.
12. The force must be tailored to satisfy the specific requirements of the operation. It is highly likely that there will be potentially different capability requirements in terms of response, readiness and force size for each EU-led military operation. Reserve force requirements at all levels of command should be addressed at the earliest possible stage of the FG process.
13. When a rapid response is required, the quick designation of the OpCdr and the FCdr, the simultaneous activation of the OHQ and the FHQ, as well as the identification of possible capability packages and command and control structures will facilitate an accelerated FG process (Ref. C). The mechanisms described in the Maritime and Air Rapid Response concepts (Ref D and E) will facilitate the identification of potential capabilities without creating additional "standing forces". EU Battlegroups on standby could benefit from the mentioned mechanisms for the identification of relevant assets and required capabilities for a particular operation (Ref. F).

F. FORCE GENERATION PROCESS

14. FG for the build up of an EU-led force includes the identification of the appropriate assets and capabilities and the commitment of TCN to pledge and activate them. It also includes the subsequent assembly and deployment to the designated JOA by TCN, coordinated by the OHQ/FHQ (Annex A). The process can be divided into three different phases: identification, activation and deployment.

15. The OpCdr, once designated by the Council, is responsible for the FG process, which is directly related to the development of the CONOPS and the OPLAN. An early designation of the OpCdr and the OHQ will allow timely publication of the SOR and a quicker initiation of the FG process.
16. TCN are responsible for the activation and the deployment (Ref. G) of their committed forces and/or capabilities.

Force Identification Phase:

17. This phase identifies the set of capabilities and forces required to undertake the military tasks derived from the mission. Early identification of such requirements will allow further planning to be conducted and allow potential TCN to identify their possible contributions as well as likely financial consequences.
18. During the preparation of the Crisis Management Concept (CMC)² indicative contribution meetings could be conducted by the EUMS to provide MS with an early indication of the expected capability requirements, based on military assessment and analysis, and gather indications from MS on possible contributions, in particular the OHQ. Commitments made at indicative contribution meetings are not binding. An assessment of the indicative contributions should be part of the Military Advice on the CMC.
19. The development of the Military Strategic Options (MSOs) should include an estimated capability requirement and an indication of forces that might be made available by potential TCN. Therefore, MS should provide the EUMS with indications of their intention to contribute to the operation, before the Council selects a MSO.
20. Consultations with potential non-EU TCN may take place at this point to ensure that they are informed of the EU's intentions.

² Reference A, paragraphs 29, 33 and 34.

21. Any requirement for rapid response force elements or enabling force elements will necessitate early preparatory consultations with MS³.
22. TCN should state, at the earliest stage, all caveats and other restrictions, such as national procedures or operational limitations that limit their forces meeting the operation requirements. A significant number of limitations could result in an increase in the size of the force required. This could complicate the planning process and delay the generation of the force.
23. EUMS preparatory work will be taken into account by the OpCdr during the development of the CONOPS. The CONOPS will form the basis for the Provisional SOR (PSOR) (Annex B) to be elaborated by the OpCdr.

Force Activation Phase:

24. Following approval of the CONOPS and based on his PSOR, the OpCdr will initiate the Force Activation. The OpCdr will forward the EU Activation Warning message (EU ACTWARN)⁴ and the PSOR to all TCN⁵. The activation process should start as early as possible and could be conducted simultaneously with the final steps of the force identification phase. Any additional information on national caveats should be sent to the OpCdr as soon as possible.
25. The EU ACTWARN formally informs the addressees that a force will be required, outlines the potential operation, including the military mission, and provides key planning dates, in particular for the FG Conference(s). The PSOR provides TCN with an indication of the type and scale of forces, assets and capabilities required. Addressees should respond to the EU ACTWARN with informal offers including their intention to take a leading role in any area.

³ Considerations on early deployment should include, but not be limited to, ISTAR, CIMIC and PsyOps units.

⁴ EU OHQ SOP (doc. 15718/06, dated 22 December 2006), Procedure 05310 in Section 5.

⁵ Reference A, paragraph 58.

26. Informal offers should be assessed by the OpCdr as to the suitability of those forces and capabilities to participate in the operation. Based on the informal force offers, FG conferences will confirm the level and specifics of TCN contributions. These conferences are conducted by the OpCdr, with the assistance of the EUMS (Ref. A)⁶.
27. Once the informal offers meet the requirements, the OpCdr will develop the Draft SOR reflecting TCN offered contributions⁷. It details the proposed force package for the operation. The OPLAN and the SOR will be developed coherently in an iterative process. If informal offers do not meet the requirements, the OpCdr will report to the PSC through the CEUMC as his primary point of contact.
28. Once the Draft SOR has been developed, the OpCdr will issue the EU Activation Request Message (EU ACTREQ) requesting TCN to formally commit to the force package detailed in the Draft SOR⁸. TCN will reply with the formal commitment of contributions through the EU Force Preparation Message (EU FORCEPREP)⁹. This message may include caveats (geographical, logistic, time-related, rules of engagement, etc.) that govern the employment of committed forces.
29. Following the receipt of all EU FORCEPREP messages, the OpCdr may conduct one or a series of Force Balancing Conferences to address any shortfall or surplus commitment. Once the SOR is met through the Force Generation and Balancing Conferences and if the OpCdr assesses that any remaining shortfalls are not critical to mission execution, he releases the EU Force List. It confirms the TCN commitments to the EU-led force. Should the OpCdr assess that he is unable to fulfil the mission with the forces committed he will report to the PSC through the CEUMC as his primary point of contact (Ref. I).

⁶ Reference A, paragraphs 66 and 67.

⁷ EU OHQ SOP (doc. 15718/06, dated 22 December 2006), Procedure 05360 in Section 5.

⁸ EU OHQ SOP (doc. 15718/06, dated 22 December 2006), Procedure 05320 in Section 5.

⁹ EU OHQ SOP (doc. 15718/06, dated 22 December 2006), Procedure 05330 in Section 5.

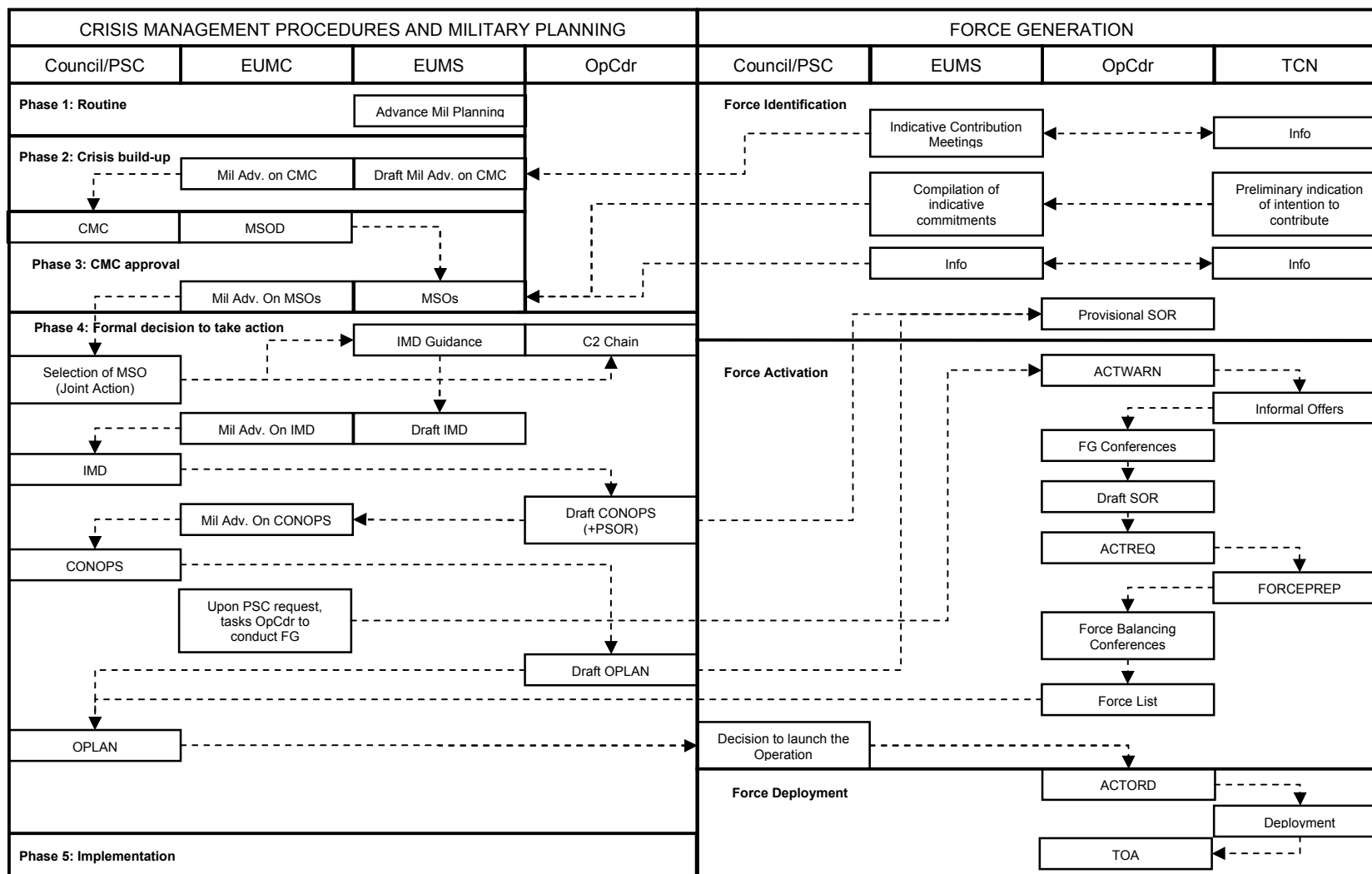
30. The EU Force List will be included in the OPLAN. This completes the Force Activation phase. Approval of the OPLAN by the Council will authorise the OpCdr to issue the EU Activation Order (EU ACTORD)¹⁰.
31. Given the important role of the OHQ during this phase, its activation and build up process, in particular incorporating primary augmentees from MS, is a priority. To allow proper planning and the coordination of the deployment, a simultaneous build up of OHQ and FHQ is desirable. Depending on the mission, it could be necessary to create new positions within the OHQ that will have to be filled by additional personnel from TCN through the appropriate manning conferences.

Force Deployment Phase:

32. Initiated by the Activation Order, this phase includes the assembly, deployment and the TOA of the forces to the OpCdr. This phase of the FG process is the responsibility of TCN. References G and H provide guidance on movement and transportation of the force, under the co-ordination of the OHQ and FHQ. TCN authorise TOA of their respective forces to the OpCdr as soon as possible after their arrival in the JOA. The TOA of the forces to the OpCdr constitutes the final step of the FG process.

¹⁰ EU OHQ SOP (doc. 15718/06, dated 22 December 2006), Procedure 05350 in Section 5.

FORCE GENERATION PROCESS



PROVISIONAL STATEMENT OF REQUIREMENTS

PSOR												DATE	
SERIAL	FORCE ELEMENT	SPECIFIC CAPABILITIES	LOCATION	HIGHER COMMAND	TYPE OF UNIT REQUIRED	UNIT SIZE	UNIT STRENGTH	ADVANCE FORCES	MAIN BODY	TOTAL STRENGTH	TCN OFFERS	DURATION	REMARKS

Information on force elements should be as complete and detailed as possible.
 Any limitation for the employment of the force elements should be clearly stated in the remarks.
 The columns shown in the table above are the minimum required information. Additional columns could be included as appropriate.
 The information of the PSOR will constitute the basis for the development of the much more detailed draft SOR and SOR by the OpCdr

