NATO STANDARD

AAP-52

THE 'TOP-DOWN' APPROACH TO NATO STANDARDIZATION

Edition B, Version 1

DECEMBER 2021

NORTH ATLANTIC TREATY ORGANIZATION

ALLIED ADMINISTRATIVE PUBLICATION

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NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDIZATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

1 December 2021

1.   The enclosed Allied Administrative Publication AAP-52, Edition B, Version 1, THE 'TOP-DOWN' APPROACH TO NATO STANDARDIZATION, which has been approved by the nations in the COMMITTEE FOR STANDARDIZATION (AC/321), is promulgated herewith.

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4.   This publication shall be handled in accordance with C-M(2002)60.

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Director, NATO Standardization Office

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<u>REFERENCES</u>

- ❖ AAP-03, Edition K, 2018 Directive for the Production, Maintenance and Management of NATO Standardization Documents
- ❖ NSO(DDNSO)0449(2016)1/NSSG, NSSG Implementation Action Report

- ❖ PO(2014)0611 (NU), Revised Terms of Reference for the Committee for Standardization
- ❖ PO(2019)0077 (NC), Political Guidance for Defence Planning 2019
- ❖ PO(2016)0315 (NU), Revised NATO Policy for Standardization
- ❖ PO(2016)0655 (NU), The NATO Defence Planning Process
- ❖ PO (2017)0380 (NU), 2016 Annual Report on NATO Standardization Support

Military Committee

- ❖ MC 0020/11 (NU), Military Committee Policy For Military Operational Standardization
- ❖ MC 400/4 (NS), NATO's Military Strategy Comprehensive Defence and Shared Response
- ❖ MC 0586/2 (NR), Military Committee Policy for Allied Forces and their use for Operations
- ❖ MC 0058/3 (NR), Term of Reference for the Supreme Allied Commander of Transformation
- ❖ SH/PLANS/JCAP/FCP/16-313325 Synopsis of the 2016 Minimum Capability Requirements, including a summary of the 2016 Priority Shortfall Areas

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PART I - FOREWORD

1.1. Background

1.1.1.   The North Atlantic Council, the principal political decision-making body within NATO, has directed that NATO standardization shall provide solutions to interoperability requirements[1]. The requirements can originate from anywhere in the Alliance, from the 'top' (i.e. from North Atlantic Council decisions or from established processes such as NATO Defence Planning Process and the NATO Partnership for Peace Planning and Review Process), characterized as a "top-down approach", to the 'bottom' (e.g., from the end users of Allied standards), characterized as "bottom-up approach." Different sources require different 'approaches' to standardization.

1.1.2.   This publication, AAP-52, covers only top-down standardization. The top-down approach to NATO standardization begins with a high level directive addressed to a senior committee which is the responsible tasking authority.[2] The processes for developing and enacting most such directives are already agreed by Council in their respective policy documents. Therefore, AAP-52 must conform to and draw substantially from those North Atlantic Council documents.[3]

1.1.3.   Standardization solutions must include the development, maintenance and approval of standards, as well as their implementation.[4] Therefore, top-down standardization consists of one or more of these specific activities in response to a high level directive addressed or falling to a senior committee, and in accordance with the relevant agreed NATO processes. When standardization is a part of an agreed solution to improve interoperability in a given area, then the interoperability requirement shall be considered as a task to the responsible Tasking Authority (TA)/Delegated Tasking Authority (DTA).

1.1.4.   The NATO Committee for Standardization (CS), which is the senior policy committee responsible to the North Atlantic Council for standardization policy and management, must ensure the development of co-operative ties among the numerous entities of the standardization community[5]. To implement the CS' guidance that standardization should be integrated into established (i.e. already agreed) NATO initiatives and processes[6], the top-down approach shall follow existing authorities and guidance (reflected in this document from their original, approved sources).

1.1.5.   In 2017, the CS agreed[7] to revise AAP-52, to apply the CS' 2014 – 2016 actions to integrate standardization into existing Alliance initiatives and processes[8], fostering international synergies and standardization planning driven by top-down inputs. The CS objective is to define the top-down approach on the basis of agreed NATO processes[9] such as NATO Defence Planning Process (NDPP)[10] and NATO Partnership for Peace Planning and Review Process (PARP)[11] and to improve

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[1]   PO(2016)0315
[2]   AAP-03, Edition K, 2018.
[3]   PO(2015)0580, PO(2016)0655
[4]   PO(2016)0315
[5]   PO(2014)0611.
[6]   CS Report to Council on years 2014 through 2016, most recently PO(2017)0380.
[7]   CS Report to Council 2015 and AC/321-DS(2014), leading to AC/321-N(2016)0024-REV1-AS1, the approved Standardization Task.
[8]   AC/321-D(2017)0001 CS Report to the Council on 2016.
[9]   AC/321-N(2016)0024-REV1(INV)
[10]   PO(2016)0655, The NATO Defence Planning Process. The NDPP is explained in the introduction of Part II of this AAP, and referenced throughout that Part.
[11]   EAPC(C)D(98)12

the integration and efficiency of NATO standardization in relation to these processes. NATO Defence Planning Process is the Alliance's primary means to facilitate the identification, development and delivery of NATO's present and future capability requirements.[12] NATO's PARP has an essential role in ensuring partners' interoperability with Allies. Its successful outcome depends heavily on the adoption and implementation of NATO standards by Partner nations.

1.2.   Scope

1.2.1.   This document applies to the NATO standardization community[13].

1.2.2.   Every day, Allies' standardization managers, NATO staffs and other Subject Matter Experts (SMEs) contribute to wider processes going well beyond standardization, by providing relevant contributions and decisions reflecting their expertise (Figure 1). In order to build understanding of the processes into which their inputs shall integrate, their contributions and this context, are explained in this publication on the top-down approach for standardization.
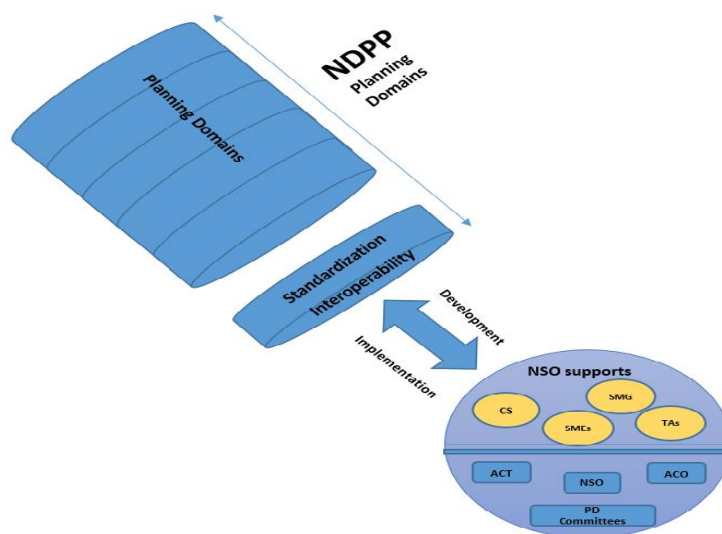
Figure 1: The place of standardization in the wider NATO Defence Planning Process

1.2.3.   Part II of this publication covers the standardization involvement in the NATO Defence Planning Process. Part III covers the NATO Partnership for Peace Planning and Review Process. Each Part of the document is divided into sections. Each section covers one step in the respective Process. Each section begins with a NATO-wide overview of how that step is conducted. Each description focuses on the relevant aspects for standardization. This section explains the context for the standardization community's integration into that Step of that Process. That 'sub-section' is identified by a header: "description". Next, a second sub-section, identified by a header: "guidance" describes the actions conducted under the authority of the Committee for Standardization.

1.3.   Aim

1.3.1.   The main objectives of this publication are to facilitate the understanding of the processes which comprise the top-down approach to standardization and to provide a comprehensive guidance picture to the members of the standardization community on this approach.

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[12]   PO(2016)0655
[13]   PO(2014)0611, Nations and NATO bodies responsible for the development and implementation of standardization within NATO.

1.3.2.   The descriptions of these processes and authorities are taken directly from the authoritative decisions on them. Those decisions include references to the source documents of the original decisions, so that the reader may find authoritative information there.

1.4.   Results of the top-down approach to standardization

1.4.1.   The NATO processes addressed in this publication may identify <u>a lack of applicable standards</u>, or they may indicate a <u>lack of implementation of existing standards</u>. Once approved by the Council, such a shortfall constitutes an interoperability requirement. The lack of a needed <u>standard</u> demands the development of a Standardization Task by the relevant TA/DTA. A lack of <u>implementation</u> requires remedial implementation action by the responsible NATO bodies and/or Nation(s) delivering the related capability.

1.4.2.   If a NATO process identifies a need for a new standard, or a revision to an existing one, the responsible TA/DTA develops a Standardization Task or a Revision Task, in accordance with AAP-03, to guide that work to respond to interoperability requirements, while adhering to Council's guidance. Thereafter, the responsible TA/DTA follows the procedures directed in AAP-03.

1.4.3.   Relevant specifics to develop that Standardization Task (or Revision Task) can normally be found in the requirements documents developed as a part of that NATO process. Due to the high importance placed upon standards resulting from these requirements, nations (i.e. national standardization managers) should encourage their representatives in the respective TA/DTA and working groups to make efficient and constructive contributions to them.

1.4.4.   These requirements can arise at various steps in the NATO processes covered in this publication. Each step of each process has different conditions associated with it. Therefore, the specific aspects of generating a Standardization Task or Revision Task are addressed below in the context of each relevant step.

PART II - THE NATO DEFENCE PLANNING PROCESS

2.1. The NATO Defence Planning Process (NDPP) is NATO's primary vehicle for the harmonization of Alliance capability development efforts[14]. Standardization could contribute to any or all elements of capability development. Doctrine, training, materiel, and interoperability are all examples. Most high-level Alliance decisions on capability development are harmonized through the NDPP, which drives "top-down" NATO standardization.

2.2. Through their participation in the NDPP, Allies should seek to maximize the coherence of national and Alliance planning, promote transformation and adaptation, improve the readiness, responsiveness and <u>interoperability</u> of their conventional forces and capabilities and reduce unnecessary duplication[15].

2.3. The SCs, with ACT in the lead, will identify the complete set of capabilities considered to be the minimum necessary to meet the quantitative and qualitative ambitions set out in the Political Guidance, taking any supplementary guidance from the MC into account, through a structured, comprehensive process which should be as simple, quick and adaptable as possible while preserving analytical rigour, traceability and transparency. The traceability required between interoperability requirements and standardization solutions for that coherence is thereby founded in the BiSC Capability Codes and Capability Statements. These are used throughout the NDPP steps, products and IT tools, all of which are described below[16].

2.4. Fourteen planning domains[17] have been identified within NATO that are engaged in various strands of capability development with varying degrees of overlap[18]. The planning domain of <u>"Standardization and Interoperability" is an integral part of the NDPP</u>.

2.5. On behalf of the North Atlantic Council, the <u>Defence Policy and Planning Committee (Reinforced)</u> (DPPC(R)) <u>coordinates, directs and oversees the work of the NATO bodies and committees responsible for the planning domains</u>, and can provide feedback and, as required, NDPP-related direction to them.[19] As the Committee responsible for standardization policy and management within NATO, the Committee for Standardization is involved in NDPP-related work and it must, therefore, integrate its activities alongside the other defence planning domains.

2.6. The NATO Defence Planning Process consists of five steps. These steps are summarized below from PO(2016)0655. <u>The content of AAP-52 does not amend or change what stated in PO(2016)0655</u>.

- Step 1. Establish Political Guidance – a single, unified political guidance for defence planning sets out the overall aims and objectives to be met by the Alliance;

- Step 2. Determine Requirements, is the step in which NATO's current and future capability requirements are consolidated. The output of this process will be the Minimum Capability Requirements (MCR);

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14   PO(2016)0655, Annex 1, 1-1, para. 1,2.
15   PO(2016)0655, Annex 1, 1-3, para. 8.
16   PO(2016)0655, Annex 1, 1-8, para 25.
17   The 14 planning domains are: 1. Air and Missile Defence; 2. Aviation Planning; 3. Armaments; 4. Civil Emergency Planning; 5. Consultation, Command and Control; 6. Cyber Defence; 7. Force Planning; 8. Intelligence; 9. Logistics; 10. Medical; 11. Nuclear Deterrence; 12. Resources; 13. Science and Technology; 14. Standardization and Interoperability.
18   PO(2016)0655, Annex 1, 1-4, para. 10.
19   PO(2016)0655, Annex 1, 1-3, para. 15.

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- Step 3. Apportion Requirements – the consolidated requirements are divided and developed in target packages for each Ally with associated priorities and timelines;

- Step 4. Facilitate Implementation – assists national measures, facilitates multinational initiatives and directs NATO effort to satisfy agreed targets and priorities in a coherent and timely manner; and

- Step 5. Review Results – this step seeks to examine the degree to which NATO's political objectives, ambitions and associated targets have been met and to offer feedback and guidance for the next cycle of the NDPP.

2.7. Steps 1 to 3 are conducted in sequence every four years. Step 2 may be updated more frequently if so decided by the Strategic Commands. Efforts to facilitate implementation at Step 4 are continuous and, therefore, conducted in parallel with the other steps.[20] Step 5 is conducted every two years. Using these steps as a framework, Part II of AAP-52 explains how the NDPP drives the top-down approach to NATO standardization and the involvement of the standardization community in this approach.
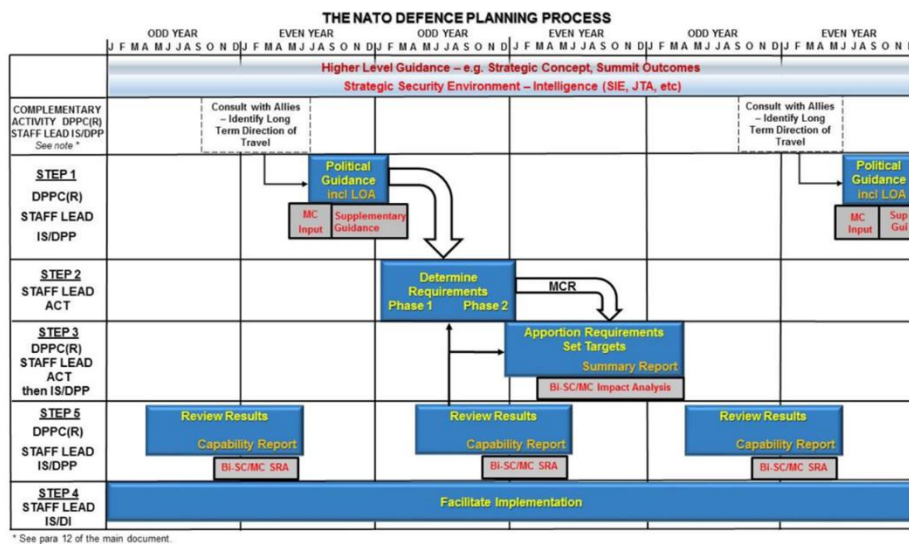
Figure 2: A calendar-aligned overview NATO Defence Planning Process

2.8. General Responsibilities in Capability Development.

2.8.1. With the exception of the national responses required to inform the NDPP, the required products for each Step of the NDPP, as well as the associated input/outputs, are primarily the responsibility of the NATO staff. When required, planning domains are expected to provide timely input that reflects their specialized expertise throughout the Process[21].

2.8.2. In contrast to those products required for each Step of the NDPP, national capability development work is primarily the responsibility of Allies. This work, which includes the contributions of national standardization managers and subject-matter experts, constitutes the vast majority of the activity in NDPP Step 4 – Facilitate implementation. When seen in the context of the NDPP, national and NATO subject matter experts' work to develop standards fit within this step. They also make

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20   PO(2016)0655, Annex 1, 1-7, para 20.
21   PO(2016)0655, Annex 1, 1-6, para. 18.

significant contributions which are incorporated into Step 2 – Determine Requirements and Step 5 – Review Results.

2.9.   STEP 1 - ESTABLISH POLITICAL GUIDANCE

What happens in this Step of the process, overall? (description)

2.9.1.   The Political Guidance initiates each four-year cycle of the NDPP and sets out the overall aims and objectives to be met by the Alliance, providing guidance for national and NATO defence planning efforts across all planning domains, including standardization and interoperability.[22] It also sets NATO's "Level of Ambition", which should be expressed in a way that will support the determination, at Step 2, of the quantitative and qualitative pool of forces and military and non-military capabilities needed to meet it.

2.9.2.   The Political Guidance describes the qualities required in Alliance forces. Interoperability is one of those qualities, and the requirement for it drives the top-down approach to NATO standardization. Different sections of the Political Guidance include context and factors which guide the content of many NATO standards, across all fields of standardization.

2.9.3.   The International Staff and International Military Staff involve the NATO Standardization Office (NSO) during the drafting process. NSO staff officers prepare text contributions to appropriately reflect standardization in the Guidance. They also provide relevant advice on standardization issues during the Defence Policy and Planning Committee's (DPPC) drafting sessions.

2.9.4.   The CS may propose input within its remit (i.e. standardization policy and management) for DPPC (Reinforced) consideration in developing the Political Guidance.

2.9.5.   Agreed by Defence Ministers, the Political Guidance drives work plans of the planning domains' committees, many of which are also NATO standardization Tasking Authorities (TAs). The Allies' defence institutions, TAs, commands and staffs thereby receive this guidance on standardization directly from the Council.[23]

2.9.6. Allied Command Transformation planners and NATO staffs use the content on standardization and interoperability in the Political Guidance in developing command and staff products, and advice to Allies, throughout the remainder of the process (e.g. the Minimum Capability Requirements[24]).

How does the standardization community integrate into this Step of the process? (guidance)

2.9.7.   The CS principals, TAs, national standardization managers, and NSO use the Political Guidance throughout the rest of the NDPP cycle as the first, authoritative source of Allies' guidance for NATO standardization as a contribution to capability development.

2.9.8.   The CS reviews the new Political Guidance once approved, to determine if it requires changes to the NATO's standardization policies, processes or CS objectives in effect at that time.

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[22]   PO(2016)0655, Annex 1, 1-7, para. 21.
[23]   PO(2016)0655, Annex 1, para 21.
[24]   The MCR, and its impact on NATO standardization is described in detail under Step 2 (see para 1.2.1 of Part II).
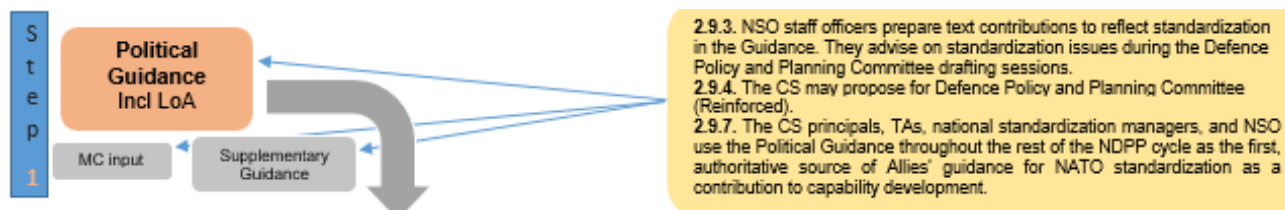
2.9.3. NSO staff officers prepare text contributions to reflect standardization in the Guidance. They advise on standardization issues during the Defence Policy and Planning Committee drafting sessions.
2.9.4. The CS may propose for Defence Policy and Planning Committee (Reinforced).
2.9.7. The CS principals, TAs, national standardization managers, and NSO use the Political Guidance throughout the rest of the NDPP cycle as the first, authoritative source of Allies' guidance for NATO standardization as a contribution to capability development.

Figure 3. Responsibilities of the Standardization community in step 1 of NDPP

2.10. STEP 2 - DETERMINE REQUIREMENTS

What happens in this Step of the process, overall? (description)

2.10.1   Step 2 is conducted at least every four years, often with an update at the 2 year point. This process is called the Capability Requirement Review process. One of the central aims of Step 2 is to determine the full set of required capabilities – Minimum Capability Requirements (MCR) needed by the Alliance to meet its Level of Ambition (LoA) and other agreed objectives set out in the Political Guidance.

2.10.2.   Allied Command Operations (ACO) and Allied Command Transformation (ACT) have authority for defining the pool of capabilities required to meet NATO's LoA, expressed in the MCR and as described in the Capabilities Codes and Statements Catalogue.[25] They also identify risks and shortfalls across all planning domains.

2.10.3.   Minimum Capability Requirements (MCR)

How is this product developed, overall? (description)

2.10.4 The Strategic Commands with ACT in the lead, will identify the complete set of capabilities considered to be the minimum necessary to meet the quantitative and qualitative ambitions set out in the Political Guidance, taking any supplementary guidance from the Military Committee (MC) into account. The output of this process will be the MCR report, representing the single set of requirements necessary for the Alliance to meet its Level of Ambition and other agreed objectives set out in the Political Guidance. This product therefore serves as the primary input to NDPP Step 3. The MCR should also guide and inform the planning efforts of all planning domains[26].

2.10.5. HQ SACT holds responsibility to produce the MCR. It enlists support from NATO's International Staff, International Military Staff, Allied Command Operations, Planning Domains and other NATO bodies as appropriate. HQ SACT requests and employs these contributions to elaborate qualitative aspects of the MCR (e.g. interoperability requirements). SACT provides Allies with military requirements in the field of standardization and interoperability, and integrates NATO's interoperability activities into a coherent whole[27]. The appropriate entities within each of the planning domains thereby take part in the analysis and are represented at the appropriate level throughout this step.[28] During the drafting stage of the MCR, the Strategic Commands can incorporate the input of experts across all fields of standardization. Upon the SCs request, HQ NATO staffs may liaise between SMEs on specific standards and SC staff officers to contribute to their analysis to identify

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[25]   PO(2016)0655, Appendix 3, para 11.
[26]   PO(2016)0655, Annex 1, 1-8, para. 25.
[27]   MC 0058/3 (Final) (Revised) para 25, MC 0020/11 para 36.
[28]   PO(2016)0655, Annex 1, 1-9, para. 26

and describe shortfalls. This expert collaboration provides a sound framework for further work by each planning domain. The SCs decide on the content of the final products. The MCR is important because it is NATO's strategic commanders' summary of the military capability which they need Allies to deliver, in order to fulfill the guidance which Allies gave in Step 1. The MCR have a few key elements, described below.

2.10.6. The NSO may also ask national standardization managers to assist in contacting custodians/panel members etc., from their respective Nations, as needed.

How does the standardization community use this product? (guidance)

2.10.7. NSO will seek a briefing to the CS, for notation, on the MCR. This information briefing has two purposes. First, it helps CS Principals and national standardization managers to understand the MCR, especially the new element in the current BiSC product. Second, it facilitates their use of the MCR in national capability development, as described in this publication from NDPP Step 3 through Step 5.

2.10.8. Uses for specific products within the MCR (i.e., Capability Codes and Capability Statements) are described below in the sections focused on each of those products.

2.10.9. The Bi-SCs' Capability Codes and Capability Statements

How is this product developed, overall? (description)

2.10.10. The Strategic Commands (SCs) will generate an initial set of quantitative and qualitative capability requirements representing the totality of the pool of forces and capabilities required to meet NATO's Level of Ambition and other agreed objectives.[29] The Bi-SCs' Capability Codes and Capability Statements describe each of the roughly 350 capabilities required by the Alliance. They provide common reference points for capabilities used in defence planning products throughout the NDPP.

2.10.11. Within step 2, ACT may require NSO to also contribute to the development of interoperability requirements in the Capability Catalogue, which describes capability requirements. Upon such a request, the NSO liaises with HQ, SACT during the development of the capability statements so as to provide informed inputs to interoperability requirements (IRs). ACT decides what SME input to incorporate in the Capability Catalogue, and how that is conducted. The development of Interoperability Requirements is specifically placed under the authority of the SCs, IRs being an integrated part of the MCR.

2.10.12. The NSO provides input to ACT for updating reference documents in the Capability Catalogue. The NSO consults relevant SMEs (e.g. Custodians) to identify reference standards, and submits these to ACT, for their consideration ad decision.

How does the standardization community use this product? (guidance)

2.10.13. Allies (i.e. National standardization subject-matter experts) shall use the Capability Catalogue as guidance for their capability development work. As an example, Allies (i.e. standardization managers) shall check that standards which are referenced in capabilities delivered by their Nation are ratified, implemented in accordance with their Nation's ratification response, and reported as such in accordance with AAP-03. In addition, they shall use the Capability Catalogue in their responses to the Defence Planning Capability Survey (see paragraph 1.5.1, below).

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[29]   PO(2016)0655, Annex 1, appendix 3, para. 8.

2.10.14. NATO standardization Tasking Authorities (TAs), Delegated TAs and working groups shall use the Capability Catalogue as a reference when listing the interoperability/standardization requirements in relevant Standardization Tasks, thus linking the standardization solutions with the related capability.
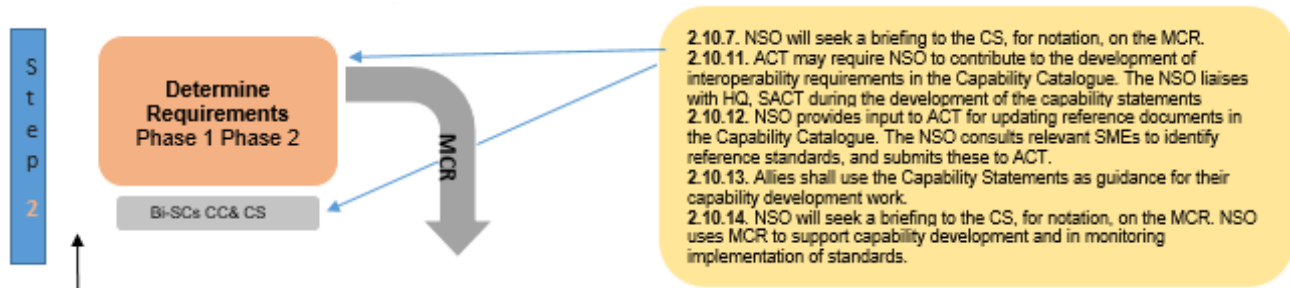
Figure 4. Responsibilities of the Standardization community in step 2 of NDPP

2.11.   STEP 3: APPORTIONMENT OF REQUIREMENTS AND SETTING OF TARGETS

What happens in this Step of the process, overall? (description)

2.11.1.   The apportionment of requirements and setting of targets at Step 3 is the primary means by which the NDPP can influence national defence planning efforts directly. Drawing appropriate subject matter expertise from the planning domains and taking into account relevant aspects of the Political Guidance and NATO's Defence Planning Priorities identified in the most recent Capability Report, the Strategic Commands, with ACT in the lead, will apportion draft Capability Targets to Allies, with associated priorities and timelines, addressing all of the final MCR's quantitative and qualitative requirements, including any associated "doctrine, organisation, training, materiel, leadership, personnel, facilities and interoperability" (DOTMLPFI) aspects[30].

2.11.2.   Within their national defence planning processes, Allies make sovereign decisions on how to incorporate NATO targets into their national plans, programmes and budgets. Allies make these decisions based on several factors, including the information provided in the Capability Catalogue developed in Step 2 by the SCs.

How does the standardization community integrate into this Step of the process? (guidance)

2.11.3.   In accordance with the Council's direction to prioritize capability development, Allies have agreed to focus their national standardization activities on targets which they have accepted in support of critical capability delivery for the Alliance.

2.11.4.   As national decisions and targets are determined in Step 3, standardization management offices should use the reference standards in the Capability Catalogue to inform their national networks of what the government is agreeing to, in terms of implementing standards. National standardization management offices should send their national defence planning office an overall report on the ratification and implementation status of the standardization documents related to the targets proposed by NATO.

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[30]   PO(2016)0655, Annex 1, 1-10, para. 28.

2.11.5. In order to prepare for the standardization activities in Step 4, it is important for standardization managers to fully understand their Nation's decisions on NDPP targets. Allies make those decisions during Step 3. National standardization managers use the "Capability Target Package" agreed by Allies for their Nation to scope their national capability development work for the Alliance. They shall associate their national targets in their Package with the detailed descriptions of those capabilities in the Capability Catalogue published at Step 2, as guidance for the implementation of the applicable standards.
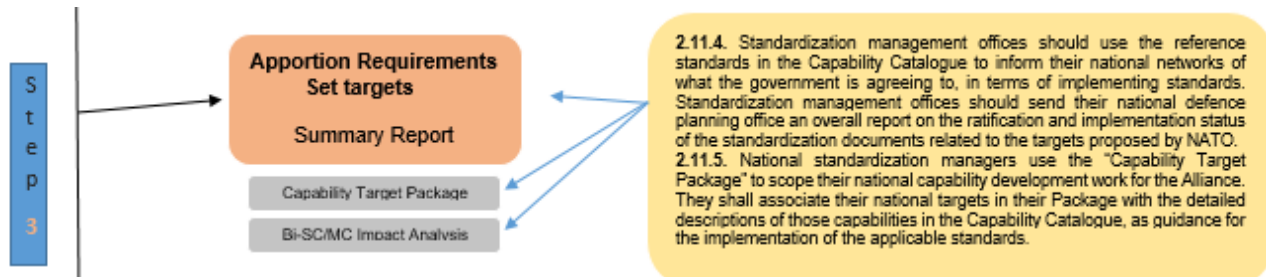
Fig. 5. Responsibilities of the Standardization community in step 3 of NDPP

2.12. STEP 4: FACILITATE ALLIES' IMPLEMENTATION IN CAPABILITY DEVELOPMENT

What happens in this Step of the process, overall? (description)

2.12.1. This step is continuous, rather than cyclic. Allies bear the primary responsibility in this step as they to develop the vast majority of the capabilities of the Alliance. The planning domains, supported by the NATO staffs with NATO International Staff, Defence Investment Division in the lead, will assist those Allies who have agreed to their Capability Targets.

2.12.2. The NATO staffs will also facilitate the development and implementation by Allies of agreed common standards and promote the use of other products developed to improve interoperability. [31] NATO staff officers, "Capability Area Managers/Facilitators" (CAM/CAF), will act as the point of contact for their designated capability area and keep the relevant NATO bodies and committees within the various planning domains, informed of progress and any associated requests[32].

2.12.3. The staff officers will not be responsible for driving national capability development efforts, but rather for tracking, monitoring and coordinating strands of work across all lines of capability development (i.e. DOTMLPFI[33]). Consequently, they will seek to align and focus staff efforts to bring approved plans to fruition as well as to initiate any required staff remedial action in close coordination with all relevant stakeholders[34].

2.12.4. Many NATO staffs, in HQ NATO, the NATO Command Structure, Centers of Excellence, etc., work in specific capability areas or domains. This creates inherent associations and networks of experts across the NATO enterprise. This includes the NSO and facilitates their Council-directed support to the CAFs responsible for defence planning priority areas, as outlined above.

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[31]   PO(2016)0655, Annex 1, 1-13, para. 42. An illustrative, but not an exhaustive, list of examples could include materials for education, training and exercise, as well as reports, assessments, presentations, etc.
[32]   PO(2016)0655, Annex 1, 1-14, para. 43.
[33]   Doctrine, organization, training, materiel, leadership, personnel, facilities and interoperability
[34]   PO(2016)0655, Appendix 3, 1-25, para 17.

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2.12.5. Monitoring implementation of STANAGs, analysis and reporting to Committees

What happens in this activity, overall? (description)

2.12.6. Allies directed that implementation efforts should be continuous, focused on Alliance priorities and agreed capability targets, holistic and specifically include the implementation of STANAGs.[35] In multiple TAs, Allies have agreed to specific mechanisms to monitor national implementation of NATO standards developed under that committee's authority. Those TAs' staffs facilitate the implementation by Allies of NATO agreed standards through the implementation monitoring mechanism agreed by the TAs responsible. For instance, the MC and the CNAD review progress in this area annually.

2.12.7. The NSO compares Nations' reporting on their implementation of NATO standards to relevant reports of operations, exercises, evaluations, training, etc.[36] With the information gathered, they draw conclusions and propose remedial actions to the responsible committee for decision.

How does the standardization community integrate into this activity? (guidance)

2.12.8. Allies (i.e. national standardization managers) educate and encourage their custodians and representatives in TAs, DTAs and working groups to develop clear and specific implementation paragraphs in their STANAGs during development and updates in accordance with AAP-03 and using SRD AAP-03.2. They periodically review their national ratification responses and implementation reports in comparison to the implementation paragraph in the STANAG and any associated Defence Planning Priorities agreed by Defence Ministers.

2.12.9. Nations' defence standardization agencies/offices should cooperate with national defence planning offices to achieve, where possible, harmonization of the national defence planning with the agreed capability targets**,** for the implementation of critical standards. For example, Allies may consider developing a national action plan to implement NATO standards in capability development. Such a plan could include actions such as:

- establish an integrated project team to coordinate national action on NATO capability roadmaps or implementation plans;
- organise national educational training modules to ensure awareness; and
- seek best practices and management tools from other Nations to improve the effectiveness and efficiency of the actions taken.

2.12.10. Capability Roadmaps

How are these products developed, overall? (description)

2.12.11. Capability roadmaps and implementations are examples of a tools to assist Allies and staff in realising a more coherent approach to capability development. They are enduring tools to measure and report progress toward delivering critical capabilities. Where assigned, NATO Capability Area Managers/Facilitators (CAM/CAFs), provide a single entry point for the capability roadmaps to coordinate within the communities of stakeholders. The standardization community is one example.

2.12.12. Drawing on information provided by Nations and NATO staffs on the specific capability area, each CAF will build a roadmap or implementation plan for that area. In doing so, they associate requirements with relevant capability development efforts, seeking feedback and validation as

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[35]   NSO(DDNSO)0449(2016)1/NSSG, A-8.
[36]   AC/321-N(2016)0007.

appropriate through the community of interest for that specific area. This creates a further source of transparency on the links between individual standards and capabilities.

2.12.13. In accordance with the NDPP: "The planning domains, supported by the NATO staffs with IS/DI in the lead, will assist those Allies who are willing to participate in the coherent, and timely, national, multinational or collective delivery of the capabilities sought in the Capability Targets. All efforts under this Step are intended to complement and reinforce the routine support from a number of planning domains for the implementation of targets in their areas of responsibility.[37]" For example, the NSO assists Allies with capability development by providing substantive input on the work conducted in military, operational standardization to addressing defence planning priorities agreed by defence ministers, and extant capability roadmaps. Military Branches monitor these activities. They contribute content to adequately address operational standardization, including both development and implementation. They liaise with their assigned CAFs and provide input as required.

How does the standardization community integrate into the development/use of this product? (guidance)

2.12.14. Due to the high importance placed upon standards resulting from these requirements, nations (i.e. national standardization managers) should encourage their representatives in the respective working group and TA/DTA to contribute to them.

2.12.15. Custodians of Allied Publications (APs), Writing Team members and other involved experts should use the Roadmaps to prioritize and guide the work on the standards to which they contribute.

2.12.16. Subject matter experts' (SMEs) support

How is subject-matter expert support provided overall? (description)

2.12.17. National SMEs provide expertise useful to defence planning activities and are already involved in national capability development. SMEs support Allies' capability development, focusing on the shortfalls and priority areas identified in Step 5 below. Additionally, experts on planning domains and specific standards assist and facilitate implementation efforts.

2.12.18. Staff support for the NDPP will draw on the civilian and military expertise present within the different NATO staff entities (International Staff, International Military Staff, Allied Command Transformation, Allied Command Operations, NATO agencies and offices). The CS and other NATO standardization TAs, as well as their substructures, are kept abreast by their respective staffs of those interoperability requirements in support of the agreed NATO Defence Planning Priorities. Allies support each other through the contribution of their SMEs. National experts on relevant standards are involved to ensure that shortfalls are addressed, by facilitating Allies in developing and implementing operational standards.

How do SMEs integrate into this activity? (guidance)

2.12.19. The NSO and TAs/DTAs shall respond to requests by using their knowledge of the subject in question and by assisting in connecting national SMEs to NATO staffs to contribute to Step 4 actions.

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[37] PO(2016)0655, para 42.

2.12.20. SMEs on specific NATO standards should advise and support national programme or project managers for the capabilities to which those standards apply. One example of SME support would be: the Custodian of a Standard answers questions from capability developers of another Nation on use of the specific standard on which they are an expert.
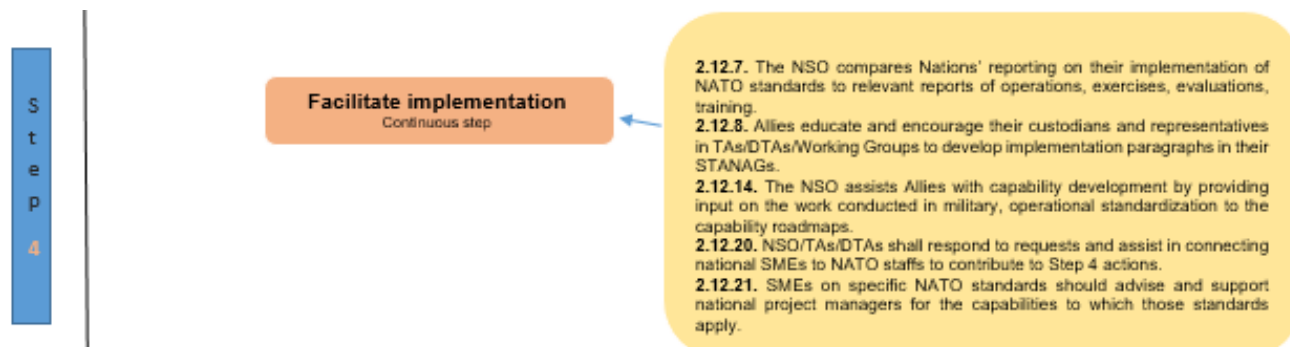
Fig. 6. Responsibilities of the Standardization community in step 4 of NDPP

2.13. STEP 5: REVIEW RESULTS

2.13.1 Step 5 takes place every 2 years, where the defence and financial plans of each Ally are scrutinized and assessed[38]. The purpose of step 5 is to assess progress on capability development against the Political Guidance (from Step 1), capability requirements (Step 2) and accepted targets (Step 3). Different elements of the standardization community contribute to each product in this assessment, focused on the subject of standardization activities.

2.13.2. The Defence Planning Capability Survey

How is this product developed, overall? (description)

2.13.3. The review process begins with the "Defence Planning Capability Survey" – "Survey"[39]. This Survey is an essential tool which provides Allies and planning domains with transparency on Allies' national plans and policies, efforts to address agreed targets, national inventory of forces and capabilities, etc. It feeds into the New Defence Planning Automated Support System (NDPASS) common database.

2.13.4. The Survey must address the information required by staffs to review the results of Alliance capability development across all planning domains.[40] Therefore, inputs from relevant staffs are taken into account in developing the Survey and the NSO contributes to the draft Survey by submitting a number of specific questions regarding the implementation status of selected critical standards listed in the Step 2 and 4 products to NATO International Staff, Defence Policy and Planning Division. The Survey questions related to standardization are incorporated in different capability area sections. These questions address the implementation of standards, training, system procurements and upgrades and educational activities. They focus only on those priorities set by Allies' political leaders.

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[38]   PO(2016)0655, Annex 1, 1-14, para. 45.
[39]   PO(2016)0655 (INV), para 46.
[40]   PO(2016)0655, Annex 1, 1-15, para. 46.

2.13.5. **The CS may agree to further questions and suggest that DPPC(R) include them in the Survey.**

2.13.6. Once approved by the Defence Policy and Planning Committee (DPPC), the Survey is released to nations. Nations provide answers to questions in the Survey to NATO International Staff, Policy and Planning Division. National answers are used as the basis for the staff analysis, the Bi-SCs' Suitability and Risk Assessment and the Capability Report.

How does the standardization community use this product? (guidance)

2.13.7. National standardization managers provide inputs to and maintain awareness of their national responses to standardization questions in the Survey. This facilitates their ability to provide any clarification requested by NATO on these national responses to the Survey.

2.13.8. National standardization managers are strongly encouraged to use the Capability Catalogue in developing their responses to the Survey.

2.13.9. Staff analysis and consultation

How is this product developed, overall? (description)

2.13.10. Once Allies have submitted their responses to the Survey, the NATO staffs, with NATO International Staff, Policy and Planning Division (IS-DPP) in the lead, conduct preliminary analysis and produce draft assessments for each Ally. These documents assess national plans, forces and capabilities in line with agreed objectives[41]. NSO participates in the conduct of the initial staff analysis of national answers, and provides their analysis to IS-DPP and the respective Ally.

2.13.11. Once mature, the draft assessment is shared with the Ally concerned and a bilateral meeting is arranged. [42] The bilateral meetings allow nations to review the draft and for NATO staff to request further clarification if necessary. The national authorities should provide any additional information necessary to complete the draft assessment and, after the meeting, subsequently amend their national response to the DPCS accordingly. After the bilateral meeting, the draft assessment of that Ally will be revised as necessary and, following a final review of its factual content by the Ally concerned, submitted to DPPC(R) for review and approval.[43]

2.13.12. As the NSO does not participate in the bilateral meetings in capitals, it may request that individual Allies clarify or provide further information regarding standardization-related questions, before their bilateral meeting is held. [44] This enables the NSO to provide an updated input to NATO defence planners for the final draft staff assessment in the framework described in paragraph two. After the meeting, national authorities amend their national response to the Survey accordingly[45].

How does the standardization community integrate into the development/use of this product? (guidance)

2.13.13 The clarifications and further details which would otherwise be exchanged in the meeting will be exchanged electronically instead, as 'virtual' consultations with CS Principals/defence standardization managers. CS Principals and SMG members maintain awareness of their national

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[41]   PO(2016)0655, Annex 1, 1-15, para. 46
[42]   PO(2016)0655, para 49.
[43]   PO(2016)0655, Annex 1, 1-16, para 49
[44]   AC/321-DS(2017)0003, item III. B
[45]   PO(2016)0655, Annex 1, 1-16, para 49

responses to standardization questions in the Defence Planning Capability Survey (Survey). This facilitates their actions to provide any clarification requested by NATO on those national survey response.

2.13.14. The CS will consider updates and recommendations from the NSO on national standardization content within the Survey responses.

2.13.15. Suitability and Risk Assessment

How is this product developed, overall? (description)

2.13.16 The "Bi-SCs' Suitability and Risk Assessment" (SRA) assesses the Alliance's ability to meet its military objectives. It compares the Minimum Capability Requirements with nations' inventories and national capability development plans, and it also considers the degree of risk and associated shortfalls.

2.13.17. Based on the Bi-SCs' SRA, the Military Committee (MC) develops its own SRA which assesses the military suitability of the plans and the associated degree of military risk in relation to the Political Guidance. The NSO provides coordinated inputs on standardization issues to the drafting of the "SRA" as required. The MC SRA includes a concise list of "Main Shortfall Areas". This list aims at facilitating the provision of focused advice to Allies, in order to mitigate and/or decrease overall risks and to prioritize future capabilities development.

2.13.18. The aim of the shortfall prioritization is to steer the capability development of Allies, and within NATO, by focusing the efforts and allocation of limited resources to the most critical capability shortfalls. Therefore, once they are agreed by Council, these shortfalls are also recognized as "Defence Planning Priorities" (DPPs).[46]

How does the standardization community integrate into the development/use of this product? (guidance)

2.13.19. TAs, DTAs, working groups, or their staffs may identify that the Main Shortfall Areas highlight standardization shortfalls within their area of responsibility. Such a shortfall may be due to a lack of implementation, or a lack of an applicable standard. In either case, it should be treated as a priority. A lack of implementation requires remedial implementation action by the responsible NATO bodies and/or Nation(s) delivering the related capability.

2.13.20. If one of the SRA indicates or implies the lack of a standard, or a need for a revision to an existing one, the responsible TA develops a Standardization Task, in accordance with AAP-03, to guide that work to fill the identified gap. Relevant specifics may be found in the original SRA. Due to the high importance placed upon such standards, Nations (i.e. national standardization managers**)** should encourage their representatives in the respective working group and TA/DTA to make efficient and constructive contributions to them.

2.13.21. The CS will use the SRA as advice in its work in support of critical capability delivery for the Alliance, supported by the Standardization Management Group (SMG). As an example, the CS could address issues in the SRA in its annual report and ask for briefings related to standardization related issues raised in the SRA.

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[46]   SH/PLANS/JCAP/FCP/16-313325.

2.13.22 Capability Report

How is this product developed, overall? (description)

2.13.23. Once all the information gathered from Allies through the Capability Review has been examined, an assessment of progress is compiled into a "Defence Planning Capability Report" (Capability Report)[47]. This document is prepared and approved by the Defence Policy and Planning Committee (DPPC), before it is endorsed by Defence Ministers.

2.13.24. The Capability Report provides an overall assessment of the existing and planned Allies' forces and capabilities, and determine whether those meet the objectives set out in Political Guidance. It highlights individual and collective progress on capability development and provides further guidance for future capability development[48].

2.13.25. The Main Shortfall Areas52 are considered by the DPPC and the Council. The MSAs are likely to form the basis for recommendations to Defence Ministers on NATO's defence planning priorities. The Council is the final approval authority to designate Main Shortfall Areas as "Defence Planning Priorities (DPPs)" for the Alliance.

2.13.26. The NSO shall use Council-approved DPPs as the focus of DNSO advice to NATO standardization Tasking Authorities for monitoring the implementation of critical standards. In the context of the NDPP, implementation actions occur in Step 4. Therefore, implementation monitoring is described under NDPP Step 4.

How does the standardization community integrate into the development/use of this product? (guidance)

2.13.27. The NSO liaises directly with the NATO International Staff, Policy and Planning Division staffs at the drafting stage of the Capability Report, to advocate that any outstanding standardization issues are considered in drafting the Capability Report. The CS may propose input within its expertise, for DPPC(R) consideration in developing the capability report.

2.13.28. If Allies so decide, the Capability Report will include an overall assessment of progress and outstanding issues on standardization in NATO.

2.13.29. In addition, Allies may propose comments and suggestions in the DPPC for the draft Capability Report negotiations. CS Principals, and national standardization managers are encouraged to contribute to national positions through their national channels.

2.13.30. The CS' assessment of ratification and implementation of NATO standards, in accordance with the Implementation Action Report, offers an important contribution to the Capability Report. The CS may also advise the DPPC on any documented standardization shortfalls to be considered in drafting the Capability Report.

2.13.31. Allies should align, prioritize and focus their activities in support of capability delivery for the Alliance[49] through the development, ratification and implementation of standards that support the Defence Planning Priorities agreed by the Allies at Council level via the Defence Planning Capability Report.

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[47]   PO(2016)0655, Annex 1, 1-10, para 28.
[48]   PO(2016)0655, Annex 1, 1-14, para. 45.
[49]   AC/321-DS(2016)0010(INV).

2.13.32. National standardization subject-matter experts shall use the Council-approved DPPs as guidance for their capability development work.[50] As an example, standardization managers shall place a priority upon their actions for ratifying, implementing and reporting in accordance with AAP-03, regarding those standards which are encompassed by the DPPs and delivered by their Nation.

2.13.33. The CS will use the Council-approved DPPs in its work in support of critical capability delivery for the Alliance[51], supported by the Standardization Management Group (SMG). For example, the CS shall focus its implementation monitoring on critical standards, in capability areas agreed by Council in the DPPs.
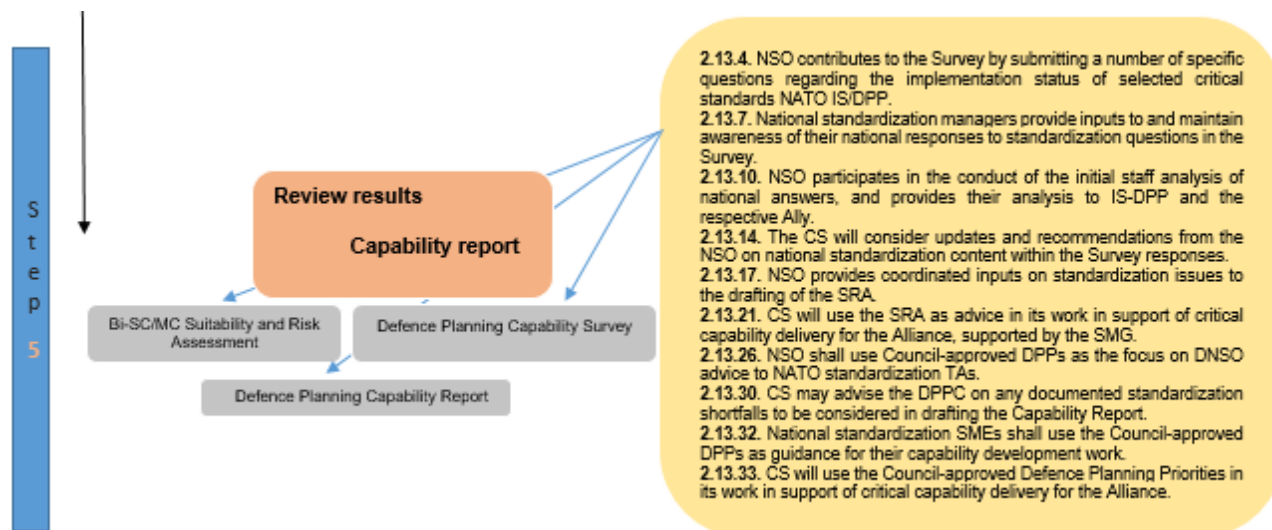
Figure 7. Responsibilities of the Standardization community in step 5 of NDPP

2.14 Defence Planning Tools

In order to successfully integrate standardization in NATO defence planning, NATO uses purpose built tools, described below.

2.14.1. New Defence Planning Automated Support System (NDPASS)

2.14.2. NDPASS is the main software support tool for the NATO Defence Planning Process (NDPP) developed by the NATO International Staff, Defence Policy and Planning Division. It is developed specifically to support staff in capitals and NATO staffs. It facilitates the maintenance and exchange of information related to NATO capability targets. It also enables Allies to develop their response to the Defence Planning Capability Survey – "Survey" and submit it electronically to NATO through the NATO SECRET Wide Area Network (NSWAN).

2.14.3. NDPASS makes use of the most recent Capability Codes and Statements to best describe requirements and contributions. It is used for the development of capability targets, and by nations to gather all the relevant information in a structured way, and report this electronically to NATO for the Capability Review.

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[50]   AC/321-DS(2016)0005.
[51]   AC/321-DS(2016)0010, para V.7.1.

2.14.4. The NDPASS provides nations with the descriptions of the targets which they have accepted, the associated standards from the Capability Codes and Statements, and a record of their Allies' previous development of that capability.

2.14.5. The NSO uses this System to get access to nations' responses to the Survey and carry out their analysis to support the development of country assessments.

2.14.6. Defence Planning Management System (DPMS)

2.14.7. The Defence Planning Management System[52], managed by ACT and accessible to all users of the NATO classified network, (NSWAN: https://dpms.act.nato.int/dpms), is a tool currently under development, aimed at supporting defence planners across all steps of the NDPP. The aim is to facilitate the execution of all five steps of the Process to promote transparency and traceability across and integration between the different activities which comprise the Process.

2.14.8. National Standardization Managers utilize the DPMS to monitor integration of standardization activities into the overall actions to remediate the shortfalls in specific capability areas. Once the ability for feedback is developed, they may use it to provide feedback to the Capability Area Facilitator.

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[52] AC/321-DS(2016)0010(INV), annex 6.

Standardization actions in NDPP

NATO DEFENCE PLANNING PROCESS	STANDARDIZATION ACTIONS IN THE NDPP

Step 1

Political Guidance
Incl LoA.

MC input | Supplementary Guidance

2.9.3. NSO staff officers prepare text contributions to reflect standardization in the Guidance. They advise on standardization issues during the Defence Policy and Planning Committee drafting sessions.
2.9.4. The CS may propose for Defence Policy and Planning Committee (Reinforced).
2.9.7. The CS principals, TAs, national standardization managers, and NSO use the Political Guidance throughout the rest of the NDPP cycle as the first, authoritative source of Allies' guidance for NATO standardization as a contribution to capability development.

Step 2

Determine Requirements
Phase 1 Phase 2

MCR

Bi-SCs CC& CS

2.10.7. NSO will seek a briefing to the CS, for notation, on the MCR.
2.10.11. ACT may require NSO to contribute to the development of interoperability requirements in the Capability Catalogue. The NSO liaises with HQ, SACT during the development of the capability statements
2.10.12. NSO provides input to ACT for updating reference documents in the Capability Catalogue. The NSO consults relevant SMEs to identify reference standards, and submits these to ACT.
2.10.13. Allies shall use the Capability Statements as guidance for their capability development work.
2.10.14. NSO will seek a briefing to the CS, for notation, on the MCR. NSO uses MCR to support capability development and in monitoring implementation of standards.

Step 3

Apportion Requirements
Set targets

Summary Report

Capability Target Package

Bi-SC/MC Impact Analysis

2.11.4. Standardization management offices should use the reference standards in the Capability Catalogue to inform their national networks of what the government is agreeing to, in terms of implementing standards. Standardization management offices should send their national defence planning office an overall report on the ratification and implementation status of the standardization documents related to the targets proposed by NATO.
2.11.5. National standardization managers use the "Capability Target Package" to scope their national capability development work for the Alliance. They shall associate their national targets in their Package with the detailed descriptions of those capabilities in the Capability Catalogue, as guidance for the implementation of the applicable standards.

Step 4

Facilitate implementation
Continuous step

2.12.7. The NSO compares Nations' reporting on their implementation of NATO standards to relevant reports of operations, exercises, evaluations, training.
2.12.8. Allies educate and encourage their custodians and representatives in TAs/DTAs/Working Groups to develop implementation paragraphs in their STANAGs.
2.12.14. The NSO assists Allies with capability development by providing input on the work conducted in military, operational standardization to the capability roadmaps.
2.12.20. NSO/TAs/DTAs shall respond to requests and assist in connecting national SMEs to NATO staffs to contribute to Step 4 actions.
2.12.21. SMEs on specific NATO standards should advise and support national project managers for the capabilities to which those standards apply.

Step 5

Review results

Capability report

Bi-SC/MC Suitability and Risk Assessment | Defence Planning Capability Survey

Defence Planning Capability Report

2.13.4. NSO contributes to the Survey by submitting a number of specific questions regarding the implementation status of selected critical standards NATO IS/DPP.
2.13.7. National standardization managers provide inputs to and maintain awareness of their national responses to standardization questions in the Survey.
2.13.10. NSO participates in the conduct of the initial staff analysis of national answers, and provides their analysis to IS-DPP and the respective Ally.
2.13.14. The CS will consider updates and recommendations from the NSO on national standardization content within the Survey responses.
2.13.17. NSO provides coordinated inputs on standardization issues to the drafting of the SRA.
2.13.21. CS will use the SRA as advice in its work in support of critical capability delivery for the Alliance, supported by the SMG.
2.13.26. NSO shall use Council-approved DPPs as the focus on DNSO advice to NATO standardization TAs.
2.13.30. CS may advise the DPPC on any documented standardization shortfalls to be considered in drafting the Capability Report.
2.13.32. National standardization SMEs shall use the Council-approved DPPs as guidance for their capability development work.
2.13.33. CS will use the Council-approved Defence Planning Priorities in its work in support of critical capability delivery for the Alliance.

PART III - STANDARDIZATION ACTIONS IN THE PARTNERSHIP FOR PEACE PLANNING AND REVIEW PROCESS

3.1.   NATO has developed several partnership programmes and tools which serve the needs of all Partner nations seeking interoperability with NATO. The Planning and Review Process (PARP) programme has an essential role in ensuring Partner nations' interoperability with Allies. Achieving that interoperability heavily depends on the adoption and implementation of NATO standards by Partner nations.

3.2.   While identifying interoperability requirements or standardization gaps is not the primary purpose of the PARP, it is still possible that this occurs. These items could then gain Council approval, making them part of the top-down approach to standardization. For this reason, the PARP is described here in AAP-52.

3.3.   While the PARP is similar in structure to the NATO Defence Planning Process, the PARP programme is much more tailored for each Partner's interest and level of ambition in cooperation with NATO. The PARP is based on a two-year cycle, with both bilateral (NATO and a Partner nation) and multilateral (Allies and the Partner nation) elements in the following form.

3.4.   STEP 1 - PARP MINISTERIAL GUIDANCE

What happens in this Step of the process, overall? (description)

3.4.1. The Planning and Review Process (PARP) Ministerial Guidance covers a six-year period. It is developed every 2nd year in the Partnerships and Cooperative Security Committee (PCSC) in PARP-format[53];[54]. It sets out the overall political guidance necessary to ensure that the PARP meets the aspirations both of Allies and participating Partner nations during the whole six-years. The Ministerial Guidance reflects political, economic and military factors which could affect the PARP-process itself and the development of capabilities and forces declared to be made available for future NATO-led operations.

3.4.2.   The Guidance also includes priority areas which should be addressed in the PARP Survey and PARP Assessments[55]; the scope and focus for the development of Partnership Goals; and how implementation is to be supported. The Alliance's aim in this is to identify forces and capabilities which might be declared available for partnership cooperation activities (operations, exercise and training). This aim makes interoperability with Alliance forces an essential quality. In addition, the PARP Ministerial Guidance should contain guidance relating to resources available for the implementation of the Partnership Goals. This guidance should include ways to improve cost-effectiveness and to optimize the use of national resources, as well as bilateral and multilateral support, if appropriate.

3.4.3.   The Partnerships and Cooperative Security Committee (PCSC)(PARP) is responsible for preparing the PARP Ministerial Guidance, which is subsequently agreed by Defence Ministers, while meeting in the Euro-Atlantic Partnership Council in PARP-format.

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[53] The PCSC (PARP) consists of the 30 NATO Allies and all Partner nations involved in the PARP-process.
[54] This step takes place in the spring of odd-numbered years.
[55] See Step 1.6, Step 6 – Assessment of Partner Plans

How does the standardization community integrate into this Step of the process? (guidance)

3.4.4.   National standardization managers[56], especially those of Partner nations, may contribute to their nation's input to the Ministerial Guidance. As an example, national standardization managers may seek to raise Partners' standardization needs for the purpose of interoperability with the Alliance for consideration in developing the guidance. They may seek to raise any broad standardization issues that are of a significant nature and affect many Partner nations.

3.4.5.   Partner nations' standardization managers are strongly encouraged to review the PARP Ministerial Guidance and apply the priorities and other guidance found within it to those elements of their national standardization activities that aim at interoperability with the Alliance.

3.4.6.   National representatives may raise the agreed Ministerial Guidance in meetings and other activities of NATO standardization Tasking Authorities (TAs) and their sub-structures. In such activities, Allies should recall that all Allies' Defence Ministers have approved the Guidance.

3.4.7. The Committee for Standardization (CS) may offer agreed advice on the subject of standardization, for PCSC(PARP) consideration in developing the PARP Ministerial Guidance. Once approved, the CS should also use the Guidance in its own work to support Partners' standardization for the purpose of interoperability with the Alliance.

3.4.8.   If the Guidance identifies a standardization gap which calls for a new standard, or a revision to an existing one, the responsible Tasking Authority (TA)/Delegated Tasking Authority (DTA) develops a Standardization Task or a Revision Task, in accordance with AAP-03, to guide that work to address the interoperability requirement. Since Allies have already approved this requirement at the highest levels and designated it as a priority, national standardization managers should encourage their representatives in the respective working group and TA/DTA to make efficient and constructive contributions to the production of the resulting standard(s), throughout the process.
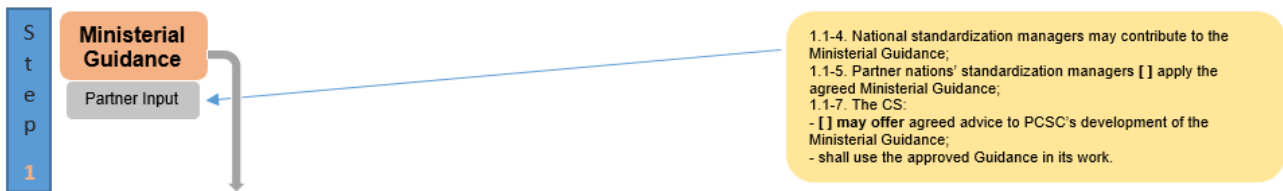

Figure 1. Responsibilities of the Standardization community in step 1 of PARP

3.5.   STEP 2 – DEVELOPMENT OF PARTNERSHIP GOALS

What happens in this Step of the process, overall? (description)

3.5.1.   Partnership Goals are developed on the basis of the PARP Ministerial Guidance. They are tailored to the needs of the individual Partners and the progress achieved in the previous cycle, so a Partnership Goal on one subject or capability will still be different for each individual Partner. The aim is to produce planning targets for each individual Partner, which are realistic, achievable and affordable. One of the key objectives of these Goals is to enhance interoperability of forces and capabilities declared available for partnership cooperation activities. Where relevant, the Goals can

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[56] Not all Partner nations may have established such a structure or office. In these cases, readers should take the term "national standardization managers" to refer to that Ministry of Defence or military general staff office which (a) coordinates with NATO on standardization management, and (b) is able to advise national officers on standardization aspects of NATO Partnership Goals, or the closest equivalent.

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even aim to develop Partners' capabilities appropriate for possible contribution to rapid response units. This applies particularly to the NATO Response Force (NRF), in which some Partners have already participated.

3.5.2. To this end, the NATO Military Authorities (NMAs)[57], in consultation with the International Staff (IS) and the ACO Partnership Directorate (PD) at SHAPE, develop draft Partnership Goals for individual Partner nations.[58] In order to help Partners achieve their Goals, these bodies also identify relevant NATO reference documents. These references, and possibly other elements of the Goals, make clear which standards are to be met when preparing units for their participation in future NATO-led operations.

3.5.3. Those draft Partnership Goals which are related to national standardization activities (such as "National Standardization Management System" or "Implementation of NATO Standards") are developed in close coordination with the NATO Standardization Office (NSO). In accordance with the Allies' decision to individualise all Partnership activities, these Goals can be tailored for participating Partner nations. Upon request, the NSO also provides its advisory support regarding the implementation of these particular Goals.

3.5.4. The NSO consults with the appropriate subject matter experts (custodians or members of writing teams, panel, etc.), to identify relevant standardization documents required to achieve all developed Partnership Goals. The current relevance of previously-identified standardization documents is also checked during this period. As part of such checks, the NSO may ask national standardization managers to assist in contacting custodians/panel members etc., from their respective Nations.

3.5.5. The Partnership Goals can also play an important role in identifying a need for standardization action(s). They may lead to proposals to release specific standards to Partner nations. They may identify standardization gaps, especially those relevant to Partners' interoperability with Allies. They may reveal a need for relevant standardization Tasking Authorities to revise or develop Multinational Publications, where appropriate.

How does the standardization community integrate into this Step of the process? (guidance)

3.5.6. The NSO will seek a briefing to a Committee for Standardization session with Partner nations, for notation, on the Partnership Goals, especially their interoperability aspects.

3.5.7. CS Principals and national standardization managers may use the Partnership Goals to encourage their national representatives in the relevant NATO standardization TAs and DTAs to promote releasing those standards referenced in Partnership Goals to individual partners, NATO partnership frameworks or programmes, such as the Interoperability Platform.
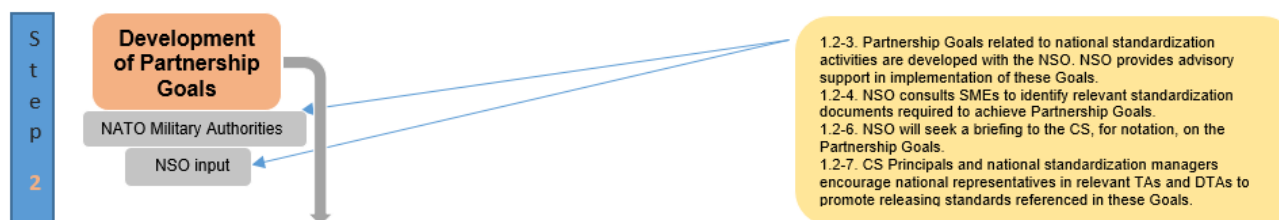

Figure 2. Responsibilities of the Standardization community in step 2 of PARP

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[57] The ACO, ACT, IMS.
[58] This always happens in the autumn of odd years.

3.6.   STEP 3 - CONSULTATION ON PARTNERSHIP GOALS

What happens in this Step of the process, overall? (description)

3.6.1. After the development of the draft Partnership Goals (PGs), a NATO team led by the International Staff, consisting of representatives of the three NATO Military Authorities, particularly the Partnership Directorate (PD), conducts bilateral discussions with representatives of the Partner nations concerned.[59] The objective of these bilateral discussions is to clarify any issues related to the draft PGs and to resolve ambiguities.

3.6.2. The NATO Standardization Office (NSO) contributes information for these consultations as requested by the International Staff. For example, information may be sought if the Partner concerned has selected new Partnership Goals related to national standardization activities. Since the PGs are tailored based on the needs and capacity of Partner concerned, the NSO's recent cooperation with that Partner nation could inform the tailoring of a PG on standardization specifically for them.

3.6.3. This is the point at which a Partner nation makes its national decisions on which Partnership Goals it will accept. Since many PGs include reference standards that are considered relevant to attaining that PG, the Partner nation's standardization management office should consider the implications of these for their Nation.

3.6.4. The aim of the Partnership Goals is to achieve and enhance Partner nations' ambition for interoperability with the Alliance. Partner nations normally choose PGs that include capabilities relevant to their national objectives. Therefore, the PGs chosen by each Partner normally refer to specific NATO capability descriptions[60]. To ensure that these national capabilities are interoperable with those of the Allies, each PG normally refers to the specific standards that are designated as critical for the interoperability of those capabilities.

How does the standardization community integrate into this Step of the process? (guidance)

3.6.5. Partner nations' standardization management offices are strongly encouraged to review the list of reference standards in the Partnership Goals under their Nation's consideration. They should use these lists to inform their responsible government offices on how accepting that PG implies several subsequent actions: requesting any standards not already released to them, formally adopting those Allied standards, implementing them, and reporting on these actions. National standardization management offices are strongly encouraged to send to their responsible national office an overall report on the release and adoption status of the standardization documents referenced in the PGs under consideration.

3.6.6. National standardization managers should determine if Allies have already released the standards listed in the Partnership Goals under their Nation's consideration to them, or not. In case some standards are not released to this Partner, the national standardization manager should inform their authorities that this might prolong implementation of certain PGs. They should also advise their authorities that acceptance of a Partnership Goal does not automatically require Allies to release the standards listed in that PG to the Partner in question.

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[59] These consultations take place in the beginning of even years.
[60] The Capability Catalogue, which NATO's Strategic Commands develop and publish to Allied and Partner nations, describes each of the capabilities used by the Alliance, including any associated interoperability requirements. It provides a common reference point on capabilities.

3.6.7. Partner nations' standardization managers are strongly encouraged to participate in their government's preparation for any of their consultations with include Partnership Goals related to national standardization activities. Their contribution is important to ensure the success of their national capability efforts as they regard NATO standardization and interoperability with the Alliance. As national decisions are being made, standardization management offices should use the reference standards in the PGs to inform their national networks of what the government is agreeing to, in terms of possible adoption/implementation of standards.
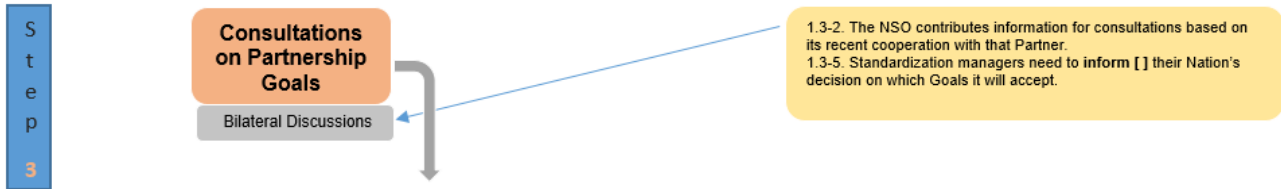
Figure 3. Responsibilities of the Standardization community in step 3 of PARP

3.7.   STEP 4 – APPROVAL OF PARTNERSHIP GOALS

What happens in this Step of the process, overall? (description)

3.7.1. Subsequently, a Partnership Goal Report for each individual nation is drafted by the International Staff, in consultation with the staffs of the Military Committee and Strategic Commands, especially the ACO Partnership Directorate. This Report describes the Partner's objectives, the areas covered in the draft Partnership Goals and, if appropriate, any additional forces and capabilities sought from the Nation concerned.

3.7.2. This Report, to which the draft Partnership Goals are annexed, is forwarded to the PCSC (PARP) for review and, subsequently, to the Council and the Partner concerned for formal approval under silence procedure. In order to promote transparency, Partners are encouraged to make the agreed package of Partnership Goals available to other PARP participants.

How does the standardization community integrate into this Step of the process? (guidance)

3.7.3. Partner nations' standardization managers are strongly encouraged to align, prioritize and focus their national standardization activities and capability development work in support of Partnership Goals accepted by their government.   As an example, Partner nations' standardization managers should prioritize adopting, implementing and reporting in accordance with AAP-03 standards that are referenced in their Nation's Partnership Goals.

3.7.4. NATO standardization TAs and DTAs should consider the Partnership Goals accepted by a Partner nation when deciding on requests to release standards to that Partner, recalling that these PGs have been approved by all Allies.
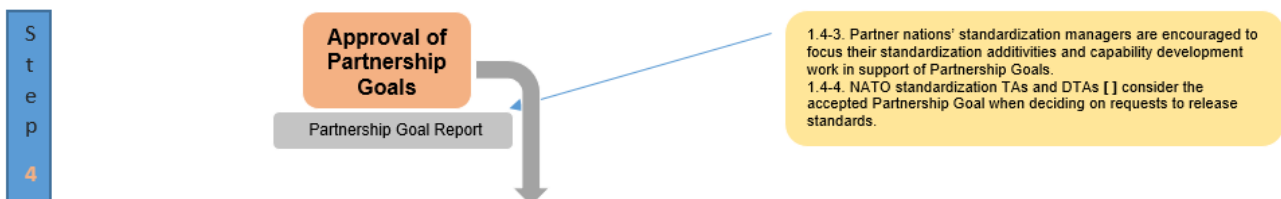
Figure 4. Responsibilities of the Standardization community in step 4 of PARP

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3.8.   STEP 5 – PREPARATION OF SUMMARY REPORT

What happens in this Step of the process, overall? (description)

3.8.1. Following the series of consultations between Allies and individual Partners in the PCSC(PARP) and in consultation with the NATO Military Authorities (particularly the Partnership Directorate (PD), the International Staff (IS) prepares a draft Summary Report, describing in general terms the trends and developments with regard to the Partnership Goals. On request from the IS, the NATO Standardization Office provides input on standardization-related topics for the Summary Report.

3.8.2.   This report is considered by the PCSC(PARP) and then forwarded for approval to the Council, including Partners participating in PARP. Subsequently, the agreed report is brought to the attention of the Defence Ministers during their spring ministerial meetings in even-numbered years.

How does the standardization community integrate into this Step of the process? (guidance)

3.8.3. The Committee for Standardization (CS) may offer agreed input on the subject of standardization, for PCSC(PARP) consideration in developing the Summary Report. Once approved, the CS should also use the report in its own work to support Partners' standardization for the purpose of interoperability with the Alliance.

3.8.4.   The CS considers any updates and recommendations from NATO staffs on the basis of the Summary Report.

- **Figure 5. Responsibilities of the Standardization community in step 5 of PARP**

3.9.   STEP 6 – ASSESSMENT OF PARTNER PLANS

3.9.1.   PARP Survey

How is this product developed, overall? (description)

3.9.2. A survey, which is agreed by the PCSC(PARP) before being issued, is circulated to all Partners by the International Staff (IS) in late spring of even years. It seeks, inter alia, information on the following areas:

  i.   a statement on overall defence policy and defence and financial plans for the planning period;

  ii.   a statement of national policy relating to areas of cooperation with NATO;

    iii.   a statement of forces and capabilities which could be made available for partnership cooperation activities (operations, exercises and training), together with a description of their suitability and readiness, and relevant transport, sustainability and command, control and communications;

    iv.   special questions related to cooperation with NATO; and

    v.   a statement on progress with regard to implementation of Partnership Goals.

3.9.3. On request from the IS, the NSO may contribute to the draft survey. For example, this may include questions under specific Partnership Goals regarding Partners' implementation of critical standards included in each PG.

3.9.4. The questions related to standardization are included in the Survey and incorporated into the different sections of capability areas. These questions normally address the implementation of standards, training and educational activities.

3.9.5. In the autumn of even years, all Partners participating in the PARP submit their replies to the PARP Survey to the IS and the NATO Military Authorities (via the Partnership Directorate), covering the six-year planning period.

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

How does the standardization community integrate into the development/use of this product? (guidance)

3.9.7. National standardization managers of Partner nations provide inputs to and maintain awareness of their national responses to standardization questions in the PARP Survey. This facilitates their ability to provide any clarification requested by NATO on these national survey responses.

3.9.8. The Committee for Standardization considers updates and recommendations from NATO staffs on national standardization content within the Survey replies.

3.9.9. Partner nations' standardization managers are strongly encouraged to use the Capability Catalogue[61] in developing their responses to the PARP Survey.

3.9.10. Staff Analysis and Consultation

How is this product developed, overall? (description)

3.9.11. On the basis of the PARP Survey data supplied by the Partners, the International Staff (IS), in consultation with the NATO Military Authorities (NMAs) (particularly the ACO Partnership Directorate (PD)), analyses:

    i.   Partners' plans and policies (the draft Planning and Review Assessments), in general;

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[61] See Section 1.3, Paragraph 4, above.

ii.   the extent to which the Partners' forces can operate successfully with Allies' forces; and

iii.   the extent to which Partnership Goals agreed between individual Partners and the Alliance have been met.

3.9.12.   The assessments should also cover areas which need improvement and include recommendations for addressing these. The NATO Standardization Office (NSO) conducts initial staff analyses on Partners' responses to the questions regarding the implementation of specific standards. The NSO assesses consistency between the responses received and adoption/implementation reports already provided by that Partner nation. During the staff analysis, national subject matter experts are contacted if further clarification is deemed necessary. The NSO staff coordinates their analysis with the IS and contributes to producing draft Planning and Review Assessments by providing their input. The supporting staffs of Tasking Authorities are notified if critical issues are identified which require consideration by relevant working groups/panels.

3.9.13.   On the basis of each Partner's survey and the draft Planning and Review Assessment, the IS, in cooperation with the NMAs (via the PD), 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.

3.9.14.   On the basis of the draft Planning and Review Assessment, the PCSC(PARP), with the Partner concerned, reviews the Partner's plans for the six-year planning period and the extent to which Partnership Goals have been implemented. The draft Planning and Review Assessment is then forwarded to the Council, and the Partner concerned for approval, under silence procedure. The agreed Planning and Review Assessment then provides a baseline for the development of individually-tailored PGs during the following year.

3.9.15.   In order to promote transparency, Partners are encouraged to make the agreed assessment available to other PARP participants.

How does the standardization community integrate into the development/use of this product? (guidance)

3.9.16.   Partner nations' standardization managers respond to any requests for clarification or further details. They may also contribute to national positions in bilateral consultations.

3.9.17.   Partner nations' standardization managers should support and participate in their nations' actions to address issues raised in their Planning and Review Assessment, once it is approved.

3.9.18.   Partner nations' CS Principals and Standardization Management Group (SMG) members may request assistance on issues raised in their Planning and Review Assessment as part of the work of the CS and the SMG to support capability delivery.

3.9.19.   Consolidated Report

How is this product developed, overall? (description)

3.9.20.   Following the above consultations between Allies and individual Partners in the PCSC(PARP), the International Staff, in consultation with the NATO Military Authorities (ACO Partnership Directorate), prepares a draft Consolidated Report. This report provides an overview of the agreed Planning and Review Assessments of all Partners participating in the

process. It also summarises their policy, commitments and capabilities to support multinational (particularly NATO-led) operations, as well as a summary of Allies' policies, commitments and capabilities in these fields.

3.9.21. The draft Consolidated Report is considered by the PCSC(PARP) meeting with Allies and all PARP participants.

3.9.22. The PCSC(PARP) forwards the Consolidated Report for agreement at a meeting of the Council, with Partners participating in the process. The agreed Report is then brought to the attention of Defence Ministers during their regular spring meeting in odd-numbered years.

How does the standardization community integrate into the development/use of this product? (guidance)

3.9.23. If the Consolidated Report indicates the lack of a standard or the need for a revision to an existing one, the responsible Tasking Authority develops a Standardization Task in accordance with AAP-03 to guide the work to fill the identified gap. National standardization managers should encourage their national subject matter experts to participate in the working groups responsible for developing standards to fill identified gaps.

3.9.24. The CS may contribute agreed advice to the PCSC (PARP) on any documented standardization problem areas to be considered in drafting the report.

3.9.25. National standardization managers (Allied and Partners) may contribute to national positions in multilateral meetings through their national channels.

Figure 6. Responsibilities of the Standardization community in step 6 of PARP

3.10.   STEP 7 – IMPLEMENTATION OF THE PARTNERSHIP GOALS

What happens in this Step of the process, overall? (description)

3.10.1. The implementation of the Partnership Goals, which requires the adoption/implementation of NATO documents (mainly NATO standards), is the core part and an on-going process of the Alliance's PARP programme.

3.10.2. To support the implementation of agreed Partnership Goals by using NATO standards, the NATO Standardization Office (NSO) facilitates Partners' access to the relevant unclassified standardization documents through established information sharing mechanisms, such as the NSO public website and the NATO Standardization Documents Database (NSDD).

3.10.3. The NSO encourages and advises Tasking Authorities (TAs) and Delegated Tasking Authorities (DTAs), especially through their respective staffs, to foster Partners' access to those unreleased standardization documents which are also listed as supporting documents in the agreed Partnership Goals.

3.10.4. The NSO supports this process when standards under the authority of the Military Committee are requested.

How does the standardization community integrate into this Step of the process? (guidance)

3.10.5. Inviting Partner subject matter experts to the relevant standardization working groups and panels under the various TAs/DTAs gives Partners the opportunity to contribute to the review process of existing standards, especially those standards included in their agreed Partnership Goals. This is of significant importance for Partners if changes in the standard(s) are required to better support the implementation of their PGs.

3.10.6. Partner nations' standardization managers are strongly encouraged to request training for their Nation's subject matter experts through NATO standardization courses or Allies' education on standardization (including through requesting mobile training teams).

3.10.7. If the implementation of a Partnership Goal heavily depends on classified standards which cannot be released to the Partner selecting that PG, then TA/DTA members should suggest that the TA/DTA develop a Multinational Publication in that specific area.

3.10.8. Since the PARP also aims to promote transparency, Partners are invited to provide their intentions related to the implementation of Allied standards through the electronic Reporting tool on the NSO website. Partners are also invited to update their implementation details, in particular when implementation is completed (details are explained in AAP-03). These will facilitate the future operational planning of NATO capabilities where Partner nations might decide to contribute.

3.10.9. The CS welcomes briefings offered by Partner nations on their implementation of the standardization aspects of Partnership Goals in its sessions with Partners. The CS may also schedule events focused on such implementation, overall, in these sessions.

3.10.10. Partner nations' standardization managers periodically review national adoption and implementation reports in comparison to the implementation paragraphs of relevant Standardization Agreements (STANAGs) and the aims of their Nation's Partnership Goals. They also encourage the participation of their national subject matter experts in the activities of working groups for standards relevant to their PGs.

Step 7

Implementation of Partnership Goals

1.7-2. The NSO facilitates access to relevant documents.
1.7-6. Partner nations' standardization managers are encouraged to request training on standardization
1.7-7. TA/DTA can develop a Multinational Publication if relevant standards cannot be released.
1.7-8. Partners are invited to provide implementation reports electronically
1.7-9. CS welcomes briefings from Partner nations.

Figure 6. Responsibilities of the Standardization community in step 7 of PARP

Standardization actions in PARP

PLANNING AND REVIEW PROCESS	STANDARDIZATION ACTIONS IN THE PARP

Step 1

Ministerial Guidance

Partner Input

1.1-4. National standardization managers may contribute to the Ministerial Guidance;
1.1-5. Partner nations' standardization managers [ ] apply the agreed Ministerial Guidance;
1.1-7. The CS:
- [ ] may offer agreed advice to PCSC's development of the Ministerial Guidance;
- shall use the approved Guidance in its work.

Step 2

Development of Partnership Goals

NATO Military Authorities

NSO Input

1.2-3. Partnership Goals related to national standardization activities are developed with the NSO. NSO provides advisory support in implementation of these Goals.
1.2-4. NSO consults SMEs to identify relevant standardization documents required to achieve Partnership Goals.
1.2-6. NSO will seek a briefing to the CS, for notation, on the Partnership Goals.
1.2-7. CS Principals and national standardization managers encourage national representatives in relevant TAs and DTAs to promote releasing standards referenced in these Goals.

Step 3

Consultations on Partnership Goals

Bilateral Discussions

1.3-2. The NSO contributes information for consultations based on its recent cooperation with that Partner.
1.3-5. Standardization managers need to inform [ ] their Nation's decision on which Goals it will accept.

Step 4

Approval of Partnership Goals

Partnership Goal Report

1.4-3. Partner nations' standardization managers are encouraged to focus their standardization additivities and capability development work in support of Partnership Goals.
1.4-4. NATO standardization TAs and DTAs [ ] consider the accepted Partnership Goal when deciding on requests to release standards.

Step 5

Summary Report

1.5-1. The NSO provides input on standardization-related topics.
1.5-3. CS may offer agreed input and should [ ] use the approved report in its work.

Step 6

Assessment of Partner Plans

PARP Survey

Staff Analysis & Consultation

Consolidated Report

1.6.1-2. The NSO may contribute in drafting the Survey.
1.6.1-6. Partners' national standardization managers provide inputs to answers to the standardization questions in the Survey.
1.6.1-7. CS will consider updates and recommendations based on national standardization content within Survey responses.
1.6.2-2. NSO conducts the initial staff analyses on Partner's answers.
NSO provides input to the draft Planning and Review

Step 7

Implementation of Partnership Goals

1.7-2. The NSO facilitates access to relevant documents.
1.7-6. Partner nations' standardization managers are encouraged to request training on standardization
1.7-7. TA/DTA can develop a Multinational Publication if relevant standards cannot be released.
1.7-8. Partners are invited to provide implementation reports electronically
1.7-9. CS welcomes briefings from Partner nations.

ABBREVIATION LIST

ACO   - Allied Command Operations
ACT   - Allied Command Transformation
CAF   - Capability Area Facilitator
CC&S   - Capability Codes and Capability Statements
CNAD   - Conference of National Armament Directors
CS   - Committee for Standardization
DPCS   - Defence Planning Capability Survey
DPMS   - Defence Planning Management Systems
DPPC   - Defence Policy and Planning Committee
DTA   - Delegated Tasking Authority
IMS   - International Military Staff
IS   - International Staff
IS/DI   - International Staff/Defence Investment
IS/DPP   - International Staff/Defence Policy and Planning
LI   - Lesson Identified
LL   - Lesson Learned
MC   - Military Committee
MCR   - Minimum Capability Requirements
NAC   - North Atlantic Council
NCS   - NATO Command Structure
NDPP   - NATO Defence Planning Process
NDPASS   - New Defence Planning Automated Support System
NMA   - NATO Military Authorities
NRF   - NATO Response Force
NSDD   - NATO Standardization Documents Database
NSO   - NATO Standardization Office
PARP   - Planning and Review Process
PCSC   - Partnerships and Cooperative Security Committee
PD   - Partnership Directorate
PG   - Partnership Goal
POC   - Point of Contact
SC   - Strategic Commands
SHAPE   - Supreme Headquarters Allied Power Europe
SME   - Subject Matter Expert
SMG   - Standardization Management Group
STANAG   - Standardization Agreement
SRA   - Suitability and Risk Assessment
TA   - Tasking Authority

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