NORTH ATLANTIC TREATY ORGANISATION

Supreme Allied Commander, Europe
B-7010 SHAPE
Belgium

Supreme Allied Commander, Transformation
Norfolk, Virginia 23551-2490
United States of America

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BI-SC
COLLECTIVE TRAINING
AND
EXERCISE
DIRECTIVE (CT&ED) 075-003

02 OCTOBER 2013

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BI-SCD 075-003

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Bi-SC DIRECTIVE
NUMBER 075-003

2 OCTOBER 2013

COLLECTIVE TRAINING AND EXERCISE DIRECTIVE

REFERENCES: A.   MC 458/2, NATO Education, Training, Exercise and Evaluation (ETEE) Policy (Final), dated12 October 2009.
B.   Bi-SC Directive for the Handover of Collective Training and Exercise Responsibility from SHAPE to HQ SACT, dated 30 April 2012.

1.   **Status.** This directive supersedes Bi-Strategic Command Directive 075-003 dated 28 October 2010.

2.   **Purpose.** The purpose of this directive is to provide Bi-SC direction pertaining to the NATO military collective training and exercise process. It should be used as a comprehensive guideline on how to plan, execute and assess NATO collective training and military exercises in accordance with Reference A, to provide ready forces for current and future operations. It encompasses the new delineation of responsibilities between ACO and ACT for major joint exercises, as depicted in Reference B. The precondition to use this directive is that an exercise is programmed in the Military Training and Exercise Programme (MTEP), including all necessary details the MTEP requires[1]. Nations may use a national programming concept as applicable.

3.   **Applicability.** This directive is applicable to all NATO collective training and exercises. It can also be adapted for national and multinational exercises as appropriate.

4.   **Supplementation.** Supplementation may be requested to HQ SACT JFT and published after authorisation.

5.   **Publication Updates.** This directive is updated biennially to reflect the latest changes in NATO policy and doctrine, the Peacetime Establishment and the responsibilities of the strategic commands. Furthermore, this directive incorporates improvements in processes, procedures and techniques; as well as best practices that have been captured for implementation in the NATO collective training and exercise community of interest. Additional changes have been made in order to ensure consistency with other related publications.

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[1] The details are laid down in Bi-SC 75-2, Education & Training Directive.

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6. **Proponent.** The proponent for this Bi-SC Directive is HQ SACT JFT.

FOR THE SUPREME ALLIED COMMANDERS, EUROPE AND TRANSFORMATION:

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Civil Military Cooperation COE (CCOE / NLD)
Combined Joint Operations from the Sea COE (CJOS COE / USA)
Confined and Shallow Waters COE (COE CSW / DEU)
Cold Weather Operations COE (COE-CWO / NOR)
Counter Improvised Explosive Devices COE (COE C-IED / SPA)
Defence Against Terrorism COE (COE-DAT / TUR)
Energy Security COE (ENSEC COE / LTU)
Explosive Ordinance Disposal COE (EOD COE / SVK)
Human Intelligence COE (HUMINT COE / ROU)
Joint Air Power Competence Centre COE (JAPCC / DEU)
Joint Chemical Biological Radiation & Nuclear Defence COE (JCBRN Defence COE / CZE)

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Military Engineering COE (MILENG COE / DEU)
Military Medicine COE (MILMED COE / HUN)
Modelling and Simulation COE (M&S COE / ITA)
Naval Mine Warfare COE (NMW COE / BEL)

Information:

NCIA
SACEUREP

HQ ARRC
EUROCORPS
2nd Polish Corps
MNC NE
1 DEU/NLD Corps

NRDC ITA
NRDC ESP
NRDC TUR
NSCC
NSHQ

STRIKFORNATO

FRA MARFOR
ESP MARFOR
GBR MARFOR
ITA MARFOR

Austrian Armed Forces International Training Centre (AUTINT / AUT)
Peace Support Operations Training Centre (PSOTC / BIH)
Bulgarian National Military University/Department of Foreign Languages (BGR)
Cairo Regional Centre for Training on Conflict Resolution and Peacekeeping in Africa (CCCPA / EGY)
Finnish Defence Forces International Centre (FINCENT / FIN)
German Armed Forces United Nations Training Centre (DEU)
Sachkhere Mountain-Training School (GEO)
Multinational Peace Support Operations Training Centre (MPSOTC / GRC)
International Institute of Humanitarian Law (ITA)
Armed Forces Language Institute Jordan (JOR)
Peace Operations Training Centre (POTC / JOR)
The Kazakh Training Centre of the Defence Institute of the Ministry of Defence (KAZCENT / KAZ)
Regional Department of Defence Resources Management Studies (DRESMARA / ROU)
Crisis Management and Multinational Operations Department (CMMOD / ROU)
Armed Forces Academy (SVK)
PfP Language Training Centre (SVN)
Swedish Armed Forces International Centre (SWEDINT / SWE)
Geneva Centre for Security Policy (GCSP / CHE)
Armed Forces International Command Training Centre (SWISSINT / CHE)

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PfP Training Centre Turkey (TUR)
International Peace and Security Centre (UKR)
United Kingdom Defence Academy (GBR)
Naval Postgraduate School (NPS / USA)
Moldovan Continuous Training Centre (MDA)

Regional Predeployment Training Centre (GEO)
Latvian National Defence Academy (LNDA) via Latvian NLR to ACT

Internal:

Action:

MPD Staff Element Norfolk (MPDSENF)
SACT Representative Europe (STRE)
Staff Element Europe (SEE)
DCOS JFT
ACOS JETE
Branch Head JETE/ETEE Plans&Policy
Branch Head JETE/EIT
Branch Head JETE/TREX

Joint Warfare Centre (JWC)
Joint Force Training Centre (JFTC)
Joint Analysis & Lessons Learned Centre (JALLC)

DOM
OPI
CCD
PLANS
RES
SAG PUA
SAG STC
ACOS RES J1
ACOS OPI J2
ACOS RES J4
ACOS PLANS J5
ACOS CCD J6
ACOS J8
ACOS OPI J9

Information:

HQ SACT: List 1; List II; List VI

SACEUR
DSACEUR
SHAPE NMRs
SHAPE PNMRs

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Recommendations for Changes to the Bi-SC 75-3, Collective Training and Exercise Directive (CT&ED)

The CT&ED comment format below is to be used to record and report any recommendations/ changes to the CT&ED. Users are requested to submit recommendations/comments to the appropriate POC; ACO users to SHAPE J7; ACT users to SACT JFT and partner users to MPD.

Comments Provided by: (Enter HQs/Office/Name/Contact details)   **Date:**

Serial	Chap/ Annex[1]	Para[2]	Comment/Recommendation[3]	Rationale/Justification
001				
002				
003				
004				
005				
006				
007				
008				
009				
010				

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[1] Identify the chapter, annex or appendix. Examples: Ch 2; Annex D; Appendix D-6.
[2] Examples: 2.4.4 c.(1); 6.5.
[3] Including proposed words, reference, etc; if extensive, attach separate document with file name referenced to Comment Serial.

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Log of Changes and Updates

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1. INTRODUCTION

1.1 General. Education and Training (E&T) provides a coherent and integrated training system, contributing directly to maintaining a collective set of national forces, the NATO Command Structure (NCS) and the NATO Force Structure (NFS), which are interoperable and possess the full range of capabilities and structures for the Alliance to meet its level of ambition in a rapidly evolving and uncertain security environment. The Connected Forces Initiative (CFI) is one element of NATO's approach to maintaining its operational edge in the light of an anticipated reduction in combat operations for NATO-led forces in Afghanistan, the pressure on defence budgets, and a greater reliance on the NFS. A central plank of this initiative is the use of E&T to build and sustain interoperability and readiness.

    a. E&T, including exercises, facilitates the purposes of conveying a clear and strong message of the Alliance's capabilities while simultaneously demonstrating Alliance resolve. Additionally, the E&T policy will provide essential transformation venues for the Alliance and its partners[1].

    b. As indicated at the Chicago Summit, two fundamental elements underpin NATO`s approach to collective training and exercises. The first is the Alliance`s intent to move from campaign footing (i.e. predominantly focused on ISAF) to a contingency footing (i.e. balanced, prepared and ready to conduct a wide range of missions) as Allies recuperate and reconstitute. The second is the Alliance`s desire to test realistically, within means and capabilities, its preparation and readiness to conduct the full range of missions, from most dangerous to most likely.[2]

    c. The aim of NATO exercises is also to establish, enhance and display NATO's Military Capabilities across the Alliance's full mission spectrum and to ensure the integration of effective and interoperable partner forces for NATO-led Crisis Response Operations (CRO) and Deployable Forces (DF) missions.

    d. In order to achieve these objectives, E&T provides an E&T System which consists of Global Programming, Standards, including Quality Assurance, and Training Integration Plan. This system is described in detail in Bi-SC Directive 75-2, E&T Directive.

    e. In this context, exercises represent the highest, the most complex form of E&T activities as described in Bi-SCD 75-2. They also serve as the venue for Evaluation and Certification.

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[1] MC 458/2
[2] NATO`s Training Concept 2015-2020

1.2   Aim. The aim of the Collective Training and Exercise Directive (CT&ED) is to provide Bi-Strategic Commanders' (Bi-SCs') direction and guidance to exercise planners and their superiors in NCS and NFS HQs and supporting Organisations and Agencies, as well as partner nations[3] when participating, for preparation and conduct of NATO collective training events and exercises.

1.3   Scope. This Bi-SC Directive describes the Exercise Planning Process used in NATO for collective training and military exercises. Hereby, it references Bi-SCD 75-2, where exercises are defined as a part of the E&T system, stating the exercise as a last build up step in that respect. Furthermore, this Bi-SC Directive builds on the system of programming an exercise as outlined in Bi-SCD 75-2 and explains the planning process needed for each individual exercise. Other referenced documents are identified in the text or in footnotes at their first point of appearance. Annex B provides an overview of references.

>   a.   In order to portray all of the inter-related exercise process requirements, the most intense, difficult and complex NATO major joint exercise is modelled in this directive. As a result, there are multiple requirements listed, which indeed are necessary to be fulfilled in a complex exercise but may not be required for a less complex exercise.

>   b.   The CT&ED is applicable to all levels of the NCS within Allied Command Operations (ACO) and Allied Command Transformation (ACT), supporting Agencies and Organisations, as well as those national and multi-national HQs from the NFS participating in collective training and exercises identified in the Military Training and Exercise Programme (MTEP). In addition, it is recommended that the CT&ED be applied to the planning and conduct of national and multinational exercises within the NFS.

1.4   Organisation & Methodology.   This directive comprises six chapters as described below, with supporting annexes.

>   a.   **Chapter 1 – Introduction.** Provides a general introduction to this Directive by presenting the general framework of CT&ED through purpose, scope, applicability and methodology, definition of key terms, primary references and major responsibilities, and specific considerations.

>   b.   **Chapter 2 – The NATO Exercise Process.** Provides an overview of the four stages in the exercise process (EP).

>   c.   **Chapter 3 – Stage 1:** Concept and Specification Development. Describes the required inputs, organisational responsibilities, and the flow of the key activities required to produce the Officer Scheduling the Exercise (OSE)'s Exercise Specification (EXSPEC).

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[3] The term 'partner nations' used in this document to include: partners defined as Partners for Peace (PfP), Mediterranean Dialogue (MD), Istanbul Cooperation Initiative (ICI) and Partners across the Globe (PatG); Operational Partners that are countries that contribute forces/capabilities to a NATO-led operation, or support it in other ways that the NAC formally accepts, on the basis political-military advice, as a Troop Contributing Nation (TCN) and Potential Operational Partners that are counties that are preparing to contribute to a NATO-led operation and which are recognised by the NAC as a potential partner. Ref MC 458/2 (under review).

d.   **Chapter 4 – Stage 2:** Planning and Product Development. Describes the major deliverables, the roles and organisational responsibilities, and finally the key activities involved during this construction stage of the EP.

e.   **Chapter 5 – Stage 3:** Operational Conduct. Describes the major deliverables, the roles and organisational responsibilities, and finally the key activities involved during this conduct stage of the EP.

f.   **Chapter 6 – Stage 4:** Analysis and Reporting. Describes the major deliverables, the roles and organisational responsibilities, and finally the key activities involved during this analysis and reporting stage of the EP.

g.   **Annexes.**   Provide additional exercise process details, guidance and considerations, as well as supporting references, document templates and checklists. Each stage of the EP is described in the following format:

(1)   **Introduction.** Describes the purpose of that stage of the exercise process and provides additional background information.

(2)   **Major Deliverables.** Provides a detailed description of the major deliverables to be developed in that stage, including when and to whom they must be delivered.

(3)   **Roles and Responsibilities.** Introduces the primary roles and responsibilities for the development of deliverables, as well as the accomplishment of key tasks and suggests organisational arrangements.

(4)   **Key Activities.** Describes the main activities and related steps required to deliver the deliverables from that stage.

1.5   Collective Training and Exercise Definition. As outlined in Bi-SCD 75-2, E&T is categorised into two areas; Individual and Collective, which is then further described by four discreet areas: Education, Individual Training, Collective Training and Exercises.

a.   **Collective Training.** Includes procedural drills and the practical application of doctrines, plans and procedures to acquire and maintain tactical, operational and strategic capabilities.

b.   **Exercises.** Ensure that HQ and formations are efficiently and effectively trained to fulfil their missions within the given readiness criteria.
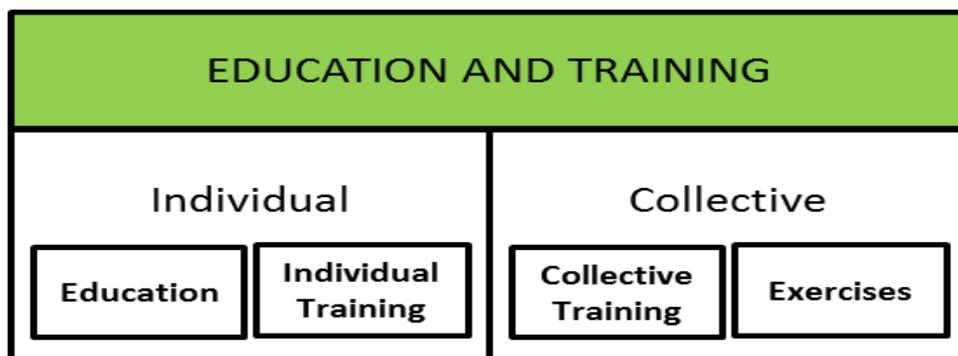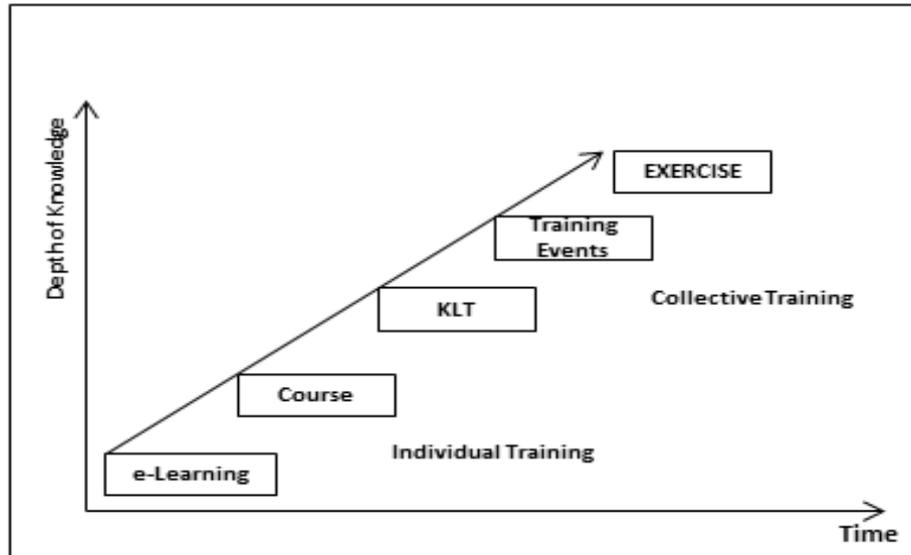
Figure 1-1 - *Education and Training Definition*

c.   Based on the E&T Definition and the implementation of a Depth of Knowledge, taking the Policy principles into account, the principle execution of E&T is shown in the Figure below.

Figure 1-2 - *E&T Execution*

d.   This generic approach ensures a build-up in training events, culminating in an appropriate exercise to prepare for a mission. It is important to recognise, that each level needs to be accomplished to move on. The accomplishment of the levels leading up to the exercise lays in the responsibilities of the respective commanders. Therefore it is paramount to identify respective NATO entities early in the planning process to allocate the appropriate resources, also in the Individual Training. Also the Commanders should build up their situation awareness early, as they are responsible for the readiness of their command.

e.   Although the strategic level might schedule the exercise, it is the operational level responsibility to achieve the identified exercise and training objectives with the support of NATOs programming and resource allocation process.

f.   The respective commanders are to ensure a balanced, effective and efficient staff training plan with minimal duplication of training effort.

1.6   Exercise Process Key Terms. The following key terms will be used extensively throughout this Directive. Annex A, Glossary of Abbreviations, Acronyms, Terms and Definitions, offers an expanded list of exercise-related definitions.

a.   **Officer Scheduling the Exercise (OSE).** The OSE is the Commander who establishes the requirement for the exercise, schedules it in the MTEP, directs the exercise planning and execution, ensures that it is adequately resourced, validates the exercise results and endorses lessons identified. The OSE may also serve as OCE and/or the Commander of the Primary Training Audience.

b.   **Officer Conducting the Exercise (OCE).** The OCE, designated by the OSE, is responsible for planning, executing and reporting of the exercise results according to OSE direction. The OCE can also be a Commander from the Training Audience.

c.   **Officer Directing the Exercise (ODE).** If required, an ODE can be designated by the OSE. The ODE supports the OCE for the detailed planning and overall execution of the exercise by creating the conditions which allow the achievement of the exercise aim and objectives.

d.   **Exercise Director (EXDIR).** The EXDIR is responsible for the overall direction and control of the Exercise Control (EXCON) organisation during Stage III (Operational Conduct).

e.   **Director of Evaluation (DIREVAL).** When conducting evaluation, DIREVAL is responsible for the evaluation efforts as directed by OSE. The DIREVAL coordinates the interaction of different evaluation teams with the EXCON and the Training Audience and provides advice to the EXDIR. In cases where SACT is the OSE, the nomination of the DIREVAL is to be coordinated with SHAPE, as SACEUR holds the responsibility for evaluation.

f.   **Officer with Primary Responsibility (OPR).** The OPR is the designated staff officer in each HQ, agency and centre with primary responsibility for coordinating the planning, preparation, execution and analysis of an exercise on behalf of their commander.

g.   **Primary Training Audience (PTA).** The PTA is that headquarters/ command/ participant/ unit identified in the MTEP/EXSPEC as the main focus of the training.

h.   **Secondary Training Audience (STA).** The STA is that headquarters/ command/participant/unit, whose participation in the exercise is identified as necessary and/or suitable to assist in achieving the exercise aim and objectives. The STA may be able to exploit additional training opportunities within the scope of the exercise.

i.   **Training Audience (TA).** The collective of PTA and STA.

j.   **Exercise Planning Group (EPG).** The EPG is established by the OSE to support his exercise process responsibilities and activities. Its membership is drawn from the OSE's staff, and will also include appropriate members from other participating HQs, agencies and centres. EPG members will assist the OSE OPR in all stages of the Exercise Process in their respective areas of expertise.

k.   **Core Planning Team (CPT).** The CPT is established by the OCE to carry out the detailed planning, coordination and preparation of the exercise according to the EXSPEC and the OSE's Planning Guidance. The CPT Terms of Reference (TOR) are drafted by OCE and approved by OSE. The CPT comprises representatives from the OSE staff, participating commands, participating evaluation teams and supporting centres and agencies as well as the ODE staff when designated.

l.   **Exercise Project Team (EPT).** TAs and other participating organisations may establish EPTs, internal to their own organisation, to provide support for all stages of the Exercise Process.

m.   **Exercise Specification (EXSPEC).** EXSPEC is promulgated by the OSE and is the foundation document setting the training requirements, the associated resources, and the delineation of responsibilities.

n.   **Exercise Plan (EXPLAN).** The EXPLAN is promulgated by the OCE and provides direction and guidance to all exercise participants on the preparation, conduct, support, analysis and reporting of the exercise. It establishes requirements, responsibilities and the schedule of activities for the provision of training events and activities, scenario modules, simulation support, real-life support, communications, exercise control and exercise analyses and reporting.

o.   **Exercise Aim.** The OSE's purpose or intent toward which the exercise will be directed.

p.   **Exercise Objectives (EOs).** Exercise Objectives provide the TA with a mission statement that will serve as a basis to adapt the Scenario on the one hand, and to develop the Training Objectives on the other hand. The Exercise Objectives are prioritised and promulgated in the EXSPEC. Exercise Objectives serve to focus exercise planning, execution and evaluation and analysis to ensure that specific operational requirements are met. Therefore, they must address intensity, volume of forces and nature of operations involved.

q.   **Training Objective (TO).** Training Objectives focus exercise preparation and execution to ensure that Commanders' training requirements are met. A Training Objectives is a mission essential task to be performed, under resource conditions, and defined standards (references and criteria of performance). It describes the staff processes, knowledge, skills or attitudes to be reached during the conduct of training. TOs are prioritised and recommended by the Training Audience Commanders, commented by ODE (if any), and approved by the OCE. OCE will promulgate TOs in OCE's Exercise Planning Guidance and confirm them in the EXPLAN.

r.   **Host Nation (HN).** NATO defines Host Nation as a nation which, by agreement: receives forces and materiel of NATO and/or other nations operating on/from or transiting through its territory; allows materiel and/or NATO organisations to be located on its territory; and/or provides support for these purposes.

1.7   NATO Collective Training and Exercise-Related Documents. The planning, preparation, conduct and reporting of NATO collective training and military exercises are governed by a combination of MC and (Bi-)SC Directives and other documents alongside this directive. The following overarching structure of documentation needs specific attention from planners as guiding references.
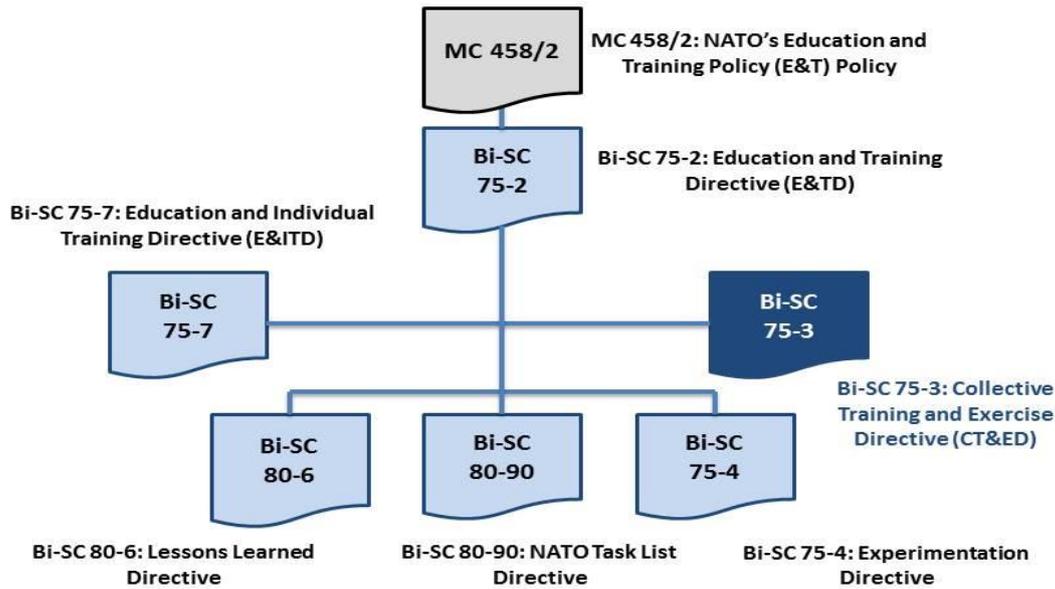
Figure 1-3 - *Hierarchy of Principal E&T-Related Documents*

a.   **MC 458/2, NATO's E&T Policy.** MC 458/2 (under review) is NATO's capstone policy document for E&T and provides strategic level policy for all NATO E&T related activities.

b.   **Bi-SC 75-2 Education and Training Directive (E&TD).** The E&TD is the overarching document for E&T, describing the E&T programmes, procedures and policies that the two Strategic Commands use to support the achievement of both operational and transformation objectives. It provides the essential strategic direction and guidance required by subordinate Commanders, Directors and their staffs pertaining to NATO E&T.

c.   **Bi-SC 75-7, Education and Individual Training Directive.** This directive is an overarching document for the Bi-SCs' Education and Individual Training (E&IT) programme. It provides Bi-Strategic Command direction and guidance on procedures and principles concerning NATO's E&IT to enable NATO, nations and partners to align their programmes to NATO standards and to ensure effective E&T.

d.   **Bi-SC 80-6, Lessons Learned Directive.** This directive is applicable for all Allied HQs, centres and agencies participating in or supporting NATO's operations, exercises, training events and experimentations as well as normal daily activities for NCS HQs. It provides direction and guidance to NCS and NFS Commanders on implementing and executing the Lessons Learned process, including how the recommended improvements should be addressed.

e. **Bi-SC 80-90, NATO Task List (NTL) Directive.** The NTL provides a common terminology and reference system for NATO's Strategic Commanders (SCs), their subordinate commanders and agencies, operational planners, and for training and exercise planners to communicate mission requirements.

f. **Bi-SC 75-4, Experimentation Directive (Bi-SC EXPD).** The Bi-SC 75-4 EXPD provides guidance on implementation of experimentation, addressing in particular both the identification of potential forums for experimentation and how to allow integration of experimentation into The NATO exercise programme.

1.8 Collective Training and Exercise Relationships between the Strategic Commanders. Within the NCS the SCs complement each other to the best overall effect. E&T responsibilities and roles of the two SCs, in accordance with their terms of reference, are:

a. SACEUR is responsible for force preparation and the conduct of Alliance Operations. Management of collective training and exercises will be based on SACEUR`s training requirements at the outset of the Programming Process. SACEUR retains OPCOM of all ACO entities, SACEUR will assign SHAPE`s subordinate commands to be TACOM to SACT for the execution of the MTEP. All of ACO will co-ordinate directly with HQ SACT on matters relating Collective Training and Exercises. SHAPE retains responsibility for evaluation.

b. SACT is responsible for the development, management and execution of the MTEP. This includes OSE responsibilities for major joint exercises.

(1) Further delineation is outlined in Bi-SC 75-2 E&TD.

Requirements	Execution	Evaluation
SACEUR leads	SACT leads	SACEUR leads
SACT contributes	SACEUR contributes	SACT contributes

Figure 1-4 – *Strategic Commanders Responsibilities in E&T*

Execution and Evaluation are often conducted in parallel, so the system must promote flexibility and coordination. In this respect, SACEUR identifies the E&T events in which SHAPE evaluation activities will take place. SHAPE then co-ordinates with HQ SACT to identify the evaluation effort within the execution. This applies especially for the Major Joint Exercises where SACT is the OSE and SHAPE coordinates the nomination of the DIREVAL.

c. **ACO Entities Exercise Roles and Responsibilities.** The roles and responsibilities of all exercise participants are described in the remaining chapters and annexes of this directive. ACO subordinate commands are assigned TACOM to SACT for the execution of the MTEP. SHAPE's subordinate commands will remain the OSE of training events for which SACEUR has endorsed the operational requirement. Below are the broad exercise responsibilities within the NCS and NFS.

(1) **SHAPE.** SHAPE Divisions shall, real world operations permitting, participate in all phases of at least one major joint exercise per year to take advantage of these unique training opportunities. This participation will be outlined in the MTEP in accordance with the SAGE.

(2) **SHAPE J6.** SHAPE J6 will retain the responsibility for the assessment and priorisation of CIS requirements and also the arbitration of conflicts if not all CIS requirements for different events can be fulfilled. The CIS planning for the exercise support will be done under the lead of SHAPE J6 in co-operation with both service providers, the NCIA and the NCISG. See Annex G for details.

(3) **SHAPE J7 Evaluation.** The SHAPE J7 Evaluation provides training, co-ordination and evaluation support to NRF Operational Commanders in accordance with the Commanders' intent and requirements as well as SACEUR's strategic guidance, in order to achieve coherent preparation and development of the NRF. See Annex O for details.

(4) **Joint Force Commanders.** The Joint Force Commanders may act as OCE for a NATO major joint exercise or may be OSE for smaller scale exercises.

(5) **NCS Component/Force Commanders.** NCS Component/Force Commanders may be delegated OSE and/or OCE responsibilities for component exercises. They may be part of the Training Audience for Operational level exercises.

(6) **NFS Component Commanders.** National and Multi-national HQs from the NFS may serve as NRF component commands. When assigned this role, they may act as OCE when conducting component exercises. They may be part of the Training Audience for Operational level exercises.

(7) **NATO Special Operations Headquarters (NSHQ).** NATO SOF will take part in NATO training events and exercises as specified in the MTEP. NSHQ is required to coordinate the exercise planning and execution efforts if there is SOF participation in the exercise.

d.   **ACT Entities Exercise Roles and Responsibilities[4].** Below are the broad exercise roles and responsibilities of SACT and its subordinate centres.

(1)   **HQ SACT** is responsible for the following issues:

(a)   MTEP development, management and execution, with support from ACO.

(b)   Direction and guidance for Scenario development

(c)   Formal selection of Host Nation

(d)   NAC approval of Partner and NNE participation

(e)   For Joint Exercises, HQ SACT will assume responsibility as OSE and assign an OPR accordingly to perform OSE-related tasks.

(2)   **Joint Warfare Centre (JWC**). As directed by Supreme Allied Commander Transformation (SACT), the Joint Warfare Centre (JWC) plans, prepares and executes operational level collective training and exercises in accordance with Supreme Allied Commander Europe (SACEUR's) requirements and supports NATO Concept Development, Experimentation, Lessons Learned and Doctrine Development processes by integrating their transformational inputs and providing exercise feedback to improve NATO's capabilities, interoperability, and operational effectiveness. When JWC is designated as ODE for an exercise the OCE and ODE will coordinate efforts to enable setting the conditions for achievement of the OSE's aim and objectives and the OCE's approved training objectives.

(3)   **Joint Force Training Centre (JFTC).** When the JFTC is designated as ODE the OCE and ODE will coordinate efforts to enable setting the conditions for achievement of the OSE's aim and objectives and the OCE's approved training objectives.   The JFTC also promotes and supports NATO's joint and combined experimentation, analysis and doctrine development processes to maximise transformational synergy and to improve NATO's capabilities and interoperability.

(4)   **Joint Analysis and Lessons Learned Centre (JALLC).** The JALLC receives lessons through the NATO-wide Lessons Learned process as described in the Bi-SC 80-6, Lessons Learned Directive. If actively engaged in the collective training event or exercise through the JALLC Programme of Work or by an Emergent Analysis Requirement (EAR), the JALLC will conduct Joint Analysis during the event/exercise based on the analysis requirements of the OSE and/or the OCE.

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[4] With reference to MC 58/4; MC 510, Terms of Reference for Directors JWC, JFTC and JALLC, 30 April 2004; and ACT Directive 80-3, Operating Requirements for the JWC, JFTC and JALLC, 10 March 2004, which detail the responsibilities and roles of SACT and the Commanders of the three ACT centres.

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e. **Military Partnership Directorate (MPD) Exercise Roles and Responsibilities.** The MPD is a Bi-SC body collocated with SHAPE and HQ SACT, reporting to both entities. The mission of the MPD is to plan, programme, coordinate, implement and assess NATO's military partnership policies, activities and events at the SC level. MPD and other partnership staff located elsewhere in the NCS should provide the essential link between exercise planners and participating partner nations. MPD are to ensure that partner nations training needs are known and where possible taken into consideration when delivering exercises. For further detail see Annex R.

f. **Planning and Resourcing Issues.** Resourcing the exercise is paramount. Although this directive does not address specifically programming and resourcing procedures, planners and OPRs must bear in mind the following items.

(1) **Exercise Budget.** Within the framework of the NATO Financial Regulations (NFR), their Implementing Procedures (IP) and decisions of the Budget Committee (BC); overall Bi-SC policy for financial planning, budget preparation, and budget execution in support of NATO Military Training and Exercises is provided in Bi-SC 75-2 E&TD, Annex E, Funding. Collective training events and exercises are allocated resources by the SCs based on their priorities and a manageable level of funding risk. This allocation is made during the annual budget development process and is reflected in the Medium-Term Financial Plan (MTFP). Exercise planners have a responsibility to monitor expenditures and update their budgets routinely to ensure that the amount allocated to an exercise is sufficient to achieve the actual exercise aim and objectives. The three basic principles to bear in mind are: Costs lie where they fall (either participating HQs or participating Nations); NATO support will only be allocated to MTEP registered activities; Travel and transportation costs may be eligible for NATO funding in certain circumstances.

(2) **ACT Collective Training Support (CTS) Programme of Work (POW)[5].** The CTS POW is a prioritised list of collective training support requirements to be executed by HQ SACT, JWC and JFTC. Essentially, it is the ACT and JFT's contract with the customers. The vast majority of the requirements are provided by ACO; however, elements of ACT may also add their own requirements. Most requirements are derived from the NATO Military Training and Exercise Programme (MTEP) and range from Mission Rehearsals to exercise support and experimentation. The CTS POW is published on a two year planning horizon and is updated annually as a function of the MTEP development process. Once published, these requirements, including any emergent requirements, form the mission tasking for ACT and its subordinate centres. The execution of the CTS POW is subject to formal budgetary provisions in order to commit and spend common funds.

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[5] Detailed ACT procedures may be found in the Bi-SCD 75-2 and in the Military Training and Exercise Programme Terms of Reference (MTEP TOR).

1.9   Exercise Naming Conventions. NATO collective training events and exercises, when programmed in the MTEP, must be designated with two-worded nicknames as directed in Appendix 1 to Annex A of this directive.

2.   THE NATO EXERCISE PROCESS

2.1.   Introduction. NATO's Exercise Process (EP) is designed to provide the basic structure for the preparation, conduct and reporting of collective training and exercises identified in the Military Training and Exercise Programme (MTEP); it can also be used on the national and multinational level, especially within the NFS.

The EP consists of four stages:

   a.   Stage 1: Concept and Specification Development;

   b.   Stage 2: Planning and Product Development;

   c.   Stage 3: Operational Conduct;

   d.   Stage 4: Analysis and Reporting.
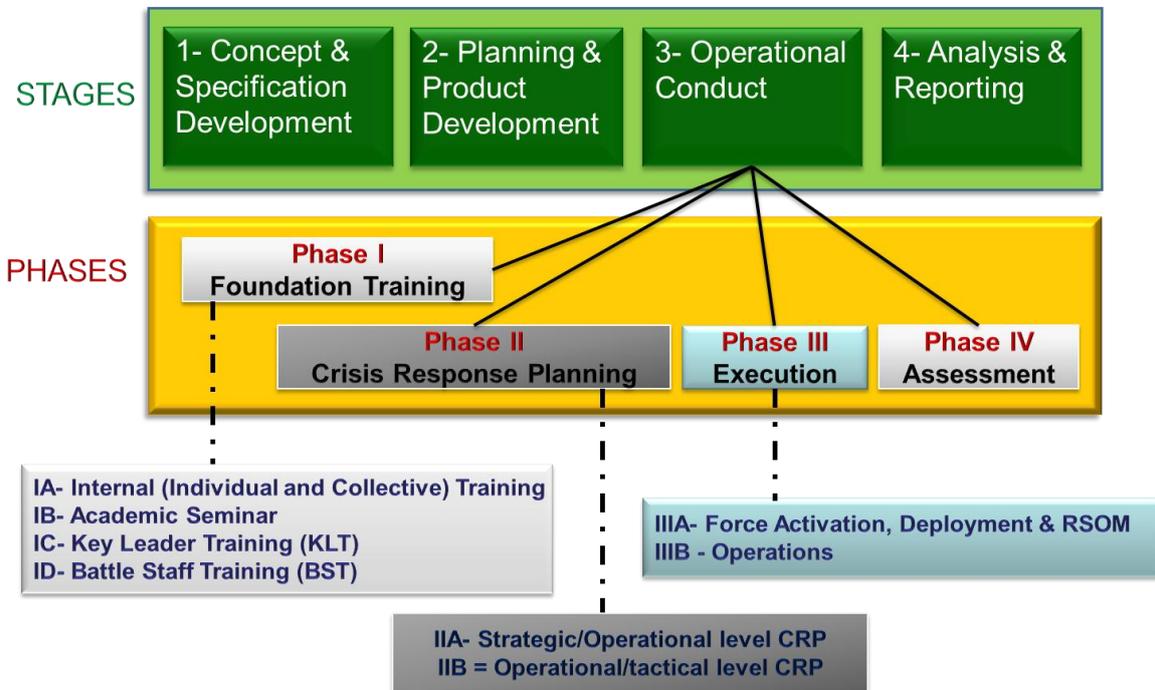
Figure 2-1 - *NATO Exercise Process: Stages and Phases*

2.2.   Stage 1: Concept and Specification Development

   a.   **Introduction.**   The purpose of stage 1, Concept and Specification Development, is to determine the overall exercise requirement; establish the aim, and objectives; and develop a viable exercise concept for achieving them. Chapter 3 provides details of the activities and deliverables of this stage.

   b.   **Major Deliverables.** The major deliverable developed during stage 1 is the Exercise Specification (EXSPEC).

c.   **Roles and Responsibilities.** The Officer Scheduling the Exercise (OSE) leads stage 1, supported by the OSE Exercise Planning Group (EPG). OSE`s Officer of Primary Responsibility (OPR) is heading the EPG which is formed by selected members from the OSE staff, the OPRs from OCE, PTA, ODE (if an ODE is designated) and other supporting HQ/agencies as appropriate.

d.   **Key Activities.** Stage 1 is organised under the following five key activities.

(1)   Establish the Exercise Planning Group (EPG).

(2)   Develop the Exercise Specification (EXSPEC).

(3)   Conduct Site Surveys (when required).

(4)   Conduct the Exercise Specification Conference (ESC).

(5)   Conduct the Commanders EXSPEC Confirmation Conference (CECC).

2.3.   Stage 2: Planning and Product Development

a.   **Introduction.** Once stage 1, the Concept and Specification Development, is complete the OCE assumes responsibility for stage 2, Planning and Product Development.   The purpose of this stage is to determine specific planning requirements and to draft, coordinate, and promulgate the Exercise Plan (EXPLAN) as well as all required documents related to scenario and exercise play. Chapter 4 provides details of the activities and deliverables of this stage.

b.   **Major Deliverables.** Stage 2 must provide all deliverables that enable the exercise to be executed successfully. The five major deliverables are:

(1)   Training Objectives.

(2)   OCE's Exercise Planning Guidance.

(3)   Exercise Plan (EXPLAN).

(4)   Scenario modules.

(5)   Main Events List/Main Incidents List (MEL/MIL).

c.   **Roles and Responsibilities.** The Officer Conducting the Exercise (OCE) leads Stage 2, supported by the (OCE) Core Planning Team (CPT). OCE`s Officer of Primary Responsibility (OPR) is heading the CPT which is formed by selected members from the OCE staff, the OPRs from OSE, PTA, ODE (if an ODE is designated) and other supporting HQ/agencies as appropriate. The OCE retains overall responsibility for this stage but will delegate authority for parts of this stage to the ODE (if designated). Each HQ can/will have its own EPT.

      d.   **Key Activities.** Stage 2 is organised under the following ten key activities:

        (1)   Develop Training Objectives (TOs).

        (2)   Establish the Core Planning Team (CPT).

        (3)   Analyse OCE Requirements and Limitations.

        (4)   Develop OCE Exercise Planning Guidance.

        (5)   Develop Exercise Plan (EXPLAN).

        (6)   Develop Scenario Modules.

        (7)   Conduct Site Survey(s) as required.

        (8)   Conduct Initial Planning Conference (IPC).

        (9)   Conduct Main Planning Conference (MPC).

        (10)   Conduct Final Coordination Conference (FCC).

2.4   Stage 3: Operational Conduct

      a.   **Introduction.** This stage consists of a number of phases and sub-phases which describe the different level of conduct:

      b.   **Phase I** – Foundation Training, which can include four sub-phases:

        (1)   I A   Internal (Individual and Collective) Training.

        (2)   I B   Academic Seminar.

        (3)   I C   Key Leader Training (KLT).

        (4)   I D   Battle Staff Training (BST).

      c.   **Phase II** – Crisis Response Planning (CRP), which may consist of two sub-phases when multi-level fully collaborative and parallel Operations Planning is exercised:

        (1)   II A Strategic-Operational Level CRP[1].

        (2)   II B Operational-Tactical Level CRP.

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[1] Sub-phase IIA may also reflect Phase 1 of the NATO Crisis Management Process (NCMP) and will normally be led by SHAPE with OHQ involvement in the development of Situational Awareness. SHAPE participation in Phase I of the NCMP will be detailed in the EXSPEC accordingly.

d.   **Phase III** – Execution. This may consist of two sub-phases:

(1)   III A   Force Activation, Deployment; and Reception, Staging and Onward Movement and Integration (RSOM&I).

(2)   III B   Operations.

e.   **Phase IV** – Assessment.

Stage 3 will typically already commence during stage 2 in order to allow the individual and collective training associated with the exercise, as well as integration of outputs from phase II (Crisis Response Planning) into subsequent development of deliverables required for phase III (Execution).
Chapter 5 provides details of the activities and deliverables of this stage.

f.   **Major Deliverables.** The major deliverable from stage 3 is the conduct of the four phases described above.

g.   **Roles and Responsibilities.**   The OCE directs the overall conduct, supported by the ODE (when designated). The Exercise Director (EXDIR) directs the Exercise Control (EXCON) organisation which controls the exercise execution. A Director of Evaluation (DIREVAL) may be assigned by the OSE to coordinate the different evaluation and analysis activities during the exercise.

h.   **Key Activities**. The four key activities for stage 3 are the four respective phases with their respective sub-phases. Note that each phase might have its own EXCON, EVAL and AAR organisations:

(1)   Phase I (Foundation Training)

(2)   Phase II (Crisis Response Planning)

(3)   Phase III (Execution)

(4)   Phase IV (Assessment)

2.5.   Stage 4: Analysis and Reporting

a.   **Introduction.**   The purpose of this stage is to determine whether the exercise succeeded in achieving the OSE's aim and Exercise Objectives and the Training Objectives, as well as to analyse all observations captured during the previous phases and validate the proposed remedial actions in order to obtain valid lessons identified on both operational and exercise issues.   Chapter 6 provides details of the activities and deliverables of this stage.

b.   **Major Deliverables.**   There are three main categories of deliverables: Exercise Reports, Specific Analysis Reports, and Performance Reports.   The Exercise and Performance reports are both Exercise/TA focused and generally, the Specific Analysis and Experimentation reports are Exercise/TA independent.

(1) **Exercise Reports.** Exercise reports address the adequacy of planning and execution of the exercise in the accomplishment of specific Exercise Objectives, Training Objectives and Experiment aims.

    (a) OCE's Final Exercise Report (FER), including

        1/ After Action Review,

        2/ First Impression Reports (FIRs)[2] and/or Training Analysis Report(TAR),

        3/ Post Exercise Discussion (PXD).

        4/ OCE's Lessons Identified List (LIL)

        5/ OCE's Remedial Actions Report (RAR)

        6/ OSE's Lessons Identified Action Plan (LIAP)

    (b) Consolidated Venue Experiments Report (CVER).

(2) **Specific Analysis/Experimentation Reports**

(3) **Performance Reports.** Performance reports address the performance of organisations supporting the training event/exercise or accomplishment of specific performance objectives of the TA. Performance reports include:

    (a) Training Reports

    (b) Evaluation Reports

c. **Roles and Responsibilities.** The OCE is responsible for establishing the organisational responsibilities and procedures for the collection of observations, capturing lessons identified and the generation of the required Exercise and Performance related deliverables, including collation of the FER, the OCE LIL and the RAR. These efforts are supported by and coordinated through the EXDIR and in turn, the DIREVAL. The OSE is responsible for collecting and analysing observations for OSE-related tasks, conducted particularly during Stage 1, in order to improve the planning and management of collective training and exercises. The OSE is also responsible for analysing all lessons identified included in the OCE's LIL and issuing the OSE's LIAP to initiate the process of implementation of remedial actions.

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[2] For ISAF preparation exercises, the FIR is replaced with a Training Analysis Report (TAR)

d.   **Key Activities.** There are five primary activities that take place during this Stage.

(1)   Providing Coordination and Deconfliction

(2)   Conducting Information and Data Collection

(3)   Conducting Evaluations, Analyses, and Assessments

(4)   Preparing and Issuing Deliverables

(5)   Transitioning Key Observations & Lessons into the NATO LL Process

2.6   EP Overview. The resulting overview of the major deliverables and activities for a generic EP is depicted below.

Exercise Planning Process

1- Concept and Specification Development

Establish Exercise Planning Group (EPG)
Develop Exercise Specification (EXSPEC)
Conduct Site Surveys
Conduct Exercise Specification Conference
Conduct Commanders EXSPEC Confirmation Conference (CECC)

2- Planning and Product Development

Establish Core Planning Team (CPT)
Develop Training Objectives (TOs)
Analyse OCEs Requirements and Limitations
Develop OCE Exercise Planning Guidance
Develop Exercise Plan (EXPLAN)
Develop Scenario Modules
Conduct Site Surveys
Conduct Initial Planning Conference (IPC)
Conduct Main Planning Conference (MPC)
Conduct Final Coordination Conference (FCC)

3 – Operational Conduct

Phase I – Foundation Training
    IA: Internal (Individual and Collective) Training
    IB: Academic Seminar (AS)
    IC: Key Leader Training (KLT)
    ID: Battle Staff Training (BST)
Phase II – Crisis Response Planning (CRP)
    IIA: Strategic-Operational CRP
    IIB: Operational- Tactical CRP
Phase III – Execution
    IIIA: Force Activation, Deployment, RSOM&I
    IIIB: Operations (including warm-up)
Phase IV - Assessment

4 – Analysis and Reporting

Providing Coordination and Deconfliction
Conducting Information and Data Collection
Conducting Evaluations, Analyses, and Assessments
Preparing and Issuing Deliverables
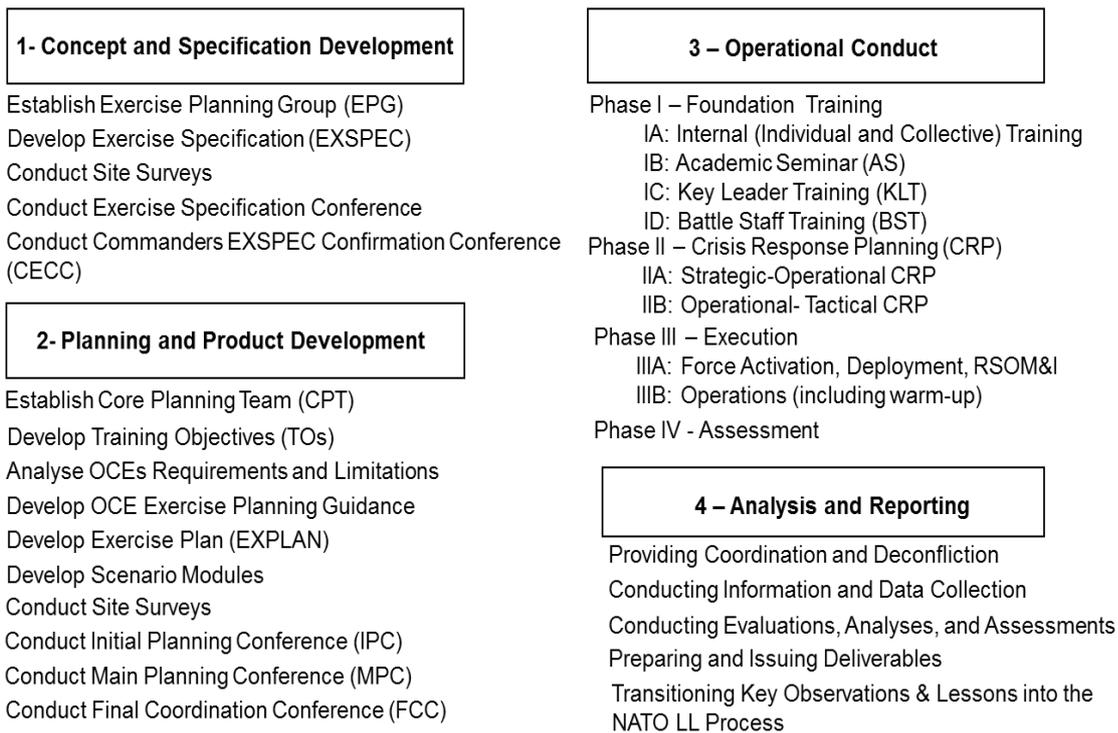Transitioning Key Observations & Lessons into the NATO LL Process

Figure 2-2 - *Exercise Planning Process Overview*

3. STAGE 1: EXERCISE CONCEPT AND SPECIFICATION DEVELOPMENT

3.1 Introduction

a. **Aim.** The purpose of Stage 1, Exercise Concept and Specification Development, is to determine the overall exercise requirements, to establish the aim and objectives, and to develop a viable exercise concept for their achievement. It results in the OSE promulgating the approved Exercise Specification (EXSPEC) following the Commanders EXSPEC Confirmation Conference (CECC). The EXSPEC is developed through five key activities:

(1) Establish the Exercise Planning Group (EPG).

(2) Develop the Exercise Specification (EXSPEC).

(3) Conduct Site Survey(s) (when required).

(4) Conduct the Exercise Specification Conference (ESC).

(5) Conduct the Commanders' EXSPEC Confirmation Conference (CECC).

b. **Foundation Documents.** Before the exercise can be specified, there are a number of foundation documents that should be consulted. These differ for strategic, operational and tactical level exercises. For NATO exercises conducted in preparations for NATO current or future operations, these include (but are not limited to):

(1) **Recent Political Guidance Documents.** Especially where changing focus areas for NATO operations/readiness/E&T are described.

(2) **CFAO.** Summarised in a single document for coherence and clarity of purpose, the Bi-SC Conceptual Framework for Allied Operations (CFAO):

(a) Describes how Alliance forces will be commanded, structured and employed on operations;

(b) Establishes the NATO Deployable Forces (NDF) concept applicable to NCS and NFS;

(c) Provides D&G for the development of ACO Force Standards (AFS) volumes with linkage to ACO Directives, SAGE and other supporting documents.

(3) **ACO Forces Standards (AFS).** AFS Volumes I, II, III, IV, V and X promulgate the HQs and forces' standards for the essential operational capabilities, interoperability and flexibility as defined in MC 400/3.1 AFS

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[1] MC 400/3, MC Guidance for Military Implementation of Alliance Strategy, 16 March 2012

Volumes VI, VII, VIII, IX and XI promulgate the ACO evaluation programmes and associated evaluation criteria under which SACEUR and subordinate ACO Commanders carry out their MC 458 responsibilities for planning, execution and reporting of evaluations of the readiness, capabilities and performance of their HQs and forces.

(4) **SACEUR's Annual Guidance on E&T (SAGE).** The purpose of SAGE is to provide strategic level guidance as well as the priorities for the development, support and execution of all NATO E&T activities and requirements for the next five years. The intent is both to demonstrate that each NATO E&T undertaking serves a strategic objective and to stress the importance of understanding why and what NATO is preparing forces for, so that prioritisation of effort and allocation of resources can facilitate a focused programme. ACO commanders use the SAGE to determine staff skills and abilities requirements for their HQ to achieve mission essential tasks and maintain mission readiness. Allies and partners are encouraged to use NATO standards in E&T of forces forecasted for NATO availability.

(5) **LTRP.** The Long Term Rotation Plan (LTRP) identifies the NCS HQs, NFS HQs and entities on stand-by as the NATO Response Force (NRF) operational C2 or as potential JFT HQ. Preceding their stand-by, these units are to be trained in accordance with relevant training directives.

(6) **Military Training and Exercise Programme (MTEP).** The purpose of the MTEP is to develop, schedule, synchronise and publish the approved NATO Military Training and Exercise Programme. It is published annually and covers on a period of five years all collective training and exercises, including with non-NATO members. It provides detailed information on collective training activities, exercises and related activities scheduled for the first two calendar years with outline information for the following three calendar years. An exercise has to be included in the MTEP to be eligible for NATO common funding. Relevant parts of the MTEP are also published in the Partnership Cooperation Menu (PCM) in accordance with Annex R, Partner Involvement in NATO Exercises and the Cooperative Exercise Programme. The Electronic Military Training & Exercise Programme (eMTEP) provides, for all collective training and exercise planners in all levels of NATO and the Nations, a near real-time, transparent, and sustainable programme to consult in the construction of their respective exercise programmes. The eMTEP information allows the start of the exercise planning process:

    (a)   Type/Form.

    (b)   Start/End Dates (typically only phase 3B/Operations is determined in MTEP).

    (c)   Location.

    (d)   Exercise Aim.

    (e)   OSE, OCE, ODE (if appointed).

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       (f)   PTA.

       (g)   Partner Participation Eligibility.

       (h)   Initial Budget Request.

       (i)   Point of Contact (POC): NATO Command Directorate/Division/Branch.

       (j)   Support Requested/Confirmed (i.a.w. the Collective Training Support Programme of Work).

(7)   **Bi-SC Prioritised Analysis Requirements List (PARL).** JALLC Program of Work (POW) and JALLC Emergent Analysis Requirements (EAR)2. The PARL reflects the broad analysis concerns of NATO regarding doctrine, concepts, procedures, structures, organisations and materiel in order to sustain optimum benefit from analysis activities. The biannual assessment and prioritisation of issues requiring operational analysis establishes the JALLC POW. Because of the submission process detailed above, ARs on the JALLC POW generally contains mid- to long term issues that can be anticipated well in advance. The JALLC EAR process provides a mechanism to accelerate requests for analysis for situations where JALLC analysis capabilities need to be engaged on shorter notice than is possible with through PARL/POW processes. The JALLC EAR process is detailed in JALLC 15-046 Directive (Management of Analysis Tasking within JALLC). JALLC's active involvement in a collective training event or exercise to provide an Analysis Report may be established by either of the two mechanisms described above, through the submission of an Analysis Requirement by the OSE or OCE to HQ SACT Lessons Learned Branch for inclusion into the JALLC Program of Work.

(8)   **Joint Functional Area Training Guides (JFATGs).** As an integral part of NATO education and training policy documents' architecture, JFATGs formulate the overall policy and coordination for Joint Individual Training where gaps are identified, detailed guidance is needed, the area's nature is specific, and the need for standardisation and interoperability is paramount. Therefore, they may impact integrated training, preparatory exercises, and finally major NATO exercises (collective training).

(9)   **Training Audience (TA) Commanders' Operational and Training Assessments.** The OCE OPR needs to gather TA Commanders' operational and training requirements that should then feed into the OSE EPG's development of the EXSPEC.

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2 The PARL (described in the Bi-SC 80-6, Lessons Learned Directive) is promulgated twice a year and includes analysis concerns of NATO regarding doctrine, concepts, procedures, structures, organisations and materiel. Submissions to the PARL are to be made through SHAPE/FOR or ACT CAPDEV.

(10) **Lessons Learned.** Lessons Identified and Lessons Learned from previous exercises and/or operations of similar type as envisioned for the exercise should be reviewed by the EPG. All pertinent lessons should be used in the creation of the EXSPEC, exercise design, EXPLAN and training objectives.

(11) **HQ Directives.** As required; directives and/or SOPs from the own HQ provide detailed guidance to the staff on preparations for operations/readiness status.

(12) **Host Nation Support Memoranda of Understanding/Technical Arrangements/ Joint Implementation Agreements.** The Host Nation(s) for the exercise will have been established in the MTEP. The Host Nation Support (HNS) Requests to NATO nations should be made two years (three years in case of partner nations) in advance of the exercise Phase III i.a.w. the MTEP TOR (Reference in Annex A). HNS selection, including either standing or developed Memoranda of Understanding (MOUs) should be concluded by HQ SACT and the HN(s) one year in advance or a decision will be made on the continuance of the exercise. Technical Arrangements (TAs) should be concluded by the OCE and the HN(s) six months in advance or a decision will be made on the continuance of the exercise. Joint Implementation Agreements (JIAs), if required, must be concluded by the Component Commands/Sending Nations by the Initial Planning Conference. See Annex L for details.

3.2 Major Deliverable. This stage is designed to produce the documentation that will enable the OCE, together with the TA and supporting organisations, to plan and prepare the exercise. The single major deliverable in this stage is the Exercise Specification (EXSPEC). The EXSPEC is the OSE's order to the OCE to plan, conduct and analyse the exercise. It connects the exercise participating/supporting HQs/organisations (OSE/OCE/ODE/TA and main contributors) around OSE's exercise aim and objectives at an early stage and provides the foundation for detailed exercise planning (EXPLAN). It should list their respective contributions, expectations and requirements. The EXPEC should be signed by the OSE 12-18 months before stage 3, subphase IIIB (Operations) to ensure clarity on participation and the availability of resources (TA, supporting organisations, HNS, funding, CIS, partners, scenario). It is essential that the EXSPEC is promulgated right after the Commanders' EXSPEC Confirmation Conference (CECC). Once approved it remains in force unless amended by the OSE. The EXSPEC will be provided to superior command levels and to the MC and NAC as required by MC 458. A template for the EXSPEC is at Annex D.

3.3 Roles and Responsibilities. The MTEP designates the Commanders to serve as the OSE, OCE and the ODE as well as the PTA. The main roles and responsibilities in this stage are as follows; some of these roles may be combined depending on the size and shape of the exercise.

a. **OSE.** The OSE is overall responsible for this stage. An OSE EPG will be established for an exercise led by the OSE OPR and consisting of selected members from the OSE staff plus representatives (at least the OPR) from OCE, PTA, ODE (when assigned), and other supporting HQ/agencies as appropriate. Additional subject matter experts (SMEs) will be added when and if required to support the development of specific parts of the exercise design and/or the EXSPEC. Functional area membership should be based on the exercise design and the exercise objectives to be achieved during the exercise. A template for an EPG Terms of Reference (TOR), which includes a generic EPG composition, is at Annex D.

b. **OCE.** The OCE, through his OPR, is responsible for providing advice to the OSE during the development of the EXSPEC.

c. **ODE.** An ODE may be designated in the MTEP or named by the OSE in the EXSPEC. The ODE, through his OPR, will advise the OSE in the development of the EXSPEC. The OSE will establish the division of responsibilities between the OCE and ODE in the EXSPEC to ensure cooperation and mutual support.

d. **PTA HQs.** The PTA OPRs will provide advice on their HQs' operational and training requirements. Inputs from STA HQs, when identified before or during stage 1, should be covered by the OCE OPR.

e. **Troop Contributing Nations (TCN).** For Live Exercises (LIVEX), TCN OPRs provide information on their contributions, expectations, and requirements to the exercise.

f. **Host Nation (HN).** HN OPRs will assist the OSE in this stage and OCE in the following stages, with HNS inputs on capabilities and arrangements.

3.4 Key Activities. Stage 1 is organised into five key activities, each with supporting steps as described below. It is important to note that these key activities and supporting steps may not be done in a linear, consecutive structure: a number may/will need to be done in parallel/iteratively. The detailed sequence of activities/steps for a specific exercise process should be discussed within the EPG and managed by the OSE OPR.
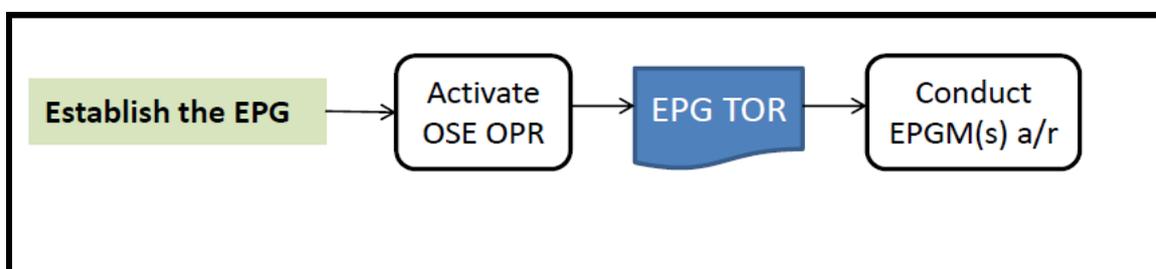

Figure 3-1 - *Establish the EPG*

a.   **Key activity 1: Establish the EPG.** The steps supporting this activity as illustrated in Figure 3-1 are:

(1)   **Activate OSE OPR.**

(2)   **Develop and issue Exercise Planning Group (EPG) Terms of Reference (TOR).**   The EPG TOR template, including prospective membership, is at Annex D; it should be signed at the OSE (COS) level.

(3)   **Activate the EPG.**   The EPG will be conducting the follow-on activities leading up to the development of the EXSPEC. Organisation of EPG work schedule and methodology will be led by the OSE OPR.

(4)   **Conduct EPG Meeting(s) (EPGMs) as required.**   The number of EPGMs will be decided by the OSE OPR.   The minimum agenda for EPGM1 should include:

(a)   Exercise Planning Group (EPG) Terms of Reference (TOR).

(b)   EPG deliverables, responsibilities and timeline, covering the activities described below.

(c)   Working methodology: what is developed, how, what will be done by meetings or other forms of collaborate/electronic planning.
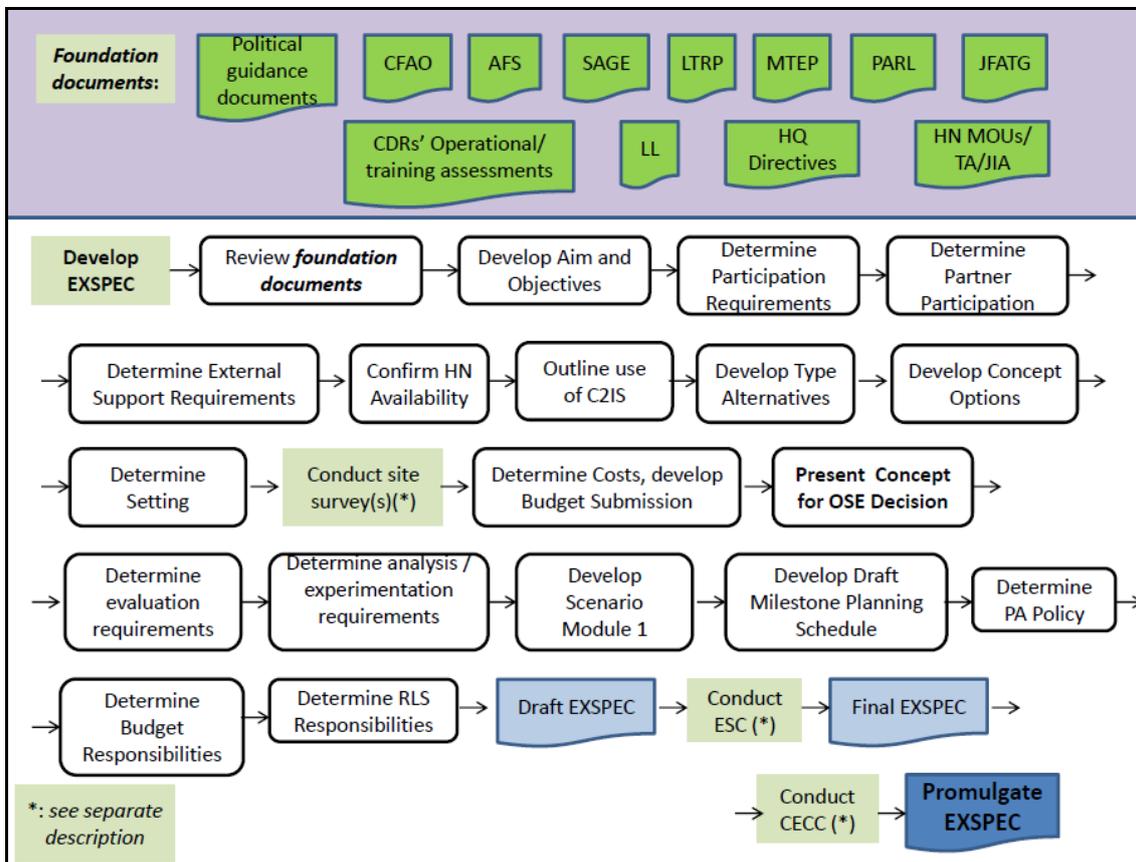
Figure 3-2 *- Develop the EXSPEC*

b. **Key activity 2: Develop the EXSPEC.** The steps supporting this activity as illustrated in Figure 3-2 are:

(1) **Review Foundation Documents (see para 3.1.2 above).** These should provide common understanding within the EPG, and provide the required foundation/inputs for the EXSPEC development.

(2) **Develop Exercise Aim and Objectives.** The EPG will develop the exercise aim and objectives, mainly based on these foundation documents, with inputs from the OSE staff and respective TA HQs.

(3) **Determine Participation Requirement.** The EPG must determine those HQs and forces (when not yet prescribed by MTEP) that are required to accomplish the aim and exercise objectives. The composition of own forces, as well as in-theatre forces should be clearly identified with respect to whether real, generic or mixed real/generic forces will be used. This step should refine the TA and requirement for specific Response Cells (RCs).

(4) **Establish the Optimal Level of External Actors (EA) partner nations and relevant IOs/GOs/NGOs Participation.** The MTEP will establish the outline planned level of partner participation. The EPG should coordinate with the MPD, SHAPE J9 and SHAPE CIVAD to ensure EA partner nations are involved as early as possible in the exercise process in accordance with NATO policy. The OSE OPR should ensure that the NATO documents required for release to partners participating in the exercise are identified and released as soon as practicable according to extant rules and procedures[3]. For a LIVEX this includes the determination of the requirement for a Pre-Exercise quality Threshold Evaluation (PETE). The requirement should be stated in the electronic Partnership Real time Information Management and Exchange system (ePRIME). Appropriate IO/GO/NGO representation is essential in order to represent the comprehensive operating environment. In order to attract respective IOs/GOs/NGO organisations, a benefit for these organisations needs to be created. In order to achieve that, it can be necessary to create training value for them. Therefore, the inclusion of IOs/GOs/NGOs could have implications for training objectives and scenario development.

(5) **Determine External Support Requirement.** The EPG should establish the requirements for external support to be requested from other NATO HQs and/or agencies.

(6) **Confirm Host Nation Availability.** The Host Nation(s) (HN(s)) should have been identified in the MTEP. The OSE OPR must confirm the ability of the HN(s) to host the exercise and arrange for OSE and OCE

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[3] MC 554/1, Military Committee Policy for the Development and the Implementation of the Whole Potential of the Operational Capabilities Concept within a More Operational Partnership, 5 December 2007.

visits as required in sufficient time to preclude cancellation of the exercise. See Annex L.

(7)   **Develop the Outline for the Use of Operational Networks and Command and Control Information Systems (C2IS).** The EPG should determine the integration and use of NATO's deployable command and control information systems as well as supporting partners' participation.

(8)   **Develop Exercise Type Alternatives.**   The MTEP will have established the exercise Type and Form.   The EPG should consider alternative types which would best support the requirements.   The relationship between exercise levels, forms, and (examples of) types is illustrated in Figure 3-3. A more extensive list of exercise type examples is in Annex A under the Definition of Exercise Type (A-16).

Level	Strategic	Operational/Joint Command		Tactical/Component		Tactical/Unit	
Form	Command Post Exercise (CPX)		Live Exercise (LIVEX)			Exercise Study	
Type (examples)	CAX SACEX	CFX LOGEX	SYNEX NCSEX	FTX MOVEX	MAPEX GUNEX	INVITEX EWEX	DISTEX MEDEX	COMMEX

Figure 3-3 - *Exercise Levels, Forms and Illustrative Types*

(9)   **Develop Exercise Concept Options.** This step is designed to determine how best to design and conduct the exercise in order to accomplish the exercise aim and objectives. It will establish which stage III (Operational Conduct) phases are to be conducted, how to sequence them and how to employ exercise resources.

(10)   **Determine Setting.** Based on analysis of contingency planning priorities and priority planning situations, as well as likely risks and threats, the EPG should offer recommendations and seek decision on the use of real or fictional geography, keeping in mind possible political sensitivities. The JWC managed Bi-SC Scenario Inventory Database provides an inventory of available settings/scenarios.   For setting/scenario development, see annex M.

(11)   **Conduct   Initial   Exercise   Site   Survey(s),   Liaison   and Coordination Visits.** The OSE OPR will determine the requirements for, assign tasks and coordinate for site surveys, liaison and coordination visits conducted by or under the responsibility of the EPG. The first site survey is organised by OSE with OCE, ODE, PTA and HN participations. The first site survey confirms the exercise locations. Host Nation confirmation will be requested. For more details see Annexes L and Q.

(12)   **Determine   Costs   and   Update/Develop   Initial   Budget Submission.** The initial budget submission should be updated based on the exercise concept options and level of participation with the associated

costs. The requirement for recourses to support costs of non-NATO participation and supportive security arrangements needs to be determined.

(13) **Present Exercise Concept (Options) to OSE for Decision.** The OSE OPR will coordinate the time and place to brief the OSE on exercise design options for decision and, with the support of the EPG, present options and recommendations, as well as any requests of further guidance on issues to be developed.

(14) **Determine Evaluation Requirements.** The EPG should determine requirements for evaluations to be conducted during the exercise. If so, these need to be reflected in the EXSPEC, and a DIREVAL needs to be assigned. More details are in Annex O.

(15) **Determine Analysis and Experimentation Requirements.** The EPG should determine requirements for both analysis and experimentation. If so, these need to be reflected in the EXSPEC.

> (a) OSE analysis requirements may be submitted to HQ SACT Lessons Learned Branch for inclusion into the JALLC Program of Work or any other suitable analysis organisation.

> (b) For NATO exercises, HQ SACT provides/coordinates experimentation requirements; decision on integration of experiments, which remains an OSE decision, should be taken not later than the Initial Planning Conference (IPC). Integration of experiments into exercises should not interfere with the achievement of exercise and training objectives. More details are in Annex P.

(16) **Develop Scenario Module 1 - Geo-Strategic Situation.** The Geo-Strategic Situation Module is prepared by the EPG and should include: a generic description of the crisis area, the major regional actors, a summary description of the current crisis, and the historical background of the crisis, as well as the major political, military, economic, cultural, humanitarian, and legal conditions that support a NATO military response. The Geo-Strategic Situation is summarised in the EXSPEC main body and expanded in an EXSPEC Annex.

(17) **Develop Draft Exercise Milestone Planning Schedule.** The Exercise Milestone Planning Schedule should include the major exercise events. It will be updated throughout the exercise process.

(18) **Determine the Exercise Public Affairs Policy.** The OSE Public Affairs Office must be consulted to determine the PA policy for the Exercise. See Chapter 6 of the ACO Public Affairs Handbook[4].

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[4] Allied Command Operations (ACO) Public Affairs Handbook, Summer 2008.

(19) **Determine and Coordinate Exercise Budget Responsibilities.** The OSE Fund Manager must coordinate responsibilities with the OCE Fund Manager and the ODE when designated.

(20) **Determine Real Life Support Responsibilities.** The responsibilities for real life support should be clearly delineated in the EXSPEC to ensure availability of resources sufficient to support achievement of the OSE's aim and objectives.

(21) **Draft Initial EXSPEC.** The initial draft of the EXSPEC is prepared by the EPG and distributed within the participating HQs and organisations, including higher authorities that will be involved in the final EXSPEC. Ideally, it should be available 18 months before STARTEX so as to ensure critical resources availability. See Annex D for the template.

(22) **Conduct Exercise Specification Conference (ESC).** For more details see paragraph 3.4.4 below.

(23) **Draft Final EXSPEC.** Based on the inputs from the ESC, the final EXSPEC is drafted.

(24) **Conduct Commanders' EXSPEC Confirmation Conference (CECC).** As the last step before EXSPEC promulgation, the OSE confirms with the respective TA Commanders and equivalents in supporting organisations their command/organisation's support to the exercise as described in the final draft of the EXSPEC. For more details see paragraph 3.4.5 below.

(25) **Finalise/Promulgate EXSPEC.** The EXSPEC will be provided to superior command levels and to the MC and NAC as required by MC 458/2 (under review). The approved EXSPEC should be distributed by the OSE OPR to the OSE/EPG, OCE, ACT, Host Nation(s), TAs, ODE, supporting Agencies and participating Nations. Procedures for sending the EXSPEC to participating partner countries should be in accordance with Annex R.
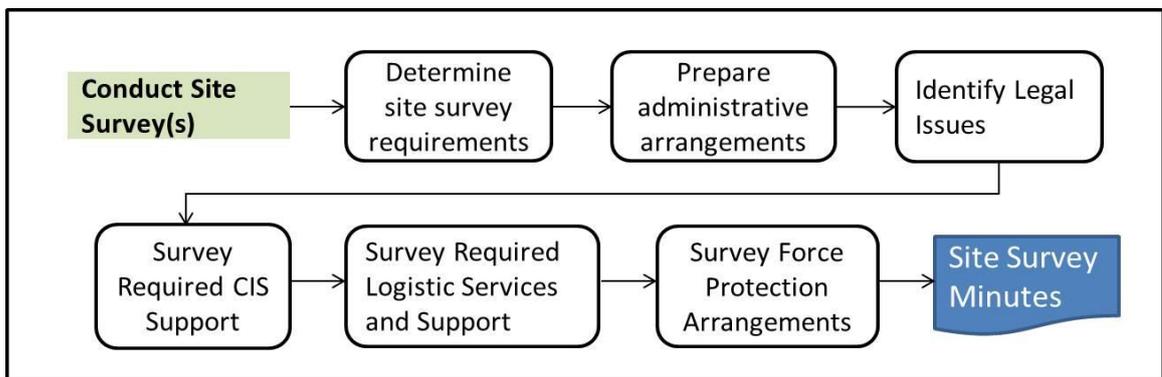

Figure 3-4 - *Conduct Site Survey(s)*

c. **Key activity 3: Conduct Site Survey(s).** The Host Nation(s) (HNs) will have been established in the MTEP. As soon as practicable, the OSE OPR should coordinate with the OCE OPR and HN(s) OPRs for first site survey(s) to establish the basis for

planning including the availability and cost of HNS. Further site surveys may be conducted during stage 2, planning and product development. The steps supporting this activity as illustrated in Figure 3-4 are:

(1)   **Determine requirements for site survey(s).** This includes: locations to be visited, participants.

(2)   **Prepare administrative arrangements.** Coordinate agenda, travel arrangements.

(3)   **Identify Legal Issues.** This is especially important when the exercise venue is in a country that has not ratified either the NATO or PfP Status of Forces Agreement (SOFA). The OSE OPR should determine existence and requirements for SHAPE-level Memoranda of Understanding (MOU), JFC-level Technical Arrangements (TAs) and component-level Joint Implementation Arrangements (JIAs). The OCE OPR should also consider any Arms Control treaties and agreements to which the HN is a signatory and which may impact on the exercise.

(4)   **Survey Required CIS Support.** See Annex G.

(5)   **Survey Required Logistical Services and Support.** This should include initial coordination for the use of facilities, infrastructure and real estate as required.

(6)   **Survey required Force Protection Arrangements.** Force protection (FP) measures will be included in all training event and exercise planning and conduct. Real Security considerations for exercises are at Annex K.

(7)   **Develop Site Survey Minutes.** The approved minutes of the site survey describe the results of the survey, and will feed into the further development of the EXSPEC.
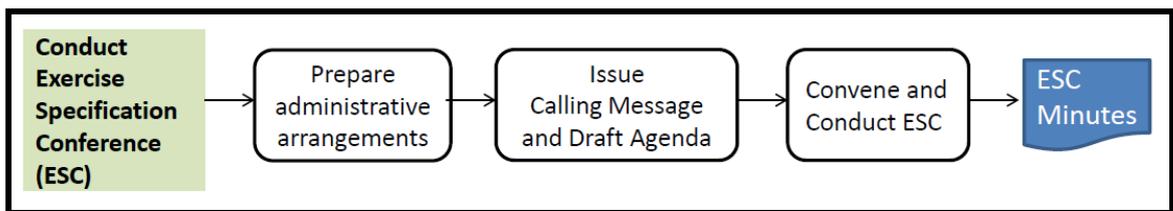
Figure 3-5 - *Conduct ESC*

d.   **Key activity 4: Conduct EXSPEC Conference (ESC).** The ESC is convened by the OSE with representation of the OCE, ODE, TA, supporting organisations and Host Nation(s) involved. The ESC aim is to present the draft EXSPEC for working level agreement. Participants at the ESC must come to the conference prepared to represent their Commander's views on all issues. The steps supporting this activity as illustrated in Figure 3-5 are:

(1)   **Prepare Administrative Arrangements.**

(2)   **Issue ESC Calling Message and Draft Agenda.** The OSE OPR will issue the calling notice and prepare all administrative details and read ahead material for the ESC. If the exercise is open to partners the OSE should ensure MPD are represented at the ESC in order to represent partners' interests.

(3)   **Convene and Conduct ESC.**

(4)   **Develop ESC Minutes.** The approved minutes of the ESC describes the commitments and follow-on actions of the exercise participants, supporting entities, Nations and Host Nations.
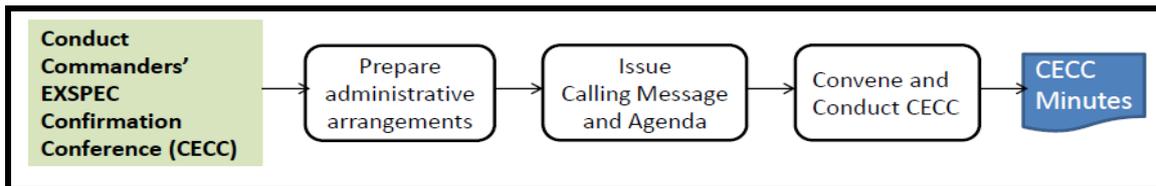
Figure 3-6 - *Conduct CECC*

e.   **Key activity 5: Conduct Commanders' EXSPEC Confirmation Conference (CECC).** The CECC is convened by the OSE with participation of the respective TA Commanders and equivalents in supporting organisations. The CECC aims to have the respective commanders mutually agreeing on their command/organisation's support to the full exercise process as described in the final draft of the EXSPEC, and if necessary to resolve open issues from the ESC. The CECC could be conducted as a Video Tele Conference (VTC), to reduce travel requirements vice time required for the conference. The steps supporting this activity as illustrated in Figure 3-6 are:

(1)   **Prepare Administrative Arrangements.** If the CECC is conducted as a VTC, then necessary CIS-arrangements need to be made.

(2)   **Issue CECC Calling Message and Agenda.** The OSE OPR will issue the calling notice and prepare all administrative details and read ahead material for the CECC. OPRs provide read ahead material for their respective commanders.

(3)   **Convene and Conduct CECC.**

(4)   **Develop CECC Minutes.** If required, CECC minutes are developed. If deemed not necessary, the next step would be to finalise, approve and promulgate the EXSPEC.

4. STAGE 2: EXERCISE PLANNING AND PRODUCT DEVELOPMENT

4.1   Introduction. The purpose of this Chapter is to provide a detailed breakdown of activities and steps of the Exercise Planning and Product Development Stage of the EP. This stage is led by the OCE and includes development of the EXPLAN and other exercise deliverables including the remaining Scenario Modules. It begins immediately following the Commanders (EXSPEC Confirmation) Conference (CECC), pending final approval of the EXSPEC, continuing though the development and approval of the EXPLAN and ends following the Final Coordination Conference (FCC). An overview of the key activities and products of the Exercise Planning and Product Development Stage as well as its overlapping relationships with phases and sub-phases of the Operational Conduct Stage can be found in Annex E.

4.2   Major Deliverables. Among the five major deliverables of the Planning and Product Development Stage, the most important are the Training Objectives, the EXPLAN and the MEL/MIL. The other major deliverables are a collection of stand-alone data and information required to be provided to the training audiences in order to achieve the exercise aim and objectives.

  a.   **Training Objectives.** Training Objectives (TOs) provide the basis from which exercises are designed, prepared, executed and assessed. The scope of missions is large but exercise's resources and duration are limited. Therefore, starting from the OSE's EXSPEC, there is a need to develop a detailed common understanding between the Training Audience (TA) and OCE/ODE in terms of TA training priorities (Mission Essential Tasks to be performed), resources that are required to enable the training of these tasks (Conditions), and Standards that will enable measurement of the progress achieved during the exercise. For each exercise, specific and detailed TOs will be staffed, implemented, executed and assessed. OCE OPR is responsible for the overall process further depicted in Annex V.

  b.   **OCE's Exercise Planning Guidance.** The OCE Exercise Planning Guidance is the OCE's detailed direction and guidance to the exercise planners on what the OCE expects the exercise to achieve and how they should place it into an operational context. Training Objectives that have been developed separately (See Annex V) are promulgated in the OCE's Exercise Planning Guidance. The OCE's Exercise Planning Guidance should further address scenario requirements and possible options for achieving the training objectives. This guidance must be in place before the CPT commences work on the EXPLAN. The OCE OPR, supported by the CPT nucleus, will draft recommendations for the OCE's Exercise Planning Guidance. A template for the OCE's Exercise Planning Guidance is at Appendix 4 to Annex D.

c.   **Exercise Plan (EXPLAN).** The EXPLAN is the title given to the primary OCE deliverable of the Exercise Planning and Product Development Stage. The EXPLAN is prepared for and used by personnel and organisations involved in the planning, conduct and analysis of the exercise as well as standing down the exercise locations after the exercise. The EXPLAN provides direction and guidance to the TA, EXDIR, supporting agencies, evaluation teams, analysis teams, and experimentation teams. It shall detail the exercise planning and execution within the parameters given by the OSE. The EXPLAN should refer to the EXSPEC as appropriate rather than copying its content. The EXPLAN is not designed or intended for use by the TA in their operational role; therefore, operational information, which is disseminated using operational procedures, should not be included in the EXPLAN apart from the force C2 structure - one of the pillars to build the EXCON structure. The EXPLAN is sub-divided into three parts as described below and Appendix 5 to Annex D provides the Framework EXPLAN.

(1)   **Part 1 – Exercise Instructions and Scenario Development.** Part 1 is the most complex part of the EXPLAN and its production will be the primary responsibility of the CPT. It is the OCE's plan of the schedule, activities, tasks and coordinating instructions for the preparation and conduct of the exercise. Its major elements include: the Situation; the Mission including the OSE's exercise aim and objectives; Execution including exercise milestones; Service Support; and Command and Control.

(2)   **Part 2 – Exercise Control.** Part 2 provides plans and instructions to cover all of the elements of planning, resourcing, executing, and reporting within the EXCON functional responsibilities[1].

(3)   **Part 3 – Analysis, Reporting and Evaluation.** Part 3 includes, among other things, the overall aim of the evaluation and analysis efforts, and the mission statements and processes of the Analysis and Evaluation Teams. It also includes direction, guidance and instructions for evaluation organisation and post-exercise evaluation/analysis meetings and reports.

d.   **Scenario modules.** Scenario documents, information and data intended for use by the TA in their operational role will be disseminated to the TA in accordance with ACO operational processes and procedures using appropriate operational C3 systems to the extent possible. These deliverables include operational and referential data and information from the five remaining scenario modules defined in Appendix 1 to Annex M. These documents, information and data are produced by or under the oversight of the CPT and some may be produced by the appropriate strategic, operational and component commands as well as supporting organisations. This major deliverable includes:

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[1] Detailed EXCON organisational information and guidelines used by the JWC and JFTC may be found at Annex H, Roles and Responsibilities of the Exercise Control Staff.

(1)   **Module 2 - Theatre of Operations Information.**

(2)   **Module 3 - Strategic Initiation.**

(3)   **Module 4 – Crisis Response Planning Information.** This module specifically supports Phase II, Crisis Response Planning (CRP) conducted by TA with required higher level operational documents and necessary information to support the RFI process.

(4)   **Module 5 – Force Activation and Deployment Information.**

(5)   **Module 6 – Execution Information.** This module includes STARTEX information and the MEL/MIL. MEL/MIL development follows a specific process and is further described below.

e.   **Main Events List/Main Incidents List (MEL/MIL).** Using the scenario as the setting, the MEL/MIL builds storylines designed to trigger certain decisions and activities in the TA based on the Exercise and Training Objectives. The MEL/MIL covers all events provided to the TA, from the Initiating Directive that starts the Crisis Response Planning Phase, to the Situation Updates prior to the CPX and through to the end of the exercise (ENDEX). In this respect, the Approved EXSPEC, the Scenario outline and the Approved Training Objectives will represent key inputs to the MEL/MIL staff. MEL/MIL development and activities are further detailed in Annex M and its Appendix 2.

4.3   Roles and Responsibilities. Responsibility for the key deliverables shifts from the OSE to the OCE for the Planning and Product Development Stage. The specific roles and responsibilities that are associated with the Planning and Product Development Stage are:

a.   **The Officer Scheduling the Exercise (OSE).** Once the OSE issues the EXSPEC, the lead for Exercise Planning and Product Development is handed over to the OCE and the OSE assumes a monitoring and support role.

b.   **The Officer Conducting the Exercise (OCE).** The OCE is responsible for the organisation and conduct of the Exercise Planning and Product Development Stage. The OCE will activate and convene the CPT, as required, to accomplish the key tasks and develop the essential deliverables. The OCE is responsible for the EXPLAN and the scenario modules production.

c.   **The Officer Directing the Exercise (ODE).** When designated, the ODE assumes specific roles and responsibilities in support of the OCE as established in the EXSPEC and the OCE's Exercise Planning Guidance. The ODE will normally serve as the EXDIR during Stage 3. The ODE will designate an OPR, and activate an ODE Exercise Planning Team (EPT) to accomplish the ODE's planning responsibilities.

d.   **Training Audience Roles and Responsibilities.** The TAs' OPRs will assume the roles and responsibilities in EXPLAN development.

4.4   Key Activities. The Planning and Product Development Stage is comprised of ten key activities, each with supporting steps as described below. Relationship between key activities and deliverables are depicted in Annex E.

a.   **Develop the Training Objectives.** TOs define training priorities and corresponding resources requirements. TOs are developed in parallel with the EXSPEC to provide a common detailed reference between all entities involved in the exercise preparation and conduct. OCE conducts the development of a consolidated and prioritised list of TOs in accordance with the exercise aim, objectives, and settings, based on TA recommendations and ODE advice. TOs are promulgated by the OCE in his Exercise Planning Guidance and confirmed in the EXPLAN to allow minor adjustments. This process is detailed in Annex V.

b.   **Activate the Core Planning Team (CPT).** The CPT is activated by the OCE in accordance with the CPT Terms of Reference to carry out the detailed planning, coordination and preparation of the exercise according to the Exercise Specification and the OCE's Exercise Planning Guidance.   The CPT TOR establishes the purpose, membership, authority and responsibilities of CPT to act on behalf of the OCE in drafting the OCE's Exercise Planning Guidance, developing the EXPLAN and related documents, and preparing the planning conferences.   The CPT is chaired by the OCE's OPR and comprises representatives from the OSE, participating commands, participating evaluation teams and supporting centres and agencies as well as the ODE when designated. Preferably, members of the CPT should remain the same all along Stage 2. They shall act as syndicate chairmen at the planning conferences and be responsible for the production of their respective portions of the EXPLAN.
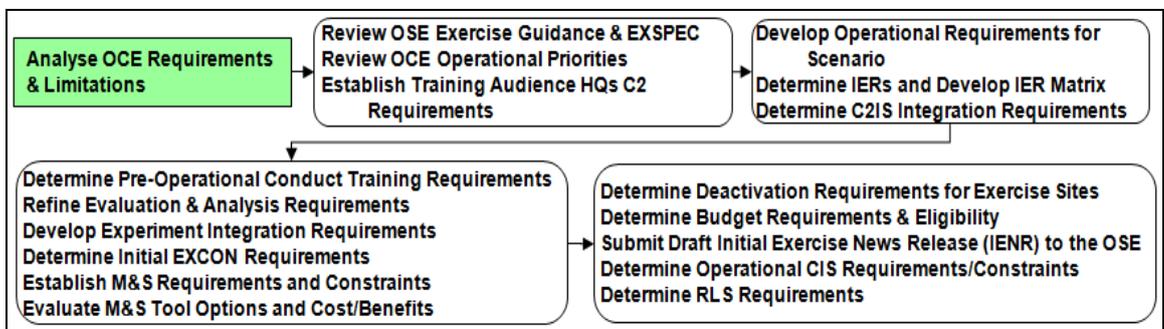
Figure 4-1 – *Analyse OCE Requirements and Limitations Key Activity*

c.   **Analyse OCE Requirements and Limitations.** The OPR prepares the first CPT meeting, convenes the CPT and leads the CPT through the following steps:

(1)   **Review EXSPEC.** The CPT conducts a mission analysis based on an analysis of the EXSPEC and other references.

(2)   **Establish Training Audience HQs C2 Requirements.** Consider any further development of the C2 arrangements to be exercised.

(3) **Develop Operational Requirements for Planning Situation/ Scenario.** Based on the analysis of the mission essential tasks to be exercised, the Commanders' Conference proposal and TO conditions the exercise must create, the CPT should articulate further operational level requirements that must be met by the exercise planning situation.

(4) **Determine IERs and Develop IER Matrix.** For all phases of the Operational Conduct Stage the CPT must determine three basic categories of Information Exchange Requirements (IERs) and Functional Services (FS) requirements during the Planning and Product Development Stage; those to be used by the non-deployable Training Audience, those to be used by the Deployable Forces TAs and those required by the EXCON and its supporting elements. Close coordination between the CPT IER/FS members and the OCE OPR is required in order to stay within the given budget and other administrative limits. The product of this exercise process step should be identification of the NCIA support, TA HQs and other assets required to support all three categories IERs and FS requirements during each exercise phase/sub-phase of the Operational Conduct Stage. CIS conditions listed in the TOs should be satisfied first.

(5) **Non-Deployable Training Audience IERs and FS Requirements.** The non-deployable TA HQs should have HQ-specific standing crisis management plans that specify the IERs and FS requirements for real world crisis situations. For a real world crisis situation it is expected that the IERs and FS requirements in the standing plans based upon the static HQs ACO Fielded System Baseline[2] would be updated by the responsible HQ IER/FS specialists during the crisis response planning. The CPT should analyse the IERs and FS requirements specified in the standing plans with respect to the envisioned exercise IERs and FS requirements to determine and document any modifications or additional IERs and FS requirements required for the TA participation in the exercise.

(6) **Forces HQs IERs and FS Requirements.** Each of the deployable TA HQs should have a generic crisis response plan with IER and FS requirements templates that would be modified to produce real world IERs and FS requirements in the event that the HQ is tasked to join and/or support a real world NATO Deployed Forces (DF) operation. These IERs should be based upon, among other things the Minimum Military Requirements (MMRs) for Deployable Forces C2 to achieve interoperability between NATO and National C2 systems to facilitate common situational awareness[3]. For a real world crisis situation it is essential that the generic crisis response plan IERs and FS requirements based upon the deployable

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[2] The ACO Fielded System Baseline is the ACO approved system baseline comprised of all Bi-SC AIS products and systems, and their associated configuration items, maintained by NCIA in support of fielded CIS capabilities.
[3] IMSM 083-2005, NRF MMR for Common Funded Deployable CIS and HQ CSS Equipment, 7 July 2005, requires NATO and National C2 systems to be compliant with the standard developed by the Multinational Interoperability Programme (MIP).

HQs ACO Fielded System Baseline are updated by the responsible DF HQ IER/FS specialists during the crisis response planning. The CPT should compare the generic crisis response plan IERs and FS requirements with the MMRs and with the IERs and FS requirements envisioned by the CPT to establish the C3 systems and capabilities that will be required to accomplish the DF HQ' mission essential tasks.

(7) **Exercise Control IERs and FS Requirements.** The CPT should for each exercise phase/sub-phase determine both the EXCON operational IERs and FS requirements, including requirements of the evaluation, analysis and experimentation teams; and the IERs and FS requirements related to EXCON interaction with the TA. This category also includes the IERs and the FS related to interfacing with the TA command and control information systems. Early determination of IERs and FS requirements is important. Full utilisation of IER/FS subject matter experts (SMEs) from the ODE and other supporting HQs, agencies and centres is essential to ensure that the EXCON IERs and FS requirements are identified and planned for, in order to ensure a realistic interaction between EXCON and TA, and to reduce any negative impact on the CIS of the TA.

(8) **Determine C2IS Integration Requirements.** C2IS in peace HQs will normally be operating on a NATO Secret (NS) Wide Area Network (WAN) during exercises. Deployable Forces HQs will operate on a NS WAN and/or on a Mission Secret (MS) WAN. The CPT should ensure the appropriate subject matter experts, including NATO CIS Services Agency (NCIA) representatives, determine the C2IS Integration Requirements for the exercise, taking into account among other things, the availability, training fidelity, costs, and benefits of use of both NS and MS WANs.

(9) **Determine Pre-Operational Conduct Training Requirements.** Based on its analysis of the TOs as well as the Operational and Training Assessments provided by the OCE and TA, the CPT will determine and prioritise requirements for pre-Operational Conduct training. Examples of such training for HQs range from simple 'warm up' exercises before the Sub-Phase IIIB for single HQs to a more structured pre-exercise training period for multiple HQs using the ACO Fielded System Baseline CIS and with a MEL/MIL designed as a lead-in to the Sub-Phase IIIB STARTEX.

(10) **Consider Pre-LIVEX Combat Enhancement Training (CET) and Force Integration Training (FIT) Requirements.** Although conduct of CET and FIT is primarily a national responsibility, the CPT should initiate identification of potential CET and FIT requirements to reduce potential conflicts with training audiences' participation in the LIVEX phases/sub-phases.

(11) **Refine Evaluation Requirements.** The CPT will review exercise requirements for evaluation and determine the need for the OCE, in consultation with the OSE, to identify individuals to support the DIREVAL in the development of the Evaluation Plans.

(12) **Refine Analysis Requirements.** The CPT will review exercise requirements for analysis and determine the need for the OCE, in consultation with the OSE to identify individuals to support analysis efforts in the coordination of the Analysis Plans.

(13) **Develop Experiment Integration Requirements and Limitations.** Early engagement by the HQ SACT Operational Experimentation Branch and the JWC Joint Capability Integration Division is essential when experiments are to be conducted during the exercise. Due to the nature of the experimentation concepts and tasks the exact form of operational experiments to be conducted may not be finalised until late in the EP. This does not absolve planners from ensuring close links with each other to ensure that mismatches do not occur between the exercise aim, exercise objectives, the TOs and the collective experimental requirements. For NATO exercises, experiments will be accommodated to the fullest possible extent but they will always be subordinate to the achievement of exercise and training objectives. When required, CPT, on behalf of the OCE, will request JWC or JFTC to assign an Experimentation Integrator. The Experimentation Integrator will be responsible for the integration of experiments and development of the Experimentation Annex to the EXPLAN. Costs of incorporation of experiments into an exercise will be monitored throughout the exercise process and will be allocated under the "costs lie where they fall" NATO funding principle. See Annex P.

(14) **Determine Initial EXCON Requirements.** Based on the EXSPEC and OCE guidance the CPT must determine the EXCON requirements, and take note of the evaluation and analysis team participation, given the TA C2 arrangements and exercise locations. The CPT will consult with the ODE, if designated. If no ODE has been designated the EXDIR will be consulted.

(15) **Establish Modelling and Simulation (M&S) Requirements and Constraints.** The CPT should determine initial M&S requirements based on the PTA mission essential tasks to be exercised, the TO conditions, and the C2IS employed by the TA. Although normally only associated with providing SYNEX support to Command Post Exercises (CPXs), M&S tools can play a role in all types and forms of exercise. NATO has a wide range of M&S tools that should be considered for the OCE to develop the scenario modules and to deliver exercise data in the proper formats and granularity to provide the best training for the TA. Some Bi-SC Automated Information System (AIS) Functional Services such as TOPFAS and LOGBASE[4] can also be used by the EXCON as M&S tools in designing the scenario or in war-gaming potential events/incidents and their supporting injections. The use of M&S tools by EXCON must be transparent to the TA. Further considerations for use of M&S in support of exercise development and during exercise conduct can be found at Annex N.

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[4] TOPFAS is acronym for Tools for Operations Planning Functional Area Systems. LOGBASE includes the Logistic Database (LOGBASE), the Allied Deployment and Movement System (ADAMS), the ACE Resource Optimisation Software System (ACROSS), the Logistic Reporting System (LOGREP) and the Coalition RSOM tool CORSOM.

(16) **Assess M&S Tool Options and Cost/Benefits.** Care must be taken to identify the M&S solution for the exercise that best will ensure that the exercise aim and objectives are achieved. New scenarios with complex in-theatre forces and fictional geography may require the development of M&S databases with long lead times. Computer assistance for developing, managing and delivering the MEL/MIL injections can enhance a CPX with little additional resource expenditure. M&S can ensure a consistent time/space/force/ information representation of a complex scenario, as well as provide an automated feed of information in the proper formats and levels of granularity to the C2IS employed by the TA. However, caution must be taken when the M&S tools supporting the Opposing Force (OPFOR) simulation also are providing the OPFOR 'ground truth' to TA situational awareness Functional Services, such as the TAs' common/recognised operational pictures, as it is unlikely that the TA would have the same fidelity of information for an actual operation. Special consideration should be given to the use of M&S to support data generation to appropriately represent the comprehensive operating environment. The synchronisation of M&S and C2IS requires on time planning to ensure that technical interoperability is set and the connection is authorised. Employment of a tailored M&S solution can also reduce the required number of personnel in the EXCON structure and is highly recommended. Cost/benefits analyses should be conducted to identify the best M&S tools package for the exercise. See Annex N.

(17) **Determine Operational CIS Requirements and Constraints.** Analysis of the operational CIS requirements should be based on the TA C2 arrangements as well as EXCON requirements during the entire exercise. The CPT CIS member should advise on the availability of organic systems and maximum Points of Presence (PoPs) that can be supported as well as any costs for leased CIS. Rental and/or acquisition of CIS is possible if Deployable CIS (DCIS) assets or NCIA CIS services are not available and if eligible for NATO funding (eg; in compliance with in STANAG 5048 for NATO land forces). Detailed CIS support considerations are provided at Annex G, Guide to Planning CIS Support to NATO Exercises.

(18) **Determine Real Life Support (RLS) Requirements.** RLS requirements for exercises will vary from minimal (eg; for exercises that take place within own HQs of the participants) to moderate (eg; for exercises where some HQ elements are deployed in the field or to a training centre) to extreme (eg; where HQs and forces deploy for LIVEX). The CPT should assist the Logistics member and their own HQ Support Group SMEs in determining preliminary requirements based on venues and the level and scope of participation at deployed locations, including for EXCON.

(19) **Determine Deactivation Requirements for Exercise Sites.** The CPT should determine requirements for deactivation of all exercise sites after each appropriate phase/sub-phase. These requirements should include redeployment of all participants as well as NATO and troop-

contributing national assets and completion of all contractual claims, environmental tasks and actions.

(20) **Determine Budget Requirements and Eligibility.** The OCE Exercise Fund Manager will review and further develop budget requirements and funding eligibility with the CPT for different functional areas such as CIS, RLS, HNS, White cell, SIMPRESS, etc. When the exercise and all connected events have been approved in the respective partner programmes, funds will be allocated for the exercise.

(21) **Submit Draft Initial Exercise News Release (IENR) to the OSE.** After agreeing the requirement with the OSE, the OCE PAO is responsible for developing, in close coordination with the host nation, the draft IENR. The draft IENR must be submitted to the OSE at least four weeks prior to STARTEX of the Operations Conduct phase or the intended IENR date, whichever is earlier. Subsequent release authority may be delegated to the OCE. If the exercise is likely to be special political considerations or other sensitivities the IENR will need to be processed earlier to allow time for additional staffing potentially up to the NATO MC level. See Chapter 6 of the ACO Public Affairs Handbook.
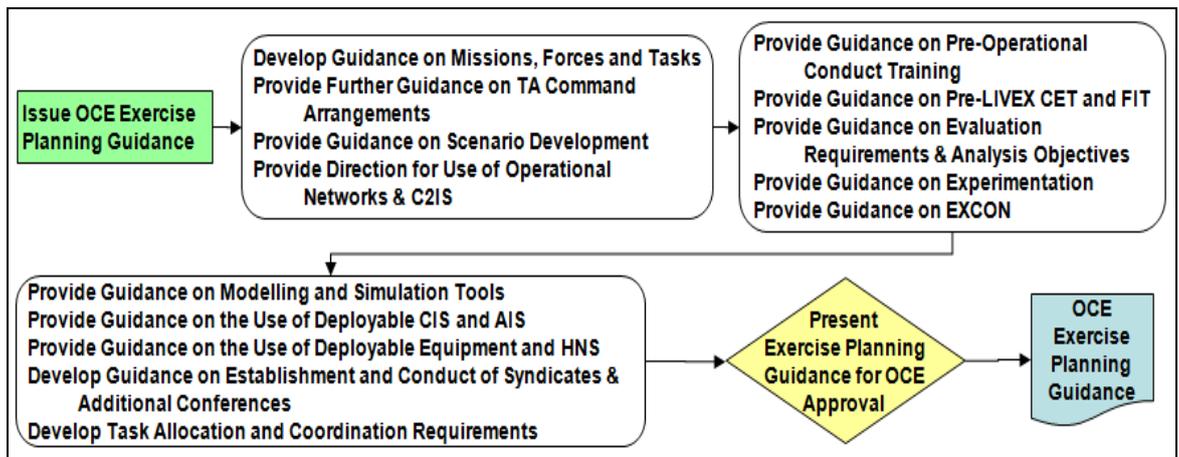
Figure 4-2 – *Issue OCE's Exercise Planning Guidance Key Activity*

d. **Develop OCE's Exercise Planning Guidance.** The OPR, supported by the CPT will draft and staff the OCE's Exercise Planning Guidance for approval. The steps supporting this activity are:

(1) **Develop Guidance on Missions, Forces and Tasks.** The guidance should be based on the OSE's aim and objectives taking OCE's intent, constraints and limitations into account as well. It should describe OCE desired flow of the exercise and the missions and tasks to be planned and/or executed by the TA during the exercise. The OCE desired exercise flow will be the basis for the detailed exercise design required for further scenario development.

(2) **Provide Further Guidance on TA Command Arrangements.** This guidance to the CPT should ensure the scenario is designed to allow freedom of action for the TA to design an operational C2 structure and command arrangements appropriate for the mission and mission essential tasks to be exercised during the different exercise phases/sub-phases.

(3) **Provide Guidance on Scenario Development.** The OCE's scenario guidance should focus on further describing those essential strategic and operational conditions that the scenario must establish in order to exercise the mission and essential tasks in an environment and conditions that conform to the TA's most likely or most challenging potential employment options. See Appendix 1 to Annex M. Factors for the CPT to consider in developing the guidance include, among other things:

(a) Scenario documents and Bi-SC AIS Functional Services/tools compliant data may have to be developed based on the availability, maturity and completeness of the off-the-shelf scenario and its supporting data.

(b) Selection of off-the-shelf scenarios with geography supported by digital mapping products, intelligence supported by satellite and other imagery, comprehensive country study reports with challenging but uncontroversial ethnic, separatist and religious groupings, realistic orders of battle in NATO data formats etc; may reduce the scenario module development time. The JWC scenario library should be considered as a potential source.

(c) The selected scenario should set the conditions to meet the training objectives.

(d) The OCE/ODE scenario developers should consider possible restrictions imposed on the OCE in choice of scenario, due to development cost, time available or political sensitivities. The OSE POLAD should review an OTS Scenario before re-using it, in order to avoid involuntarily sending political signals which should not be sent.

(e) Decisions to use real-world country data as a basis for a fictitious scenario must be made prior to the ESC to ensure time for any NATO HQ approval process.

(f) Use of real-world country data for LIVEX scenarios may be influenced by political factors. LIVEXs require scenarios in which real forces are working in a real environment in order to benefit from the tactical training. These scenarios are to be built to promote the training objectives. The scenario has to be built around the 'live' factors. This is also valid for NRF LIVEX scenarios, which may contain limited details from the major Joint CPX where they fit without negative impact on the tactical training.

(4)   **Provide Direction for Use of Operational Networks and C2IS.** The CPT should include, in the OCE's Exercise Planning Guidance, direction for use of operational networks and C2IS based upon: the C2IS integration requirements determined during the first CPTM; the decision on use of NS and/or MS WANs; the determination of the operational CIS requirements and constraints; and the analysis of the three basic categories of IERs and FS requirements; those to be used by the non-deployed TA, those to be used by the deployed TAs and those required by the EXCON and its supporting elements.

(5)   **Provide Guidance on Pre-Operational Conduct Training.** This guidance to the CPT should cover all pre-Operational Conduct EXCON training for each Exercise Phase. The training programmes to be referenced in the EXPLAN should include individual and collective training requirements for EXCON specialised tools, as well as the training requirements for EXCON use of Bi-SC AIS Functional Services. If appropriate, the guidance should include pre-Operational Conduct training for members of the evaluation and analysis teams participating in the exercise. If desired, the guidance may also address some pre-Operational Conduct training requirements for TA commanders and staff. However, the TA HQs will remain responsible for individual and collective training of their own commanders and staff.

(6)   **Provide Guidance on Pre-LIVEX Combat Enhancement Training (CET) and Force Integration Training (FIT).**

(7)   **Provide Guidance on Evaluation Requirements and Analysis Objectives.** The OCE and representatives of the participating evaluation teams and each HQ planning analysis activities during any exercise phase/sub-phase shall examine the ACO evaluation requirements and planned analysis objectives to ensure they fit within the scope and scale of the exercise without compromise to the exercise aim, exercise objectives and TOs.

(8)   **Provide Guidance on Experimentation.** The OCE Experimentation point of contact in cooperation with the HQ SACT Experimentation Venue Coordinator and/or JWC/JFTC Experimentation Integrator will review the experiments and new concepts planned to be conducted during the exercise as approved by the OSE. The purpose is to make sure that any possible new developments regarding approved experiments will not interfere with the exercise aim and objectives and the training objectives. Any potential issues will be resolved between the OSE OPR and OCE OPR. See Annex P.

(9)   **Provide Guidance on EXCON.** The OCE guidance on EXCON should address organisation, manning, training, RLS-issues and reflect exercise design, scenario, TA C2 structure, etc.

(10)   **Provide Guidance on Modelling and Simulation Tools.** The OCE M&S guidance should address M&S requirements and resources including manpower, hardware/software, networking and databases. See Annex N.

(11) **Provide Guidance on the Use of Deployable CIS and AIS.** This should focus on achieving the MMRs for Deployable Forces C2 to achieve interoperability between NATO and National C2 systems to facilitate common situational awareness, NATO and national C2 information, and tracking of forces during all phases of the operations. It should address requirements for integrating Bi-SC AIS Functional Services and ensure the availability of requisite theatre and force data. See Annex G.

(12) **Provide Guidance on the Use of Deployable Equipment.** Requests for usage of the deployable equipment shall be directed to SHAPE. Taking into account the training objectives, the OCE OPR will submit the request to SHAPE Logistics Directorate as early as possible during the Exercise Process. The request will be balanced against real world requirements and the guidance provided by SHAPE DCOS OPS/INT on the usage of CP-0A0149, CP-5A0156 and CP-9A1101[5] equipment for training purposes.

(13) **Develop Guidance on Establishment and Conduct of Syndicates and Additional Conferences.** The CPT must identify these requirements early and ensure they are included in the EP Milestones. Insofar as practicable, exercise planning and development coordination, syndicate meetings and conferences should be conducted virtually using video-teleconferencing (VTC) or network conferencing tools. On syndicates linked to the already planned conferences in the EP the OCE should give general guidance. A list of syndicates and additional conferences is included at Annex C.

(14) **Develop Task Allocation and Coordination Requirements.** The CPT will determine the requirements for task allocation and coordination and produce the refined milestones and coordinating instructions.

(15) **Present Options and Recommendations to OCE for Approval.** The CPT will have identified any issues requiring further OCE guidance as well as those that require referral to the OSE for additional direction and/or guidance. The OCE OPR will brief the OCE on the results of the CPT analysis and recommended OCE guidance for consideration and endorsement.

(16) **Issue OCE Exercise Planning Guidance.** (This step may be skipped if the OCE is also OSE and developed the EXSPEC).

e. **Develop Initial Draft Exercise Plan (EXPLAN).** In parallel with the approval and release of the OCE Exercise Planning Guidance, the OCE OPR will task the CPT to develop their respective portions of the initial draft EXPLAN and

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[5] Capability Package 0A0149, NATO Deployable C2 Assets, 28 Aug 02. Capability Package 5A0156, NATO Deployable HQ Assets for CJTF, 20 Aug 02. Capability Package 9A1101, NATO Response Force (NRF) Assets and Support, 12 Mar 04.

initial planning information in preparation for the site survey and the Initial Planning Conference (IPC). The Framework EXPLAN at Appendix 5 to Annex D provides a guide. However, the CPT must adapt this format to their actual requirements. Specific steps to be completed by the CPT are:

    (1)   **Review OCE Exercise Planning Guidance**

    (2)   **Develop the OCE's Intent and Concept of the Exercise.** This will be based on the OCE Exercise Planning Guidance and further developed to describe how the OCE intends to conduct the exercise.

    (3)   **Develop OCE's C2 Structure and Arrangements.** This is the C2 structure and arrangements for the conduct and support of the exercise, not the C2 structure and arrangements to be developed by the TA.

    (4)   **Develop C2IS Architecture/Data Management Plan.**

    (5)   **Draft Pre-Operational Conduct Training Plan (Schedule of Activities).** This plan should cover all pre-Operational Conduct EXCON training to support each Exercise Phase. The plan should include individual and collective training requirements for EXCON specialised tools, as well as the training requirements for EXCON use of Bi-SC AIS Functional Services.

    (6)   **Develop Concept of Evaluation/Analysis.** This concept should be developed by the DIREVAL in coordination with the EXDIR and the designated evaluation/ analysis team leaders.

    (7)   **Develop Initial Draft Experimentation Annex.** JWC or JFTC, with experiment team leaders will develop initial draft Experimentation Annex. The annex should have a main body, and appendices for each experiment, that include experiment information, the concept and scope of the experiment, aims and objectives, conduct of experiment, support requirements, etc. See Annex P.

    (8)   **Develop EXCON Concept and Structure.**

    (9)   **Develop M&S Architecture and Data Exchange Requirements.**

    (10)   **Determine EXCON CIS Requirements.**

    (11)   **Develop CIS Architecture.**

    (12)   **Develop RLS Concept.**

    (13)   **Update Exercise Budget.**

    (14)   **Convene the CPT to Coordinate and Consolidate the Initial Draft EXPLAN.** The purpose of this meeting is to produce the initial draft EXPLAN. Note: the number and timing of CPT meetings should be at the prerogative of the OCE OPR rather than only at specific points in the exercise process (see Annex C).

(15)   **Develop Exercise Synchronisation Matrix.**

(a)   The CPT can use the Exercise Milestone Planning Schedule as the foundation to develop the Exercise Synchronisation Matrix, which should include the following major lines of activities:

(b)   Operational Conduct Stage Activities/Steps;

(c)   For LIVEXs, national CET and FIT activities;

(d)   The training audiences' participation in the exercise training model phases/sub-phases; and

(e)   The exercise scenario Main Events.

(f)   The Exercise Synchronisation Matrix can be used throughout the EP Stages 2 and 3 as a tool to facilitate coordination and synchronisation between the CPT/EXCON requirements, related tasks and the exercise planning milestones.

(16)   **Determine EXPLAN Annex Requirements.**

(17)   **Develop HNS Requirements.**   These requirements should guide the Site Survey and contribute to the subsequent development of the Statement of Requirements for HNS.

(18)   **Allocate and Coordinate Tasks.**

(19)   **Issue Initial Draft EXPLAN.**
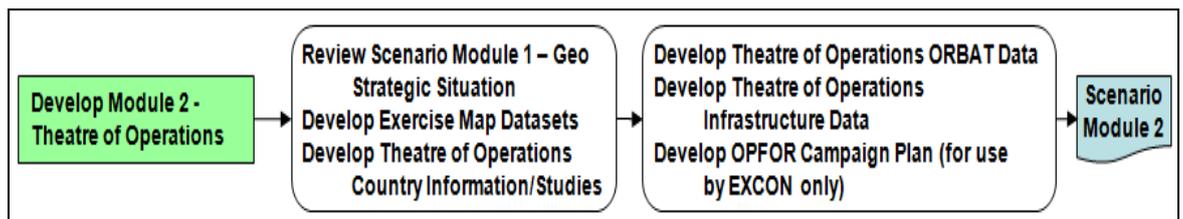
Figure 4-3 – *Develop Module 2 - Theatre of Operations Key Activity*

f.   **Develop Scenario Modules.** The steps supporting this activity are:

(1)   **Module 2 - Theatre of Operations.** The Theatre of Operations Module is the second scenario module. It is developed from the Geo-Strategic Module produced during the Exercise Concept and Specification Development Stage and published with the EXSPEC. The Theatre of Operations Module contains static information/data about the region to support strategic assessments and operations planning. This module may consist of wholly or various mixes of real, synthetic and fictitious

information/data. Information/data will be produced[6] according to NATO information standards and support the use of Bi-SC AIS Functional Services. Products should be developed by the CPT in a cross-functional Operational Information Management Syndicate or Theatre Data Working Group. Products will be required prior to the CRP Initiation, which may occur before the MPC, and may be required earlier to support HQ-specific pre-Operational Conduct training events.

(2) **Review Scenario Module 1 – Geo-Strategic Situation.** The Geo-Strategic Situation Module published with the EXSPEC should be reviewed to ensure its coherency with the corresponding elements of the Theatre of Operations Module. This may result in scenario design refinements with respect to the use of real, synthetic, fictionalised or fictitious scenario data[7]. Scenario designers should select the design refinements that best comply with political sensitivities, unavailability of theatre information or other constraints.

(3) **Develop Exercise Map Datasets.** Information/data will be produced according to NATO information standards and support the use of Bi-SC AIS Functional Services. Geospatial information/data must be compatible with the Bi-SC AIS Core GIS Service.

(4) **Develop Theatre of Operations Country Information/Studies.** The country data/information should be provided in the applicable format; i.e. STANAG 2077 , Country Catalogue or as specified.

(5) **Develop Theatre of Operations ORBAT Data.** Select real, fictional, generic and/or mixed forces and provide data in the format and level of detail that would be available if the situation were real. The locations of the 'friendly' forces at this point should be their home stations.

(6) **Develop Theatre of Operations Infrastructure Data.**

(7) **Develop OPFOR Campaign Plan (for use by EXCON only).**
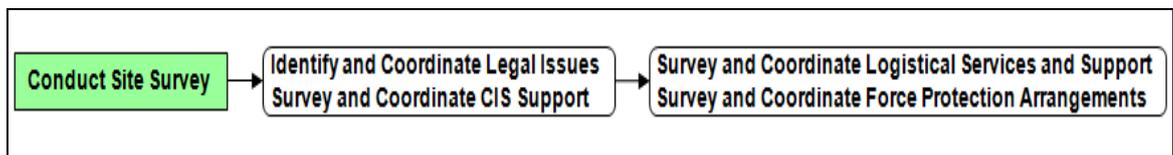
Figure 4-4 - *Conduct Site Survey Key Activity*

g. **Conduct Site(s) Survey(s).** The Host Nation(s) (HNs) will have been established in the MTEP and confirmed by the OSE during the Exercise Concept and Specification stage. As soon as practicable, the OCE OPR should coordinate with the HN(s) for site(s) survey(s) to establish the basis for planning including the

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[6] Note that production of new/generic geospatial information to NATO information standards for collective training/exercise scenarios may have significant costs associated as well as unacceptable production time impacts.
[7] Definitions of synthetic, fictionalised and fictitious scenario design types are in Annex A.

availability and cost of HNS. Key steps to be completed during the site surveys are:

(1) **Identify and Coordinate Legal Issues.** This is especially important when the exercise venue is in a country that has not ratified either the NATO or PfP Status of Forces Agreement (SOFA). The OCE OPR should determine existence and requirements for SHAPE-level Memoranda of Understanding (MOU), JFC-level Technical Arrangements (TAs) and component-level Joint Implementation Arrangements (JIAs). The OCE OPR should also consider any Arms Control treaties and agreements to which the HN is a signatory and which may impact on the exercise. Guidance on the constraints resulting from the HN domestic law should be sought as well (i.e. domestic regulations on the status of visiting forces). See Annex L.

(2) **Survey and Coordinate CIS Support.**

(3) **Survey and Coordinate Logistical Services and Support.** This should include coordination for the use of facilities, infrastructure and real estate as required.

(4) **Survey and Coordinate Force Protection Arrangements.** Force protection (FP) measures will be included in all training event and exercise planning and conduct. Exercise planners will incorporate aspects of FP, starting prior to the IPT and continuing throughout the exercise process. FP considerations for exercises are at Annex K.

(5) **Refine Exercise budget requirements**
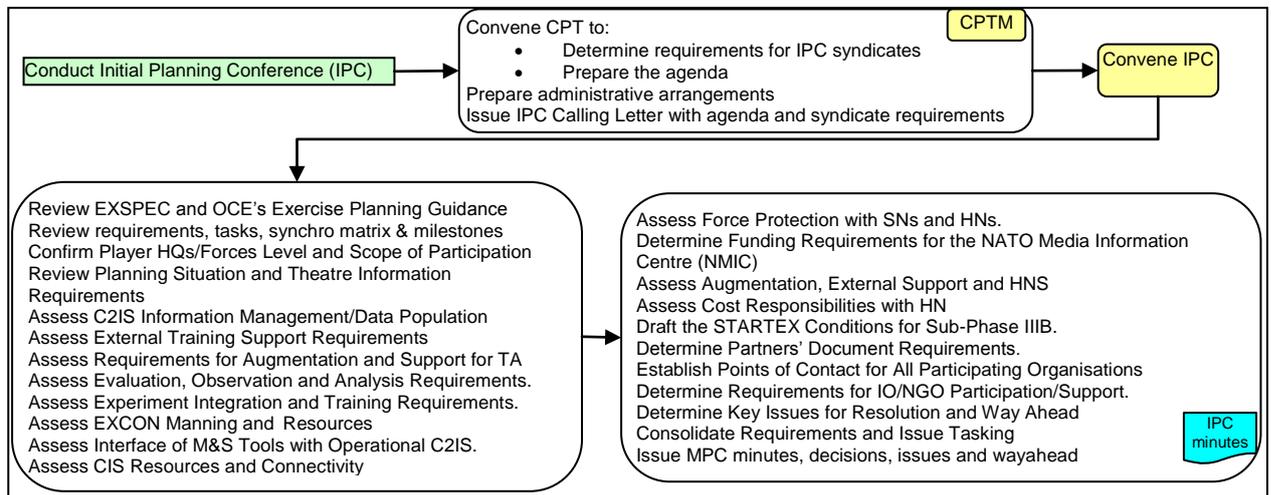
Figure 4-5 - *Conduct Initial Planning Conference (IPC) Key Activity*

h. **Conduct Initial Planning Conference (IPC).** The IPC is scheduled by the OSE OPR in close coordination with the OCE OPR as part of the exercise timeline which is included in the EXSPEC. The IPC is then organised and conducted by the OCE OPR with representatives from all participating NATO and national commands comprising the TA as well as the HN, supporting centres and

agencies. The numbers of participants per delegation are to be defined by the OCE taking into account the Programme of Work of the IPC. The aim is to present the initial draft EXPLAN and draft Scenario Module 2, confirm requirements, with a particular emphasis on participation and manning, develop commitments and capture pertinent information required to develop and coordinate a draft EXPLAN and further develop the scenario. Syndicates will convene in accordance with the IPC programme of work to further develop the EXPLAN and input and requirements for scenario Modules 2 (Theatre of Operations) and 3 (Strategic Initiation). The steps supporting this activity are:

(1) **Determine Requirements for IPC Syndicates.** The CPT should determine the optimal requirements for syndicates to be conducted during the IPC including essential subject matter expert representation from participating organisations. The OCE OPR will incorporate these into the IPC Programme of Work. The OCE OPR will task designated CPT members and SMEs to organise and lead syndicates as established in the IPC Programme of Work.

(2) **Prepare Administrative Arrangements.** Ensure adequate facilities for plenary and syndicate working areas.

(3) **Issue IPC Calling Message and Draft Agenda**. The OCE OPR will issue the calling notice and prepare all administrative details and read ahead material for the IPC. This material should include as a minimum the Initial Draft EXPLAN[8]. Conference and syndicate requirement with all relevant drafts should be sent with the calling message so that participants prepare their contribution in advance and are more efficient during the conference. The procedures for inviting partners can be found at Annex R.

(4) **Convene IPC**

(5) **Review EXSPEC and OCE's Exercise Planning Guidance.** The IPC will be opened by the OSE OPR with review the EXSPEC and the Exercise Milestone Planning Schedule; then the chair will be handed over to the OCE OPR.

(6) **Review Requirements, Tasks, Synch Matrix and Milestones.** The OCE OPR should establish the means to keep track of requirements, related taskings and milestones, as well as use the Exercise Synchronisation Matrix to facilitate coordination.

(7) **Confirm Player HQs/Forces Level and Scope of Participation**

(8) **Review Planning Situation and Theatre Information Requirements**

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[8] For partner nations the invitation and unclassified documents are to be sent at latest three months prior to the event both via the Partnership Real-time Information Management and Exchange System (PRIME) and the MPD with a copy to OSE. Classified documents are not to be uploaded on the ePRIME; they are only to be sent via the MPD with a copy to OSE. The procedures for inviting partners can be found at Annex R, Military Cooperation Programmes.

(9)   **Assess C2IS Information Management/Data Population.**

(10)   **Assess External Training Support Requirements.** This should include, among other things, the requirements for observer and training teams, as well as senior mentors.

(11)   **Assess Requirements for Augmentation and Support for TA.**

(12)   **Assess Evaluation, Observation and Analysis Requirements.** For NATO Open LIVEX and COOP LIVEX, determine if any partner wants to conduct any evaluation and finalise PETE Requirements.

(13)   **Assess Experiment Integration and Training Requirements.** The Experimentation Syndicate, in coordination with other IPC syndicates as required, will conduct initial assessment of experiment integration and training requirements, based on the Experiment Specification Sheets issued in the read ahead documentation. See Annex P.

(14)   **Assess EXCON Manning and Resources.**

(15)   **Assess Interface of M&S Tools with Operational C2IS.** The M&S syndicate in cooperation with CIS syndicate will conduct an initial assessment of requirements for M&S tools to interface with operational C2IS. Developing and testing required interfaces will be an integral part of the SYNEX preparation and be published together with the plan for SYNEX preparation, in the EXPLAN. See Annex N.

(16)   **Assess CIS Resources and Connectivity** (See Annex G).

(17)   **Assess Force Protection with SNs and HNs.** The OCE and the host nation(s) jointly share the principal responsibility for FP planning in regards to the execution of exercises and their associated conferences, and must develop a plan that the sending nations (SNs) providing LIVEX forces consider adequate. Published as an EXPLAN annex, this plan must include FP for all stages of the exercise process including all exercise execution phases/sub-phases. Once the FP plan has been agreed to by the OCE, SNs and HN(s), the agreed-to provisions will be incorporated into either the HN support Memorandum of Understanding (MOU) or the Technical Arrangement. See Annex K for specific FP guidance.

(18)   **Determine Funding Requirements for the NATO Media Information Centre (NMIC)** (See Chapter 6 of the ACO Public Affairs Handbook).

(19)   **Assess Augmentation, External Support and HNS.**

(20)   **Assess Cost Responsibilities with HN.**

(21)   **Draft the STARTEX Conditions for Sub-Phase IIIB.** The STARTEX conditions for these sub-phases should be drafted to support achievement of the OSE's Exercise Objectives and the OCE's TOs. The

draft STARTEX conditions should be designed to take into consideration the effects of the TAs' products and performance from the previous phase/sub-phase, as well as the circumstances and relationships that must exist to allow the TAs to practise activities required to fulfill the sub-phase objectives. These conditions will be finalised at the FCC.

(22)   **Determine Partners' Document Requirements.** The OCE OPR should, through the different syndicates, determine if there are any additional[9] documents crucial for the exercise that should be released to Partners and forward requests for their release to MPD through the OSE OPR.

(23)   **Establish Points of Contact for All Participating Organisations.**

(24)   **Determine Requirements for IO/NGO Participation/Support.** The participation of IOs and NGOs in NATO military exercises must be coordinated with the MC and NAC as per MC 458/2, Bi-SC 75-2 E&TD, MC 411/1, AJP 3.4.9 and MC 550, unless covered in a Memorandum of Understanding (MOU), Letter of Agreement (LOA) or another similar agreement, or that the participation follows a routine cooperation with NATO and is limited to the portrayal of its own role in the exercise; otherwise participation must be coordinated with SHAPE J9. IOs/NGOs will be invited[10] by the OCE, (ODE when designated, in particular for TRIDENT series joint exercises) to send representatives to participate in all NATO exercises. The OCE will coordinate all necessary details with regards to the IO/NGO participation, including participation in exercise planning, developing the MEL/MIL and exercise execution, reimbursing expenses as necessary, and based on the existing arrangements on a case-by-case basis.

(25)   **Determine Key Issues for Resolution and Way Ahead.**

(26)   **Consolidate Requirements and Issue Tasking.**

(27)   **Issue IPC Minutes, Decisions, Issues and Way Ahead.** The OCE OPR will prepare and present a summary of main points at the conclusion of the IPC, including decisions, issues for OCE/OSE/ODE clarification and way ahead. The OCE OPR will issue the minutes within ten working days.

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[9] The authoritative list of NATO documents released to partners is maintained by MPD Information Management Team Document Release Staff (0032-65-44-7644).
[10] OSE will submit the request for NAC approval, then, after approval will invite the IOs for the overall Exercise participation (COM to Director/President/ Under-Secretary-General level) and only after the IOs demonstration of willingness for participation OCE or event organiser HQ will send invitations to IOs, with the admin details.
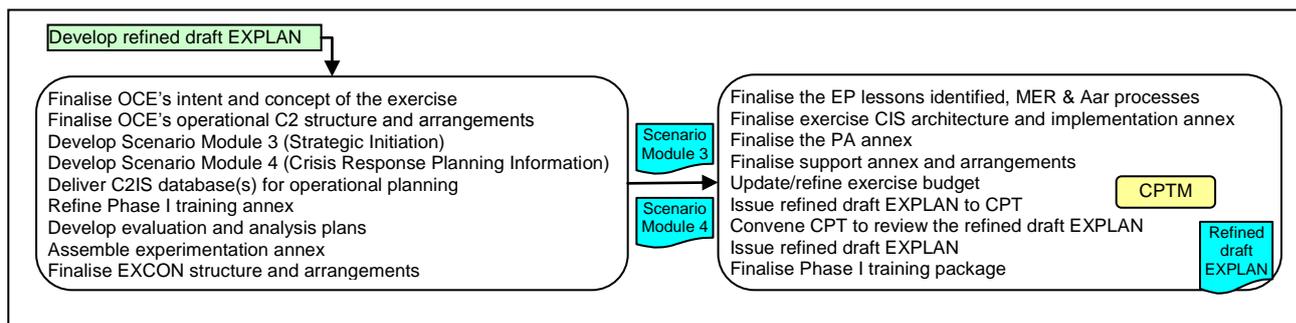
Figure 4-6 - *Develop Refined Draft Exercise Plan (EXPLAN) and Products Key Activity*

i.   **Develop Refined Draft Exercise Plan (EXPLAN) and Products.** Following the IPC the CPT should have adequate information to complete the refined draft EXPLAN as well as to proceed with the full development of Scenario Module 2 (Theatre of Operations) and begin developing Scenario Modules 3 (Strategic Initiation) and 4 (Crisis Response Planning Information). The steps supporting this activity are:

(1)   **Finalise OCE's Intent and Concept of the Exercise.**

(2)   **Finalise OCE's Operational C2 Structure and Arrangements.**

(3)   **Develop Module 3 - Strategic Initiation.** The Strategic Initiation Module establishes the international and NATO political desired end-state, objectives, limitations and directions as well as the supporting strategic military assessments and planning guidance following the NATO Crisis Response System. This module should include:

(a)   Road to Crisis (a narrative summary of the main events leading to planning situation, included in MEL/MIL database).

(b)   UNSC Resolutions and/or other documents providing the legal basis for the operation.

(c)   NAC Request for Advice.

(d)   SACEUR's Strategic Warning Order.

(e)   SACEUR's Strategic Assessment.

(f)   NAC Decision Sheet Requesting Options.

(g)   SACEUR's Military Response Options.

(h)   NAC Initiating Directive.

(i)   Strategic CONOPS.

(j)   SACEUR`s Planning Directive.

(4) **Develop Module 4 - Crisis Response Planning Information.** The Crisis Response Planning Information Module provides current updated information and data about the international and regional situation. Information and data[11] are produced in accordance with ACO directives and in Bi-SC AIS Functional Services and doctrinal APP-11 series formats (where available). This module could include:

(a) Current Intelligence Summary.

(b) Friendly Forces. Forces available for planning based on NRF Readiness Reporting System (RRS) and NATO ORBAT as well as current disposition of friendly forces in the theatre area. Data for generic forces available for planning should be provided in the same formats and level of detail as real forces available for planning would be.

(c) Target Integrated Data Base (IDB).

(d) Civil military data and information sufficient to support TA development of the production of the Civil Assessment and the CIMIC Estimate as well as the CIMIC input to an Operation Plan.

(e) Environmental Assessment/data.

(f) OLRT Recce Reports (if not a part of TA).

(g) NCRS messages and measures.

(h) TOPFAS/LogBase datasets.

(i) Availability of strategic lift and infrastructure movement throughput data in line with exercise and training objectives.

(j) Intelligence dataset, including regional forces' data and scenario-specific Crisis Response Intelligence Package[12] (CRIP).

(k) Draft logistics concept (for the commander above the TA).

(l) MEL/MIL as appropriate for Phase II.

(5) **Deliver C2IS Database(s) for Operations Planning.** The CPT should ensure that exercise data developed for the TA databases are sufficient to support operations planning. Insofar as practicable, the data should be provided by the EXCON through the standing agreements,

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[11] Where applicable, real world information and data should be used. For scenarios which utilise artificial and/or generic information and data, the responsibilities, formats and timings for development of the information and data should be specified in the EXPLAN or other appropriate documents.

[12] AD 65-11, ACO Standing Policy and Procedures for Intelligence Production Management, defines intelligence information required to initiate CRP as well as the definition of CRIP.

processes and procedures that would be used if the planning situation were real.

(6)   **Refine Phase I Training Annex.** This should include the external training support and the NATO Exercise Training Model Phase I activities.

(7)   **Develop Evaluation and Analysis Plans.**

(8)   **Assemble Experimentation Annex.**

(9)   **Finalise EXCON Structure and Arrangements.**

(10)   **Finalise the Exercise Process Lessons Identified, MER and AAR Procedures.**

(11)   **Finalise Exercise CIS Architecture and Implementation Annex** (See Annex G).

(12)   **Finalise the PA Annex in the EXPLAN.**   (See Chapter 6 of the ACO Public Affairs Handbook).

(13)   **Finalise Support Annex and Arrangements.**

(14)   **Update/Refine Exercise Budget.**

(15)   **Issue Refined Draft EXPLAN to CPT.**

(16)   **Convene CPT to Review the Refined Draft EXPLAN.**

(17)   **Issue Refined Draft EXPLAN.** The OCE OPR will staff the refined draft EXPLAN for approval with the HQ and then distribute it.

(18)   **Finalise Phase I Training Package.** This should include, among other things, topics for: Round Table Discussions (RTD), Panel Discussions (PD), Case Studies (CS), vignettes, practical exercises and subject matter expert presentations. Topics should be linked with appropriate Training Objectives (TO).
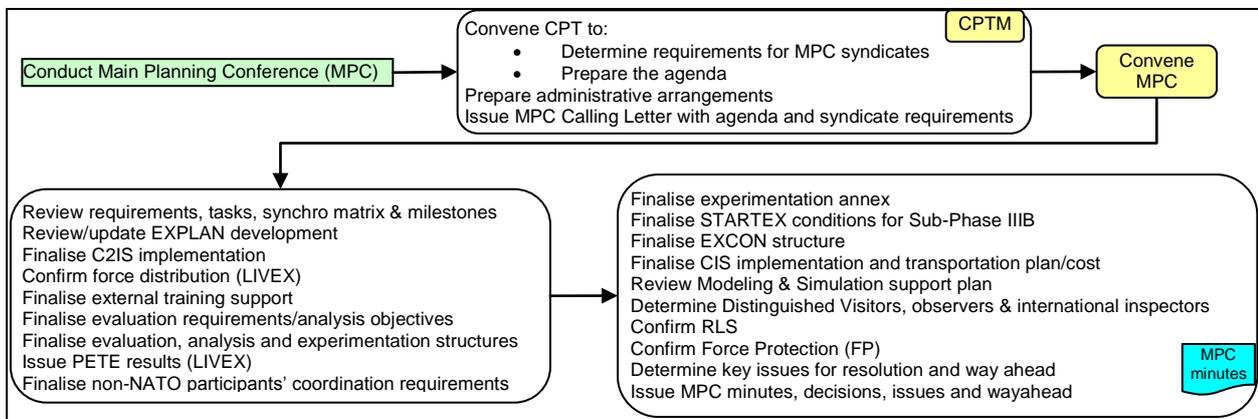
Figure 4-7 - *Conduct Main Planning Conference (MPC) Key Activity*

j.   **Conduct Main Planning Conference (MPC).** The steps supporting this activity are:

(1)   **Determine Requirements for MPC Syndicates.** The CPT should determine the optimal requirements for syndicates to be conducted during the MPC including essential subject matter expert representation from participating organisations. As during the IPC, the OCE OPR will task designated individuals to organise and lead syndicates as established in the MPC Programme of Work. The OCE OPR will incorporate these into the MPC Programme of Work.

(2)   **Prepare Administrative Arrangements.** Ensure adequate facilities for plenary and syndicate working areas.

(3)   **Issue MPC Calling Message and Draft Agenda.** Calling message should include, at least, participation requirements/limitations, draft agenda and the refined draft EXPLAN. The procedures for inviting partners can be found at Annex R, Partner Involvement in NATO Exercises. For exercise participation IOs/NGOs are invited by the OCE. At this stage, MPC participants should send their Ex manning document completed with names. This ensures that participating HQs have seriously considered the detailed participation and allows finalising CIS and RLS.

(4)   **Convene MPC.** Participation in the MPC will represent the same organisations as for the IPC. The MPC should allow further coordination between all planners, including exercise, operational and functional experts (finance, VOB, exercise control) to be achieved. Coordination issues for partner nations will be conducted as in the IPC. The aim of the MPC is to collect final inputs to the EXPLAN as required to gain endorsement and enable the development of the remaining scenario modules.

(5)   **Review Requirements, Tasks, Synch Matrix and Milestones.** The OCE OPR should review requirements, related taskings and milestones, as well as use the Exercise Synchronisation Matrix to facilitate coordination.

(6)   **Review/Update EXPLAN Development.**

(7)   **Finalise C2IS Implementation.**

(8)   **Confirm (LIVEX) Force Contributions.**   This should include participating force balancing and confirmation of LIVEX RLS.

(9)   **Finalise External Training Support.**

(10)   **Finalise Evaluation Requirements/Analysis Objectives.**

(11)   **Finalise Evaluation, Analysis and Experimentation Structures.** Finalise the DIREVAL, Evaluation, Analysis and Experimentation

structures, together with all reporting requirements; assign responsibilities for evaluation, analysis and, experimentation including respective responsibilities for the collection of data and any augmentation requirements. Experiments and analysis requirements declared after the MPC cannot be incorporated into the exercise.

(12)   **Issue PETE Results** (for LIVEX).

(13)   **Finalise Partner Nations Coordination Requirements.** Coordination issues for partner nations will be conducted as in the IPC.

(14)   **Finalise Experimentation Annex.** This should include finalisation of all experiment integration issues.

(15)   **Review STARTEX Conditions for Sub-Phase IIIB.** STARTEX conditions for Sub-Phase IIIB should be reviewed to ensure conditions will be set for achievement of the OSE's aim and objectives and the OCE's TOs.

(16)   **Finalise EXCON Structure.** This should include finalisation of the EXCON organisational structure and beginning process of identifying augmentation requirements by HQs, agencies, centres and Nations.

(17)   **Finalise CIS Implementation and Transportation Plan/Cost.** This should include final details of CIS support for the training audiences, EXCON and all supporting elements, agencies and centres for all four exercise phases. See Annex G.

(18)   **Review M&S Support Plan.**

(19)   **Determine Distinguished Visitors, Observers and International Inspectors**

(20)   **Confirm RLS. Resolution of all RLS/Host Nation issues remaining.** Report on any final Reconnaissance and other Surveys: Real Life Support, Force Protection, Environmental, Legal, Public Affairs etc. Approval of the live support requirements, including set-up of exercise location, Host Nation Support, COMREL activity, C2 architecture and Force Protection. The development of the EXPLAN must address safety and environmental issues, especially for LIVEXs, and ensure that provisions are made to deal with potential real world emergencies such as fires, oil spills, medical emergencies, etc. See Annexes L and Q.

(21)   **Confirm Force Protection (FP).** The FP syndicate should review updated threat information and its products should include provisions for dealing with potential threat or crises that could emerge during the exercise. See Annex K, Real Security Considerations.

(22)   **Determine Key Issues for Resolution and Way Ahead.** Open issues should be identified and staffed if possible to recommend the way

ahead for their resolution before the FCC, or, if appropriate, before exercise phases that they would impact.

(23) **Issue MPC Minutes, Decisions, Issues and Way Ahead.** The OCE OPR will prepare and present a summary of main points at the conclusion of the MPC, including decisions, issues for OCE/OSE clarification and way ahead. The OCE OPR will issue the MPC minutes within five working days.
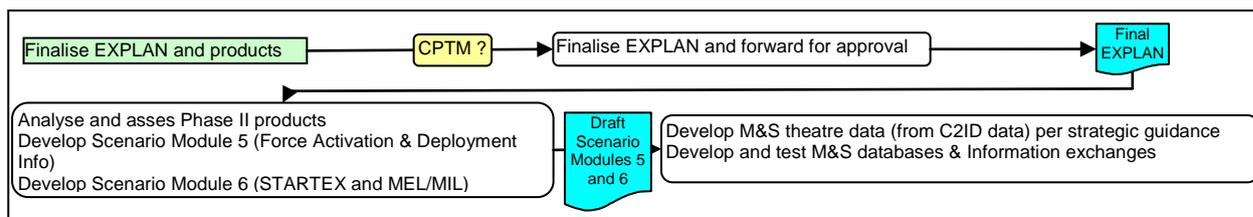
Figure 4-8 – *Finalise Exercise Plan (EXPLAN) and Products Key Activity*

k. **Finalise Exercise Plan (EXPLAN) and Products.** Following the MPC the CPT should have adequate information to finalise the draft EXPLAN as well as scenario Modules 2 (Theatre of Operations), 3 (Strategic Initiation) and 4 (Crisis Response Planning Information) for approval. Following Phase II, Crisis Response Planning and the availability of the TAs' OPLANs and other planning products, the CPT should enable the development of scenario Module 5 (Force Activation and Deployment) and Module 6 - Execution (STARTEX and MEL/MIL). The steps supporting this activity are:

(1) **Finalise EXPLAN and Forward for Approval.** As soon as possible after the MPC and before the FCC the OPR will forward the Final EXPLAN to the OCE for approval, accompanied with any comments, remarks or concerns by the participating HQs or member nations. The OCE OPR may convene a CPTM if required to facilitate completion. Though a Final EXPLAN release before Stage 3 Phase II would be ideal, it is barely possible because Phase II outcomes are often needed to refine manning requirements and EXCON structure. In that case an interim version of the document can be used.

(2) **Issue Approved EXPLAN.** The EXPLAN is an order to action addressees and will be referenced by HQs, agencies and centres when issuing Operation Orders (OPORDs) for activation and deployment of EXCON elements to support exercise phases/sub-phases. Administrative/ Logistics Orders issued in conjunction with or in relation to the EXPLAN may be used as a basis for the orders of supporting units and to provide information to other EXCON or supporting elements.

(3) **Develop Module 5 - Force Activation and Deployment Information.** Once the TA initiates Phase II, Crisis Response Planning, the CPT/EXCON will coordinate/generate the national and strategic force generation, activation and deployment information as required to enable the development and completion of the respective OPLAN. This Module

provides external information/data in response to player CONOPS and CJSOR, as well as player Commander's Critical Information Requirements (CCIRs) as required to complete operations planning and to initiate deployment and initial entry operations. Specific products (eg; ACTORD and ORBATTOAs) may be issued prior to or during Sub-Phase IIIA. The CPT/EXCON should carefully analyse the results of the TA's operational, sustainment, deployment and specialised functional planning against the pre-established Sub-Phase IIIA STARTEX conditions necessary to achieve the exercise objectives and conduct war-gaming of the execution of these plans to determine the optimal STARTEX date/time for the exercise Sub-Phase IIIA. Module 5 information/ data are to be produced in accordance with ACO directives and in Bi-SC AIS Functional Services and APP-11 series doctrinal formats (where available); including:

    (a)   ACTWARN/ACTREQ Messages.

    (b)   FORCEPREP Messages.

    (c)   Allied Force List.

    (d)   Force Balancing Results.

    (e)   Status of Forces Agreements (SOFAs)/Memoranda of Understanding (MOUs)/Technical Arrangements (TAs).

    (f)   MNDDP/FEP (Developed by Allied Movement Coordination Centre (AMCC) and/or HICON/CPT as specified in the EXPLAN).

    (g)   Current Intelligence Summary (INTSUM)/ Intelligence Report (INTREP) (as required).

    (h)   Joint Target List.

    (i)   NCRS Messages.

    (j)   Rules of Engagement Authorisation (ROEAUTH)/ Implementation (ROEIMPL) Messages.

    (k)   ACTPRED/ACTORD Messages.

    (l)   ORBATTOA Messages.

    (m)   MEL/MIL as appropriate for Sub-Phase IIIA.

(4) **Analyse and Assess Phase II – Crisis Response Planning Products.** EXCON will analyse the completed planning products to ensure that they are adequate and will enable the exercise aim, objectives and TOs to be accomplished in Sub-Phases IIIA and IIIB.

Note: This step corresponds to the Stage III Observe and Evaluate/ Review the CRP step in Chapter 5 (paragraph 5.4.2).

(5) **Develop Module 6 - Execution (STARTEX and MEL/MIL).** The Execution Module describes the current situations at STARTEX for Sub-Phase IIIA and Sub-Phase IIIB, based on a careful analysis of the OPLANs against the Exercise Objectives and TOs and the OPFOR Campaign Plan as well as the likely situation in the theatre. The CPT/EXCON should carefully analyse the TA performance results of the Sub-Phase IIIA against the pre-established Sub-Phase IIIB STARTEX conditions necessary to achieve the exercise objectives to determine the optimal Sub-Phase IIIB STARTEX date/time[13]. All Module 6 information/data are to be produced in accordance with ACO directives and in Bi-SC AIS Functional Services and doctrinal APP-11 series formats (where available). This module includes, as appropriate:

(a) Road to Crisis. A narrative summary of main events leading to current situation, included in MEL/MIL.

(b) Current Intelligence Summary (INTSUM)/ Intelligence Report (INTREP) (as required).

(c) Current ASSESSREP.

(d) Order of Battle/Transfer of Authority Land/Air/Sea.

(e) STARTEX Forces lay down.

(f) Current SITREPS for Land, Air, Navy, PAO, CIMIC, CIS, METOC, Deployment, Logistics, etc.

(g) Area of Interest (AOI) Common Operating Picture (COP) data and information. These include data/information products required by 'Recognised Picture' Functional Services (eg; ICC, MCCIS, LC2IS) that contribute automatically to the COP; specialised Functional Services (eg; JOIIS/NITB[14], EVE, TOPFAS, AFOD) that provide data and information to the COP as required; and theatre functional databases (eg; CIMIC, Medical, Engineer) that contribute to COP overlays through overlay management agents (eg; Interim Geo-Spatial Intelligence Tool (iGeoSIT)). Some of these data/information products may be generated by LOCON and some may be developed with assistance of M&S/synthetic tools.

(h) Main Events List and Main Incidents List. The Main Events for an exercise should be developed to reflect the COA of the various actors and support achievement of TOs. Those events taking place on the MEL/MIL should be synchronised with the simulation model. A detailed and accurate MEL/MIL database is the foundation for an effective and successful exercise. The TOs that

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[13] For exercises which have conflicting objectives for Sub-Phases IIIA and IIIB, the Sub-Phase IIIB STARTEX conditions would not necessarily be based on the Sub-Phase IIIA results.
[14] NITB is the acronym for the NATO Intelligence Tool Box.

have MELMIL conditions (expected MELMIL outcomes) should be addressed at least directly by one Incident. Scripters should be sourced from those organisations that will be represented in EXCON (HICON/LOCON). They should not be drawn from the Sub-Phases IIIA/IIIB training audiences. Training team should assist in development of the MEL/MIL and may request specific incidents and/or injections designed to support their analysis requirements. During the exercise, they observe the TA reactions and recommend dynamic scripting to encourage TA meeting their TOs. All injections supporting the incidents should be communicated to the appropriate players through the EXCON organisation using the doctrinal TA CIS and formats.

(6)   **Develop M&S Theatre Data (from C2IS Data) per Strategic Guidance.** Once the CPT has developed the operational data for use by NATO C2IS and the TA have developed their OPLANs to a degree that the CPT can determine those operations to be modelled and simulated to support to Sub-Phase IIIA based on Scenario Module 6, the OCE/ODE OPR can allow the designated SME to proceed with the development and testing of the M&S data.

(7)   **Develop and Test M&S Databases and Information Exchanges.** In parallel with the development of scenario Module 6 Execution (STARTEX and MEL/MIL) M&S SMEs will develop and test required M&S data and information exchange between M&S tools and operational C2IS. Close cooperation between scenario developers and M&S SMEs will facilitate the required synchronisation of scenario and M&S data. Refer to Annex N.
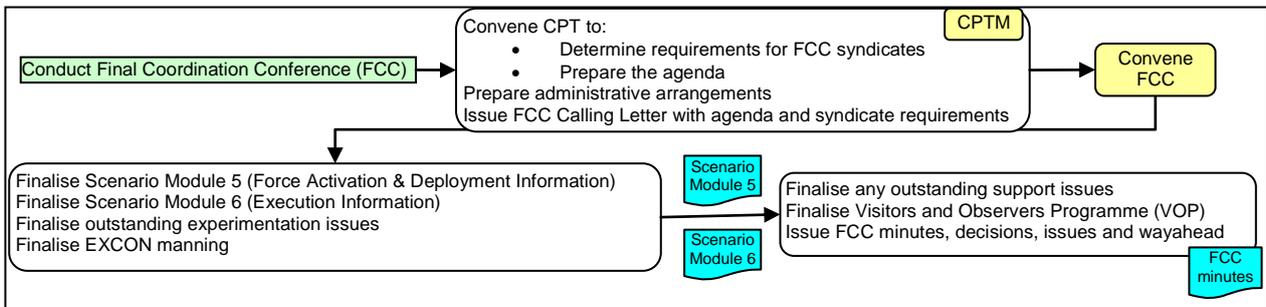
Figure 4-9 – *Conduct Final Coordination Conference (FCC) Key Activity*

l.   **Conduct Final Coordination Conference (FCC).** The purpose of the FCC is to accomplish final coordination activities required for conduct of the Operational Conduct Stage Sub-Phases IIIA and IIIB. FCC participation should be limited to only those participants required to resolve outstanding issues and to complete products for Sub-Phases IIIA and IIIB. The steps supporting this activity are:

(1)   **Issue FCC Calling Message and Draft Agenda.** Participation is only by invitation of the OCE. The procedures for inviting partners can be found at Annex R.

(2) **Finalise Module 5 - Force Activation and Deployment Information.** The products in this module will be required before the STARTEX of the Force Activation, Deployment, RSOM&I and Integration sub-phase and thus possibly could be required before the FCC is conducted.

(3) **Finalise Module 6 - Execution Information.**

(4) **Finalise Outstanding Experimentation Issues.**

(5) **Finalise EXCON Manning.** This should include finalisation of the process of identifying EXCON augmentation requirements by HQs, agencies, centres and Nations.

(6) **Finalise any Outstanding Support Issues.** Address any remaining support issues such as RLS, CIS, HNS, Force Protection, contracting, etc.

(7) **Finalise Visitors and Observers Programme (VOP)** (See Annex I, Visitors, Observers and Inspectors (VO) Considerations).

(8) **Issue FCC Minutes, Decisions, Issues and Way Ahead.**

5.   STAGE 3: EXERCISE OPERATIONAL CONDUCT

5.1   **Introduction.**   The purpose of this chapter is to provide an overview of the Exercise Operational Conduct Stage focusing on NCS and NFS HQs training. See Annex Q for additional considerations for LIVEXs. All four phases of the NATO Exercise and Training Model are conducted during the Exercise Operational Conduct Stage. This stage begins with the Foundation Training Phase and continues through the Crisis Response Planning Phase and the Execution Phase and ends with the Assessment Phase. Observations and Lessons Identified will be collected and processed throughout all Operational Conduct Stage phases/sub-phases and forwarded after each phase/sub-phase as specified in the EXPLAN. The Exercise Operational Conduct Stage may begin before the Final Coordination Conference.
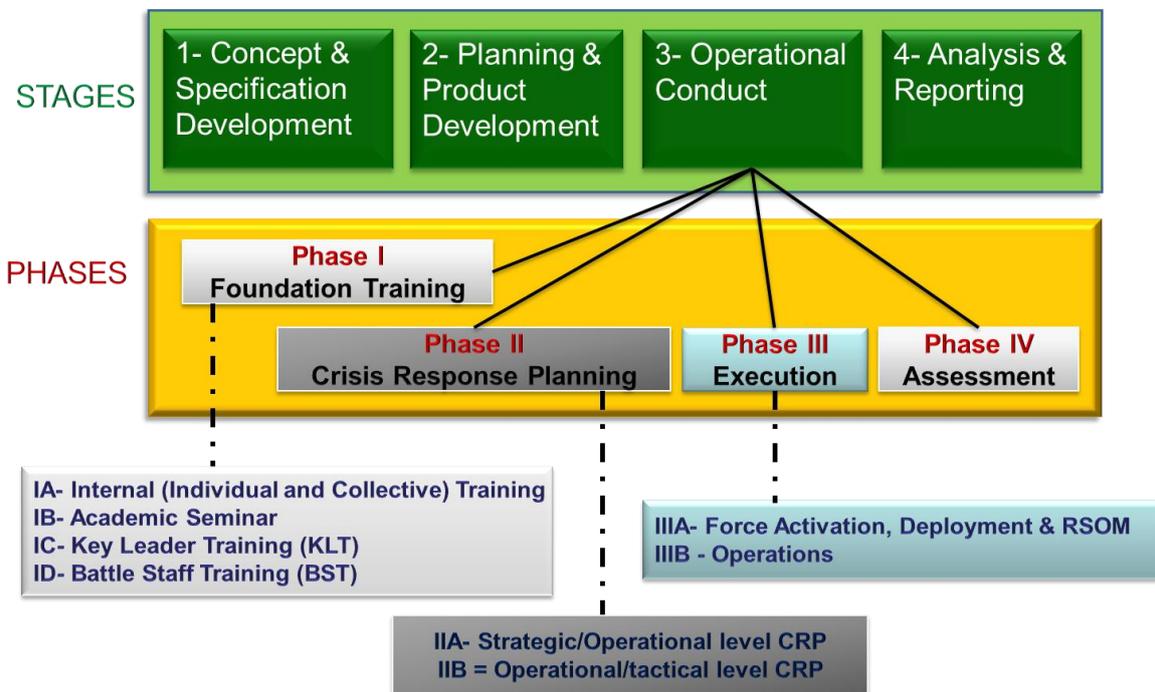
Figure 5-1 – *Exercise Operational Conduct Stage Overview*

a.   **Direction:** Direction is the authoritative instruction issued by the EXDIR to guide the exercise activity to best achieve the OSE/OCE's aim and objectives.

b.   **Control:** Control is the minute-by-minute activity that ensures the exercise is conducted as planned. A crucial aspect of control is ensuring that the progress towards the achievement of the training objectives is constantly monitored by Training Teams (TTs). Where the execution of the exercise is failing to allow the TA to meet its training objectives, remedial action is required through additional direction from the EXDIR and may result in additional exercise play or training opportunities as possible interventions.

5.2 **Major Deliverables.** The major deliverables of the Operational Conduct Stage are:

    a. **Phase I – Foundation Training.**

        (1)   I A   Internal (Individual and Collective) Training.

        (2)   I B   Academic Seminar (AS).

        (3)   I C   Key Leader Training (KLT).

        (4)   I D   Battle Staff Training (BST).

    b. **Phase II – Crisis Response Planning (CRP).**

        (1)   II A   Strategic (resp. Operational) CRP.

        (2)   II B   Operational (resp. Tactical) CRP.

    c. **Phase III – Execution.**

        (1)   III A   Force Activation, Deployment, RSMO.

        (2)   III B   Operations (including warm-up).

    d. **Phase IV – Assessment.**

5.3 **Roles and Responsibilities**. Acting on behalf of the OCE, the Exercise Director[1] will have significant freedom to use Exercise Control (EXCON) structures that are most appropriate for achieving the OSE's exercise aim and objectives and the OCE's TOs. Therefore, this Chapter is based on the principle that the EXDIR directs (as defined above) the EXCON who control the exercise execution in order to set the conditions to allow the OCE to achieve the exercise aim and objectives established by the OSE. Furthermore, the role of coordination between Training Teams, Experimentation teams, Analysis Teams and Evaluation Teams rests with the EXDIR as the overarching execution coordinating authority.

    a. **During the Exercise Phase I.** Whilst OCE maintains overall responsibility for the exercise, ODE (when appointed) and/or EXDIR supports within their capacities, to achieve OCE's training objectives[2].

    b. **During Exercise Phase II and Sub-Phases IIIA and IIIB.** The EXDIR establishes an EXCON organisation that enables him to establish the conditions for the execution required to achieve the Exercise Objectives and TOs. The EXCON organisation will provide the resources for supporting the EXDIR's role of

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[1] When exercise or training is supported by JWC/JFTC, the EXDIR is usually the Director of one of these two Centres.
[2] When OCE is supported by JWC/JFTC, the OCE maintains the responsibility for planning and executing of Phases PH I. The level of support from the centers is outlined in the Collective Training Support Programme of Work (CTS POW).

exercise direction, as well as provide the resources for control of the exercise. The roles and responsibilities of the EXCON elements for each Exercise Phase/Sub-Phase should be included in the EXPLAN.

c.   **Exercise Control (EXCON).** For illustrative purposes, a notional EXCON model for a large scale Sub-Phase IIIB is shown at Figure 5-2 (below). These EXCON models should be adjusted according to the specific exercise requirements. Details of EXCON organisational responsibilities as well as EXCON and EXCON Centre (EXCEN) structures as employed by JWC and JFTC can be found at Annex H.
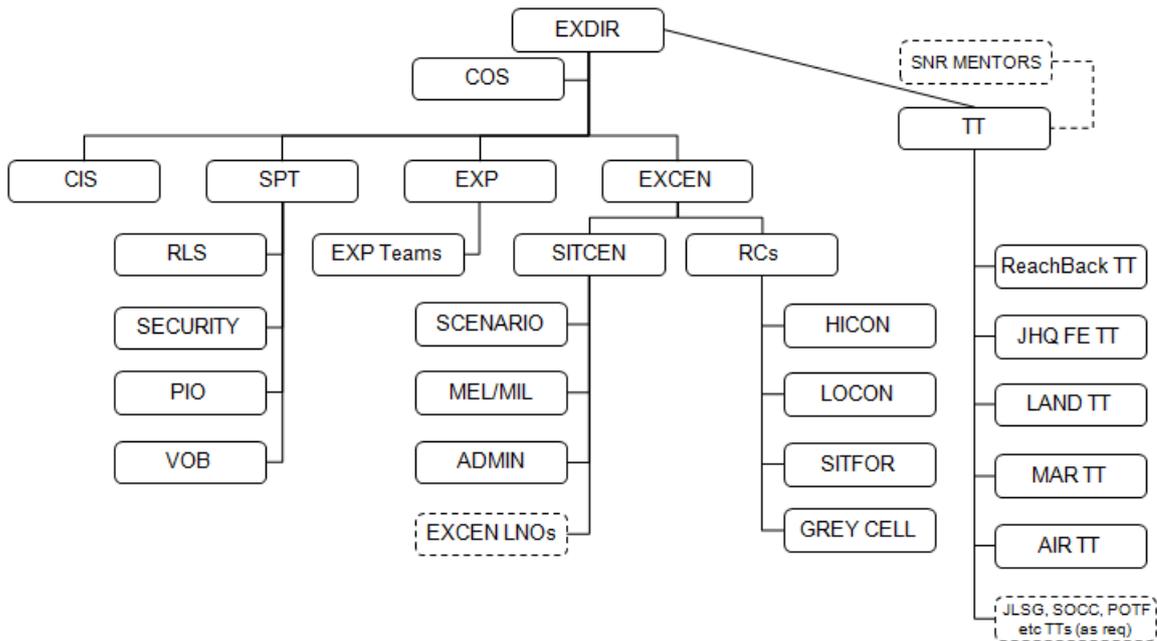
Figure 5-2 – *Notional Sub-Phase IIIB EXCON Organisation for a Major CPX*

d.   **Real life support (RLS).** RLS at the exercise locations will be resourced by each host HQ/ agency/centre.

e.   **Director of Evaluation (DIREVAL).** The DIREVAL is responsible for coordinating on behalf of the SCs, OSE and OCE, the different evaluation activities that will be conducted during each exercise phase. The DIREVAL coordinates the activities of all evaluation teams as detailed in the EXPLAN in order to improve information sharing amongst the teams, minimise the impact on the EXCON and TA, and enhance achievement of the Exercise Objectives and TOs. The DIREVAL shall also coordinate evaluation team requests for modification of planned incidents and/or injections, as well as requests for incidents and/or injections designed to support specific evaluation objectives.

(1)   **Evaluation Teams.**   SACEUR and the subordinate ACO Commanders, in carrying out their responsibilities for planning and execution of evaluations of their subordinate HQs (HQ EVAL) and designated units and forces (TACEVAL, CREVAL and MAREVAL) will stand up evaluation teams during most exercises. Evaluation teams shall have access, on a non-interference basis, to all exercise areas including,

for example, EXCON and SITCEN, as well as access to the requisite EXCON information, meetings and tools, eg: MEL/MIL database.

(2)   **JALLC Analysis Team.** The Bi-SC PARL, along with any Emergent Analysis Requirement requests, delineates what analysis the JALLC will conduct. As such, there will be occasions in which exercises will provide good venues for data collection to support an analysis. When so, the JALLC Analysis Team will conduct data collection during any or all phases of the training/exercises as required, in order to address the specificity of the analysis requirement(s).

(3)   **Ad hoc Analysis Team.** A Bi-SC analysis team may be formed to conduct specific analyses of emerging requirements both transformational and operational. This team may consist of members from ACT, ACO and other organisations and will conduct data collection and analysis during Phase II, Sub-Phase IIIA and Sub-Phase IIIB under the DIREVAL direction as specified in the EXPLAN. Specific analysis objectives will be addressed in the EXPLAN.

(4)   **Experimentation Coordination Cell (ECC).** The ECC coordinates all experimentation activity during the conduct of an exercise under the guidance and direction of the ECC Chief and as specified in the EXPLAN. Included within the ECC are the experiment analysis teams, consisting of observer(s)/analyst(s) for each of the experiments being conducted during the exercise. The ECC works under Chief of Staff (COS EXCON).

5.4   Key Activities. The EXDIR oversees the Operational Conduct Stage on behalf of the OCE. The EP Operational Conduct Stage is organised into seven key activities, each with supporting steps as described below.

   a.   **Phase I (Foundation Training)**

(1)   **Phase I – General outline.** The allocation of responsibilities for training will depend on institutional budgeting and established programmes of work (POWs) for supporting organisations. It is important to recognise, that Phase I is not a substitute for Individual Training as described in the E&T Approach, as the training focus is especial related to the needs of Phase II and III and tied to setting and scenario. The entire training calendar needs careful planning to best use limited SACT and SACEUR Command Structure resources in support of the individual and collective training requirements. Phase I may be conducted in up to four sub-phases. The number of sub-phases and their timing will depend on the type and size of the exercise. Each Foundation Training sub-phase could require its own planning process with administrative instructions, plans and steps as specified in the EXPLAN. Each Phase may vary IAW required preparation steps, but in a very generic way the following steps could be taken into account IOT plan and execute different sub-Phases:

(a)   Establish TOs to support the Training requirements in line with the TOs of the major exercise.

(b)   Define the TA for this sub-phase.

(c)   Choose Training Site(s).

(d)   Design the training programme in line with TOs.

(e)   Establish EXCON IAW exercise Level of Ambition.

(f)   Produce training enabling documentation e.g. MEL/MIL, Vignettes.

(g)   Activate Training Team(s).

(h)   Conduct HQ Internal Individual and Collective Training.

(i)   Prepare and Conduct Sub-Phases Review.

(2)   **Conduct Sub-Phase IA: Internal (Individual and Collective) Training.** Internal Individual and Collective Training will be conducted at the discretion of TA Commanders utilising NATO Education and Training Facilities (NETF), Centers of Excellence, Partner Training and Education Centers (PTEC) or own resources as appropriate. This is an internal training of the HQ without any support from ODE. This phase may include: Functional Area Training (FAT), Functional System Training, professional development training, Work Shops, and Syndicate Discussions. Basically this Phase should improve foundation knowledge of each staff member to perform his functional area duty in the future collective training.

(3)   **Conduct Sub-Phase IB: Academic Seminar.** The overall purpose of the Academic Seminar is to prepare TA Commanders and their key staff for the challenges of likely operational missions, and to function as an operational HQ as planned in Phase II, Sub-Phase IIIA and Sub-Phase IIIB of the exercise. The scheduling should be de-conflicted with Phase IC to allow maximum Command Group and Key Leader participation. The Program and timeframe of this Sub-Phase IB may vary depending on the TA Commander's requirements with a potential aim like is presented below:

(a)   To ensure that TA achieve a common understanding of the future mission to be exercised and how it is to be executed.

(b)   To ensure that joint processes and integration are fully understood throughout the TA.

(c)   To focus on the Deployable Forces actual capabilities and expected performance, rather than its theoretical concepts.

(d)   To identify and achieve all possible synergies within the Deployable Forces and to ensure maximum interoperability.

(e)   To make the TA Key Staff aware of the areas that causes difficulties when working in a joint multinational environment, and to seek for solutions to overcome these.

(f)   To bring to the attention of TA, the Lessons Identified and Learned from previous operations and exercises.

(g)   To bring to the attention of TA, the latest versions of NATO concepts.

(4)   **Conduct Sub-Phase IC: Key Leader Training (KLT).** KLT is individual training designed for the 'Key Leaders' under the responsibility of the PTA commander for a specific exercise venue or upcoming military operation. It is important to link the Key Leaders with their own staff taking part in academics, usually conducted concurrently, to allow the interaction using syndicate discussion and backbrief. This training usually covers presentations and discussions on the different aspects of the future operation.

(5)   **Conduct Sub-Phase ID: Battle Staff Training (BST).** Battle Staff Training is a collective training opportunity to fulfill TA commanders requirements for the enhancement of conducting the decision making process (working groups, boards, etc.) within the HQ. The size and scope of the BST will determine which methods (i.e. vignettes, MEL/MIL) and tools (i.e. role players, mentors) are used for the achievement of the commanders' aims. Usually it is conducted as a single level training event. The BST will normally be planned and conducted by TA Commanders within own capabilities as specified in the EXPLAN. Relationships between Phases ID, IIA/B depend on the use that is made of the CRP products (CONOPS, OPLAN) during Phase ID. A direct link between Phase ID and Phase IIIB has an impact on the whole exercise planning process[3] and requires a much bigger support by external entities (i.e. JWC, JFTC). The support by ACT is established during CTS POW Process.

b.   **Phase II (Crisis Response Planning).**

(1)   **Conduct Phase II - Crisis Response Planning (CRP)[4].** The CRP exercise phase is specifically designed for the TA to conduct the OPP within the scope of the NATO Crisis Management Process and NATO's Operations Planning System. The TA will be provided with the Political-Military and Military strategic documents required to trigger specific stages of the OPP. The documents that would be appropriate for the simulated compelling situation will be created beforehand by the OSE EPG, OCE

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[3] If TA CDR desires to use vignettes that are linked to the Phase IIIB scenario, then BST MUST be scheduled after the MEL/MIL scripting conference to ensure continuity of the exercise scenario.

[4] The Phase II EXCON should include, among other things; response cell capabilities for: play of the Phase II scenario injections; utilisation of the Intelligence Requirements Management (IRM) capability and NCRS and role-players for a deployed in-theatre and/or Operational Liaison and Reconnaissance Team (OLRT), as well as strategic level functional expertise to include, among other things, strategic operations planning, sustainment planning, manpower planning, strategic force generation/balancing and strategic deployement planning. In order to accommodate full operational plan development in the exercise environment, EXCON should conduct simulated CJSOR fulfilment with production of the Allied Forces List (AFL), supporting simulated national contributions, strategic force balancing and risk assessment using own-forces' data that will be used in Exercise Sub-Phases IIIA and IIIB

CPT, ODE EPT and/or the EXCON. As a part of collaborative OPP, the TA should contribute to the development of their higher echelon OPP products in accordance with Chapters 3 and 4 of the ACO COPD. The TA will utilise the ACO COPD as well as other ACO directives and their SOPs to activate their appropriate HQ crisis organisations, conduct the OPP, acquire the requisite operational data and information, establish and maintain situational awareness, attain situational understanding and produce the CRP exercise phase deliverables within the applicable timeframe. Appropriate Bi-SC Functional Services will be used in all exercises; for example; TOPFAS, LOGFAS, IRM, NITB.

    (a)   The TA deliverables will include:

        1/   Operational Plan(s).

        2/   Theatre Capability Statement of Requirements (TCSOR).

        3/   Manpower Requirements/Crisis Establishment (CE).

        4/   Sustainment and other specialised functional plans.

        5/   Allied Force List (AFL).

        6/   Allied Disposition List (ADL), etc.

    (b)   Sub-Phase IIA should normally consist of a minimum of 10 days, and Sub-Phase IIB a minimum of 10-14 days. The steps supporting this deliverable are:

        1/   Establish Training Site(s).

        2/   Activate JOPG/OPGs in parent locations.

        3/   Exchange required LOS.

        4/   Establish and Maintain EXCON including Training Teams

        5/   Activate and deploy the OLRT, as applicable.

        6/   Activate Evaluation, Analysis and Experimentation Team(s), as applicable.

        7/   Initiate and Control the Conduct of the TA's Crisis Response Planning.

Scenario Module 4 and selected own force-related elements of Scenario Module 5 must be delivered to the TA in order for them to complete this step. This should be organised in line with the stages of the Operations Planning Process.

ACO Operations Planning Process Stages						
1	2	3	4	5	6	7
Strategic (SHAPE) Level						
Situation Awareness						
	Strategic Assessment					
		Develop the Strategic Military Response Options				
			Strategic Planning Directive and Strategic Military Concept of Operations (CONOPS) Development			
				Strategic Plan Development		
					Execution/Campaign Assessment/Plan Review	
						Transition
Operational (JFC) Level HQ						
Situation Awareness/Knowledge Development						
	Operational Appreciation of SACEUR's Strategic Assessment					
		Operational Orientation				
			CONOPS Development			
				Operational Plan Development		
					Execution, Campaign Assessment/OPLAN Review	
						Transition
Tactical (Component) Level HQs						
Situation Awareness/Knowledge Development						
	Appreciation and Assessment of Options					
		Orientation				
			CONOPS Development			
				OPLAN/Order Development		
					Execution/Assessment OPLAN Review	
						Transition

Figure 5-3 – *Stages of the Operations Planning Process*

(2)   **Observe and Evaluate the CRP.** Evaluation team(s) will conduct evaluations as specified in the EXPLAN. EXCON will analyse the completed CRP exercise phase deliverables to ensure that they lead to the accomplishment of the exercise aim, objectives and TOs and are suitable for setting the Exercise Sub-Phase IIIA STARTEX under the pre-determined conditions as well as supporting the Sub-Phase IIIA execution.

(3)   **Prepare and Conduct Phase II Review.**

c.   **Phase III (Execution).**

(1)   **Conduct Sub-Phase IIIA – Force Activation, Deployment, RSOM&I process.** The aim of this phase is twofold: to synchronise the TCN (Troop Contributing Nations) Forces deployment plans and later on to simulate the execution of those deployment plans. There is not one solution how to accomplish this double objective. This could be achieved either with two separate events or using one event with two different sub-phases. In both cases, the mini-EXCON consisting of subject matter experts is required. The execution of sub-phase III A could be based on Vignettes play. The training audience may be the staff of JLSG (Joint Logisitc Support Group), J3/JOC and others as appropriate, who will normally monitor the deployment and execution of RSOM and later on the Integration of the troops.The steps supporting this deliverable are:

(a)   **Determine Exercise Sub-Phase IIIA STARTEX.** The pre-established Sub-Phase IIIA STARTEX conditions based on, among other things, the OSE's aim and objectives and the OCE's TOs, should be applied to war-gaming of the TAs' OPLANs and other Phase II products against the OPFOR campaign plan within dynamic theatre conditions and environment.

(b)   **Refine and Issue the Requisite STARTEX Documentation, Data and Information for the TA.** This will primarily be found in Scenario Module 5 and in the TA products from the Phase II.

(c)   **Refine OPFOR Campaign Plan (for use by EXCON only).** EXDIR supported by EXCON, OSE/OCE/ODE EPG/CPT and with TA OPR.

(d)   **Establish Training Site(s).**

(e)   **Establish and Maintain EXCON.** A small tailored EXCON will be activated to support Sub-Phase IIIA. See notional Sub-Phase IIIB EXCON organisational structure at Figure 5-2. The EXCON required for Sub-Phase IIIA of a LIVEX will be significantly different from that required for a CPX. It is important to augment the EXCON Grey Cell by HNS experts that could Role Play e.g. Master Harbour or Ministry of Economy and Infrastructure.

(f)   **Activate Training Team(s).**

(g)   **Activate Evaluation, Analysis and Experimentation Team(s).**

(h)   **Initiate and Control the Conduct of the TA's Force Activation, Deployment, and RSOM&I.**

(i)   **Manage the Scenario MEL/MIL/Simulation.**

(j)   **Observe and Evaluate the Force Activation, Deployment, and RSOM Phase.** Daily feedback from deployed observers, trainers and senior mentors (when employed) are used to assess the progress toward the accomplishment of exercise and training objectives.

(k)   **Conduct Deactivation Activities for Exercise Sites** (If required)

(l)   **Prepare and Conduct Sub-Phase IIIA Review.**

(2)   **Conduct Sub-Phase IIIB – Operations.** This Phase represents the culmination moment of all the training delivered by this time. Usually the Scenario build up begins few weeks prior of the execution of this Phase by

providing the TA with a Crisis Situation Update to simulate the political situation progress. During Sub-Phase IIIB, a selected timeframe, or timeframes of the OPLANs produced in Phase II and deployed in Sub-Phase IIIA is represented. Normally this is in the form of a CPX/SYNEX with execution of current operations and activities along with planning of future operations. Prior of the the STARTEX of Phase IIIB different elments of exercise structure are conducting internal training, like Warm-up for PTA, EXCON Training for EXCON staff, EVAL Training for Evaluation Teams. The possible Phase IIIB structure is illustrated in the figure below.
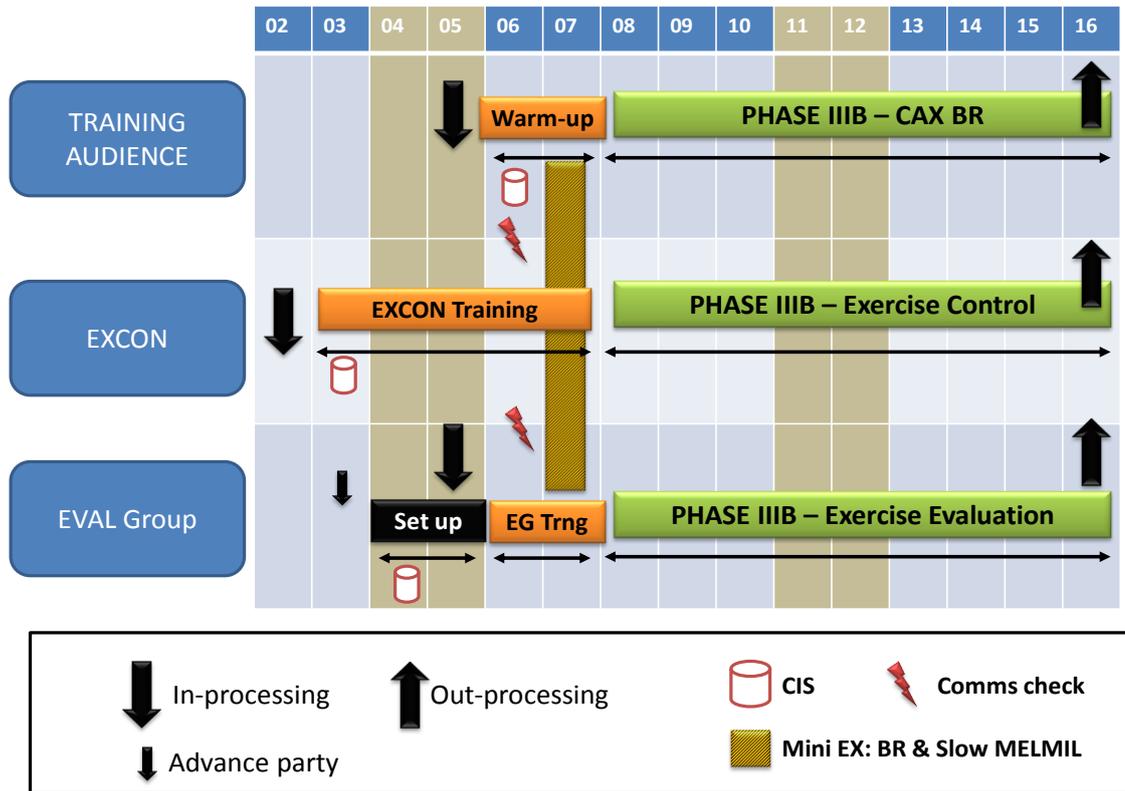
Figure 5-4 – *Phase IIIB Operations*

The steps supporting this deliverable are:

(a)   **Determine Exercise Sub-Phase IIIB STARTEX.** Based on, among other things, the OSE's aim and objectives and the OCE's TOs.

(b)   **Refine OPFOR Campaign Plan (for use by EXCON only).** The EXDIR will ensure that the appropriate members of the EXCON refine the OPFOR Campaign Plan based upon the Phase IIIA results to optimise achievement of the OSE's aim and objectives and the TOs.

(c)   **Refine and Issue the Requisite STARTEX Documentation, Data and Information for the TA.** This will primarily be found in Scenario Module 6 and modified/updated based on the TA products from the Sub-Phase IIIA.

(d)   **Provide the TA with necessary Situation Update Documentation prior of the STARTEX of PH IIIB.**

(e)   **Establish RLS/CSS at Exercise Sites.**

(f)   **Establish CIS Connectivity and CIS Services** (See Annex G)

(g)   **Activate Force Protection (FP) Plan.**   Exercise Real Security considerations are provided at Annex K.

(h)   **Implement Safety and Environmental Measures.**   All exercise sites must have precautions in place for real world emergencies such as fires, oil spills, medical emergencies, etc. A sequence of appropriate drills must be performed at each site prior to the start of the exercise, particularly when the exercise is conducted in underground command facilities or aboard a command ship. LIVEX safety and environmental issues are addressed in Annex Q, Live Exercises and Environmental Protection and Environmental Health Hazard Assessment Considerations.

(i)   **Stand-up EXCON in all Locations.**   IAW EXPLAN inputs including Senior Mentors and Training Teams.

(j)   **Conduct EXCON Training IAW EXPLAN.**

(k)   **Deploy TA to the Exercise Sites.**

(l)   **Conduct Warm-up at the TA Locations.**   This activity is done by TA IOT commence the HQs Battle Rhythm and integrate the augmentee personnel to the staff. This phase is conducted without any interaction between TA and EXCON.

(m)   **Activate the EXCON VOB/NMIC.** The details are included in Annex I.

(n)   **Activate Evaluation, Analysis and Experimental Team(s).**

(o)   **Commence the Exercise by Executing of Agreed Portion of OPLAN.**

(p)   **Manage and Control the Exercise by Executing MEL/MIL and Simulation.**

(q)   **Collect the Daily Observations from Training Teams's to Assess the TA TOs Achievement.**

(r)   **Conduct Evaluation.**

(s)   **Conduct Analysis.**

(t)   **Conduct Experimentation.**

(u)   **Execute the End of Exercise and Conduct Deactivation of Exercise Sites.** As required.

d.   **Phase IV (Assessment).**   Conduct Phase IV - Assessment.   At the conclusion of Phase III (Execution) the EXDIR prepares and conducts a facilitated AAR for the TA, supported by appropriate members of the EXCON.   For JWC/JFTC supported exercises, the Senior Mentor(s) and the Chief(s) Training Team may contribute to the AAR.

(1)   After Action Reviews allow the TA (Commanders and/or designated staff officers) to answer the following questions:

(a)   What was intended?

(b)   What actually happened?

(c)   What went well (and how can it be sustained)?

(d)   What did not go well (and how can it be improved)?

(2)   While the AAR Facilitator can guide the discussion through questions and comments, the AAR is not a critique session. Key steps of this deliverable are:

(a)   **Collect key observations.**

(b)   **Develop Significant Findings, Conclusions and Recommendations.**   Recommendations must be derived from current doctrine and may include ACO validated best practices.

(c)   **Coordinate AAR key points with OCE.**

(d)   **Prepare the AAR Site(s).**

(e)   **Establish VTC Connectivity with all Sites.**

(f)   **Conduct AAR.**

6   STAGE 4: ANALYSIS AND REPORTING

6.1   Introduction.

a.   **Aim.** The purpose of this Chapter is to provide details of the activities that constitute the Exercise Analysis and Reporting Stage. This stage is unique in the sense that it begins early in the exercise planning process and can extend beyond Phase IV. It includes during- and post-exercise observation, analysis and reporting to the OCE by the TA and supporting organisations in accordance with requirements and procedures established in the EXPLAN[1]. The stage officially ends for the OCE when they submit their final OCE's Remedial Actions Report (RAR), although some specialised analysis and experimentation efforts may continue beyond this time frame.
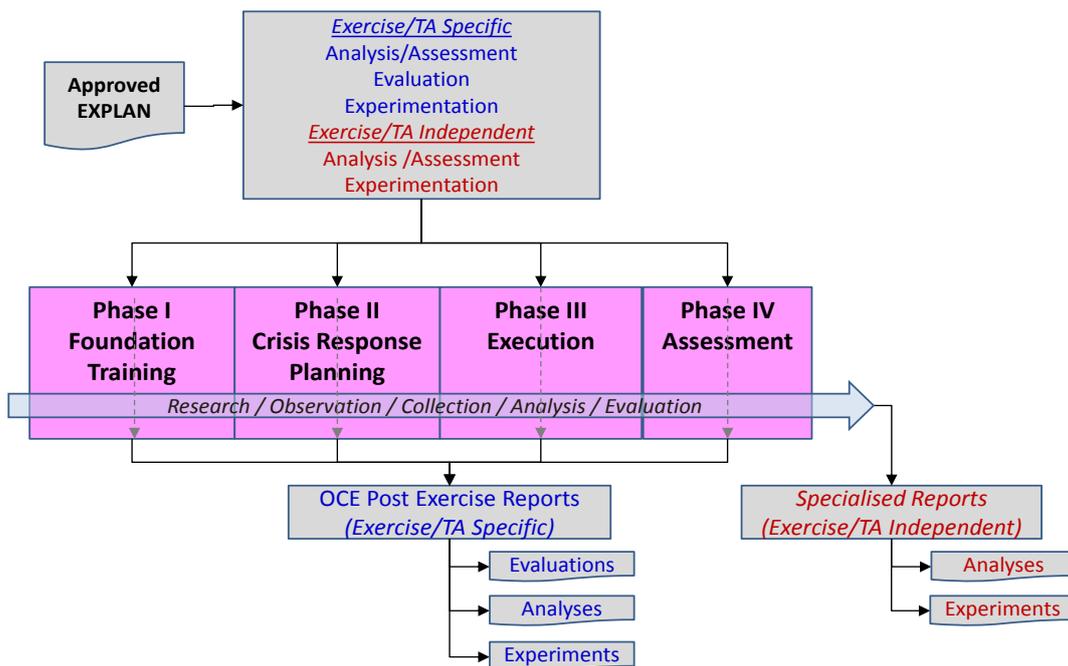
Figure 6-1 – *Exercise Reporting and Lessons Learned Process Interrelationships (Single Exercise Focus)*

b.   **Definitions.** The following terminology applies consistently in this directive.

(1)   **Reports.** Many of the analyses, evaluations and experiments are intended to provide feedback that is exercise and/or training audience specific. However, there may also be specialised analyses and experiments that are intended to address issues that are independent of a particular exercise and/or training audience. All observation, analysis, evaluation and experimentation efforts, whether Exercise/TA specific or not, are to be detailed in the appropriate section/annex of the EXPLAN.

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[1] Reporting requirements established by other organisations will be conducted according to their respective procedures/EXPLAN.

(2)   **Staff.** Generally, there will be a variety of teams involved in conducting the observations, analysis, evaluation and experimentation. In broad terms, these groups fall into four categories: Evaluators, OCE/Exercise Specific Teams, Observer/Trainers and Other/Independent Teams.

(3)   **Evaluators.** Assigned to evaluate the level of performance of the training audience, usually with the end goal being to assess and make recommendations as to the TAs certifiability. These teams fall under the coordination auspices of the DIREVAL.

(4)   **OCE/Exercise Specific Teams.** Assigned to collect observations and make initial assessments as to the various pros and cons noted during the exercise for inclusion in OCE required deliverables such as the AAR, the Final Exercise Report and the Remedial Action Report, Exercise/Training Reviews, etc. The timeline for providing these deliverables is usually no more than 45 days following ENDEX. Examples of these types of teams would be the OCE's J-7 Branch, JWC, JFTC, etc.

(5)   **Observer / Trainers.** This group of individuals is usually present at exercise/training events to enhance the training by providing the TA immediate suggestions, observations, feedback etc. Although they are not conducting formal analyses or evaluations they are an additional team that will be present throughout the training events.

(6)   **Other / Independent Teams.** These teams are present to conduct analysis/experimentation that is not directly linked to the particular exercise and/or training audience. For these teams, the exercise/training event has been identified as a good venue for collecting data; however, their primary "customer" is often not the OCE and their efforts may not be aligned with the provision of deliverables within the tighter time-frame required by the OCE. Organisations providing these types of teams include the JALLC, ACT, the Centres of Excellence (COEs), etc. The role of coordination between Training Teams, Experimentation teams, JALLC teams and EVAL Teams rests with EXDIR as the overarching execution coordinating authority.

6.2   Major Deliverables. There are three main categories of deliverables: Exercise Reports, Specific Analysis Reports and Performance Reports. The Exercise and Performance reports are both Exercise/TA focused and generally, the Specific Analysis and Experimentation reports are Exercise/TA independent.

a.   **Exercise Reports.** Exercise reports address the adequacy of planning and execution of the exercise in the accomplishment of specific Exercise and Training Objectives and Experiment aims.

b.   **OCE's Final Exercise Report (FER).** The OCE's FER is the authoritative report of an exercise to the OSE, due no later than 60 days after completing the exercise. It contains, among other things, a summary of the extent to which the Exercise Objectives and TOs were achieved during the exercise, as well as Observations/Lessons Identified with respect to essential operational capabilities,

training and future exercises. The FER is built around contributions from the AAR, Evaluation Reports, the Post Exercise Discussion and the First Impression Reports, as well as relevant Analysis and Experimentation reports. The FER will include the training audiences' assessments of the exercise as well as inputs from all participants. The FER should draw conclusions, make recommendations and, where lessons are identified, provide the remedial/corrective actions that can be taken by the OCE (as tasking authority for the implementation of the approved remedial actions) as well as those Observations/Lessons Identified (LIs) that are beyond the capability of the OCE to analyse or to correct, which will be addressed by the OSE in the OSE Lessons Identified Action Plan. A template for the FER is at Appendix 7 to Annex D. Personnel from the EPG, CPT, EXCON, ODE (if used), JALLC, and other analysis and evaluation teams may be tasked in the EXPLAN to assist the OCE with the FER and the other events and deliverables that feed into it. Specific Exercise events and reports that contribute to the FER include:

> (1)   **After Action Review.** The findings presented in the post exercise After-Action Review represent the initial, first level of "analysis". The majority of the observations and initial impressions covered during this session will form the basis for the FIR which in turn further contributes to the FER.

> (2)   **First Impression Reports (FIRs).** FIRs are to be made to the OCE by each participating HQ, agency and team upon completing a sub-phase, phase and/or an exercise as specified in the EXPLAN. FIRs contain the first assessment of the exercise or exercise sub-phase/phase. Lessons Identified submitted with the participants' FIRs should be in an ODCR format compatible with the NATO Lessons Learned Database (LLDb) to enhance transition to the Lessons Learned process[2]. The FIR is due to the OCE within 15 days of completing the exercise sub-phase, phase or exercise. The format, addressees and deadlines for FIRs should be detailed in the EXPLAN to enable the OCE to compile the FIRs to support development of the PXD as well as the FER. A template for the FIR is at Appendix 6 to Annex D.

> (3)   **ODE's Training Analysis Report (TAR).** The TAR might be issued when ordered by the ODE and addresses the question: "Are we training the right things?" and "Are we training them right?" Its purpose is to capture issues that will help improve the efficiency and effectiveness of the training itself. Issues covered include training requirements (involvement of SMEs, other TAs, Scenario/MEI/MIL issues, training delivery, topics/focus, pre-exercise preparation requirements, etc. The observations and findings in the TAR feed directly into the OCEs Lessons Identified List.

> (4)   **Post Exercise Discussion (PXD).** The OCE's PXD will be conducted within approximately 30 days of completing the exercise. The PXD is an excellent forum for active discussion among participants at

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[2] For example; the JALLC Lessons Learned Database format which is:
Title/Observation/Discussion/Conclusion/Recommendation.

Command level after the exercise. The aim of a PXD is to: benefit from the exchange of viewpoints and ideas with other participants; discuss the performance of forces and commands during the exercise, particularly in relation to the OSE's aim and objectives; and take immediate advantage of the experience gained and Lessons Identified/Learned. Details for the coordination of the PXD should be published in the EXPLAN and it should be scheduled by the OCE to take place after sufficient analyses have been accomplished to warrant Commander level participation and while impressions are still fresh in mind. The agenda for the PXD will normally be outlined from the findings reported in the FIR(s) and the contents of the discussions will further contribute to the FER.

(5) **OCE's Lessons Identified List (LIL).** The LIL provides the key observations and lessons identified that, once endorsed by the OCE or OSE, will become the OSE's Lessons Identified Action Plan. It is comprised of key observations from the FER and the TAR, as well as inputs from specialised analysis that may be available. The LIL is produced by the OCE with support and input from the OSE, ODE, TA representatives and, if available, the EXTRA community. The LIL includes (minimally): Originator, Topic, Observation, Discussion, Recommendations, proposed Action Body, and recommended Actions. The OCE LIL is to be forwarded to the OSE Exercise Planning Group (EPG) within 2 weeks following the FER for OSE endorsement in order to support timely tasking (through the EPG) for the CPTs of follow-on exercise/training.

(6) **OSE's Lessons Identified Action Plan (LIAP).** The LIAP is in essence, the OSE endorsed version of the LIL with official tasking of action bodies. As with the LIL, the LIAP is a plan that includes (minimally) for each Lesson Identified: Originator, Topic, Discussion, Approved Recommendations, designated Action Body, and Tasking to the Action Bodies. Each tasking will include guidance for the implementation, monitoring and validation of each approved remedial action, and will request the Action Body to submit a detailed Action Plan for the implementation process. The endorsed LIAP is to be placed in the NATO LL Database to assure the LIs are brought into the formal NATO LL process. The timing of the LIL submission and the release of the LIAP are intentionally designed to allow key observations and findings to be rapidly fed forward to influence on-going and/or future exercise development as well as to push key lessons into the NATO Lessons Learned Programme for resolution.

(7) **OCE's Remedial Actions Report (RAR).** The purpose of the OCE's Remedial Actions Report is to provide an update on status of actions taken and progress made regarding the implementation of remedial actions taken internally by the OCE and/or TAs since submitting the FER. This report is due within 90 days of ENDEX and its key observations and lessons are to be used to update the status of the LIAP and, where appropriate, integrated into the NATO Lessons Learned Database.

(8) **Consolidated Venue Experiments Report (CVER).** If experiments are conducted during the exercise, a Consolidated Venue Experiments Report will be generated that summarises the main findings of each experiment. The CVER is submitted to OCE as well as other relevant parties of interest as laid down in the EXPLAN.

c. **Specific Analysis/Experimentation Reports.** When requirements for analysis of specific objectives are directed in the EXPLAN, the applicable Analysis Teams will submit reports as laid down in the EXPLAN.

d. **Performance Reports.** Performance reports address the performance of organisations supporting the training event/exercise or accomplishment of specific performance objectives of the TA. Performance reports include:

(1) **Training Reports.** Training reports may be required for events conducted during the Foundation Training Phase or in stand-alone collective training events; e.g., a Battle Staff Training. Training reports may also be developed by collective training/exercise entities such as an ODE. The EXPLAN should identify which, if any, training events require reports to the OCE.

(2) **Evaluation Reports.** When the EXSPEC establishes requirements for ACO evaluations, the evaluation teams will submit reports as laid down in the EXPLAN.

6.3 **Roles and Responsibilities.** There are three overarching, and occasionally conflicting functions & responsibilities during this stage. First, the various teams have the responsibility to collect the data and information required to fulfill their mandated analysis, evaluation, experimentation and assessment requirements. Second, there is the responsibility for these above activities to have minimal impact on the achievement of the EOs and TOs. Finally, all parties share the responsibility to capture and transition key observations and lessons into the NATO LI/LL process. The key roles during this Stage include:

a. **OSE.** The OSE has the responsibility for validating results and endorsing Lessons Identified. For Stage 4, this takes the form of the OSE Exercise Planning Group (EPG) receiving the OCE's Lessons Identified List (LIL) and forwarding it to the appropriate authority(ies) for endorsement and tasking (in the form of the OSE Lessons Identified Action Plan (LIAP)). The OSE will also initiate the process of assuring the LI endorsed for action are in the NATO LL DB.

b. **OCE.** The OCE is responsible for establishing the organisational responsibilities and procedures for the collection of observations, capturing lessons identified and the generation of the required Exercise and Performance related deliverables, including collation of the FER, the OCE Lessons Identified List (LIL) and the RAR. These efforts are supported by and coordinated through the EXDIR and in turn, and the DIREVAL.

c. **ODE.** During Stage 4, the ODE is responsible for developing and issuing the First Impression Report (FIR) as a key input, along with the FER, into the OCE's Lessons Identified List (LIL).

d. **Exercise Director (EXDIR).** The Stage 4 responsibilities of the EXDIR are to assure the analyses, experimentation, evaluation and assessments that are taking place support and do not conflict with the achievement of the EOs and AOs. The EXDIR dictates conditions the various analysis/evaluation teams work within and serves as the final arbitrator in the event there are conflicts that cannot be resolved by the DIREVAL.

e. **Director of Evaluation (DIREVAL).** He is responsible for coordinating on behalf of the SCs, OSE and OCE, the different evaluation activities that will be conducted during each exercise phase. The DIREVAL coordinates the activities of all evaluation teams as detailed in the EXPLAN in order to improve information sharing amongst the teams, minimise the impact on the EXCON and TA and enhance achievement of the Exercise Objectives and TOs. The DIREVAL shall also coordinate evaluation team requests for modification of planned incidents and/or injections, as well as requests for incidents and/or injections designed to support specific evaluation objectives. The DIREVAL will advise the EXDIR.

6.4   Key Activities. There are five primary activities that take place during this Stage. These five activities are supported by and coordinated through the EXDIR and the DIREVAL.

a. **Providing Coordination and Deconfliction.** The data collection provides the materials to support the analysis, assessments and evaluations as specified in the EXPLAN in order to generate the specified deliverables. The capturing of lessons is essential to assure that findings are shared across NATO for use in future operations and exercises.

b. **Conducting Information and Data Collection.** A variety of data collection methods and tasks may be required of the analysis, experimentation, assessment and evaluation teams. Collection of observations and data during the Exercise Operational Conduct Stage will be accomplished in accordance with procedures laid down in the TA HQs' directives/SOPs, the appropriate EXPLAN annex(es) / appendix(cies) for the EXCON and the analysis and evaluation teams' SOPs. This activity supplements the collection of observations and Lessons Identified that commenced early in the Exercise Concept and Specification Development Stage and that has continued throughout the Exercise Process. The anticipated methods to be used and the requirement for access to any of these data types should be stated beforehand in the applicable evaluation or analysis EXPLAN annex or, by exception, during an exercise as approved by DIREVAL. The exercise-relevant Observations/Lessons Identified that were processed by participating commands in accordance with their own established LL programme directives should be reviewed during the Post-Exercise Analysis activity for inclusion in the formal exercise reporting.

(1) **Information and Data Collection Methodologies.** Five primary methods are generally employed for collecting data in support of analysis, experimentation, assessment and evaluation. Any combination of these methods may be required of the data collection tasks described in section 6.4.2.b below.

(a) **Observations/Lessons Identified.** Every personnel involved in the exercise, both in the planning and the conduct of the exercise, has the responsibility to collect and write observations and to propose lessons identified in order to improve the exercise objectives and the planning and conduct of future exercises. Additionally, a wide range of personnel can be tasked with observing the training audience or particular aspects of the exercise conduct and its support functions. As detailed in the EXPLAN, these observations should be collected in the NATO LLDb standard format (observation, discussion, conclusion and recommendation) using appropriate tools such as the SharePoint ODCR tool on the EXTRA Portal (see Annex S). All observations and lessons identified should be made available to the OCE before staffing of the FER.

(b) **Surveys/Questionnaires.** A variety of Teams may request participants complete check-off lists or questionnaires during specific phases of the exercise or throughout the EP. Analysis results from these should be made available to the OCE before staffing of the FER. It is important for the DIREVAL to have full visibility of and coordinate the distribution of all surveys/questionnaires that are to be employed to assure the TA is not overloaded with these types of tools and that there is minimal duplication of information requested.

(c) **Interviews.** Interviews are a frequent methodology employed by the analysis, assessment and evaluation teams to collect data. These can range from formally scheduled events to informal casual discussions with TA members. As issues being addressed by the various analysis, assessment and evaluation requirements frequently overlap, it is essential to coordinate all interviewing to minimise the impact and distraction to the TA to avoid repeatedly subjecting the TA to the same queries. Automatic Data Collection:

(d) **Automated Capture / Retrieval.** This methodology employs some type of automated (often real-time) data capture/ retrieval mechanisms. This approach can be used effectively to capture / retrieve data such as: email and telephone exchange records; "man-machine" interface/interactions; readouts, minutes and/or records from boards, working groups, VTCs, etc. Although this methodology generally has low impact on the TA, it will usually require planning and effort on the part of the individuals who manage the particular systems to make sure the right mechanisms in place to capture the required data. As such, it is important that any intended uses of this methodology be detailed in the EXPLAN.

(e) **Document/Material Review.** Certain analyses, assessment and evaluations require access to and review of existing, or previously generated documents and materials. These can range from Doctrine, Policy, SOPs, etc. to previously generated, exercise specific materials such as OPLANS, FRAGOS, CONOPS, etc. As a

rule, document/ material review methodologies have low impact on the TA.

(2) **Information and Data Collection Tasks.** The requirements, timings and responsibilities for collection, processing, archiving and distribution of the information and data is established in the EXPLAN. This overarching activity can be visualised as involving combinations of the following tasks:

(a) **Collecting Training Audience Data and Information**

1/ **Accessing Training and Deployability Records.** Some evaluation requirements and/or analysis objectives may require the evaluation/analysis teams to have access to a HQ's personnel training and deployability record.

2/ **Accessing TA Generated Materials.** These may be comprised of decision briefings, VTC tapes, emails, phone records, reports and returns, OPLANS, FRAGOS, staff notices, Records of Decisions, ODCR observations and lessons, etc that are produced by the TAs either prior or during the course of the exercise. These should be archived for exercise analysis and reporting purposes. Access to these types of data must be stated beforehand in the applicable evaluation or analysis EXPLAN annex or, by exception, during an exercise as approved by the DIREVAL.

3/ **Accessing Systems (Automatic) Generated Materials.** On occasions, data from Command and Control and common operational picture systems may be required in support of the various analysis and/or evaluations.

(b) **Collecting EXCON and/or Specific Team Data & Information**

1/ **Accessing EXCON Logs.** EXCON log of events, decisions and daily meetings are an essential tool for exercise analysis and reporting. The EXCON Log should assist those staffing the FIRs to put the comments into perspective, as well as enhance the objectivity of the Final Exercise Report (FER).

2/ **Accessing Assessment Reports (pre staffing of FER).** The reports contain assessments of certain capabilities that have been flagged for examination during an exercise.

3/ **Accessing Training Process Reports.** Training Process Reports provide information on how well the exercise delivered the TOs for the PTA and/or supported the training needs of the STAs should be made available to the OCE for development of the FER.

4/ **Accessing Experimentation Review(s).** These are "quick look" reviews provided by experiment leaders that include observations and recommendations appropriate to the design, structure and conduct of the exercise and the implications for the experimentation.

5/ **Accessing EXCON/Specific Team ODCR Submissions (LI/LL).** These contain observations for EP improvement that have been submitted by the OPRs, EPG, CPT, CPT syndicates, EXCON and specialised Teams throughout the exercise process, from activation of the OSE OPR through approval and distribution of the FER.

(c) **Collecting Real Life Support (RLS) and Communications and Information (CIS) Data and Information.**

1/ **Accessing RLS and / or CIS Observations & Lessons.** Throughout all training phases of the exercise, the RLS and CIS entities should be making, collecting and processing observations and lessons in ODCR format in accordance with their command lessons learned programme and the Bi-SC Lessons Learned and supplementing directives. Provisions to access these observations/lessons should be made with the RLS / CIS OPRs and specified in the EXPLAN in order that the documents deemed essential for specific analysis objectives be collected and archived.

2/ **Accessing Other RLS / CIS Official Documents.** As with the above, provisions to access these observations/lessons should be made with the RLS / CIS OPRs and specified in the EXPLAN in order that the documents deemed essential for specific analysis objectives be collected and archived.

c. **Conducting Evaluations, Analyses, and Assessments.** The actual evaluations, analyses and assessments will be conducted in accordance with and within the timeframes of their respective mandates, which are to be specified in the EXPLAN. The depth and breadth of the evaluations and analyses will be directed by the timelines of their respective deliverables.

d. **Preparing and Issuing Deliverables.** One of the key activities of Stage 4 is the actual preparing and issuing of the various deliverables that are the result of the previously described data collection and analysis type activities. The nature, depth and breadth of the data for each of the deliverables will be specified in the EXPLAN with certain deliverables being in direct support of the OCE and others being mandated by and in direct support of entities outside of the OCE. A general rule of thumb is that rapidly generated deliverables will be exercise/TA specific and consist more in evaluations and initial impressions that, due to time constraints, will be based primarily on "initial analysis". In contrast, due to their

extended analysis periods, more in-depth and root-cause analyses are possible with the longer term deliverables.

e. **Transitioning Key Observations & Lessons into the NATO LL Process.**

(1)   Assuring that findings are captured as LIs or LLs is essential for the improvement of the Alliance forces for future exercises and operations. All exercise-relevant lessons identified/learned should be reviewed by participating commands in accordance with their own established LL programme directives, for inclusion in the FIR, PXD, FER and subsequent OCE LIL.

(2)   To transition findings uncovered during exercises and training into the LL process requires understanding the interrelationships that exist between the data captured in the various exercise/training deliverables (described previously) and the LL process, which is referenced throughout this directive. These interrelationships are portrayed in the figure below.
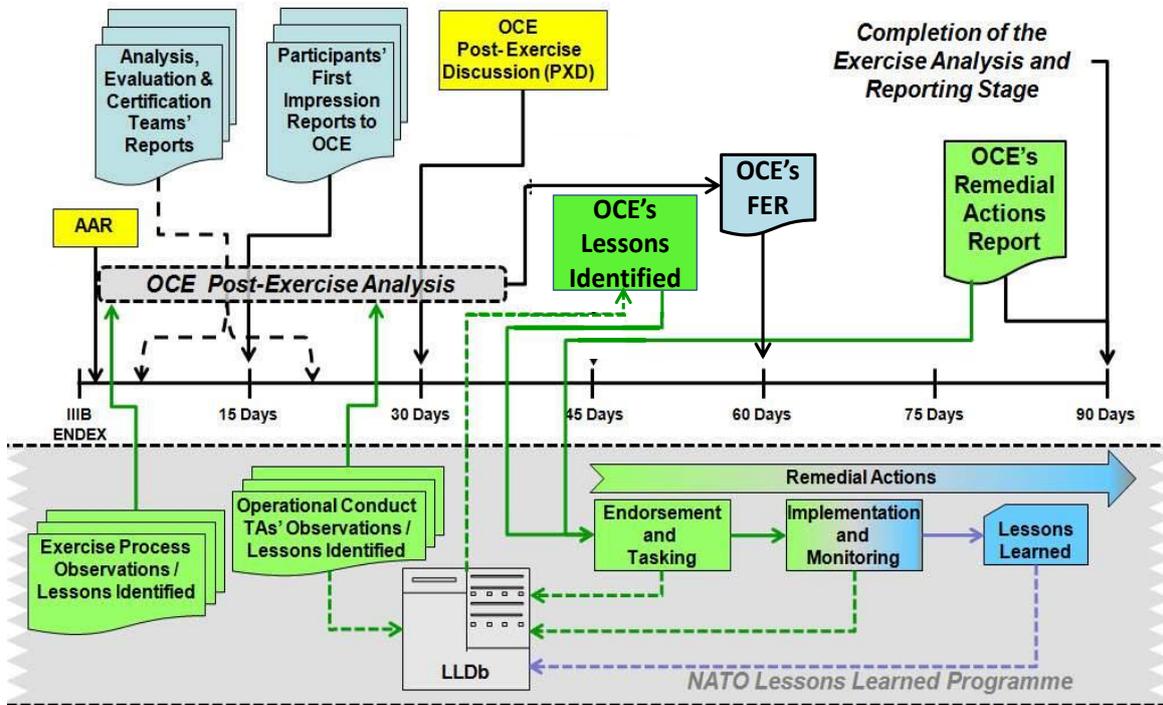
Figure 6-2 – *Exercise Reporting and Lessons Learned Process Interrelationships (Single Exercise Focus)*

(3)   However, capturing the observations and potential lessons from an exercise does not guarantee that these will be carried forward. Assuring that they are endorsed and captured as part of the formal NATO LL process and officially actioned so the lessons can be taken forward, rather than ending with the release of the RAR, requires understanding of deliverables, processes and procedures above and beyond a single exercise. Figure 6-3 diagrams how the various deliverables and activities

by the ODE, OCE and OSE move exercise specific LIs forward, beyond a single exercise/training event.
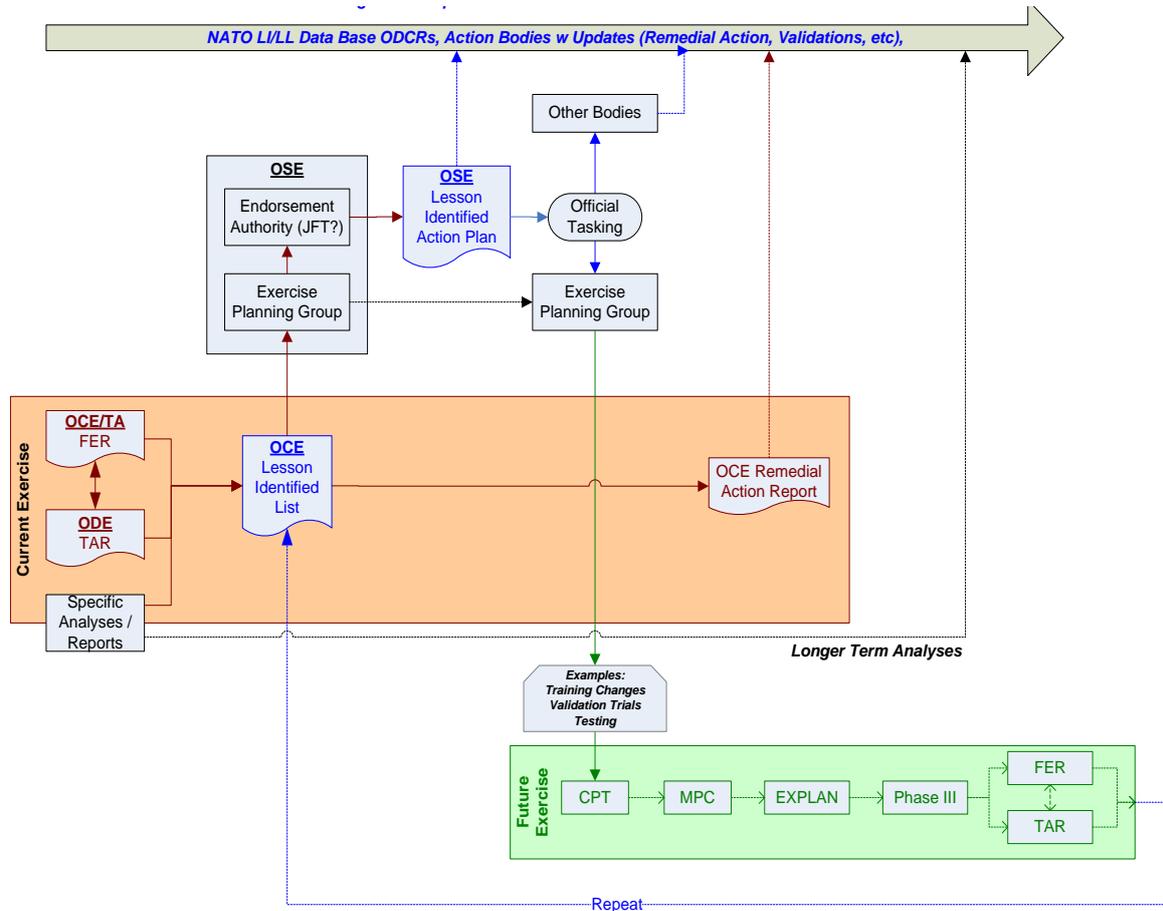
Figure 6-3 – *Transitioning Observations/LI Forward (Cross -HQ/Exercise)*

(4)   In addition to rapid feedback in support of NATO's overall exercise programmes, Figure 6-3 also shows how longer term analyses are eventually moved into the NATO LI/LL process via the coordinated Bi-SC endorsement, appointment of action bodies and institution of remedial actions and validation as per the Bi-SC 80-6, Lessons Learned Directive. The following tasks are involved in transitioning observations and lessons from the exercise/TA specific documents into the NATO LL Process.

(a)   **Consolidate Lessons Identified.**   Annex BB (Exercise Process Lessons Learned Instructions) of the EXPLAN will include the procedures to be used by the EPG, CPT, ODE (if used) and EXCON for collection and analysis of observations and lessons identified throughout the EP for the exercise. Observations and Lessons Identified by the EPG, CPT, ODE (if used) and EXCON will be processed as specified in the EXPLAN and the Bi-SC 80-6, Lessons Learned Directive and, for ACO entities, in accordance with ACO 80-1, Lessons Learned Directive. Observations and Lessons Identified by the TAs during the Exercise Operational Conduct events will be processed in accordance with ACO 80-1, Lessons

Learned Directive. All observations and lessons should be provided in ODCR format compatible with the NATO LL Db.

(b)   **Report OCE's Lessons Identified via the Lesson Identified List.** Derived from the FER, TAR and other reports available at the time. The LIL should include, as a minimum, all Observations, Lessons Identified and Lessons Learned from the exercise that the OCE considers relevant to the exercise aim and objectives. As these are forwarded to the OSE for endorsement and approval, Lessons Identified which are judged beyond the capability of the OCE to remedy will be pushed up to the OSE level to action.

(c)   **Staffing the OCE's Lessons Identified.** The OCE HQ is responsible for staffing the observations and Lessons Identified judged to be within their capacity to address internally and for for updating the NATO LLDb with the Lessons Identified submitted with the FER/LIL.

(d)   **OSE Lessons Identified Responsibilities.** The OSE should address the items/observations in the OCE's Lessons Identified List (LIL) and issue this as the Lessons Identified Action Plan (LIAP) for official tasking.

(e)   **Relation to Periodic LL Reporting.** The Lessons submitted with FERs/LIL may also contribute to the Bi-SCD 75-2 mandated JFCs' annual report to SHAPE on Lessons Learned from the previous year's exercises, trends in exercises and training as well as other exercise and training issues as deemed appropriate.

(f)   **Prepare and Submit OCE's Remedial Actions Report.** The OCE will develop and coordinate the OCE's Remedial Actions Report to be delivered to the OSE within 90 days of completing the exercise. This report should refer to the lessons identified in the LIL that were forwarded to the OCE for endorsement, as well as to the OSE's Lessons Identified Action Plan, in consultation with the Action Bodies tasked to develop and implement Remedial Actions to remedy deficiencies, and provide an update on the lesson status. The steps leading to development of the OCE's Remedial Actions Report are based upon the ACO 80-1, Lessons Learned Directive process.

(g)   **Conduct Lessons Implementation and Monitoring.** The Action Body implements the action plan while the tasking authority monitors its accomplishment. Validation may be necessary to determine if the original issue has been rectified by the actions carried out in accordance with the action plan. When necessary, validation can be conducted to ensure that the originally observed issue has been successfully corrected by the implemented remedial action. Validation requirements should be described in the action plan and can include additional analysis to determine if the remedial

action has generated the desired effects and has therefore resulted in measurable improvement.

(h)   **Update Lessons in the NATO LLDb.** As the status of a Lesson Identified changes, the NATO LLDb should be updated accordingly. When all Remedial Actions on a Lesson Identified are taken, it can be formally changed to a Lesson Learned and recorded as such in the NATO LLDb by the tasked action body.

GLOSSARY OF ABBREVIATIONS, ACRONYMS, TERMS AND DEFINITIONS

**1.	GENERAL.** This Annex presents a glossary of abbreviations, acronyms and terms, as well as definitions used in the exercise process. Some of these definitions may not have been used elsewhere in this directive but are included for completeness of the NATO exercise lexicon. Other common abbreviations and acronyms may be found in AAP-15, Glossary of Abbreviations Used in NATO (current edition) and other common terms are defined in AAP-6, NATO Glossary of Terms and Definitions (current edition).

**2.	ABBREVIATIONS, ACRONYMS AND TERMS**

AAR	After Action Review
ACC	Air Component Command
ACTORD	Activation Order
ADAMS	Allied Deployment and Movement System
ADL	Advanced Distributed Learning
AFCAT	ACT Future Capabilities Analysis Team
AFS	ACO Forces Standards
AIS	Automated Information System
AMCC	Allied Movement Coordination Centre
AMSP	Allied Command Operations Strategic Management Plan
ASG	Administrative Support Group
AU	African Union
Bi-SCD	Bi-Strategic Command Directive
BST	Battle Staff Training
C2	Command and Control
C2IS	Command and Control Information System
C3	Consultation, Command and Control
CAX	Computer Assisted Exercise
CCIS	Command and Control Information Systems
CCT	Commander's Conceptual Training
CD&E	Concept Development and Experimentation
CDEMS	CD&E Management System
CECC	Commaders' EXSPEC Confirmation Conference
CET	Combat Enhancement Training
CFX	Command Post Field Exercise
CIS	Communication and Information Systems
CISSM	CIS Services Matrix
CMX	NATO Crisis Management Exercise
COE	Centre of Excellence
COINS	Communications and Information System (for SIGINT)
COM	Communications Module
COMMEX	Communications Exercise

COMREL	Community Relations
COMSITFOR	Commander Situational Forces
COPD	(ACO) Comprehensive Operations Planning Directive
CORSOM	Coalition Reception, Staging and Onward Movement
CRO	Crisis Response Operation
CPT	Core Planning Team
CPTM	Core Planning Team Meeting
CPX	Command Post Exercise
CREVAL	Combat Readiness Evaluation of Land HQs and units
CRIP	Crisis Response Intelligence Package
CRP	Crisis Response Planning
CS	Case Study
CSR	Commanders' Summary Report
CT&ED	Collective Training and Exercise Directive
CTS	Collective Training Support
CVER	Consolidated Venue Experiment Report
DCAOC	Deployable Combined Air Operations Centre
DCEP	DCIS Contingency Equipment Pool
DCIS	Deployable CIS
DEPEXDIR	Deputy Exercise Director
DEPREX	Deployment Readiness Exercises
DF	Deployable Forces
DIREVAL	Director of Evaluation
DISTAFF	Directing Staff
DOB	Deployed Operating Base
DRR	Defence Requirements Review
DV	Distinguished Visitor
E&F	Evaluation and Feedback
E&T	Education and Training
E&TD	Education and Training Directive
EAPC	Euro-Atlantic Partnership Council
EAPMC	Euro-Atlantic Partnership Military Committee
EAPWP	Euro-Atlantic Partnership Work Plan
EAR	Emergent Analysis Requirement
EBUG	Exercise Budget Users Group (SACT)
ECC	Experimentation Coordination Cell
e-MTEP	Electronic Military Training and Exercise Program
ENDEX	End-of -Exercise
EO	Exercise Objective
EP	Exercise Process
EPG	Exercise Planning Group
EPP	Exercise Planning Process (superseded by EP, Exercise Process)
EPT	Exercise Project Team
ESC	Exercise Specification Conference
ETG	Essential Training Goal
EVC	Experiment Venue Coordinator

EVE	Effective Visible Execution
EXBRIEF	Exercise Brief
EXCEN	Exercise Centre
EXCON	Exercise Control
EXDIR	Exercise Director
EXPD	Experimentation Directive
EXPLAN	Exercise Plan
EXPROG	Exercise Programme
EXSPEC	Exercise Specification
EXTRA	Experimentation, Training, Reporting and Analysis
FAT	Functional Area Training
FCC	Final Coordination Conference
FCRT	Future Capabilities Research and Technology
FER	Final Exercise Report
FIR	First Impression Report
FIT	Force Integration Training
FLR	Forces of Lower Readiness
FM	Fund Manager
FMB	Forward Mounting Base
FMO	Frequency Management Office
FOC	Full Operational Capability
FP	Force Protection
FPG	Functional Planning Guide
FS	Functional service
FST	Functional Systems Training
FTX	Field Training Exercise
GO	Governmental Organisation
HQSG	Headquarters Support Group
HICON	Higher Control
HN	Host Nation
HNS	Host Nation Support
HNSA	Host Nation Support Arrangements
I&IS	Information and Intelligence Sharing
IATO	Interim Authorisation to Operate (CIS)
ICC	Integrated Command and Control
IEG	Information Exchange Gateway
IENR	Initial Exercise News Release
IER	Information Exchange Requirement
IMS	International Military Staff (of NATO HQ)
INTREP	Intelligence Report (message)
IO	International Organisation
IP	Implementing Procedures (for the NATO Financial Regulations)
IPC	Initial Planning Conference
IPF	In-Place Force
IRM	Intelligence Requirements Management (previously known as the Request for Information Management System (RFIMS))

IS	International Staff (of NATO HQ)
ISM	Information Services Module
ITEP	Individual Training and Education Programme
JCATS	Joint Conflict and Tactical Simulation
JEEA	Joint Experimentation Exercises & Assessment (HQ SACT element)
JEMM	Joint Exercise Management Module
JEWCS	Joint Electronic Warfare Core Staff
JF	Joint Force(s)
JFT	Joint Force Trainer
JFATG	Joint Functional Area Training Guide
JIA	Joint Implementation Arrangement
JLSG	Joint Logistics Support Group
JMET	Joint Military Essential Task
JMETL	Joint Military Essential Task List
JOIIS	Joint Operations Intelligence Information System
JTLS	Joint Theatre Level Simulation
KLT	Key Leader Training
LCC	Land Component Command
LCCIS/LC2IS	Land Command and Control Information System
LINC	Limited interim NRF CIS
LIVEX	Live Exercise
LLDb	(NATO) Lessons Learned Database
LO	Liaison Officer
LOAR	Letter of Acknowledgement of Responsibilities
LOCON	Lower Control
LOGREP	Logistic Report (message)
LOPSCONDIR	Local Operations Control Director
LOPSCONTROL	Local Operations Control
LOS	Line of Sight
M&S	Modelling and Simulation
MAREVAL	Maritime Evaluation
MC	Military Committee
MCS	MTEP Control Spreadsheet
MEL/MIL	Main Events List and Main Incidents List
MER	Mid-Exercise Review
MET	Mission Essential Task
METOC	Meteorological and Oceanographic
MIC	Media Information Centre
MICDIR/DIRMIC	Media Information Centre Director
MIP	Multinational Interoperability Programme
MJE	Major Joint Exercise
MJO	Major Joint Operation
MM	Master Messages (PI) / Military Mission (to SHAPE)
MMR	Minimum Military Requirement
MNDDP	Multi-National Detailed Deployment Plan (Developed by SHAPE AMCC)

MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MOVPC	Movement Planning Conference
MPC	Main Planning Conference
MPD	Military Partnership Directorate
MSMP	Modelling and Simulation Master Plan
MTEP	Military Training and Exercise Programme
MTFP	Medium-Term Financial Plan
MTI	Military Tasks for Interoperability (subsumed into the NATO Task List)
MTRP	Medium-term Resource Plan
NAGEP	NATO Guidance for Experimentation Planning
NCRS	NATO Crisis Response System
NCS	NATO Command Structure
NCIA	NATO CIS Services Agency
NETF	NATO Education and Training Facilities
NFR	NATO Financial Regulations
NFS	NATO Force Structure
NGCS	NATO General Purpose Segment Communications System
NGO	Non-Governmental Organisation
NITB	NATO Intelligence Tool Box
NMA	NATO Military Authority
NMIC	NATO Media Information Centre
NMR	National Military Representative (to SHAPE)
NNE	Non-NATO Entities
NNTCN	Non-NATO Troop Contributing Nation
NSB	NATO Signal Battalion
NSHQ	NATO SOF Headquarters
NSWAN	NATO Secret Wide Area Network
NTL	NATO Task List
O&M	Operations and Maintenance
O/T	Observer/Trainer
OCC	Operational Capabilities Concept
OCC E&F	Operational Capabilities Concept Evaluation and Feedback Programme
OCE	Officer Conducting Exercise
OCE COORD	Officer Conducting Exercise Coordinating
ODE	Officer Directing Exercise
OEPLAN	Operational Experimentation Plan
OIE	Operational Information Exchange
OJT	On-the-Job Training
OLRT	Operational Liaison and Reconnaissance Team
OPD	Operational Preparation Directorate
OPFOR	Opposing Force
OPP	Operations Planning Process
OPR	Officer of Principal Responsibility

ORBATTOA	Order of Battle Transfer of Authority (message)
OSE	Officer Scheduling Exercise
PA	Public Affairs
PAA	Public Affairs Adviser (to the International Military Staff)
PAF	Personnel Administration Form
PAO	Public Affairs Office
PARL	Prioritised Analysis Requirements List
PARP	PfP Planning and Review Process
PC	Political Committee
PD	Panel Discussion
PER	Preliminary Exercise Report
PETE	Pre-Exercise Quality Threshold Evaluation for Partners
PMSC	Political Military Steering Committee
POC	Point of contact
POCC	Psychological Operations Component Command
POD	Port of Debarkation
PoP	Point of Presence
POW	Programme of Work
PS	Planning Situation
PTA	Primary Training Audience
PTEC	Partner Training and Education Centre
PXD	Post-Exercise Discussion
REA	Rapid Environmental Assessment
RFI	Request for Information
RFIMS	Request for Information Management System (now known as IRM (Intelligence Requirements Management))
RFS	Radio Frequency Spectrum
RLS	Real-Life Support
ROEAUTH	Rules of Engagement Authorisation (message)
ROEIMPL	Rules of Engagement Implementation (message)
RRS	Readiness Reporting System
RTD	Round Table Discussion
SAL	Service Allocation (CIS)
SAT	Systems Approach to Training
SEAS	Simulation Environments for Analysis and Simulation (M&S tool)
SET	Staff Enhancement Training
SIGINT	Signals Intelligence
SITCEN	Situation Centre
SITFOR	Situation Forces
SITREP	Situation Report (message)
SJO	Smaller Joint Operation
SM	Senior Mentor
SME // SME	Subject matter expert // Spectrum Management Element
SN	Sending Nation
SOCC	Special Operations Component Command
SOF	Special Operations Forces

SOFA	Status of Forces Agreement
SOFEVAL	Special Operation Forces Evaluation
SOM	Scheme of Manoeuvre (for LIVEX)
SOPG	Strategic Operations Planning Group
SOR	Statement of Requirement
SSRS	Specific Security Requirement Statement (for CIS)
STA	Secondary Training Audience
STANAG	NATO Standardisation Agreement
STARTEX	Start of Exercise
StratCom	Strategic Communications
SYNEX	Synthetic Exercise
TA	Training Audience
TACEVAL	Tactical Evaluation
TCN	Troop Contributing Nation
TCSOR	Theatre Capability Statement of Requirements
TE	Training Event
TFMC	Theatre Frequency Management Cell
TIR	Training Improvement Report
TLT	Theatre Liaison Team
TO	Training Objective
TOR	Terms of Reference
TOPFAS	Tools for Operations Planning Functional Area Systems
TSGT	Transportable Satellite Ground Terminal
TT	Training Team
TTPs	Tactics, Techniques and Procedures
UNOCHA	United Nations Office for the Coordination of the Humanitarian Affairs
VOB	Visitors and Observers Bureau
VOBDIR/DIRVOB	Visitors and Observers Bureau Director
VTC	Video Tele-Conference
WAN	Wide-Area Network

3.   DEFINITIONS. Most exercise process definitions lacking doctrinal reference have been derived for this directive. They require being evaluated by users through experience in execution of the exercise process. Additional exercise terminology not used elsewhere within this directive is provided for ease of interpretation.

> **3.1   ACO Forces Standards (AFS).** ACO Forces Standards are developed to cover the complete array of essential operational capabilities, interoperability and flexibility as defined in MC 400/2 for ACO HQs and forces. AFS promulgate the programmes and standards under which SACEUR and subordinate ACO Commanders carry out their responsibilities for planning and execution of evaluations of the military combat readiness and capabilities of their subordinate HQs and designated forces.

> **3.2   After Action Review (AAR).** A facilitated discussion that actively involves the training audience. Through self-discovery, the training audience will discuss the following three basic questions about performance in relation to the Training Objectives: What happened? Why did it happen? How can we do it better? [JWC/JTDD]

3.3   Aim (of an exercise). The OSE's purpose or intention toward which the exercise will be directed.

3.4   Analysis. The study of a whole by thoroughly examining its parts and their interactions. Note: In the context of military forces, the hierarchical relationship in logical sequence is: assessment, analysis, evaluation, validation and certification. [AAP-6(2010)]

3.5   Analyst. An analyst is a person who conducts analysis.

3.6   Assessment. The process of estimating the capabilities and performance of organisations, individuals, material or systems. Note: In the context of military forces, the hierarchical relationship in logical sequence is: assessment, analysis, evaluation, validation and certification. [AAP-6(2010)]

3.7   Battle Rhythm (Operational). A deliberate daily cycle of command, staff and unit activities intended to synchronise strategic, operational, and tactical current and future processes and operations. Activities at each echelon must incorporate higher headquarters' guidance, commander's intent and subordinate units' requirements for mission planning, preparation, and execution.

3.8   Battle Staff Training (BST). Battle Staff Training (BST) is a collective training event designed to maintain and improve the HQ's capabilities in mission-essential tasks comprising responsibilities from several functional areas. The aim of BST is the preparation of staffs for operations and exercises with a special focus on procedures and SOPs in connection with the desired battle rhythm.

3.9   Best Practice. A best way of operating in a particular area. An activity or a series of activities proven effective that can be replicated by others in a similar situation. An observed "good practice" is designated a "best practice" when compared to other similar practices and proven to be the most effective and/or efficient.

3.10   Case Study. A documented study of a real-life or imagined scenario, specifically developed to be used as a training tool. It provides the TA a realistic scenario to bring the theory as listed in the training objectives into practice. The case study provides a systematic way of looking at events and analysing data and information in order to gain a sharpened understanding of why and what might be important to look at more extensively. Case studies are often moderated by a facilitator.

3.11   Certification. The process of officially recognising that organisations, individuals, materiel or systems meet defined standards or criteria. Note: In the context of military forces, the hierarchical relationship in logical sequence is: assessment, analysis, evaluation, validation and certification. [AAP-6(2010)]

3.12   Collective Training. Is the training, other than E&IT, designed to prepare teams, units and other elements to perform military tasks in accordance with defined doctrine standards, Collective training includes procedural drills and the practical application of NATO doctrines, plans and procedures to acquire and maintain tactical, operational and strategic capabilities.(Bi-SC 75-2)

3.13   Combat Enhancement Training (CET). Operational training that is conducted to enhance the combat capability of individual units or joint forces.

3.14   Combined Joint Task Force (CJTF). A multinational (combined) and multi-service (joint) task force, task-organised and formed to carry out the full range of the Alliance's military missions that require multinational and multi-service command and control by a CJTF HQ. It may include elements from non-NATO Troop Contributing Nations.

3.15   Combined Joint Task Force HQ. The CJTF HQ is a deployable, non-permanent combined and joint HQ of variable size, tailored to the mission. It assists the Commander CJTF (COMCJTF) in exercising command and control over the entire CJTF and can be either land or sea- based. [MC 389/2]

3.16   Command Post Field Exercise (CFX). A CFX form exercise is a combination of a CPX-type and a FTX-type in which command, control, and communications elements deploy, but only selected units of troops deploy in an FTX mode. The OSE will determine when troops will be used, in what numbers, and for what purpose(s). In the land context, full deployment will generally not exceed Brigade size.

3.17   Command Post Exercise (CPX). A CPX-form exercise is primarily concerned with the training of HQ staff elements and HQs at all three Command levels. A CPX involves commanders, their staffs and communications within and between HQs. There are two principal purposes for which a CPX may be conducted:

    a.   **Procedural CPX**. To practise and validate specific plans and procedures. The ENDEX situation is pre-determined, and exercise events are controlled to ensure required plans and procedures are practised and validated.

    b.   **Decision-Making CPX**.   To allow Commanders and their staffs to participate in the decision-making process, supported by valid plans and procedures. The ENDEX situation is determined by player action. Some exercise events are controlled in order to ensure that players have the opportunity to make strategic, operational or tactical decisions.

3.18   Commander's Conceptual Training (CCT). Commander's Conceptual Training (CCT) is the senior commander's opportunity to engage leaders of higher and lower command structures, focused on the senior commander's operational priorities/concerns. Typically, this is an event of limited length (2-3 days). The senior commander leads a series of briefings and discussions in which they articulate to key staff and to the subordinate commanders their vision for operations.   This will include orientation briefings to an Area of Operations, an Operations Plan briefing and Contingency Plan briefings. The briefings are focused on a particular area of interest for upcoming major exercises or training events. The end-state is that all attendees clearly understand how the commander wants to fight and can translate that vision into operations. The training audience for CCT includes: Commander, Deputy Commander, Chief of Staff, DCOS, Directorate Heads, POLAD, PAO, GENAD and LEGAD. Equivalent leaders and staffs from subordinate HQs complete the Primary Training Audience.

3.19   Commander's Summary Report (CSR). The Commander's Summary Report is part of the exercise documentation provided by JWC and JFTC when acting as the ODE

for an ACO exercise.

3.20   Community Relations (COMREL). Public affairs activities undertaken to foster relations with the general public, business, academia, military-related associations, and other non-news media entities in the area in which the exercise will take place. [MC 457/1]

3.21   Communications Exercises (COMMEX). COMMEX train and rehearse the full range of communications during operations and exercises. A COMMEX can also be used to exercise/train the NATO Reporting system. [SHAPE COFS Ltr - Deployable Forces Training Concept after NRF FOC 5 May 06]

3.22   Component Command (CC) Training (CC Trng). Training events, which provide the opportunity to prepare HRF HQ to become NRF CC HQ. The event focuses on the procedural differences between being an NRF HQ and being a CC HQ. [SHAPE COFS Ltr - Deployable Forces Training Concept after NRF FOC 05 May 2006]

3.23   Component Command Inter-Operability Exercise. A Component Command Inter-Operability exercise is where different national headquarters and forces of the NATO Force Structure (NFS), trained and certified to NATO standards, operate within the NATO Command Structure (NCS) in such a way as to form an effective, homogeneous and cohesive force.

3.24   Computer Assisted Exercise (CAX)[1] An exercise using modelling and simulation technology to create an artificial environment, identical to the real-world, that will stimulate decision-making and follow-on command and control actions.

   a.   **Distributed CAX**.   Participants remain at home stations, simulation resolution is provided by special communication means from a central location, and information is distributed by networked computers.

   b.   **Non-distributed CAX**. All participants exercise at a central location.

3.25   Concept Integration. Concept Integration is the process to bring together new methods, procedures and techniques into exercises as directed by HQ SACT and SHAPE.

3.26   Control (of an Exercise). Control of an exercise is the minute-by-minute activity that ensures the exercise is conducted as planned. A crucial aspect of control is ensuring that the progress towards the achievement of the training objectives is constantly monitored. Where the execution of the exercise is failing to allow the TA to meet its training objectives remedial action is required through additional direction from the EXDIR.

3.27   Controlled Exercise. Controlled Exercises are characterised by the imposition of constraints on some or all of the participants with the principal intention of provoking interaction. Variation in control can be achieved by:

   a.   **Pre-Scripting the Events**. EXCON predetermine all events and activity in an attempt to guarantee achievement of the exercise objectives, irrespective of player action.

b. **Dynamic scripting of the Events**. EXCON allows a degree of free play to develop with incidents being injected as play unfolds.

3.28 Core Planning Team (CPT). The CPT is established by the OCE in accordance with the CPT Terms of Reference issued by the OSE to carry out the detailed planning, coordination and preparation of the exercise according to the Exercise Specification and the OSE's Planning Guidance. The CPT is chaired by the OCE's OPR and comprises representatives from the OSE, participating commands, participating evaluation teams and supporting centres and agencies as well as the ODE when designated. When an exercise consists of transformational elements, an HQ SACT OPR will be included in the CPT responsible to coordinate these aspects.

3.29 Crisis Management Exercise (CMX). A CMX is a NATO HQ level exercise which exercises input and direction from the political, military and civil authorities from nations at NATO HQ. HQ SACT, SHAPE and appropriate subordinate command levels could also participate in a CMX. Details are outlined in the CMX Planning Guidelines.

3.30 Deployable Forces. Deployable Forces (DF) are available for the full range of NATO missions, fully deployable throughout Alliance territory and beyond, composed of primarily multinational HQs and forces and held at the appropriate readiness level. They are organised in a pool of national and multinational HQs/forces and provide the capability for rapid reaction and reinforcement of In-Place Forces (IPF) in case of any Article 5 operation as well as for rapid reaction and rotation of HQs/forces in case of non-Article 5 CRO. [MC 317/1]

3.31 Deployable Forces Training Guidance. Deployable Forces training guidance is established and described in Chapter 8 of Bi-SCD 75-2 to create a common understanding of DF training in order to train, exercise, evaluate, validate, and certify joint and combined forces for current and future DF operations.

3.32 Deployment Readiness Exercises (DEPREX). DEPREX are scaled exercises to train and rehearse rapid deployment systems including air, sea, and rail and convey procedures. [SHAPE COFS Ltr - Deployable Forces Training Concept after NRF FOC, 5 May 06]

3.33 Direction (of an exercise). Direction of an exercise is the authoritative instruction issued by the EXDIR to guide the exercise activity to best achieve the OSE's aim and objectives.

3.34 Director of Evaluation (DIREVAL). The DIREVAL is the senior officer responsible for the evaluation efforts according to OSE direction. The DIREVAL coordinates the interaction of different evaluation analysis and assessment teams with the EXCON and Training Audience and provides advice to the EXDIR.

3.35 ENDEX. A brevity term used to identify the date and time an exercise, or a phase/sub-phase of an exercise, is planned to end.

3.36 Evaluation. The structured process of examining activities, capabilities and performance against defined standards or criteria. Note: In the context of military forces, the hierarchical relationship in logical sequence is: assessment, analysis, evaluation, validation and certification. [AAP-6(2010)] .

3.37   Evaluation Requirements. Evaluation requirements, as used in this directive, are the requisite exercise conditions and resources that enable the appropriate evaluation team to accomplish their mission during a specific exercise.

3.38   Evaluation Standards. Evaluation standards are the operational, procedural, material and technical standards and their associated measurement/performance criteria derived from the ACO Forces Standards and which are used by SACEUR and subordinate ACO commanders to evaluate and assess headquarters and forces. Evaluation standards may be either an exact value, a physical entity, or an abstract concept, established and defined by authority, custom, or common consent to serve as a reference, model, or rule in measuring quantities or qualities, establishing practices or procedures, or evaluating results. Evaluation standards consist of measures that provide the basis for describing varying levels of task performance and criteria that define the minimum acceptable level of performance associated with a particular measure of task performance

3.39   Event. An inserted major occurrence or a sequence of related incidents which fit into an exercise framework and are supported by injections designed to generate response(s) from the exercise participants.

3.40   Exercise Analysis Report. A report prepared as a result of any analysis conducted during the exercise. It contains the independent views and findings of the analysis team.

3.41   Exercise Brief (EXBRIEF). The document used to obtain MC/DPC approval for the Military Exercise Press Releases.

3.42   Exercise Category. There are two Categories of NATO Military exercises -- Collective Defence (Article 5) and Non-Article 5 exercises. However, for the design and development of a specific exercise these categories can be further characterised using the following criteria: Levels, Form, Type and Control.

3.43   Exercise Control (EXCON). EXCON is the term used to describe all of the participants during the Operational Conduct of an exercise who are not in the training audience and thus who are under the control of the Exercise Director (EXDIR). The EXCON includes, among other entities: the EXDIR support staff; the evaluation and analysis teams (under supervision of the Director of Evaluation (DIREVAL)); the experimentation teams, the EXCON real life support, including CIS, visitors bureau and public information; the training teams and mentors; the situation control elements (scenario, RFI and MEL/MIL management); and the response cells (higher, lower, situational forces and non-NATO entities).

3.44   Exercise Control Methods. NATO exercises of all types and forms of both categories generally fall into one of two methods of control – controlled or free play. Controlled exercises may have either pre-scripted or dynamic scripted events or both.

3.45   Exercise Design. Conventional term used in describing the activities and steps of the Exercise Concept and Specification Development Stage that analyse the strategic requirements, the OSE's Exercise Objectives and the OCE's training objectives in order to present alternative exercise designs for the OSE's decision briefing.

3.46 Exercise Directing Staff (DISTAFF). A group of officers who by virtue of experience, qualifications, and a thorough knowledge of the exercise instructions, are selected to direct or control an exercise. [AAP-6(2010)]

3.47 Exercise Director (EXDIR). The Exercise Director, proposed by the OCE and approved by the OSE, is the senior officer responsible for the overall direction and control in support of the exercise aim and objectives as well as the approved training objectives. The EXDIR will be designated during the Exercise Concept and Specification Development Stage and engage in the remainder of the Exercise Process in support of the OCE. The EXDIR will head the Exercise Control (EXCON) organisation and direct all aspects of execution of an exercise on behalf of the OCE.

3.48 Exercise Forces. Forces used in exercises to replicate NATO Command, Assigned, Earmarked, Other Forces for NATO and Opposing Forces. Exercise forces can consist of:

  a. **BLUE Forces**. Those forces used in a friendly role during NATO exercises.

  b. **LIME, ORANGE or SITFOR (Situation Forces)**. Those forces used in a situational or opposing role during NATO exercises. Also referred to as OPFOR (Opposing Forces).

  c. **PURPLE Forces**. Those forces used to oppose both BLUE and SITFOR in NATO exercises. This is most usually applicable to submarines and aircraft.

  d. **WHITE Forces**. Those units used as umpires in an LIVEX.

  Note: During FREE PLAY phases of an exercise colours different from the first three above may be introduced to denote those forces that oppose each other but use their own national and NATO characteristics and tactics.

3.49 Exercise Form. There are three NATO military exercise forms: Command Post Exercise (CPX); Exercise Study; and Live Exercise (LIVEX).

3.50 Exercise Level. The term *Exercise Level* indicates the number and degree of participating Command Levels (Echelons) TA within a NATO Military Exercise. Examples: 2-level strategic-operational (e.g. CPX with SHAPE and JFHQ as TA); 2-level operational-tactical (e.g. LIVEX involving MARCOM plus maritime TGs).

3.51 Exercise Objectives. Exercise Objectives are defined by the OSE based on their overall strategic/operational vision, aim and intent for the exercise as well as the Essential Training Goals. As a whole, they provide the TA with a mission statement that will serve as a basis to adapt the Scenario on the one hand, and to develop the Training Objectives on the other hand. The Exercise Objectives are promulgated in the EXSPEC. Exercise Objectives serve to focus exercise planning, execution and evaluation and analysis to ensure that specific operational requirements are met. Therefore, they must address intensity, volume of forces and nature of operations involved.

3.52 Exercise Plan (EXPLAN). The EXPLAN is issued by the OCE and provides detailed instructions to exercise participants and supporting commands, centres,

agencies or other activities for the preparation, conduct, support, evaluation and reporting of the exercise. It establishes requirements, responsibilities and the schedule of activities for the provision of training events and activities, scenario modules, simulation support, real-life support, communications, exercise control and exercise analyses and reports. Operations planning products developed for use by the training audience (operations plans, exercise intelligence products/studies, exercise forces, planning directives, messages, orders, etc.) are issued in accordance with operational procedures and are not part of the EXPLAN.

3.53   Exercise Planning Group (EPG).   The EPG is established by OSEs to support their exercise process responsibilities, activities and steps. Its membership should be drawn from the OSE's staff, and may also include, as appropriate, selected members from other participating HQs, agencies and centres as well as from the training audiences. The EPG size will vary from meeting to meeting depending on the agenda and the subject matter expertise required. Members of the EPG will be responsible for the production of their respective portions of the EXSPEC under the leadership of the OSE OPR. The EPG should continue during the EP to provide specific expertise to the OSE OPR and also to the OCE in defined areas such as budget, intelligence, political advice, and legal affairs.

3.54   Exercise Project Team (EPT).   TA and other participating organisations may establish EPTs as required to provide cross-functional support for all stages of the Exercise Process.

3.55   Exercise Records.   The means by which exercise data are compiled and forwarded for evaluation and analysis. They include, among other things: tapes, plots, charts and Exercise Forms.

3.56   Exercise Synchronisation Matrix.   A grid-like array based on the Exercise Milestone Planning Schedule that is used as a tool for CPT/EXCON synchronisation of the exercise process Operational Conduct Stage Activities/Steps, the training audiences' participation in the exercise training model phases/sub-phases and the exercise scenario main events.

3.57   Exercise Specification (EXSPEC).   The EXSPEC is promulgated by the OSE and specifies the exercise aim and objectives, the concept of the exercise including the level, type and form of the exercise, the exercise area, scenario and/or Host Nation, participation requirement and the designation of the Officer(s) Conducting the Exercise (OCE) as well as the ODE and any required coordinating instructions.

3.58   Exercise Study.   An Exercise Study is a form of exercise which includes map exercises, war-games, lectures, discussion groups, seminars or operational analyses and that involve a limited number of participants with a specific functional focus

3.59.   Exercise Type.   The type of an exercise is a further characterisation of the exercise form (CPX, Exercise Study or LIVEX) by the manner in which the exercise is delivered to the exercise participants and controlled. The exercise type(s) will be selected by the OSE to be the type(s) deemed to be most effective in achieving the exercise aim and objectives. More than one type may be designated below category, level and form. Exercise types are normally referred to by using abbreviations or brevity terms indicating the classification or nature of the exercise. The following list contains a

number of examples and is not intended to be all inclusive. Other abbreviations or brevity terms may be employed to designate special types of military exercises provided they are defined the first time they are used in each exercise related document.

ADEX	An exercise in air defence that may include operations by air units, surface units, and submarines
ALEX	Alert Exercise
ARTEX	Artillery Exercise
ASUWEX	Anti-Surface Warfare Exercise
ASWEX	Anti-Submarine Warfare Exercise
CASEX	Combined Anti Submarine Warfare Exercise
CAX	Computer Assisted Exercise
CFX	Command Field Exercise
CPX	Command Post Exercise
COMMEX	Communications Exercise
DEPREX	Deployment Readiness Exercise
DISTEX	Disaster Exercise
EWEX	Electronic Warfare Exercise
FTX	Field Training Exercise
GUNEX	Gunnery Exercise
INVITEX	National exercise to which forces of nations may be invited to participate
JOINTEX	Joint Exercise involving forces of two or more services of the same nation
LOGEX	Logistic Exercise
MAPEX	Map Exercise
MCMEX	Mine Counter Measure Exercise
MEDEX	Medical Exercise
MINEX	Mine Laying Exercise
MOVEX	Movement Exercise
NCSEX	Naval Control of Shipping Exercise
PASSEX	Exercise arranged with forces on passage
PHIBEX	An amphibious Exercise, including landing forces
SACEX	Supporting Arms Coordination Exercise
SAREX	Search and Rescue Exercise
SEARCHEX	Sea/Air Search Exercise
SIGEX	Signal Exercise
SMASHEX	Submarine Search Escape and Rescue Exercise
SOFEX	Special Operations Forces Exercise
SUBEX	Submarine Exercise
SWMOVEX	Special Weapons Movement Exercise
SYNAX	Synthetic Air Exercise
SYNADEX	Synthetic Air Defence Exercise

3.60 Experimentation. Experimentation is a procedure for discovery, testing of hypotheses, or demonstrating known facts.

a. **Collective Experimentation**. Collective experimentation involves the integration of discrete experiment events into NATO and national exercises. It

allows testing of concepts under "operational" conditions and exposes the training audience to possible future capabilities.

b. **Stand-alone Experimentation**. Stand-alone experimentation requires venues that are tailored to support the experiments themselves. These experiments typically are not suitable for integration into a training exercise without having a disruptive impact on that exercise.

3.61 Experiment Type. The general types of experiments are: demonstration, discovery and hypothesis-testing.

a. **Demonstration Experiment**. Demonstration experiments are designed experiments in which known truth is recreated, analogous to those in high school in which students follow instructions to show that the laws of chemistry and physics operate as the underlying theories predict. For NATO these activities are cooperative demonstrations of technology to show that an innovation can, under carefully orchestrated conditions, improve the efficiency, effectiveness or speed of a military activity. The technologies employed are well established and the setting (e.g., scenario, participants) is orchestrated to show that these technologies can be employed efficiently and effectively.

b. **Discovery Experiment**. Discovery experiments are designed to create recommendations of concepts that are most likely to produce successful future military and/or political capabilities for the Alliance. Their outcomes are expected to be insights rather than optimality or rigorous quantitative analyses; they do not produce final answers. Discovery-type capabilities experiments produce actionable recommendations that address desired operational capabilities and potential investment streams.

c. **Hypothesis-testing Experiment**. Hypothesis-testing experiments are the classic type used to advance knowledge by seeking to falsify specific hypotheses (if…then statements) or discover their limiting conditions. They also are used to test whole theories or observable hypotheses derived from such theories. To conduct a hypothesis-testing experiment, the experimenter creates a situation in which one or more dependent variables can be systematically observed under conditions with varying independent variables, while other potentially relevant factors (i.e., control variables) are held constant, either empirically or through statistical manipulation. Hence, results from hypothesis-testing experiments are always caveated with "all other things being equal.

3.62 Fictionalised Scenario Design. A fictionalised scenario depicts a fictional situation made by changing real world details. A fictionalised scenario may have a real setting with a made-up situation or a real situation with a made-up setting to achieve the exercise objectives with all other aspects being real. An exercise of a Contingency Operational Plan (COP) using real NATO forces in a made-up world is an example of a fictionalised scenario.

3.63 Fictitious Scenario Design. A fictitious scenario depicts a totally imaginary setting and situation. A fictitious scenario will have an imaginary situation in an imaginary setting with all other aspects being invented to achieve the exercise objectives. An exercise study with vignettes based on notional NRF forces being deployed under an imaginary international security organisation mandate to an imaginary operational area is

an example of a fictitious scenario.

3.64   Field Training Exercise (FTX). A FTX-type exercise is an exercise where only selected units are deployed into the field such as elements of a GRF or FLR or a Communications unit. The non-deployed troops are represented by their HQ deployed in the exercise area.

3.65   Final Exercise Report (FER). The authoritative report of an exercise issued by the OCE within 60 days of completing the exercise and approved by the OSE. It contains comments on the exercise, together with conclusions and recommendations and a statement on the actions to be taken. The OSE is to ensure the FER is forwarded to the Joint Analysis and Lessons Learned Centre (JALLC).

3.66   First Impression Report (FIR). The report made to the OCE within 15 days of completing the exercise or end of a phase/sub-phase of an exercise by a commander or designated commanding officer as specified in the EXPLAN. It contains the first assessment of the exercise or exercise phase/sub-phase.

3.67   Flow Execution Plan (FEP). The FEP is the Multi-National Detailed Deployment Plan (MNDDP) as exported from the Allied Deployment and Movement System (ADAMS) functional tool into the Effective Visible Execution (EVE) functional tool which is used for reporting, monitoring and management of forces deployment and sustainment movements by the Joint Commander.

3.68   Force Activation. In order to execute an OPLAN it is necessary to activate and deploy the forces required by that OPLAN. Force activation is the responsibility of SACEUR and is initiated by a NAC Force Activation Directive and the force activation process will normally commence prior to OPLAN approval and could be coincident with CONOPS approval. [MC 133/3]

3.69   Force Commander. The officer designated to exercise operational control over specific forces for a particular period during an exercise.

3.70   Force Generation. Required for all NATO military operations which: must begin early in concurrence with the OPP; must be adapted to situation; depends on NAC/National decisions; is multi-level based upon guidance and tasks down and determination of force requirements up; establishes force flow to implement concept of operations; requires planners, operators and movers; and is limited by force readiness, availability and mobility.

3.71   Force Integration Training (FIT). Operational training that is conducted to practise and improve the force integration of service or joint forces en route to (for air/maritime forces) or immediately prior to deploying to an operational theatre for a specific mission.

3.72   Force Protection. Passive and active defence of personnel, weapon systems and infrastructure to minimise the effects of any adversarial action, to include the effects of WMD, whilst ensuring Allied freedom of action and force effectiveness. [MC 400/2]

3.73   Force Standards. The operational and logistics capability requirements and, where applicable, *the* performance criteria that nations must meet in planning for and

training any forces they intend to allocate to NATO. They enable Commanders to assess the respective forces as to their abilities to perform their assigned missions. [Bi-SCD 75-2]

3.74 Foundation Training. Foundation Training prepares and enables the TA to successfully conduct Phase II (Crisis Response Planning) and Phase III (Execution) of an exercise. It spreads from Individual to Collective Training Events and is a vital stepping stone to achieve the Exercise Objectives and Aim.

3.75 Framework. A basic storyline that provides the skeleton around which the actual play for an exercise is constructed.

3.76 Framework EXPLAN. A framework EXPLAN is the term used in this directive to describe the document developed by the OCE's Core Planning Team prior to the initial Planning Conference (IPC) to enable the production of the Initial Draft Exercise Plan (EXPLAN).

3.77 Free Play Exercise. Free play exercises are used to test the capabilities of participants under contingency and/or wartime conditions. Action is limited only by the need to achieve the overall exercise aims and objectives, and/or by imposing artificialities or restrictions required by peacetime safety regulations.

3.78 Functional Area/Systems Training. Functional Area/Systems training is focused on developing the individual's competency in staff standard operating procedures (i.e. reporting requirements) or on particular functional systems in his (*sic*) functional staff area of expertise and may be conducted in an individual training or a collective training event. [Bi-SCD 75-2]

3.79 Functional Services (FS). Functional Services are Software Based Systems (SBS) capabilities that provide support to a specific staff function or process. They will, in general, be oriented towards a specific staff mission or mission area. They will be components of the ACO Fielded System Baseline and should therefore make best use of core capabilities and other functional services within the system. Examples of Functional Services include: TOPFAS, ICC, JOIIS, ADAMS, LOGREP. [EAPC (NC3B)WP(2003)003, NATO Software Management Guidance]

3.80 Generic Forces. Military and/or paramilitary forces developed for an exercise that are representative of real world forces with respect to unit identification, strength and command structure; disposition of their personnel, units and equipment; and doctrine. All information and data for Generic Forces should be compatible with the appropriate NATO processes and Bi-SC AIS Functional Services.

3.81 Geo-Strategic Situation. A conventional term that describes the overall setting and current situation for an exercise. It includes, among other things, crisis area geographical information, the major regional actors, a description of the current crisis and the historical background of the crisis as well as the major political, military, economic, cultural, humanitarian and legal conditions, including membership in relevant Arms Control treaties and agreements that support a NATO military response.

3.82 Grey Cell. Conventional term used to describe a JWC response cell that is composed of subject matter experts or role players representing agencies, organisations,

institutions and individuals outside of the NATO force structure and outside of the opposing forces structure. The composition of the Grey Cell must be tailored for each exercise, but typically it includes international, national and non-governmental organisations and agencies, local governments, local authorities at federal/provincial/municipal levels, local police forces, local civilians, local military and media.

3.83   Higher Control (HICON). Conventional term used to describe the Response Cells that represent the command levels/echelons that would normally be at the level above the TA.

3.84   Host Nation (HN). A nation which, by agreement: (a) receives forces and materiel of NATO or other nations operating on/from or transiting through its territory; (b) allows materiel and/or NATO organisations to be located on its territory; and/or (c) provides support for these purposes. 4/10/00 [AAP-6 (2009)]   *Note: This term is also used during the exercise process in a generic sense to identify a NATO military HQ, centre, agency or other entity that 'hosts' or provides support to participants in a NATO exercise; for example JWC or JFTC. However, issues like Force Protection will always remain with the HN as defined above. For NATO exercises, all 'host nations' should be identified early to enable the requisite MOUs and support agreements to be finalised as well as to allow for required build up of infrastructure and to ease coordination between the OSE, OCE, ODE and the HN.*

3.85   Host Nation Support Arrangements (HNSA). Those documents which detail the support, political, legal and/or financial arrangements agreed upon by national and NATO authorities and which are necessary to provide HNS to NATO-led operations and exercises. [AJP-4.5(B)]

3.86   Hotwash/Hotwash-up. Conventional terms used to describe various ways in which ACO Commanders may conduct informal debriefings or follow-up discussions and evaluations of the performance of a HQ or multiple HQs during an exercise or major event or following its conclusion. The main purpose of a hotwash is to identify strengths and weaknesses recognised during the exercise/event, which may then lead to identifying lessons in order to avoid repeating errors made in the past. A hotwash-up normally includes all the parties that participated in the exercise or event.

3.87   Incident. An incident is an element or subset of an exercise event. It is an action or situation that provides greater clarity to an event by the utilisation of injections to the exercise audience.

3.88   Information Exchange Requirement (IER). The IER is a statement of the need to exchange information between cooperating forces or headquarters. They specify the information to be exchanged in a standardised manner, within the context of the mission, key tasks, required degree of interoperability and the parameters of communications and information systems involved. [APP-11(A)]

3.89   Initial Exercise News Release (IENR). A statement containing basic information issued to alert the public/media that an exercise will take place. [MC 457/1]

3.90 Injection. The way of bringing an incident to the attention of the players for whom it was created (and from whom a reaction is expected). Injections are to be made by

response cells or by the MEL/MIL Steering Group through the using doctrinal communications means and, where available, formats and media. The intent is to simulate the likely source of such information in a real situation/operation (e.g., intelligence report, newspaper article, operational report, etc.).

3.91   Inspector.   Inspectors are sponsored individuals who are obliged by treaty to ascertain specific details of an exercise and have been correctly declared in accordance with that treaty.

3.92   Integration.   Integration is the process of bringing together the various national units into a joint multinational force under the command of the JFC. [AJP-3-13, Final Draft]

3.93   Intelligence Requirements Management (IRM).   The NATO system for receipt, validation, processing and transmission of intelligence requirements, which support the operational commanders. [AJP-02.1].

3.94   Interoperability.   The ability to operate in synergy in the execution of assigned tasks. [AAP-6(2010)]

3.95   Joint Force Command Exercise.   A Joint Force Command Exercise is where the JFC is identified as the TA. When just the JFC is being exercised it will be a level one (1) exercise. If identified parts of ACO and/or a number of CCs are involved the level of the exercise will be numbered based on the number of Command levels playing. If all three levels were participants it would be a three (3) level exercise.

3.96   Joint Implementation Arrangement.   Follow-on document (*to the Host Nation Support MOU, Technical Arrangement, and Statements of Requirements SOR(s) from each Sending Nation and NATO formation deploying to the Host Nation*) which establishes the commitment between the participants concerning the provision and receipt of HNS. It includes the most detailed information on the required and offered support, the site specific procedures to implement the support arrangements and the reimbursement details. [AJP-4.5(B)]

3.97   Joint Mission Essential Task (JMET).   A task the Joint Force Commander designates as essential to mission accomplishment and defined using the common language of the NATO Task List (NTL). Each MET should have the defined minimum acceptable proficiency required in the performance of the task. This is either an exact value, a physical entity, or an abstract concept, established and defined by authority, custom, or common consent to serve as a reference, model, or rule in measuring quantities or qualities, establishing practices or procedures, or evaluating results. For JMET, each task standard is defined using the ACO Forces Standards (AFS) and/or relevant NATO documents, by the joint force commander, component commander or agency director and consists of a measure and criterion. [Bi-SCD 80-90]

3.99   (Joint) Mission-Essential Task List ((J)METL).   A list of mission-essential tasks selected by the commander to accomplish an assigned or anticipated mission. A (joint) mission-essential task list includes associated tasks, conditions and standards, and requires the identification of supporting tasks.

3.100 Key Leader Training (KLT). Key Leader Training is aimed to familiarise selected command and staff officers, designated to fill specific HQ positions in a national or multinational environment, with the force mission and organisation, updated situation, supporting plans, key reference documents, SOPs and HQ responsibilities in order to provide a common foundation on related issues. It has to focus on specific topics exposing the leaders to challenges they could face during operations. Whenever possible, this programme should be held in the HQ AOR, offering the necessary realism. The selection of this training audience falls under Force Commanders, Deputy Commanders, Division and Directorate Heads and special staff officers designated to fill main posts within each HQ. When feasible, representatives of Non-NATO entities, with experience in stabilisation and reconstruction operations, should be included in the programme to train and discuss opportunities, possibilities and constraints of civilian – military cooperation in operations. [Bi-SCD 75-2]

3.101 Lesson Identified (LI). An observation for which a remedial action has been developed and an action body to carry out the remedial action has been proposed. [Bi-SC Lessons Learned Directive 80-6]

3.102 Lesson Identified Action Plan (LIAP). The LIAP is the list of key lessons identified and findings that have been endorsed for action by the OSE. These are lessons which can be actioned to future exercise CPTs or tasked to other agencies for remedial action or further analysis.

3.103 Lesson Identified List (LIL). A list of key lessons identified and findings compiled from the FER, TAR and other available analysis from the exercise. The LIL is the primary mechanism to push identified lessons up to the OSE for endorsement and tasking in a timely enough fashion to inform future exercises and organisations. It formally injects the identified lessons into the NATO LL process. The LIL is to be forwarded to the OSE within 10 days of the release of the FER and TAR.

3.104 Lesson Learned (LL). An improved capability or increased performance confirmed by validation when necessary resulting from the implementation of one or more remedial actions for an LI. [Bi-SC Lessons Learned Directive 80-6]

3.105 Lessons Learned Database (LLDb). The NATO LLDb is a central collection of Observations, LI and LLs, maintained in a user-friendly, searchable format. All NATO commands are required to maintain a LLDb capability. [Bi-SC Lessons Learned Directive 80-6]

3.106 Letter of Acknowledgement of Responsibilities (LOAR). The LOAR is an acknowledgement from an individual that NATO information that they may have access to in the context of their involvement in Operations, Training, Exercises, Transformation and Cooperation (OTETC) activities shall only be used for the effectiveness of NATO's mission, and shall not be shared or transmitted to third party organisations, bodies, persons or nations. A LOAR is to be signed upon arrival on the OTETC task and a further LOAR is to be signed at the conclusion of their involvement with NATO. [Bi-SC Handbook for Information and Intelligence Sharing with Non-NATO Entities]

3.107 Live Exercise (LIVEX). Exercises which provide the opportunity to conduct force integration training at the component level during the NRF preparation phase and to conduct proficiency training during the NRF stand-by period. [SHAPE COFS Ltr -

Deployable Forces Training Concept after NRF FOC 5May06]

3.108 Lower Control (LOCON). Conventional term used to describe the Response Cells that represent the command levels/echelons that would normally be at the level below the TA.

3.109 Main Events List/Main Incidents List (MEL/MIL). The MEL/MIL, the main tool (normally a database) for the EXCON to control the exercise, is maintained by EXCON and it is structured on the main events developed to support achievement of the exercise objectives. Each main event will have one or more incidents that are presented to the training audiences by means of injections. The MEL/MIL should encompass the complete timeline of the exercise and, at ENDEX, be updated to include all dynamic and unscripted events, incidents and injections utilised during the exercise conduct.

3.110 Major Joint Exercise (MJE). Major Joint Exercises have the aim of training and exercising the key leaders and headquarters staffs for real world, joint and combined operations, employing three levels of command: strategic, operational and tactical.

3.111 Mid-Exercise Review (MER). An AAR conducted after phase change, change of mission, or as designated in the EXPLAN to take immediate advantage of fresh thought and allow for immediate improvement.

3.112 Military Exercise. A military manoeuvre or simulated wartime operation involving planning, preparation, and execution. It is carried out for the purpose of training and evaluation. It may be a combined, joint or single service exercise, depending on participating organisations. [Bi-SCD 75-2]

3.113 Military Experimentation. The process of exploring innovative ways of improving current capabilities and methods and in particular the evaluation of the feasibility, usefulness and limitations of such methods. Experimentation is a subset of Concept Development and Experimentation (CD&E).

3.114 Military Tasks for Interoperability (MTI). A Bi-SC planning tool for all PfP activities that defines in broad terms the area of interoperability and for each MTI includes a list of related source documents and which most MTI are limited to the tactical level with a main focus on operational procedures. [Bi-SC MTI] *Note: The MTI tasks have been fully incorporated in the 2007 revision of the NATO Task List.*

3.115 Mission Essential Task[1] . A task that the commander has designated as essential to mission accomplishment. [Bi-SCD 80-90, NTL]

3.116 Mission Essential Task[2]. A task the commander designates as essential to mission accomplishment. Mission essential tasks are reflected in the mission and establish the operational requirement for the allocation of military capabilities and the prioritisation of training, exercises and evaluations. [ACO COPD]

3.117 Mission Secret Network. A Mission Secret network is deployed to provide Communication Information Systems (CIS) support to NATO Deployed Forces HQs. The network operates in a Mission Secret System High Mode in which all individuals with access to the CIS are cleared to the highest classification level of information within the system, but not all individuals with access have a common need-to-know for the

information within the system. To enable interconnection between a network handling NATO Secret information and a network handling Mission Secret information, it will be necessary to develop an Information Exchange Gateway (IEG).

3.118 Mission Rehearsal Exercise (MRE). Conventional term used to further describe that collective training designed for headquarters staff for an upcoming military operation.

3.119 Modelling. In exercise development, execution and/or analysis; a simplified description, especially a mathematical one, of a system or process, to assist calculations and predictions.

3.120 Module. In exercise scenario design and development; each of a set of standardised parts or independent units that can be used to construct a more complex structure.

3.121 Monitoring/Monitor. The act of listening, carrying out surveillance on, and/or recording the emissions of one's own or allied forces for the purpose of maintaining and improving procedural standards and security, or for reference, as applicable.

3.122 Mounting. All preparations made in areas designated for the purpose, in anticipation of an operation. It includes the assembly in the mounting area, preparation, and maintenance within the mounting area, movement to loading points, and subsequent embarkation into ships, craft, or aircraft if applicable. [AAP-6(2010)]

3.123 Multinational Detailed Deployment Plan (MNDDP). The MNDDP is the SHAPE developed, de-conflicted deployment plan based on the national Detailed Deployment Plans (DDPs).

3.124 NATO Assigned Forces. The nationally declared Force Designation Category which describes: Forces/HQs which nations agree to place under the operational command or operational control of a NATO commander in accordance with the NATO Precautionary System/NATO Crisis Response System, or as specified in special agreements such as MOU or when requested by a Strategic Commander through an ACTORD on the basis of a NAC-Agreed OPLAN and Execution Directive. [MC 317/1]

3.125 (NATO Military) Exercise[1]. A military manoeuvre or simulated wartime operation involving planning, preparation and execution. It is carried out for the purpose of training and evaluation. It may be a combined, joint or single service exercise, depending on participating organisations. 1/3/81 [AAP-6 (2009)]

3.126 NATO Military Exercise[2]. An exercise scheduled by a NATO authority, is one in which NATO forces and/or personnel perform military functions with the object of improving the capabilities of NATO forces, headquarters or agencies in the implementation of NATO's full spectrum of capabilities. NATO military exercises open to partner participation are designed to meet NATO requirements with a secondary goal of partner interoperability.

3.127 NATO Response Force (NRF)[1]. The NRF is a high readiness, joint and combined force, capable of performing certain missions on its own, as well as participating in an operation as part of a larger force, or serving as an initial entry force that prepares the theatre for follow-on forces. The NRF will be able to participate in the

full range of NATO operations and be capable of conducting opposed entry into a hostile area. The NRF is limited in size, composition and capabilities. [MC 477]

3.128 NATO Response Force (NRF)². NATO Response Forces (NRF) will be deployable high readiness forces drawn from the entire NATO Force Structure, as well as from other forces offered by NATO Nations, on the basis that they meet the high readiness criteria set by the Strategic Commander for Operations. [MC 477]

3.129 NATO--Wide Exercise. A NATO-wide exercise that involves SACEUR, the Joint Force Commanders (JFCs) and a majority of their Component Commanders (CCs) (with or without forces) and MODs is considered a four (4) level exercise.

3.130 Observation. A comment based on something someone has heard, seen or noticed that has been identified and documented as an issue for improvement or a potential best practice. [Bi-SC Lessons Learned Directive 80-6].

3.131 Observers. Observers are sponsored individuals who attend an exercise with a specific military or diplomatic objective to fulfil. Sponsors would normally be either the Host Nation or the NAC.

3.132 Observers/Trainers. *See Training Team.*

3.133 Off the Shelf (OTS) Scenario. An OTS scenario is a scenario and its modules which could be used as is, or adapted to meet an exercise requirement. Some or all of the OTS scenario's modules may require alteration or updating to be compatible with changes in doctrine, in the geopolitical environment or for use in new versions of Functional Service tools.

3.134 Operational Experimentation Plan (OEPLAN). The OEPLAN describes ACT/JWC/JFTC experimentation execution during an exercise. The OEPLAN will consist of a main body with annexes as required, including the Experiment Design, the Analysis Plan and the Data Collection Plan for each experiment.

3.135 Officer Conducting the Exercise (OCE). The OCE is designated by the OSE and can be an ACO Commander or a national commander. The OCE is responsible for the planning, executing and reporting the exercise results according to OSE direction. The OCE can also be the Training Audience (TA) Commander or a participant.

3.136 Officer Directing the Exercise (ODE). If required an ODE can be designated by the OSE. The ODE supports the OCE for the detailed planning and overall execution of the exercise by creating the conditions which allow the achievement of the exercise aim and objectives.

3.137 Officer with Primary Responsibility (OPR). The OPR is the designated staff officer in each HQ, agency and centre with primary responsibility for coordinating the planning, preparation, execution and analysis of an exercise on behalf of their commander/director.

3.138 Officer Scheduling the Exercise (OSE). The OSE is the Commander who establishes the requirement for the exercise, schedules it in the MTEP, directs the exercise planning and execution, ensures that it is adequately resourced, validates the

exercise results and endorses lessons identified. The OSE may also serve as OCE and/or the TA Commander.

3.139 On-the-Job Training (OJT). The training of individual members serving in specific positions in military units or staffs to provide them with the skills relevant to those positions.

3.140 Onward Movement. Onward Movement is the process of moving units and accompanying materiel from reception facilities and staging areas on to their final destination (e.g. tactical assembly areas). [AJP-3-13]

3.141 Operation Plan (OPLAN). An OPLAN is designed to counter an actual or developing crisis, both Article 5 and non-Article 5. … An OPLAN is a detailed and comprehensive plan capable of execution, which has forces assigned and all necessary preparations undertaken for successful execution of the assigned mission. … In circumstances where multiple operations are conducted concurrently within a single region, it may be deemed necessary to develop a single, theatre-wide campaign plan, to ensure proper coordination, unity of purpose and economy of effort of all military activities involved in the execution of, and support for, these operation. [MC 133/3]

3.142 Operational Capabilities. Capabilities a unit must possess to accomplish its assigned missions. The requirements are amplified in force standards specific to each service. [Bi-SCD 75-2]

3.143 Operational Capabilities Concept (OCC) Evaluation and Feedback (E&F) Programme. A NATO Evaluation Programme for partner units. The programme's aim is to assist partners in transformation of their national defences and prepare units for NATO-led non Article V Crisis Response Operations and NRF.

3.144 Operational Liaison and Reconnaissance Team (OLRT). The OLRT is a discrete team, formed by the JFC HQ to contribute to the process of gaining early, first hand situational awareness in theatre. The OLRT facilitates the rapid establishment of liaisons and conducts reconnaissance in a designated area that may become a future theatre of operations or Joint Operating Area (JOA).

3.145 Order of Battle (ORBAT). The identification, strength, command structure, and disposition of the personnel, units, and equipment of any military force. [AAP-6(2010)]

3.146 Other Forces for NATO. The nationally declared Force Designation Category which describes: Force/HQs which might be placed under the operational command or the operational control of a NATO commander in circumstances which should be specified, or forces which might cooperate with NATO forces. [MC 317/1]

3.147 Panel Discussion. A panel discussion is a forum in which a group of specialists (between 3 and 5) are available for questions and answers in relation to defined topics in front of an audience. Panel discussions are often introduced by a briefer (one of the specialists) and intended to provide "the voice of experience" in an open discussion forum.

3.148 Pool of Forces and Capabilities. The Operational Capabilities Concept (OCC) Pool of Forces and Capabilities (PoF) consists of Forces declared to NATO by partners.

These Forces will train to reach NATO standards and when completed they may participate in NATO led ops, NRF or NATO LIVEX. [MC 554/1]

3.149 Post Exercise Discussion (PXD). The Post Exercise Discussion (PXD) is the forum for active discussion among participants after the exercise, while thoughts and impressions are still fresh. The aim is to discuss the performance of forces and commands during the exercise and take immediate advantage of the experience gained.

3.150 Preliminary Exercise Report (PER). A report which may be submitted by the OCE in the case of CJTF and NRF capability exercises, where the initial evaluation indicates lessons of major significance or an urgent need for remedial action.

3.151 Primary Participants (PP). Personnel assigned to HQs, units, activities or forces of the PTA.

3.152 Primary Training Audience (PTA). The PTA is that headquarters/command/participant/unit identified in the MTEP/EXSPEC as the main focus of the training. The OSE's exercise aim and objectives and OCE`s approved training objectives are designed to satisfy PTA training requirement

3.153 Prudent risk management. An exercise budgeting term defined as: The technique of introducing calculated risk into budgetary processes, with the objective of optimising forecast credit coverage with actual expenditure requirements. Risk is undertaken in specific instances in partnership between nations, SCs and JFCs.

3.154 Rapid Environmental Assessment (REA). The REA provides for environmental information that can be used during the planning and execution of military operations. The information required consists of an agreed depiction of the meteorology, oceanography, hydrography and geography of the operating area providing a seamless characterisation of the battle space. The REA structure draws information and products from appropriate meteorological forecasting centres. REA provides the framework to address all operational activities required to draw operationally meaningful information out of the available data (archived, modelled, measured or observed) to support maritime operations. [EXTAC 0777]

3.155 Reach Back. Reach back is the process of obtaining mission essential C2, products, services and applications, in a timely manner, by using Communication and Information Systems (CIS) technology between non-deployed and forward-deployed elements forming a single HQ in order to achieve operational efficiency. [Bi-SC Letter to DIMS, "Reach Back for Deployed Operations", 4 Nov 04]

3.156 Real Geography. Geography based on real world maps and data, but which may have political features altered such as country boundaries and names.

3.157 Real Scenario Design. A real scenario depicts a real Crisis Response Planning situation in a real world setting and with all other aspects being real. A Mission Rehearsal Exercise is an example of a real scenario.

3.158 Reception. Reception operations include all functions that are required to prepare, receive and clear unit personnel, equipment and materiel through the Forward Mounting Base (FMB)/Port of Debarkation (POD). [AJP-3-13, Final Draft]

3.159 Reception, Staging and Onward Movement (RSOM). RSOM is the phase of the deployment process that transitions units, personnel, equipment and materiel from arrival at ports of debarkation (POD) to their final destinations (FD). [AJP-04.4(A)]

3.160 Reception, Staging, Onward Movement and Integration (RSOM&I). RSOM&I is the essential process that transitions deploying forces, consisting of personnel, equipment and materiel arriving in the JOA, into forces capable of meeting the JFC's operational requirements. [AJP-3-13, Final Draft]

3.161 Remedial Action (RA)[1]. An activity or set of activities that correct an issue identified for improvement or facilitates the implementation of a best practice. [Bi-SC Lessons Learned Directive 80-6]

3.162 Request for Information (RFI)[1]. The format in which an intelligence requirement (IR) is passed to Collection Coordination and Intelligence Requirements Management (CCIRM) authorities at higher, lower or adjacent levels. [AJP-02.1]

3.163 Request for Information (RFI)[2]. Essential Elements of Information or Specific Intelligence Requirements formatted into a request for processing along the chain of command. It includes the parameters of the information as originator, urgency, priority, suspense date, justification and background. [Bi-SCD 65-5]

3.164 Response Cells (RCs). These are Cells within the EXCON that represent absent superior, equivalent, or subordinate levels of command reactions during an exercise. They are the main tools for creating realism for the players. They replicate all agencies that the players would interact with in a real operation. Response cells inject incidents in the most realistic manner possible, task the players and are tasked by the players. For SYNEX, these cells, among other things, provide the interface between the participants' doctrinal information exchange media and the simulation computer system.

3.165 Resolution (simulation). The level of detail of a model or simulation.

3.166 Round Table Discussion. A discussion between the key leaders of a group and specialists in order to discuss an issue approved in advance. The discussion is always introduced by a briefer and moderated in order to provide feedback on questions, to brainstorm solutions to a problem or to discuss an issue of public concern. The format is more or less fixed and an excellent venues for giving and receiving targeted feedback, engaging in-depth discussions with specialist and colleagues on management level related to similar interests and topics.

3.167 Scenario. The background story that describes the historical, political, military, economic, cultural, humanitarian and legal events and circumstances that have led to the current exercise crisis or conflict. The scenario is designed to support exercise and training objectives and, like the setting, can be real, fictionalised or synthetic as is appropriate. A scenario will be composed of specific modules essential to the accomplishment of the exercise objectives or of the seminar/academic/experiment objectives.

3.168 Scenario Design. There are four basic categories of scenario designs with varying combinations of situations, settings and scenarios used for NATO exercises with relationships as portrayed at Figure below.
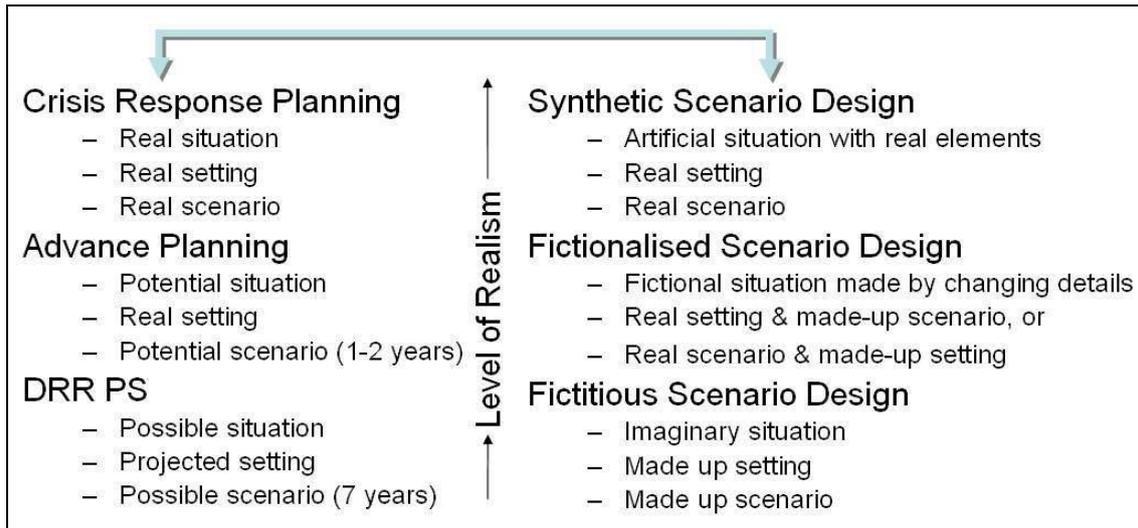
Figure A - 1 *Real, Synthetic, Fictionalised and Fictitious Scenario Design Relationships*

3.169 Secondary Participants (SP). Personnel receiving training as a result of their assignment to HQs, units, activities or forces of the STA participation.

3.170 Secondary Training Audience (STA). The STA is that headquarters/command/participant /unit related to the PTA, whose participation in the exercise is identified in the MTEP/EXSPEC or by the OCE as necessary to assist in achieving the exercise aim and objectives. The STA may be able to exploit additional training opportunities within the scope of the exercise, in which case they become a secondary focus. Collectively the PTA and STA are referred to as the training audience (TA).

3.171 Senior Mentor. Senior Mentors are subject matter experts (SMEs) with extensive military operational experience, who are available to pass on their expertise to NATO commanders and staffs during training, exercises, mission rehearsal events and operational situations. The SM Programme, run by HQ SACT, specifies further details.

3.172 Setting. A geographic and strategic situation designed to provide all the conditions required to support the achievement of high level exercise aims and objectives. The setting, which can be real world, fictionalised or synthetic is the framework on which the scenario can be developed.

3.173 Signals Intelligence (SIGINT). The generic term used to describe communications intelligence and electronic intelligence when there is no requirement to differentiate between these two types of intelligence, or to represent fusion of the two. 16 Jul 1996 [AAP-6(2010)]

3.174 Simulation[1] . A unique form of instruction, with emphasis on operational training, to facilitate complex and integrated learning, primarily utilising electronic means to imitate as realistically as possible the operating environment (e.g. natural and tactical). [Bi-SCD 75-2]

3.175 Simulation[2] . The execution over time of models representing the attributes of one or more entities or processes. Human-in-the-loop simulations, also known as simulators, are a special class of simulations. [NATO Modelling and Simulation Master

Plan (MSMP) 1998]. *Note: The MSMP defines three categories of simulations: live simulations which involve real people operating real equipment; virtual simulations which involve real people using simulated equipment; and constructive simulations which involve simulated people operating simulated systems.*

3.176 Simulation[3] . A means of representing dynamically the operating conditions of a real system. Simulation used in training dynamically models real environments and/or equipment to enable trainees to acquire and practice of skills, knowledge and attitudes. [JWC Definition]

3177 Snapshot. A snapshot is a selected situation. Snapshots are usually used as training aids where particularly complex situations occur that need to be walked through. A snapshot is directly related to, and supports the achievement of, the exercise aim and objectives. A series of snapshots conducted at intervals to train or exercise staff progressively is often termed *vignettes*.

3.178 Staff Element/Enhancement Training (SET). SET is an internal training Exercise Study event conducted by a military Headquarters, normally with minimal outside assistance, as preparation for future missions. A SET may be based upon the scenario for a related exercise or it could be based upon a stand-alone scenario that pertains only to that training event. SET training objectives may focus on individual staff Branches or the HQ as a whole. Its purpose normally is to practise operations planning and staff procedures peculiar to that HQ or peculiar to a given mission, such as mounting and deploying an NRF operation. It may be used to confirm or examine SOPs. A SET could also be conducted as a CPX

3.179 Staging. Staging assembles, temporarily holds and organises arriving forces, equipment and materiel into component units in preparation for onward movement, integration and tactical operations. [AJP-3-13]

3.180 STARTEX. A brevity term used to identify the date and time an exercise phase or sub-phase is planned to start. The STARTEX date/time may be actual (real world calendar) or based on the days/hours after an earlier exercise event, such as the "G-Day", that pre-established STARTEX conditions are met.

3.181 Storyboard. Conventional term used to describe the mechanism and documentation related to the synchronisation of multiple scenario elements. The storyboard synchronises all aspects of a scenario for all MEL/MIL main events

3.182 Storyline. Conventional term used to identify a specific aspect of an exercise scenario. It describes within a MEL/MIL main event, one developing situation that will set conditions and provide the Training Audience an opportunity to achieve a specific Training Objective.

3.183 Strategic Command Exercise. A strategic command exercise involving SACEUR and/or one JFC and/or CCs and/or forces, which will determine the level of the exercise. If just the SC were the TA without subordinate HQs play it would be a one (1) level exercise. If all three levels of Command were involved it would be a three (3) level exercise.

3.184 Strategic Deployment. Strategic Deployment transports mission-assigned forces, consisting of personnel, equipment and their sustainment, from a Port of Embarkation (POE) to a Forward Mounting Base (FMB)/Port of Debarkation (POD). [AJP-3-13, Final Draft]

3.185 Supporting task. A specific activity that contributes to accomplishing a joint mission-essential task. Supporting tasks are accomplished by the command staff or subordinate commands. [Bi-SCD 80-90, NTL]

3.186 Synthetic Exercise (SYNEX). A SYNEX is an exercise type in which forces are generated, displayed and moved by electronic or other means on computers, simulators or other training devices. Command Post Exercises and Exercise Studies can be conducted as a SYNEX and SYNEXs can be conducted in support of a LIVEX.

3.187 Synthetic Geography. Artificially constructed physical and cultural geography. It is difficult and expensive to develop this to a high resolution, so such geography may contain patches of real geography to support operational and tactical level training.

3.188 Synthetic Scenario Design. A synthetic scenario depicts an artificial situation in a real world setting and with all other aspects being real or generic. An exercise of a Contingency Operational Plan (COP) using generic NATO forces in a real world setting is an example of a synthetic scenario.

3.189 Theme. Conventional exercise planners' term used to describe, among other things:

> a.   The relationships between one or more exercise events and the exercise aim and objectives.

> b.   An anticipated operational phase that will be deduced by the Training Audience operational planners and which would serve as a means for exercise planners to organise and associate events, incidents and injections. For example; "Training in the initial phase of an operation in order to create a safe and secure environment".

3.190 Time jump. Exercise planners' conventional term used to describe the practice of accelerating time during periods when the exercise players are not active in order to establish specific situations and conditions to enhance achievement of the exercise aim and objectives. Time jumps must be supported by EXCON development and provision of situational data and information to set conditions for putting the training audience in the STARTEX picture after the time jump

3.191 Timeline. Conventional exercise planners' term used to describe the times of occurrence of past events/incidents that support the exercise scenario, current or ongoing events/incidents that assist establishment of the exercise setting and projected events/incidents through the envisioned period that exercise play will take place.

3.192 Training. The generic term for the permanent process of preserving and improving the ability of military individuals, staffs and forces to conduct sound military operations. It encompasses individual and collective training. [Bi-SCD 75-2

3.193 Training Analysis Report (TAR). A report issued by the ODE that addresses the questions: "Are we training the right things?" and "Are we training them right?" Its purpose is to capture issues that will help improve the efficience and effectiveness of the training itself. Issues covered include training requirements, involvement of SMEs, other TAs, Scenario/MEL/MIL issues, training delivery, topics/focus, pre-exercise preparation requirements, etc. The TAR is to be submitted within 60 days of ENDEX for its key observations and findings to be included in the OCEs Lessons Identified List.

3.194 Training Audience (TA). Collective term that includes both the Primary Training Audience and the Secondary Training Audience

3.195 Training Objective. A TO is a mission essential task to be performed, under resource conditions, and defined standards (references and criteria of performance). It describes the staff processes, knowledge, skills or attitudes to be reached during the conduct of training.

3.196 Training Team (TT). The TT is comprised of subject matter experts (SMEs) who provide staff level mentoring to the Training Audience (TA) in functional areas (examples: planning, logistics, communications, force protection, intelligence and so forth). SMEs are generally – but not necessarily – drawn from non-TA headquarters such as Joint Warfare Centre, Joint Force Training Centre, Multinational CIMIC Group South (MNCG) and CIMIC Centre of Excellence (CCOE) or even from IOs/NGOs such as the ICRC and UNOCHA. The TT usually acts in two roles simultaneously: as Observers who note the performance and operational practices of the TA, and as Trainers who coach the TA in the execution of their staff duties. Hence they are commonly known as Observer/Trainers (O/T). Each Main Training Objective is observed by at least one OT from TT. The TT works closely with the SM to advise EXDIR on the performance of the TA.

3.197 Transposed Geography. Real geography data that is moved to another location on the surface of the earth.

3.198 Validation. The confirmation of the capabilities and performance of organisations, individuals, materiel or systems to meet defined standards or criteria, through the provision of objective evidence. Note: In the context of military forces, the hierarchical relationship in logical sequence is: assessment, analysis, evaluation, validation and certification. [AAP-6(2010)]

3.199 Vignette. A brief description, account or episode which evokes strong images, memories or feelings. A vignette-based Exercise Study is an exercise that uses the vignette details as the exercise setting and situation.

3.200 Visitors. Visitors are individuals or small groups (committees etc) from participating organisations or countries who are invited to attend a designated, programmed and possibly pre-scripted, portion of an exercise.

3.201 White Cell. Conventional term used to describe a response cell that is composed of subject matter experts or role players representing agencies, organisations, institutions and individuals outside of the NATO force structure and outside of the opposing forces structure. The composition of the White Cell must be tailored for each exercise, but typically it may include international, national and non-governmental organisations and agencies, local authorities at Federal/ Provincial/ Municipal levels, local security forces

and local population.

3.202 Workshop. An Exercise Process meeting at which a select group engages in intensive discussion and activity on a particular subject or project. Workshops should have specific product requirements and/or end-states established before the meeting.

NAMING CONVENTION FOR COLLECTIVE TRAINING EVENTS AND EXERCISES

Bi-SCD 075-002 directs that NATO collective training events and exercises, when programmed in the MTEP, must be designated with two-worded nicknames selected in accordance with the conventions established in this Appendix.

The first word of the name will generally be linked to the OSE.

The second word of the name will indicate the level/nature of main component involved.

Brevity names of NATO collective training events and exercises should consist of the first and second letters from the first word plus the first and last letter from the second word.

Names of NATO collective training events and exercises, as well as their brevity names, should always be in capital letters for both words.

First word begins with:		Second word begins with:	
SHAPE	S…	Joint	J…
SACT	T…	Key Leader/Seminar	P…
NAEW&C FC	W…	COM Guidance	V…
JFC Brunssum (NRF)	BR…	Current Ops	R…
JFC Brunssum (non-NRF)	BO…	BST(stand alone)	B…
HQ JFC Naples (NRF)	NO…	Land	L…
HQ JFC Naples (non-NRF)	NA…	Land Livex	L___-L
AIRCOM Ramstein	R…	Maritime	M…
MARCOM Northwood	D…	Maritime Livex	M___-L
LANDCOM Izmir	L…	Air	A…
NCISG	Z…	Air Livex	A___-L
		Special Forces	S…
		Nuclear	N…
		Deployment	D…
		CIS	C…
		Intelligence	I…
		Logistics	F …
		Electronic Warfare	G…

LIST OF REFERENCES

MC 53/4	Terms of Reference for the Supreme Allied Commander Europe (Military Decision) (NR), 12 Apr 2010
MC 58/4	Terms of Reference for the Supreme Allied Commander Transformation (Military Decision) (NR), 12 Apr 2010
MC 94/4	Military Committee Policy on the Conduct of NATO Exercises [Funding chapter and annex only] (Final) (NU/PfP/WEU), 14 Feb 2001
MC 167/3	Release of NATO Classified and Unclassified Information to Non-NATO Nations and Organisations (Final) (NU), 13 Sep 1996
MC 195/8	NATO Minimum Interoperability Fitting Standards for Communications and Information Systems (CIS) Equipment onboard Ships, Submarines and Maritime Aircraft (Final) (NR), 9 Oct. 2008
MC 317/1	The NATO Force Structure (Final) (NR), 8 Jul 2002
MC 324/3	The NATO Military Command Structure (Final) (NR), 30 Jan 2013
MC 362/2	NATO Principles and Policies of Operational Medical Support (Final) NU), 7 Apr 2004
MC 389/2	MC Policy on NATO's Combined Joint Task Force (CJTF) (Military Decision) (NR), 4 May 2004
MC 400/3	MC Guidance for Military Implementation of Alliance Strategy (Final) (NC), 16 Mar 2012
MC 411/1	NATO Military Policy on Civil-Military Cooperation (CIMIC) (Final) (NU), 17 Jul 2001
MC 437/1	Military Committee Special Operations Policy (Final) (NR), 3 Nov 06
MC 457/1	NATO Military Public Affairs Policy (Final) (NU/PfP), 19 Sep 2007
MC 458/2	NATO Education & Training Policy (under review)
MC 469	NATO Military Principles and Policies for Environmental Protection (Final) (NU/EAPC), 30 Jun 2003
MC 477	Military Concept for the NATO Response Force (Final) (NR), 18 Jun 2003
MC 510	Terms of Reference for Directors JWC, JFTC & JALLC (Final) (NR), 30 Apr 2004
MC 526	Logistics Support Concept for NRF Operations (Final) (NR), 27 Jul 2005
MC 550	MC Guidance for the Military Implementation of the CPG (Final)(NR), 27 Jul 2006
MC 554/1	Military Committee Policy for the Development and the Implementation of the Whole Potential of the Operational Capabilities Concept within a More Operational Partnership (Final) (NR/PfP/MD), 5 Dec 2007
MCM-0083-2011	Revision of Operational Capabilities Concept (OCC) Evaluation And Feedback (E&F) Programme, 27 Sep 2011

CM(2002)49	NATO Security Policy, Corrigendum 3, dated 5 Dec 2006
C-M(2007) 0118	The NATO Information Management Policy (NU/PfP), 28 Jan 2008
C-M(2008) 0113	The Primary Directive on Information Management (NU), 27 Nov 2008
PO(2009)0141	NATO Strategic Communications Policy (NU), 29 Sep 2009
PO(2011)0293	NATO Lessons Learned Policy (NU), 08 Sep 2011
IMSM 083-2005	NRF MMR for Common Funded Deployable CIS and HQ CSS Equipment, 7 Jul 2005
Bi-SC Dir 25-1	Information and Knowledge Management (IKM) Directive, 15 Sep 2008
Bi-SC Dir 75-2	Education &Training Directive, July 2013
Bi-SC Dir 75-7	Education&Individual Training Directive, July 2013
Bi-SC Dir 80-6	Lessons Learned Directive, 6 Jul 2011
ACO Dir 65-11	ACO Standing Policy and Procedures for Intelligence Production Management, 15 Mar 2004
ACO Dir 80-1	Lessons Learned Directive, 13 Jul 2009
ACO Dir 70-1	Security Directive, 25 Mar 2009
ACT Dir 80-3	Operating Requirements for the JWC, JFTC and JALLC, 10 March 2004
ACT Dir 75-4	Procedures for the Collective Training Support Programme of Work, 30 Aug 2010
AC/35-D2000	Directive on Personnel Security, Revision 2, 2 Dec 2006
AC/35-D2001	Directive on Physical Security, Revision 1, 7 Dec 2006
AC/35-D2002	Directive on the Security of Information, Revision 3, 6 Dec 2006
AC/35-D/1040-Rev3	NATO Supporting Directive on Information & Intelligence Sharing with NNEs, 14 May 2012
5000 TSC GXC 0010//TT-8511/Ser:NR	Implementing the Connected Forces Initiative, 07.Dec.2012
	Bi-SC Conceptual Framework for Alliance Operations, Interim Version, 02 Jul. 2012
	Allied Command Operation Comprehensive Operations Planning Directive (COPD), Interim V1.0, 17.Dec. 2010

PLANNING MEETINGS

1.   INTRODUCTION. This annex is a guide to prepare and conduct the planning meetings during Stage 2. Strictly speaking there are two planning meetings: the Initial and the Main Planning Conference (IPC and MPC). Nevertheless, technically, this guide is also applicable for the Final Coordination Conference (FCC) and Core Planning Team Meetings (CPTM).

2.   PURPOSE AND AUDIENCE OF MEETINGS. The recommended content of IPC, MPC and FCC are listed in Chapter 4 but to summarise the intent of each event:

2.1.   IPC ideally aims at assessing requirements. Determination/confirmation of participation to the exercise is a critical topic, all the more for LIVEX and tactical level exercises;

2.2.   MPC ideally enables to confirm requirements and finalise inputs to the EXPLAN;

2.3.   FCC aims at accomplishing final coordination activities required for the conduct of the Operational Conduct Stage Sub-Phases IIIA and IIIB. Theoritically, new issues should be limited to the minimum and FCC is there to close cases rather than opening any.

2.4.   IPC, MPC and FCC should be preceded and prepared by a dedicated CPTM.

2.5.   As a consequence, IPC and MPC audience must be as large as possible with representatives from all NATO and National commands comprising TA, HN(s), supporting centers and agencies. FCC participation should be limited to participants required to resolve outstanding issues and to complete products for Sub-Phases IIIA and IIIB. Participants to CPTM preparatory to IPC, MPC or FCC should be limited to main OPRs and SMEs dealing with identified outstanding topics.

3.   ORGANISATION.

3.1   All planning meetings are organised and conducted by the OCE OPR.Before the meeting/conference, the OCE OPR must:

a.   Determine agenda and requirements for syndicates (room allocation, chairmanship, participants, topics, expected outcomes).

b.   Prepare administrative arrangements (See check-list below).Issue the calling message including (draft) agenda, syndicate requirements and administrative and coordinating instructions.

c.   Make sure participants have access to the key exercise documents to prepare the meeting.

d.   Convene the event.

3.2   On completion, he determines/issues minutes, decisions, issues and way ahead.

Administrative arrangements include, but are not limited to:

a.   (Pre)Book accommodation based on anticipated number of out-of-area participants.

b.   Establish local transport arrangements.

c.   Obtain sufficient conference and syndicate working space allocations;

d.   Consider force protection and security requirements.

e.   Prepare required reference material, routine office supply, maps, charts, white borads, etc, for use by syndicates.

f.   Provide work stations and associated video projectors

g.   Arrange safe keeping of classified material.

h.   Arrange preparation of classified material for dispatch/carriage to parent authorities.

i.   Prepare listing of participants.

j.   Arrange security passes.

k.   Arrange NATO Secret WAN user accounts if locally available.

l.   Arrange access to unclassified e-mails.

m.   Prepare information folders (Participant's list, accommodation list, security regulation reminders, contact numbers, emergency numbers, transport timetable, messing information, receipt note, etc)

n.   Prepare sitting plan for plenary.

o.   Arrange coffee and messing.

p.   Coordinate with hosting commander and OCE (or their representatives) about welcoming/opening remarks

4.   CONSIDERATIONS ON THE EVENT'S LOCATION. There is no absolute rule for the selection of meetings/conferences locations. It might be the OCE HQ, one TA HQ or a one exercise location. The parameters to take into account are (but not limited to):

4.1   Travel and per diem costs. Selecting different places for different events may enable to share the burden all along the EP. Conversely, keeping the same location enables a certain continuity and eases the administrative preparation;

4.2   Facility to access;

4.3   Facilities offered by the location in terms of accommodation, working space (for plenary and syndicate sessions), technical support (including access to networks)

4.4   Eventual need to highlight the interest of NATO for a particular place or Nation.

5.   **AGENDA.** IPC, MPC and FCC are divided into three parts:

5.1   Time for presentations in plenary to update the audience and make sure participants have a shared view on the challenges of the conference;

5.2   Time dedicated to syndicate work. This part is the core of the conferences;

5.3   Time to back-brief. Though syndicate work should be given priority, it is paramount to organise several back-brief slots to favor exchanges between syndicate leaders and collect data for the minutes. Asking syndicate leaders to do their last back-brief in accordance with the minutes' template enables a rapid checking in plenary of the overall consistency and ease the OCE OPR's work.

    a.   A generic agenda could be:

        (1)   First day:

            (a)   Welcoming/Opening remarks

            (b)   Administrative remarks

            (c)   Presentation of the agenda

            (d)   Update briefings in plenary (OSE, OCE, ODE, DIREVAL, TA updates, including planning milestones and connected exercises)

            (e)   Guidance for syndicate work

            (f)   Syndicate work (time permitting)

        (2)   Next days:

            (a)   Syndicate work

            (b)   Backbrief by syndicate leaders to the coordination committee

        (3)   Last day:

            (a)   Syndicate work

            (b)   Minutes review in plenary

    b.   The detailed agenda and syndicate requirements must be developed/refined during a dedicated CPTM. Subsequently the agenda of such CPTM must enable to:

        (1)   Review Existing Documents, including outcomes of previous meetings/conferences and current Action Items' List;

        (2)   Update the Exercise Milestone Planning Schedule;

      (3)   Update the EXPLAN;

      (4)   Prepare next EP event (IPC/MPC/FCC): agenda, list of syndicates, syndicates' requirements.

      Syndicate session may be necessary during CPTM but is not compulsory.

6.   **SYNDICATES COMPOSITION.** The list of syndicates should be based on the EXPLAN annexes (See Appendix 6 to Annex D) and depends on the exercise design and type/ (CPX/LIVEX). A good balance must be found in the overall number of syndicates to enable coordination (easier with a limited number of syndicates) and comprehensive discussions (easier with many specific syndicates). A convenient solution is to organise a limited number of syndicates during a first period and split them into sub-syndicates for the rest of the conference.

Example of a possible list of syndicates for IPC/MPC of a CPX:
        1. Coordination Committee
        2. Operation (with Logistic and CRP as sub-syndicates)
        3. CIS and IM (2 to 3 Sub-syndicates)
        4. Manning (TA and EXCON)
        5. Scenario
        6. CAX
        7. RLS/HNS/Protocol
        8. Evaluation & Analysis and Reporting
        9. PA
In the coordination (or steering) committee, main OPRs deal with all overarching issues and inter-syndicate coordination.
For the FCC, the list of syndicates must be limited to outstanding issues.
For a LIVEX, specific syndicates and sub-syndicates dealing with topics related to EXPLAN annexes N to U and W to Z (See See Appendix 6 to Annex D) must be added.

EXERCISE PROCESS DELIVERABLE TEMPLATES

This annex provides templates for the major exercise process deliverables.

APPENDICES:

1. Exercise Planning Group Terms of Reference
2. Core Planning Team Term of Reference
3. Exercise Specification (EXSPEC) Template
4. OCE's Exercise Planning Guidance Template
6. First Impression Report (FIR) Template
7. Final Exercise Report (FER) Template

EXERCISE PLANNING GROUP (EPG) TERMS OF REFERENCE

This Appendix provides the EPG TOR template. The EPG TOR is issued by the OSE in order to provide the necessary support for the OCE.

TERMS OF REFERENCE FOR THE EXERCISE PLANNING GROUP (EPG)

1. In order to start the planning for Exercise XYZ, an Exercise Planning Group (EPG) will be established by the officer scheduling the exercise (OSE), led by an officer with primary responsibility (OPR) from the OSE HQ and further composed of members from OCE and other supporting HQs and agencies.

2. The Exercise Planning Group (EPG) will coordinate the overall OSE planning efforts for Exercise XYZ as summarised in BI-SCD 75-3 and additional appropriate tasking, if required.

3. The EPG will prepare and (support the) conduct of the OSE's Exercise Specification Conference, the Commanders' EXSPEC Confirmation Conference, and provide on-call subject-matter expertise to all other Exercise Process conferences and any other meetings required for the exercise.

4. The EPG will draft and coordinate the Exercise Specification (EXSPEC) and obtain officer scheduling the exercise (OSE)'s approval to distribute it.

5. The EPG will define additional planning requirements and recommend to the OSE the set-up of additional functional planning cells as required.

6. The EPG will publish exercise documents on an OSE determined web page.

7. Each member of the EPG will be responsible for maintaining appropriate files and will have a deputy appointed in writing, able to assume the member's functions in case of absence.

8. Tentative Milestones: (Developed by the OSE OPR with the support of OPRs from OCE, ODE (when appointed) and PTA).

9. The EPG will develop further milestones for the planning schedule as required. The EXSPEC will confirm/adapt as required the tentative milestones.

10. Direct liaison is authorised to applicable staff elements of participating and supporting HQs/organisations, including but not limited to: strategic commanders (SCs), JWC/JFTC/JALLC, NCIA.

11.   Possible Composition of the EPG (actual composition TBD, with SME either from the OSE staff or from participating/supporting HQs/Organisation/Agencies).

    a.   OSE OPR (Chairman).

    b.   OCE OPR.

    c.   ODE OPR.

    d.   PTA OPR(s).

    e.   MPD.

    f.   POLAD.

    g.   LEGAD.

    h.   MEDAD.

    i.   Manning.

    j.   Scenario/Intel.

    k.   Logistics.

    l.   Planning (may be more than one, depending on envisaged Exercise Objectives).

    m.   CIS.

    n.   Evaluation.

    o.   Analysis.

    p.   Experimentation.

    q.   Lessons Learned.

    r.   Real Life Support/Security.

    s.   Budget.

    t.   Host Nation Support.

    u.   PAO.

    v.   Visitor/Observers.

CORE PLANNING TEAM (CPT) TERMS OF REFERENCE (TOR)

This template shall be used in development of the CPT TORs for all exercises and complied with by all exercise participating entities in order to promote a common understanding and to standardise the work of the ACO Core Planning Teams.

If an OCE HQ requires additional regulations or additional delineation of responsibilities, these may be added as Annexes to the standardised Terms of Reference.

TERMS OF REFERENCE FOR THE CORE PLANNING TEAM (CPT)

1.   In order to start the planning for Exercise [XYZ], a Core Planning Team (CPT) will be established by and reports to the Officer Conducting the Exercise (OCE), and will be led by an Officer with Primary Responsibility (OPR) from [his HQ] supported by ODE [if applicable]. It will be composed primarily of members from [OCE], [OSE], [ODE] and other supporting HQs, agencies and centres.

2.   The CPT is responsible for conducting the detailed planning, coordination and preparation of the exercise according to the Exercise Specification (EXSPEC), the OSE's Planning Guidance and the OCE's Exercise Planning Guidance.

3.   Direct communication and liaison is authorised to applicable staff elements of the Strategic Commands (SCs), JWC, JFC [XYZ], JFTC, and Joint Analysis and Lessons Learned Centre (JALLC) as well as other HQs and agencies as defined in the CPT composition.

4.   The CPT will prepare and conduct all planning conferences from the IPC and any other meetings required for the exercise.

5.   The CPT will coordinate production of the exercise scenario modules to ensure they meet the needs of the exercise.

6.   The CPT will monitor expenses from the exercise budget.

7.   The CPT is responsible for the production of the Exercise Plan (EXPLAN) and for obtaining the OSE's approval for distributing it.

8.   The CPT will define additional planning requirements and recommend to the OCE the set-up of additional functional planning cells as detailed in the approved list of duties and responsibilities assigned to [HQ XYZ] as OCE and [XYZ] as ODE (EXSPEC Annex E).

9.   The CPT will oversee and monitor all staff activities to support the exercise planning process at all levels.

10.   The CPT will publish exercise documents on an [OCE determined] web page.

11.   The CPT will establish the requirements for and select the exercise control tools required to conduct the exercise.

12.   Each member of the CPT will be responsible for maintaining appropriate files and will have a deputy appointed in writing, able to assume the member's functions in case of absence. Furthermore, CPT members will ensure that their replacements, Branch Heads and also Division Head are kept informed on a regular basis.

13.   The CPT will develop milestones for the planning schedule as required. The EXSPEC will confirm/adapt these tentative milestones as required. Possible Composition of the CPT:

      a.   OCE OPR/Chairman.

      b.   OSE OPR.

      c.   OCE MPD OPR.

      d.   SACT Project Officers.

      e.   ODE OPR, if designated.

      f.   Evaluation (SHAPE J7 EVAL).

      g.   Exercise Analysis Coordination (JALLC or OCE).

      h.   Scenario (OCE, JWC or JFTC).

      i.   CIS, (NCIA and OCE).

      j.   Exercise Manning management (OCE).

      k.   Logistics (OCE).

      l.   Exercise Control (EXCON/MEL-MIL)(JWC, JFTC or other ODE).

      m.   Simulation and Modelling support (including Synthetic Exercise tools) (JWC, JFTC or other ODE and Support Contractors).

      n.   CIMIC and IO/NGO (SHAPE, JWC, JFTC or other ODE).

      o.   Real Life Support, for each exercise site and the HN.

      p.   Visitor/Observer Bureau and Protocol (OCE).

      q.   NATO Media Information Centre (OCE).

      r.   Budget Issues (OCE).

      s.   ACO Parent HQs not being exercised.

      t.   Security, Accreditation, Partner Integration (as appropriate).

      u.   CC Land HQ OPR.

      v.   CC Air HQ OPR.

w.   CC Maritime OPR.

x.   SOCC OPR.

EXERCISE SPECIFICATION (EXSPEC) TEMPLATE

OSE's EXERCISE SPECIFICATION

1.   REFERENCES. This section should include all higher HQ directives, as well as lower level directives as needed, for the planning and conduct of the exercise. A list of supporting documents should be attached as a separate Annex.

2.   GENERAL DATA. This section should present the main details by which the exercise will be identified throughout the planning process.

 2.1   NICKNAME

 2.2   SERIAL NUMBER

 2.3   LEVEL

 2.4   FORM

 2.5   TYPE

 2.6   DATES (key dates, further details in the main body)

 2.7   AREA

 2.8   OSE

 2.9   OCE (and OCE COORD, if necessary)

 2.10 ODE

 2.11 DIREVAL (if assigned)

 2.12 HOST NATION(s)

 2.13 PARTICIPATING FORCES

3.   OVERALL REQUIREMENTS

 3.1.   General Framework. Describe the general setting of the exercise.

 3.2.   Relation to other exercises. List and describe the various exercises that are related to this exercise, how they are linked, and set priorities if necessary.

4.   EXERCISE AIM AND OBJECTIVES. This section specifies the OSE's aim and exercise objectives.

>   **4.1.   Aim**. The exercise Aim from the approved MTEP is refined while the Exercise Objectives further define the purpose(s) of the exercise.

>   **4.2.   Exercise Objectives.** Objectives should be achievable within the scope and scale of the exercise.

>   **4.3.   Experimentation Objectives.** Experimentation objectives may be specified here if the exercise is to create such a venue.

5.   GEO-STRATEGIC SITUATION. This paragraph summarises the outline scenario to be used in the exercise. The specifics of the Geo-Strategic Situation, summarising the major regional actors, a description of the current crisis with the historical background of the crisis as well as the major political, military, economic, cultural, humanitarian and legal conditions that support a NATO military response, including membership in relevant Arms Control treaties and agreements, will be included as an Annex to the EXSPEC to assist in the further determination of scenario requirements.

6.   CONCEPT OF THE EXERCISE. This section should set out the concept of the exercise and how it will be designed to achieve the aim and objectives. The Concept Section is laid out by exercise stages and phases and discusses the development of Exercise Planning Documents such as SACEUR's Strategic Assessment (SSA), SACEUR's Military Response Options (MRO), and the Strategic Planning Directive (SPD).

>   **6.1.   Phase I**

>   **6.2.   Phase II**

>   **6.3.   Phase III**

>   **6.4.   Phase IV**

>   **6.5.   Specific instructions.** Exercise Control (EXCON) activation and support, specific locations and other amplifying instructions as required should be mentioned as well. In addition, parallel planning efforts including the Operations Planning Process (OPP); the provision of higher HQ documents (NAC Decision sheets, NAC Initiating Directive (NID)); and the development of other deliverables such as the Combined Joint Statement of Requirements (CJSOR), Allied Force List (ADL), Multi-national Detailed Deployment Plan (MNDDP), should be included here (sample below).

S/N	Deliverable	Tool	Responsibility
01	IRF, RFP list	LOGFAS / TOPFAS	SHAPE
02	MC Tasker for SACEUR Strategic Assessment		JWC
03	Strategic Warning Order		SHAPE
04	SACEUR Strategic Assessment		SHAPE
05	NAC Decision Sheet		JWC
06	Military Response Options		SHAPE
07	NID		JWC
08	Strategic CONOPS		SHAPE
09	Strategic ACTORD		SHAPE
10	Strategic Planning Directive		SHAPE
11	OPLAN	TOPFAS	JFCxx, CCs
12	CJSOR (Annex to OPLAN)	TOPFAS / LOGFAS	JFCxx
13	Allied Force List (AFL)	LOGFAS	JWC
14	Allied Disposition List (ADL)	LOGFAS	JFCxx
15	National Detailed Deployment Plans (NDDP)	LOGFAS	SHAPE
16	Multinational DDP (MNDDP)	ADAMS / LOGFAS	SHAPE
17	RSOM&I plan	CORSOM / LOGFAS	JFCxx, CCs

7.   TRAINING AUDIENCE PARTICIPATION REQUIREMENTS. Training Audience roles and levels of participation, including Stage and Phase involvement, are provided in this section. Strategic Command, Joint Force HQ, Component Commands (Land CC, Maritime CC, and Air CC), Special Operation Forces (SOF), EXCON, Logistics, and Chemical Biological Radiological Nuclear (CBRN) participants are named.

8.   EVALUATION REQUIREMENTS. This section discusses the evaluation requirements for the exercise and establishment of an Evaluation Group (EG), designates the Director of Evaluation (DIREVAL), and delineates the roles and responsibilities of each.

8.1.   Organisation

8.2.   Conduct

8.3.   SHAPE J7 EB specific Responsibilities. Specific responsibilities for planning, preparing, and directing the evaluation process, including certification and reporting requirements as needed, are delineated in this section.

9. **ANALYSIS REQUIREMENTS.** This section discusses the analysis requirements for the exercise. The organisation, coordination, conduct, support, and focus of exercise analysis activities, including tasking and Joint Analysis Lessons Learned Centre (JALLC) involvement, if any, should be discussed in this section.

> **9.1.** **Organisation**
>
> **9.2.** **Conduct**
>
> **9.3.** **Tasking**

10. **EXPERIMENTATION REQUIREMENTS.** This section discusses the experimentation requirements for the exercise. The organisation, coordination, conduct, support, and focus of experimentation activities should be discussed in this section.

11. **EXTERNAL SUPPORT REQUIREMENTS.** This paragraph should include external support requirements from other NATO and national HQs and/or agencies, such as (but not limited to): CIS support, analysis, evaluation, EXCON support (staff support, Response Cells).

12. **DELINEATION OF RESPONSIBILITIES.** Duties and responsibilities are detailed in this section including those of the OSE, OCE, ODE, PTA, STA, and all supporting organisations/agencies and Nations. Supported and supporting command relationships and requirements are established. Participation by Stage and Phase indicating likely employment and/or roles is discussed. Other requirements (to be confirmed in the EXPLAN) include, but are not limited to:

> **12.1.** Initial, Main and Final Planning Conference participation and responsibilities
>
> **12.2.** Budget responsibilities
>
> **12.3.** Real Life Support (RLS) responsibilities
>
> **12.4.** MEL/MIL and scenario development (including scripting)
>
> **12.5.** Training Objective consolidation and prioritisation
>
> **12.6.** Experimentation, Evaluation, Analysis and Reporting requirements
>
> **12.7.** Manning requirements (EXDIR, Liaison, DIREVAL, augmentees for TA)
>
> **12.8.** Approval authorities
>
> **12.9.** Public Affairs (PA), Information Operations (Info Ops), Psychological Operations (PSYOPS) and Strategic Communication (STRATCOM) responsibilities
>
> **12.10.** EXCON coordination and support
>
> **12.11.** Deliverables responsibilities and support (e.g., First Impression Report (FIR) and Final Exercise Report (FER)

12.12. Distinguished Visitor coordination and support

12.13. Partner participation coordination and observation

13.   POLITICAL IMPLICATIONS. The possible political implications of the exercise should be addressed in this paragraph. Areas of possible difficulty and any recommendations on implications with respect to Arms Control treaty/arrangement membership, i.e., the Conventional Armed Forces in Europe (CFE) Treaty and Vienna Document 1999 provisions should be included. The fictional or real area of operation must also be analysed on a political basis, in order not to provoke unexpected reaction by diplomatic or political actors. Political implications are dependent on the location and resources allocated to the exercise, and, therefore, will usually need to be confirmed during future planning.

14.   MILESTONE PLANNING SCHEDULE. This section includes the proposed Exercise Milestone Planning Schedule, usually in table format. Include the dates, phase, event and location by which firm allocations and nominations of forces and major deliverables are to be definitively decided and/or promulgated. Typical events listed are: EXSPEC conference (ESC), Core Planning Team Meetings (CPTs), Initial/Main Planning Conferences and Final Coordination Conferences (IPC/MPC/FCC), Scenario Development and Main Events List/Main Incidents List (MEL/MIL) Work Shops, Crisis Response Planning Events (CRPs), First Impression Report (FIR), Battle Staff Training (BST), EXCON events, Post Exercise Discussion (PXD), Final Exercise Report (FER), After Action Review (AAR), and the Remedial Action Report (RAR).

15.   STRATEGIC COMMUNICATIONS. This paragraph directs, in accordance with the guidelines set in the Strategic Communication Framework for Visible Assurance by the Committee on Public Diplomacy and other NATO Directives, that Strategic Communications and related military information disciplines such as Public Affairs, Information Operations and Psychological Operations be incorporated in all aspects of the exercise.

16.   PUBLIC AFFAIRS POLICY. Major exercises are an important element of the organisation's overall information effort. In contrast, a small CPX or a training event on a highly technical subject is not usually likely to warrant a very active PA strategy. The OSE PAO will determine the PA policy and advise on the assignment of responsibilities, which will be incorporated in this section, based on the exercise intent, size, scale, scope and potential for public/media interest.

17.   VISITORS AND OBSERVERS. This section should include the details of responsibilities for planning, scheduling, organising and/or coordinating a Visitors' and Observers Bureau (VOB), Visitors and Observers Day and any Distinguished Visitor Day (DV-Day) proposed for the exercise.

18.   ADMINISTRATION, LOGISTICS, REAL LIFE SUPPORT AND FUNDING REQUIREMENTS. This section delineates specific responsibilities for Administration, Legal, Logistics, and RLS requirements. This section should also state the estimated cost of the exercise to NATO.

18.1   Administration/Legal Arrangements. Include references to Status of Forces Agreements (SOFA) and Memoranda of Understanding (MOU) (with supplementary Joint Implementation Arrangements (JIA) and Technical Arrangements (TA), as needed),

between Host Nation(s), NATO, PfP and/or non-NATO/Partner Nations involved in the exercise.

18.2   Logistics.

18.3   Real Life Support (RLS).

18.4   Funding Requirements.   Funding requirements and responsibilities, including common funding versus customer funding and/or other funding sources, should be discussed and should include such topics as experimentation, Senior Mentors, SME support, Observer Program, Media Day, IO/NGO, role players, medical and RLS, and the availability of subsidies.

19.   REPORTING REQUIREMENTS.   This paragraph should include the necessary guidelines on the form, timelines and participants of exercise reporting activities. Deliverable leads, coordinators, recipients and responsible entities are included here. This section should address Evaluation Report (ER), FIRs, FER, Remedial Action Report (RAR), AARs, and PXD requirements.

20.   OTHER SPECIAL INSTRUCTIONS.   This section includes other necessary guidance as needed, including, but not limited to: Force Protection planning and responsibilities, Information and Intelligence sharing, Gender Perspective considerations, Environmental Protection (EP), and Cyber Defense.

20.1   Force Protection (FP)

20.2   Security designation and Release of classified documentation

20.3   Gender Perspective

20.4   Environmental Protection

20.5   Cyber Defense

ANNEXES

Annexes as required, including:

A. References
B. Glossary of Abbreviations, Acronyms and Terms
C. Geo-Strategic-Situation
D. OSE / OCE/ ODE Roles and Responsibilities.

SIGNATURE

EXSPEC NOTES:
Classify the document at the appropriate NATO Security Classification level and release designator consistent with the non-NATO nations and organisations participating.

OCE'S EXERCISE PLANNING GUIDANCE TEMPLATE

This appendix provides a template for the OCE Exercise Planning Guidance. The form and content of the actual OCE Exercise Planning Guidance will depend on the depth of the OSE Planning Guidance and the level of detail of the EXSPEC. The exercise planning guidance must enable the Core Planning Team (CPT) to develop the EXPLAN and the required scenario modules.

After establishing the CPT, it will produce the "OCE Initial Exercise Planning Guidance". There is no template for this initial guidance. As soon as the final draft of the EXSPEC is available the OCE internal CPT will produce the OCE Exercise Planning Guidance. During CPTM 1 this Guidance will be provided to the complete CPT and further distributed as appropriate.

OCE'S EXERCISE PLANNING GUIDANCE

REFERENCES:

A. NATO Military Training and Exercise Programme (MTEP)

B. SACEUR's Intent Statement

C. Bi-SC Collective Training and Exercise Directive (CT&ED)

D. MC 458/2 (UNDER REVIEW), Education & Training Policy

E. OSE's Exercise Guidance

F. OCE initial Exercise Planning Guidance

F. EXSPEC

G. ....[1]

1. Introduction

> **1.1**   As Officer Conducting the Exercise (OCE), I direct the

> **1.2**   This document details my guidance for [exercise]:

> > **a.**   To my Core Planning Team (CPT) and Officer of Primary Responsibility (OPR);

> > **b.**   To ……

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[1] In its role as the equivalent of the 'initiating directive' for an exercise, the EXSPEC should include the appropriate references to ensure clear, unequivocal definition and understanding of the OSE's aim, objectives, direction and guidance. These supporting references may be included as an annex to the EXSPEC.

BI-SCD 075-003

2.   Aim. As described in the EXSPEC, possibly with the addition of operational level specifics.

3.   Scope. As described in the EXSPEC, possibly with the addition of operational level specifics.

4.   Relation to other Exercises. As described in the EXSPEC, possibly with the addition of Operational level specifics such as internal and component level exercises and preparations.

5.   Delineation of Responsibilities. As described in the EXSPEC, possibly with the addition of Operational level specifics. OCE; ODE; EXDIR; DIREVAL…

6.   Principal Objectives. As described in the EXSPEC, constraints and limitations linked to operational level.

7.   Funding. As described in the EXSPEC; possibly with the addition of restrictions and priorities.

8.   Training Objectives (TO). The approved TO are promulgated in this guidance.

9.   Scenario Development. Allow freedom of action for the TA to design appropriate C2 structure and command arrangements.

10.   Framework EXPLAN. Provide direction and / or guidance on, as a minimum:

10.1 C2IS and operational networks.

10.2 Pre Exercise training.

10.3 Evaluation requirements.

10.4 Analysis objectives.

10.5 Experimentation.

10.6 EXCON.

10.7 M&S.

10.8 Deployable CIS and AIS.

10.9 Deployable equipment.

11. Expected Exercise Planning Timetable (non exhaustive)

11.1 Meeting related: CPTM1, CPTM, MPC, CPTM, FCC.

11.2 Product (EXPLAN) related: First Draft EXPLAN, second draft, third draft, final draft.

11.3 Product (Scenario) related including Scenario Modules 2 through 6.

EXERCISE PLAN (EXPLAN) TEMPLATE

1.　　The EXPLAN is a detailed amplification of the EXSPEC. The EXPLAN will set the frame and principles upon which the exercise will be conducted. It provides direction and guidance to all exercise participants for real life support, as well as detailed direction, guidance and instructions to the CPT, EXCON supporting commands, centres, agencies or other activities for the preparation, conduct, support, assessment and reporting of the exercise.

2.　　The EXPLAN is a living document that begins life as a 'framework EXPLAN', developed by the Core Planning Team following the OCE's Exercise Planning Guidance, issued as an 'Initial Draft EXPLAN' prior to the IPC, issued again as a 'Refined Draft EXPLAN' prior to the MPC, examined and finalised and signed by the OCE at the conclusion of the MPC. During this period it provides valuable instructions for the exercise preparation and a framework for the further development of other exercise documents.

3.　　The EXPLAN is not designed or intended for use by the TA in their operational role; therefore, exercise operational information, which is to be disseminated using operational procedures, should not be included in the EXPLAN. Examples of operational information not to be included in the EXPLAN include: Scenario Module documents, data and information, other country information/studies, participating/simulated forces' orders of battle or intelligence summaries.

4.　　The EXPLAN consists of three parts and their annexes, some elements of which may not be required for a specific exercise.　The EXPLAN may be executed in increments when exercise phases/sub-phases are conducted before the EXPLAN is complete.

5.　　Prior to activation and deployment of EXCON elements (including EXCON supporting units) to support an exercise phase/sub-phase the appropriate NATO Commanders/Directors should issue Operation Orders (OPORDs)[1] in execution of the appropriate elements of the EXPLAN. Administrative/Logistics Orders may be issued in conjunction with or in relation to an OPORD, to be used as a basis for the orders of Combat Service Support (CSS) commanders to their units and to provide information to other EXCON or supporting elements.

6.　　The Framework EXPLAN example template is provided below.

EXERCISE PLAN

　　　　a.　　Letter of Promulgation

　　　　b.　　REFERENCES: List of maps, charts and relevant documents

　　　　c.　　Distribution List

PART 1 - EXERCISE INSTRUCTIONS AND SCENARIO DEVELOPMENT

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[1] STANAG 2014; Formats for Orders and Designation of Timings, Locations and Boundaries; Edition 9.

1.1 **PRELIMINARY PAGES**

a.   Table of Contents and Effective Pages

b.   Record of Changes

c.   List of Abbreviations

1.2 **MAIN BODY**

a.   **TASK ORGANISATION**: Reference to EXPLAN Annex A may be made.

b.   **SITUATION**.   This paragraph should reflect the executing OCE's appreciation of the exercise process planning and product development situation, and should provide information to subordinate commanders for their appreciation of the situation including the mission and intent of the OSE.

NOTE: If any of the sections below are not provided or are not applicable, then they should be omitted. [Include summary of the Geo-Strategic Situation from EXSPEC and refer to EXSPEC as appropriate]

   (1)   **General**.

      (a)   Background.   Information on the background to the development of the EXPLAN.

      (b)   Strategic Conditions. Describe the strategic conditions that lead to the development of the EXPLAN. [Roadmap from MTEP through EXSPEC]

      (c)   Desired End State. The OSE's end state (if given).

      (d)   Objectives. With respect to the OCE's role, responsibilities and tasks.

      (e)   Planning Limitations. (If given from higher headquarters).

         1/   Constraints, that imposes specific obligations that must be met.

         2/   Restraints, that set limits on what may be done. They are prohibitive - EXPLANs must not include these prohibited actions.

   (2)   **Opposing Forces**. Provide an Intelligence overview of the real world threat assessment during the exercise. [Will be dependent upon real world present and projected force protection/warning status at all exercise sites.]

   (3)   **Friendly Forces**. Other forces and commands whose listed actions will directly affect the issuing commander's OCE tasks but are not a part of the OCE's task organisation. Higher, adjacent and supporting

commands and agencies should be identified including their mission and employment that will impact OCE operations. [HQs/Agencies outside of the OCE's HQ]

(4)   Attachments and Detachments. External forces/elements that may be committed to OCE's command and forces/elements provided by own command to other commands. [Eg; Training Audiences, NATO HQs/Agencies/Centres, National HQs/forces (including individual Reserves) and Analysis/Evaluation/ Experimentation Teams]

(5)   **Given Assumptions**.

(a)   Political Assumptions. List the political assumptions, including variations or constraints that may be imposed by agencies outside the Alliance (such as the UN, OSCE, WEU, etc.) and considerations regarding neutral countries that may be involved in the exercise with NATO forces. [Real world political assumptions that could impact on the accomplishment of the exercise aim and objectives]

(b)   Military Assumptions. List the real world military assumptions that could impact on the accomplishment of the exercise aim and objectives.

(6)   **Tasks**. List identified mission essential exercise development, control and assessment tasks.

(7)   **Mission**. A clear, concise statement detailing who will plan and conduct the exercise, what is to be done, when it will take place, where it will occur and why it is being conducted. The order of the elements may vary.

(8)   **Execution**.

(a)   **Commander's Intent**. This summary should provide the OCE's overall intent and establish the purpose of the EXPLAN. It is an important focusing statement for the OCE's subordinate commanders as well as supporting Commanders, Agencies and Centres.

1/   The aim of the exercise.

2/   Military Objectives that underlie the EXPLAN.

3/   Desired Military End-State after accomplishment of the EXPLAN.

(b)   **Commander's Evaluation**. Gives briefly the OCE's evaluation of the situation including:

1/   Centres of Gravity. Decisive Points that will influence accomplishment of the OSE's aim and objectives during the exercise.

2/   Pre-conditions for Success. Describes other factors that may influence accomplishment of the OSE's aim and objectives during the exercise.

3/   Risk Assessment. A brief description of the identified risks and an assessment of their likely influence on successful accomplishment of the OSE's aim and objectives during the exercise.

(9)   **Concept of Operations**. A short summary of the concept of operations for conducting the exercise that should identify actions, normally in planned phases of accomplishment and including the standing down of the exercise sites as well as the Exercise Major Milestones. The structure of this section may vary depending upon the OCE's approach and the type of exercise.

(10)   **Tasks**. Allocation of tasks to each participating and supporting commander/ director with cross-reference, as appropriate, to exercises covered by other plans.

(11)   **Coordinating Instructions**. Instructions applicable to two or more elements of the exercise process task organisation.

(12)   **Service Support**. Statement of the administrative and logistics arrangements to support the exercise and of primary interest to the units, formations and detachments being supported. It may also contain the OCE's direction to service commanders. Logistics details may be included in annexes to the plan, including appendices to the EXPLAN Annex G, Real Life Support, and referenced here.

(a)   Logistics Concept.

(b)   Logistics Standards and Requirements.

(c)   Movements.

(d)   Medical Support.

(e)   Personnel.

(f)   Supply.

(g)   Host Nation Support.

(h)   Funding and Contracting Support.

(13)   **Command and Signals**. Contains the EXCON's locations and movements, liaison arrangements, recognition and identification

instructions as well as general rules concerning the use of communications and other electronic equipment as necessary. An EXPLAN Communications and Information Exchange Annex may be used for detailed instructions when considered appropriate. Include reference to EXPLAN Annex A, Task Organisation and Participation.

ANNEXES [As provided by appropriate Syndicates.]

A.   Force structure and Participation [For each exercise phase/sub-phase]

B.   Geo-Strategic Situation, Exercise Setting and Scenario Overview

C.   Scenario Modular Products Schedule

D.   Training Objectives [Approved in the EXSPEC and promulgated here]

E.   STARTEX Conditions [For each exercise phase/sub-phase.]

F.   Modelling and Simulation Control Plan/Instructions [For each exercise phase/sub-phase and where appropriate throughout exercise execution.]

G.   Real Life Support [For all EXCON, EXCON Support and TA participants at all locations and for all phases and sub-phases in a non exhaustive list.]

(1)   Medical Plan/Instructions.

(2)   Augmentee Preparation and Processing Plan/Instructions.

(3)   Logistic Support Plan/Instructions.

(4)   Movements and Transportation Plan/Instructions.

(5)   Personnel Lodging/Accommodation Plan/Instructions.

(6)   Catering Plan/Instructions.

(7)   Administration Plan/Instructions.

(8)   Office Allocation Plan/Instructions.

(9)   CIS support plan/including partners.

(10)   Site accreditation, security regulations.

(11)   Force protection - local regulations.

H.   Experimentation Plan/Instructions [For each exercise phase/sub-phase].

I.   Relations with civilian organisations.

J.   Non-NATO military Participant Plan/Instructions.

K.   Legal Instructions.

L.   Public Affairs Plan/Instructions.

M.   Visitors and Observers Plan/Instructions.

N.   Land Exercise Instructions   [LIVEX only].

O.   Air Exercise Instructions [LIVEX only].

P.   Maritime Exercise Instructions [LIVEX only].

Q.   Amphibious Exercise Instructions [LIVEX only].

R.   Psychological Operations Exercise Instructions [LIVEX only].

S.   Special Operations Exercise Instructions [LIVEX only].

T.   Information Operations Exercise Instructions [LIVEX only].

U.   Electronic Warfare Operations Exercise Instructions [LIVEX only].

V.   CIS and Bi-SC AIS Core and Functional Services Plan/Instructions [For each exercise phase/sub-phase].

W.   METOC Support/Maritime Rapid Environmental Assessment (REA)[2] Instructions.

X.   Geographic Support Instructions.

Y.   Environmental Protection Instructions [to include medical environmental health issues, LIVEX only].

Z.   Exercise Safety Instructions [LIVEX only].

AA.   Real security Instructions [For each exercise phase/sub-phase].

BB.   Exercise Process Lessons Learned Instructions [Including requirement for Lessons Identified/Learned to be provided as in the format of the JALLC Lessons Learned format (Title, Observation, Discussion, Conclusions, Recommendations) as in Appendix 1 to Annex S].

CC.   Budget Instructions [Detailed budget allocation for the exercise; addressing, if appropriate, Partner, MD and ICI Subsidisation funds].

DD.   Civil Environment Plan/Instructions [Describing the EXCON Civil Environment supporting the exercise: Grey cell, SIMPRESS, SMR].

EE.   Manpower Reinforcement and Manning Augmentation [in progress due to SMAP15[3]].

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[2] Bi-SC 80-30, Recognised Environmental Picture (REP) Concept Directive, 1 April 2003.
[3] STANDARD MANPOWER PROCEDURES, currently under development based on MC 0216/4 - AAP-16(D) Manpower Policy and Procedures

PART 2 - EXERCISE CONTROL

PRELIMINARY PAGES

a.   Table of Contents and Effective Pages.

b.   Record of Changes.

c.   List of Abbreviations.

MAIN BODY

a.   EXCON Mission.

b.   Execution. [For each exercise phase/sub-phase].

c.   Service Support.

d.   Command and Signal.

ANNEXES

A.   EXCON Structure. [For each exercise phase/sub-phase].

B.   Terms of Reference to include the EXDIR, EXCON staff at SC/JFC/CC levels and Local Operations Control (LOPSCONTROL) if used.

C.   EXCON instructions to include: Organisation, Tasks, Working Schedule ('battle rhythm') and timelines, Coordination Meetings, Location Plan, Manning, Real Life Support, Communications and ADP Support, EXCON Administration, After Action Review requirements. The EXCON instructions should minimise redundancy with the EXPLAN Part 1 Real Life Support Annex.

PART 3 – ANALYSIS AND REPORTING

PRELIMINARY PAGES

a.   Table of Contents and Effective Pages.

b.   Record of Changes.

c.   List of Abbreviations.

MAIN BODY

a.   Evaluation/Analysis/Reporting Mission.

b.   Execution [For each exercise phase/sub-phase].

c.   Service Support.

d.   Command and Signal.

ANNEXES:

A.   Training Team Structure.

B.   DIREVAL Terms of Reference and Delineation of Responsibilities.

C.   Evaluation Plan(s).

D.   Exercise Analysis Plan(s).

E.   After Action Review (AAR) instructions.

F.   First Impression Report (FIR) Instructions.

G.   Hotwash-up Instructions [If appropriate].

H.   Post-Exercise Discussion (PXD) Instructions.

I.   Final Exercise Report (FER) Instructions.

J.   Real life survey (if any).

FIRST IMPRESSION REPORT (FIR) TEMPLATE

FIRST IMPRESSION REPORT

1.   **Overall appraisal of the exercise**.

2.   **Assessment of the achievement of the OSE's Exercise Objectives**.

3.   **Assessment of the achievement of the OCE's Training Objectives**.

4.   **Assessment of the achievement of the FIR Submitter's Objectives**. This should be written from the FIR submitter's perspective. For example: the Analysis Team's achievement of the OSE's Analysis Requirements; achievement of a TA's Training Objectives/adequate practice of the Commander's METs; etc.

5.   **Topics requiring urgent/immediate correction**.

     a)   Item:

     b)   Discussion:

     c)   Recommendation:

     d)   Action by:

     e)   Recommended Suspense

6.   **Lessons Identified**.

7.   **Topics for the Post Exercise Discussion (PXD)**.

     a)   Item:

     b)   Discussion:

     c)   Recommendation:

     d)   Action by:

     e)   Recommended Suspense:

FINAL EXERCISE REPORT (FER) TEMPLATE

OCE'S FINAL EXERCISE REPORT

1. Letter of Promulgation. This letter should address any anomalies within the report and give general comments on the exercise.

2. Summary of Action Items. Those action items identified by the OCE in the Subject Enclosures.

3. Exercise Abstract. This section contains all information on the exercise in a condensed form, including:

a. Identification of Exercise, (name, form, type, area, date).

b. OSE, OCE, ODE.

c. Participating commands and forces (in summary tables).

d. Exercise aim and objectives.

4. Exercise Description. This enclosure should provide sufficient information for the unfamiliar reader to gain an appreciation of the concept of operations and objectives of the exercise. This information should include a description of the setting, the scenario and the conduct of the exercise.

5. Achievement of the OSE's Exercise Objectives. The OCE's evaluation of the level of achievement of each of the OSE's Exercise Objectives.

6. Subject Area Enclosures. Comments and recommendations associated with the exercise, grouped by subject area. Subject areas may be warfare areas such as ASW or AAW, or other areas such as exercise planning, logistics, doctrine, reach-back or communications, that either supports the warfare areas, or the conduct of the exercise. These enclosures should include the following, as appropriate:

a. Issues raised that are peculiar to the particular subject area.

b. General comments by the OCE.

c. Major conclusions and recommendations of the OCE that require action, with a concise identification of the action to be taken, and the action authority. The recommendations may be categorised as follows:

(1) Those that record errors of judgment or mistakes that are unlikely to recur, and will not be pursued further, are noted as "Exercise Experiences."

(2) Those that involve an improvement to exercise design, development and planning are noted as "Exercise Planners Recommendations."

(3)   Those that involve shortcomings, deficiencies, or changes to operational plans, publications, procedures, or other matters that require remedial action by NATO or National authorities are annotated "Remedial Action.

d.   The results of trials of tactical doctrine and recommendations on whether or not the doctrine should be incorporated into tactical publications.

e.   Standardisation deficiencies that may have degraded or affected the conduct of the exercise. In particular, deficiencies associated with doctrine, communications and materials.

7. Lessons Identified. . Summary of the lessons identified, which should be submitted in the ODCR format (Title, Observation, Discussion, Conclusion, Recommendation).

EXERCISE PROCESS STEPS

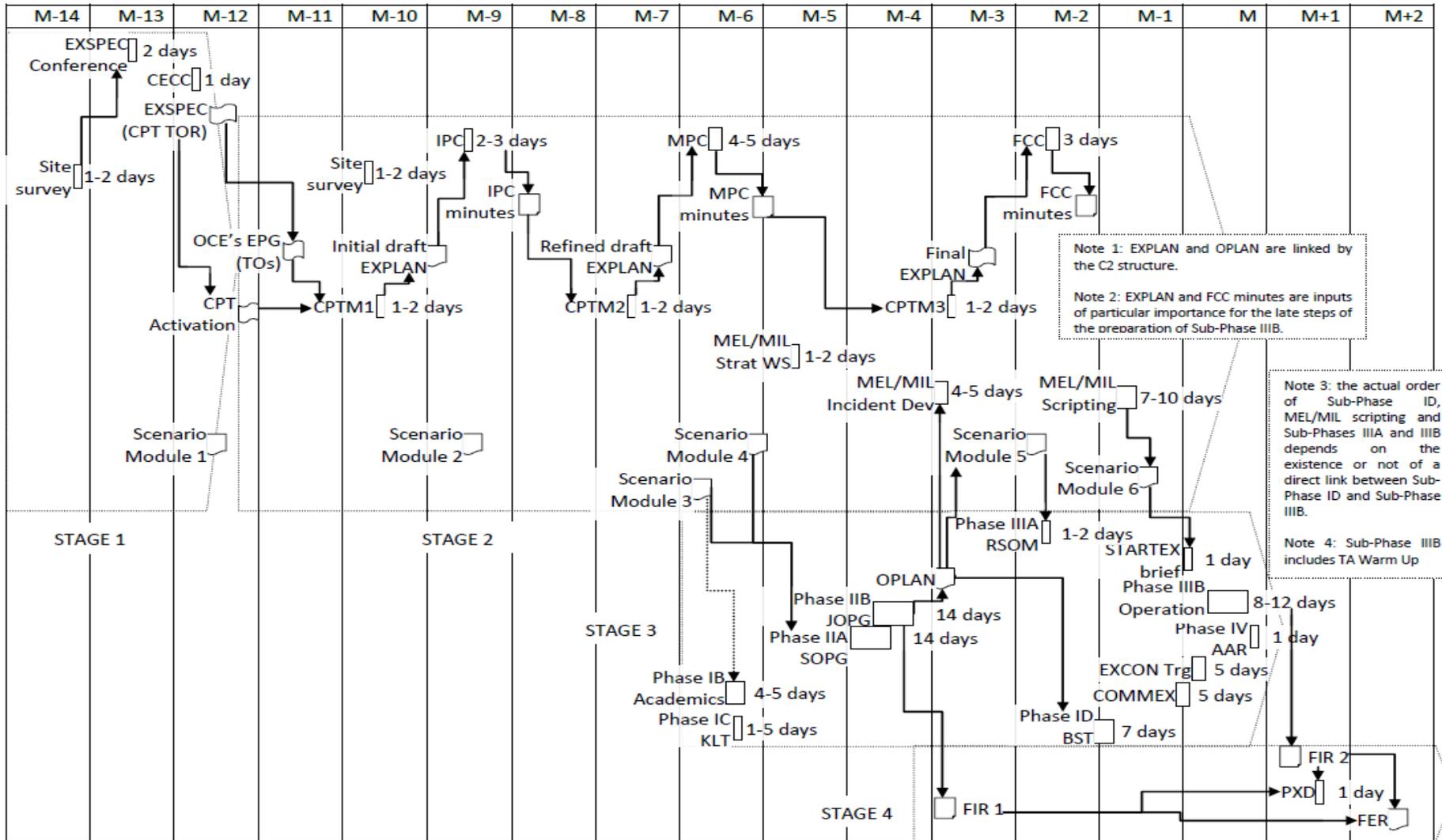**Figure E-1 –** *Example of Activities and Deliverables per Stage based on a TRIDENT type exercise*

Figure E-2 – *Mapping of relationship between Activities and Deliverables based on a TRIDENT type exercise*
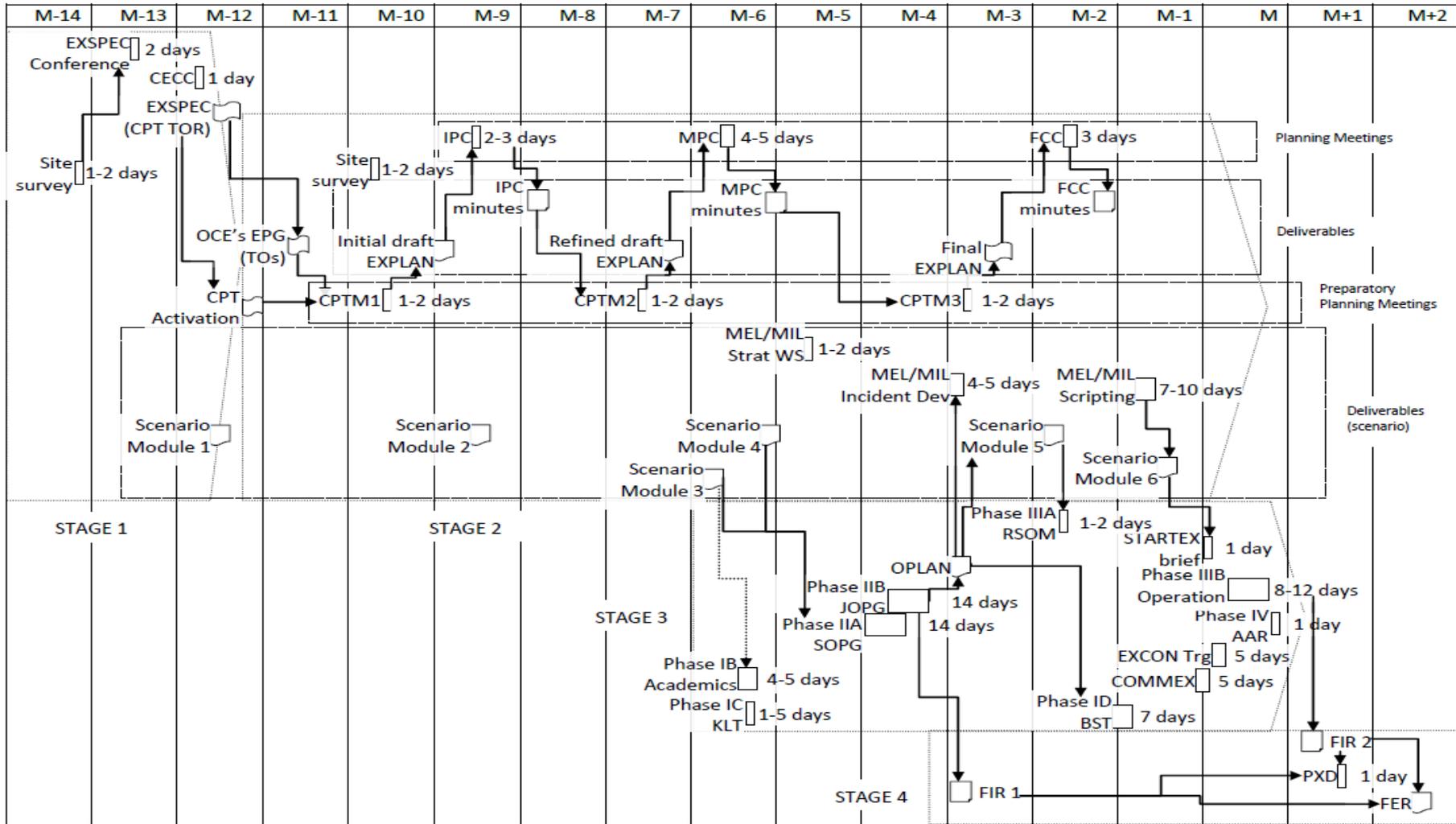
Figure E-3 – *Mapping of relationship between Activities and Deliverables based on a TRIDENT type exercise with details on Stage*

GUIDE TO EXERCISE BUDGETING

1. The purpose of this Annex is to outline some general terms regarding the funding principles and budgetary framework and procedures. Furthermore, the purpose is to delineate funding and budget responsibilities during the exercise planning and execution process primarily focusing on officer scheduling the exercise (OSE) and officer conducting the exercise (OCE) staffs.

2. Due to the changes in responsibilities between the two strategic commands, budget details can be found in Bi-SC 75-2, E&T Directive Annex F.

3. For the exercise planner, close coordination with his respective fund manager is vital.

GUIDE TO PLANNING CIS SUPPORT TO NATO EXERCISES

1.   The purpose of this Annex is to outline guidance, procedures and timings to CIS planners in order to facilitate the planning of CIS support for NATO exercises, including general terms regarding NATO Deployable Communications and Information Systems (CIS) Capability. Furthermore it delineates CIS related responsibilities during the Exercise Process; primarily focusing on Officer Scheduling Exercise (OSE), Officer Conducting Exercise (OCE) and Officer Directing Exercise (ODE) (if appointed) staffs.

2.   Due to the current changes in responsibilities between the two strategic commands, this annex is to be updated when respective documents are signed.

ROLES AND RESPONSIBILITIES OF THE EXERCISE CONTROL (EXCON) STAFF

1.   **PURPOSE.** The purpose of this Annex is to identify the roles and responsibilities of key members of the Exercise Control (EXCON) staff as employed by JWC and JFTC. ACO HQs conducting own exercises are encouraged to use the terms, roles and responsibilities in this annex insofar as practicable for purposes of standardisation within NATO. Figure H-1 illustrates the current JWC EXCON structure and Figure H-2 the current JWC EXCEN structure. The EXCON and EXCEN structures should be tailored to suit the specific requirements of each exercise. Since the ODE, EXDIR and DIREVAL have been described in earlier chapters they are not included in this annex.
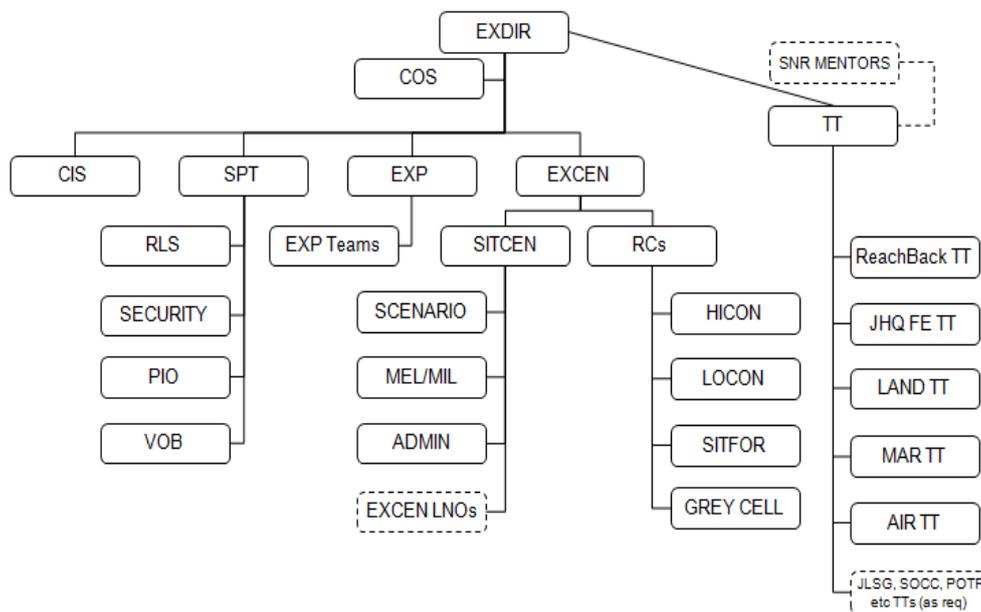

Figure H - 1 - *JWC EXCON structure*

2.   **GENERAL PRINCIPLES.** EXCON has both direction and control functions which allow it to establish the conditions needed by the Training Audience (TA) to achieve the exercise aim and objectives and Training Objectives (TOs). As the Chief of EXCON, the EXDIR may steer exercise play – both in direction and tempo – as deemed necessary to enhance learning opportunities, reinforce key lessons and achieve objectives. The EXDIR also has the authority to terminate, modify or suspend an exercise, or parts thereof, if concerns for safety of participants or others dictate. Furthermore, the role of coordination between Training Teams, Experimentation teams, Analysis Teams and Evaluation Teams rests with the EXDIR as the overarching execution coordinating authority. In the event that the TA is established in dispersed locations, it may also be necessary for EXCON to disperse its elements to provide the most suitable coverage, assistance and control. These elements normally consist of, at minimum, a Liaison Officer (LO) but may also include Training Teams, Senior Mentors, Role Players, Administrative Support and Umpires. Reliable communication means between EXCON elements is critical for their effectiveness and these may include telephones, radios, email and video-teleconferences.
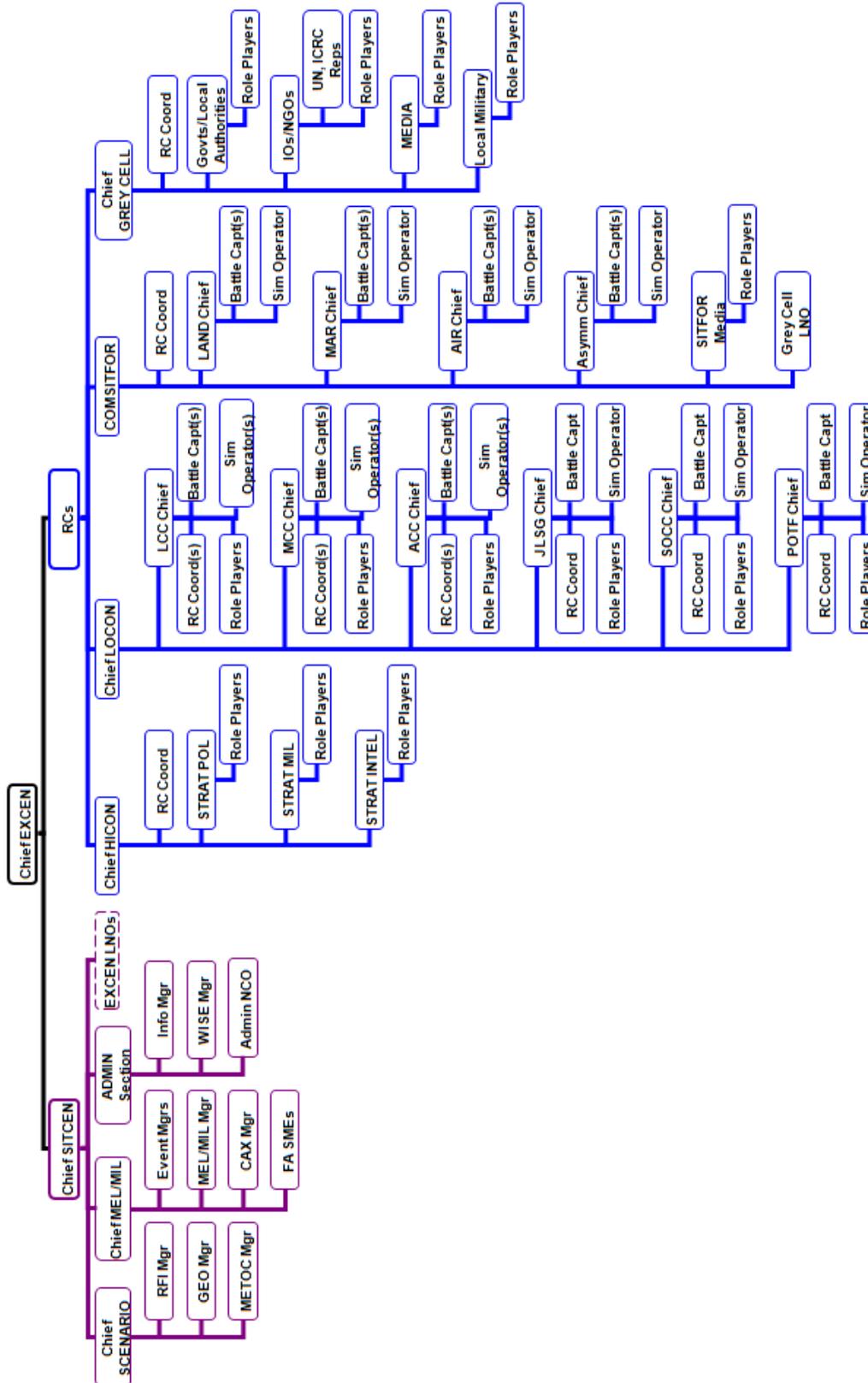
NATO UNCLASSIFIED

Figure H - 2 *- JWC EXCEN Model*

The Exercise Control Staff shall work closely coordinated with forward Trainer-Observers and with the DIREVAL and the evaluation teams. In doing so, the training within the exercise may be optimised to reach the aim by repetition of events and injects, which did not lead to the desired (training) effect in the first place

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3.   SENIOR MENTORS. SMs are retired Flag/General Officers with extensive Combined and/or Joint operational command experience who are employed in a dual role to support both the EXDIR and the TA Commander at the Joint and/or Component level. Working in close cooperation with the Training Team, the SM advises EXDIR on key major issues pertaining to exercise play and the performance of the TA. The SM provides personal support to the TA Commander, advising on best operational practices, presenting a strategic perspective and facilitating dialogue among the Command Group and between Commanders across the Joint Task Force. The SM programme is managed by HQ SACT's JFT who also acts as Contracting Authority.

4.   EXERCISE CENTRE (EXCEN)

4.1   Chief Exercise Centre (CHIEF EXCEN). Chief EXCEN manages the central control facility within EXCON, which may include a situation centre, response cells, functional area cells, computer-assisted exercise (CAX[1]) technical team and LO. His main purposes are to vet, approve and control scripted or impromptu (i.e. 'dynamic') play, input information and activity (i.e. 'injects') to the TA with a view to provoking a desired reaction or 'play', maintaining situational awareness about exercise activity and coordination of the CAX simulation services.

4.2   Chief of the Situation Centre (CHIEF SITCEN). CHIEF SITCEN maintains the current exercise operational picture and situational awareness and supervises the scenario and MEL/MIL management. CHIEF SITCEN is the central coordinator of EXCEN activity on behalf of CHIEF EXCEN while monitoring the injects made to the TA and their subsequent reactions.

4.3   Chief of the Scenario (CHIEF SCENARIO). CHIEF SCENARIO develops and manages the scenario upon which the exercise is based. His role permeates throughout the exercise process in close cooperation with SHAPE and the OCE to develop the strategic, operational and geospatial themes. CHIEF SCENARIO may assist SHAPE (or may work alone) in the writing of strategic level documentation such as UN Security Council Resolutions, Ceasefire Agreements between belligerent Parties, NAC Initiating Directives, Strategic Assessments and Activation Orders etc. CHIEF SCENARIO develops the portrayal of the Theatre Parties, governments, belligerents and so forth. He is responsible for the Scenario conditions listed in the Training Objectives, once acknowledged during the TO staffing. With technical assistance from geometrics staff, CHIEF SCENARIO is the key developer of the geospatial picture, which includes the theatre geography and the theatre data provided in the Scenario Modules.

4.4   Chief of the MEL/MIL (CHIEF MEL/MIL). CHIEF MEL/MIL develops, manages and coordinates the plan for scripted and impromptu (i.e. 'dynamic') exercise play that is input (i.e. 'injected') to the TA by EXCON. His role permeates throughout the exercise process by developing storylines, gathering scripting expertise from the TA, building the MEL/MIL database and executing the plan. CHIEF MEL/MIL works closely with the Functional Area Cells who provide subject matter expertise in operational areas to ensure that storylines and incidents make operational and practical sense. He

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[1] The term "CAX", as used in this annex may be considered as synonymous with "SYNEX".

is responsible for the MELMIL conditions (expected MELMIL outcomes) listed in the Training Objectives, once acknowledged during the TO staffing. He ensures that each TO with MELMIL conditions is addressed directly by at least one storyline/incident.

4.5   Response Cells (RCs)

a.   RCs represent subordinate, higher or flanking units and formations, plus other agencies and characters that may operate within, around or even beyond the Theatre of Operations. In the event that one of the main Task Force elements, such as a Component, is not participating as TA then that Headquarters should be represented as a RC. It is best that RCs are staffed by officers actually from those units, formations and agencies. Examples of the latter would be IO/NGO, local Governmental Organisations and media of all types. RCs provide the continual, direct and realistic interface with the TA through injects simulation play, reports and returns, press releases, media stories, telephone calls, radio calls and so forth.

b.   RCs representing units and formations subordinate to the TA are known as Lower Control (LOCON). RC representing higher or flanking units, formations and headquarters are known as Higher Control (HICON). For exercises with a TA at the operational level (such as a Joint Force Command HQ), HICON will have to portray organisations such as SHAPE, NAC, MC, UN and so forth. They may have to provide role players for key individuals such as SACEUR, SHAPE COS, NMRs, UN SEC GEN, UNSG Special Representative, etc.

c.   Grey Cell (GC) represents agencies, organisations, institutions and individuals outside of the NATO force structure and outside of the opposing forces structure. The composition of the JWC GC must be tailored for each exercise; but typically it includes IO/NGO and agencies, local governments, local authorities at federal/provincial/municipal levels, local police forces, local civilians, local military and media.

4.6   EXCEN LOs. EXCEN LOs assist Chief EXCEN by providing him situational awareness and local control. They may coordinate the activities of EXCON elements that are collocated. They may also provide a conduit for the TA to raise enquiries or correspond to EXDIR.

4.7   Commander Situational Forces (COMSITFOR). COMSITFOR represents all opposing, neutral or other forces, whether military, paramilitary, rebel factions or otherwise. His forces may be portrayed within the CAX simulation, thus interacting with and impacting upon friendly forces.

5.   EXDIR SUPPORT

5.1   Political Advisor (POLAD). The POLAD monitors the real world situation and advises the EXDIR of its impact on the exercise (and vice versa). The POLAD may also serve within a RC to interface with the TA in the role of a POLAD or Government official at a higher or flanking formation or agency. Before the selection of the scenario, the Chief of the Scenario should seek advice from the POLAD in order to assess the political sensitivity of the contemplated scenario.

5.2 **EXCON Real Life Support Group (EXCON RLSG)**. EXCON RLSG provides all necessary real life support (RLS), including accommodation, messing and transportation in close cooperation with the Host Nation. As such, they may implement any agreements in place with the HN such as Memorandum of Understanding (MOU) and Technical Arrangements (TAs). The RLSG must be able to support exercise participants even when dispersed to multiple locations. Generally, the OCE Personnel/Logistics/CIS staff would be responsible for planning and resourcing the RLS during the Exercise Process Planning and Product Development Stage and, in accordance with the EXPLAN, may form the core of the RLSG to be placed under control of the EXDIR for the execution phase.

5.3 **CIS Support Group**. The CIS Support Group EXCON provides all necessary CIS in close cooperation with the Host Nation. See Annex G.

5.4 **Administrative Support Group (ASG)**. The ASG provides all necessary administrative support to EXCON, and may be dispersed if necessary to various exercise locations. Its main roles include operation of a centralised Orderly Room, processing and distribution of correspondence, maintenance of records and archives, provision of facsimile services and general clerical services.

5.5 **Director of the Visitors and Observers Bureau (DIRVOB)**. DIRVOB is responsible to the EXDIR for scheduling, coordinating and conducting all visits to the exercise. His tasks may include the conduct of a Distinguished Visitors (DV) Day which likely will require close coordination with the OSE and the HN.

5.6 **Director of the Media Information Centre (DIRMIC)**. DIRMIC is responsible to the EXDIR for the production and dissemination of all internal and external public information concerning the exercise as laid down in the EXPLAN. DIRMIC is the principal spokesperson and release authority for all information to the public. Whilst the VOB is responsible for the general arrangement concerning visits to the exercise, the MIC is responsible for providing suitably qualified media escorts, arranging and supervising interviews etc. DIRMIC is responsible for arranging press conferences and interviews with the Commanders, EXDIR and VIPs as well as ensuring all NATO personnel involved are thoroughly briefed and prepared for facing the media. See Chapter 6 of the ACO Public Affairs Handbook.

5.7 **Training Team (TT)**. The TT is comprised of subject matter experts (SMEs) who provide staff level mentoring to the TA in functional areas (examples: planning, logistics, communications, force protection, intelligence and so forth). SMEs are generally – but not necessarily – drawn from non-TA headquarters such as Joint Warfare Centre, Joint Force Training Centre, Multinational CIMIC Group South (MNCG) and CIMIC Centre of Excellence (CCOE) or even from IO/NGO such as the ICRC/Médecins Sans Frontières (MSF). The TT usually acts in two roles simultaneously: as Observers, who report the achievement of Main Training Objectives, note the performance and operational practices of the TA, and as Trainers who coach the TA in the execution of their staff duties according to the Training Objectives and associated standards. Hence they are commonly known as Observer/Trainers (O/T). The TT also includes Analysts that collect O/Ts' observations and facilitate EXDIR assessment of TA performance and works closely with the SM to advise EXDIR on the performance of the TA.

5.8 **Experimentation Coordination Cell Chief**. The Experimentation Coordination Cell Chief (ECC Chief) is responsible for coordination of all experimentation during the conduct of an exercise. The ECC Chief monitors experiment activity and steers and directs the various experiments as required.

5.9 **Medical Advisor**. The Medical Advisor advises the EXDIR on a variety of health issues such as casualty treatments, medical evacuation and suitability of HN medical facilities. The Medical Advisor should participate as a member of the CPT and may also serve within a RC to interface with the TA in the role of a medical official at a higher or flanking formation or agency.

5.10 **Umpires**. The commander of the umpire organisation is responsible to the EXDIR. Umpires may be used in Live Fire Exercises to judge the results of individual tactical situations, to enforce the rules and arbitrate on matters arising from the exercise play. They should be recognisable and identified to the TA through vehicle and uniform markings, badges and may employ special procedures to simulate weapons engagements. Umpires should closely coordinate their actions with COMSITFOR.

VISITORS, OBSERVERS AND INSPECTORS

1.   POLICY.   Invitations to Visitors, Observers and Inspectors attend NATO military exercises must be in line with NATO policy. NATO policy for Visitors, Observers and Inspectors is contained in MC 458/2 (under review), NATO Education & Training Policy.

MC 458/2 (under review) states:

"To emphasise Alliance missions and capabilities and the importance of NATO military exercises, some exercises may be opened to visitors. Additionally, observers and inspectors may attend NATO military exercises. In situations where a non-NATO nation wishes to send observers to a NATO military exercise, or where involvement of such nations is considered beneficial to the Alliance from a political perspective, the SCs are to forward the NATO Commander's proposal or the nation's application for MC endorsement and NAC approval."

2.   DEFINITIONS. For the Bi-SC implementation of this policy the following definitions[1] are made:

    a.   **Visitors**. Exercise visitors are individuals or small groups (committees etc) from participating organisations or countries who are invited to attend a designated, programmed and possibly pre-scripted, portion of an exercise.

    b.   **Observers**.   Exercise observers are sponsored individuals who attend the exercise with a specific military or diplomatic objective to fulfil. Sponsors would normally be either the Host Nation or the NAC.

    c.   **Inspectors**. Exercise inspectors are sponsored individuals who are obliged by treaty to ascertain specific details of an exercise and have been correctly declared in accordance with that treaty.

3.   OVERALL DIRECTION AND GUIDANCE. Overall E&T direction and guidance for visitors, observers and inspectors to exercises is given in Annex K to Bi-SCD 75-2. This CT&ED annex provides detailed direction and guidance for visitors, observers and inspectors with respect to collective training events and exercises.

4.   VISITOR LIMITATIONS. Visitors to NATO military exercises should be encouraged to attend with the following limitations:

    a.   Attendance has to be controlled to avoid impeding the realism of the exercises; it should not impair the conduct of the exercise and the training.

    b.   Accommodation, financial and administrative factors may limit the number of visitors.[2]

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[1] These definitions are retained from MC 548/1 until the proper NATO authoritative sources can be identified.

[2] The responsibilities for funding the costs of hosting Visitors, Observers and Inspectors to ACO exercises should be identified during the EP and documented in the EXPLAN.

5.   NON-NATO NATIONS/ORGANISATIONS. As per the definition above, if forces of a non-NATO nation or members of any extra-NATO organisation are participating in a NATO military exercise, that nation or organisation should be considered as a NATO nation/NATO entity with respect to participating in any visitor programme. The sponsorship and control of all the categories of visitors listed below is an OSE responsibility; in certain circumstances, this responsibility may be delegated to the OCE.

6.   VISITOR, OBSERVER AND INSPECTOR CATEGORIES. The following categories of visitors, observers and inspectors are directed to be used to enable the correct protocol to take place for E&T events:

    a.   **Category 1**. Distinguished Visitors such as:

        (1)   Heads of State or Government.

        (2)   Members of Royal Families.

        (3)   Senior Politicians (e.g., Prime Minister, Minister of Defence).

        (4)   Senior Representatives from International Organisations (e.g. UN, OSCE, EU, ICRC).

        (5)   Senior Representatives from Non-Governmental Organisations.

        (6)   Euro-Atlantic Partnership Council (EAPC) (ambassadorial level).

        (7)   Military Committee (EAPMC/CHOD level).

        (8)   NATO Commanders of SC, JFC and CC level and their equivalents from EAPC nations.

    b.   **Category 2.** Senior civilians and senior military officers from NATO HQs and NATO/partner nations not covered under Category 1, who are directly concerned with partner issues (e.g. MPD or PMSC/MCWG representatives) or connected with the exercise participating forces or planning HQs. This includes those from a superior HQ who are specifically tasked to observe or analyse defined aspects of the exercise.

    c.   **Category 3**. Senior military officers of national participating forces or HQs not covered by Categories 1 or 2.

    d.   **Category 4**. Inspectors and observers from OSCE-member states participating in accordance with the CFE Treaty and VD 99. During their mission, observers and inspectors will be granted the privileges and immunities in accordance with the Vienna Convention on Diplomatic Relations.

    e.   **Category 5**. Observers from non-NATO/non-partner nations.

7.   ALLOCATION OF VISITOR SPACES. The total number of visitors invited to attend any NATO military exercise and the allocation of invitations is a matter to be decided by the Host Nation, in consultation with the national authorities of other nations participating in the exercises/manoeuvre, the OSE and OCE. The Host Nation should be provided with the names

and positions of potential visitors to be invited by the OSE/OCE unless otherwise indicated. Host Nation approval should be received before the invitations are extended.

8.   NATIONAL-SPONSORED VISITS.   Nations with units allocated to a NATO military exercise must coordinate their requirements for national-sponsored visits to those units with the OSE/OCE early. Host Nation approval must be granted before such visits take place. There is to be no cost to NATO or the Host Nation for such visits. The VOB is to be provided with a detailed itinerary for all such visits and informed of any deviation from said itinerary.

9.   EXERCISE VO POLICY. A VO policy for an exercise should be set in the EXSPEC and should be specified in more detail in the EXPLAN. The following should be included:

   a.   Highlights of particular interest to visitors.

   b.   The proposed allocation of visitor numbers.

   c.   Security classification required.

   d.   Date by which requests for visitor spaces should be submitted.

   e.   Date by which visitor invitation replies should be received.

10.   DISTINGUISHED VISITORS DAY. The OSE must judge whether an exercise justifies the inclusion of a Distinguished Visitors Day (DV Day). Should a DV Day be deemed desirable, a proportion of the overall number of exercise visitors must be allocated to the DVs. It is inappropriate to expect the Host Nation to accept an increased number of visitors to accommodate a DV Day.

   a.   Most NATO military exercises will have standard Visitors and Observers Programmes (VOPs), which will be planned and conducted under the responsibility of the OCE and HN. However, some exercises may require DV Programmes due to their high political-military significance. The OSE is responsible for scheduling a DV programme, as necessary. The OCE, in close coordination with the HN, is responsible for implementing and executing it.

   b.   Including DV programmes and/or exercise-related ceremonies is not compulsory. However, if the OSE elects to include them, they should not disrupt the exercise training objectives.

   c.   The highest level of guest participating in the DV programme of NATO military exercises normally should be:

      (1)   Military dignitaries – Chief of Defence (CHOD).

      (2)   Political dignitaries – Ambassador.

   d.   Selected representatives from international and NGOs may be invited to attend a DV programme.   There is normally no requirement to invite the heads of those organisations.

   e.   Exercise authorities, coordinating with the HN, will issue invitations to visitors and observers. If the HN asks for higher political and/or military representation (i.e., above

Ambassador/CHOD level), the responsibility for issuing the invitations rests with the HN. On request of the HN and/or OCE through the OSE and SCs, the Secretary General, on advice from the MC and/or Political Military Steering Committee (PMSC), may invite heads of international or NGOs.

f.   The OSE and OCE coordinate any request for visitors or observers with the HN. If, in the case of DVs, the HN believes a request should be refused, the matter should be referred to the NAC, through the SC and MC.

g.   Usually a Visitor's and Observer's Bureau (VOB) is established to assist with high-level visits of political and military dignitaries and observers. Protocol personnel usually staff the VOB. It is imperative that the Media Information Centre (MIC) is kept informed about all VOPs to be responsive to media requests related to visitors and observers.

h.   Media personnel accompanying visitors require special coordination. In most cases, the MIC needs to be aware of the number and affiliation of the media members accompanying the visitor. It is expected that visitors will have adequate escorts available for the media. However, at the discretion of the OCE and/or MIC, exercise requirements may dictate that a member of the Public Affairs staff be assigned to assist the visitor with media escort responsibilities.

11.   REQUEST FOR VISITOR ALLOCATION. If called for, requests for NATO sponsored visitor spaces should be forwarded to the OSE/OCE for coordination with Host Nation/s through the normal command channels unless stated otherwise in the EXSPEC. The request should include:

a.   Exercise name and dates.

b.   Activities to be visited or witnessed.

c.   Number of spaces required.

d.   Rank, number, nationality, service/civilian appointment and security clearance of each visitor.

e.   Accommodation and transportation requirements.

12. ARRANGEMENTS FOR VISITORS. For NATO sponsored visitors, the OSE/OCE is responsible for:

a.   Forwarding relevant instructions, materials, etc, concerning the exercise, either direct to visitors or through their headquarters or sponsor agency.

b.   Planning itineraries (once in theatre) - if needed.

c.   Arrangements for reception.

d.   Production of "Briefing Packages". These should include information on personal protection requirements such as medical prophylaxis, mine recognition, emergency telephone numbers etc)

e.   Accommodation.

f.   Local Transportation. The provision of local transport within the exercise area for NATO-sponsored visitors, when required, is the responsibility of the OSE/OCE (see above).   This transport can come from OSE/OCE's headquarters resources, commands/units participating in the exercise or Host Nation resources. If this cannot be provided, it is essential that this is known during the exercise planning phase so that visitor numbers can be kept to a minimum. In order to ease the OCE/OSE's problems, visitors from headquarters within reasonable distance of the exercise area should come with official transport for their use during the exercise. Exercise budgets normally have very limited funds available for the hire of extra vehicles.

g.   Designation of sponsors for the visitor, if necessary and practicable.

h.   Visitors or their parent HQ or agency are responsible for travel arrangements to and from a point in the exercise area designated by the OCE/OSE. The costs of the NATO visitors are borne either by the visitors or their parent headquarters or agency. Any modifications to this policy for the exercise will be issued by the OSE/OCE.

i.   Hospitality Arrangements. (i.e. Vin d'Honneur or a meal with drinks, coffee) for NATO visitors should be agreed upon by MODs and NATO headquarters concerned prior to the issuance of invitations. Whenever possible, this will be planned during the Planning and Product Development Stage and the policy decision presented no later than the FCC. It is unusual for NATO funds to be expended for the entertainment of NATO personnel however senior. Planners will have to look to the Host Nation if they perceive the need for special entertainment activities or functions.

13.   OBSERVERS AT NATO MILITARY EXERCISES. In accordance with the Organisation for Security and Cooperation in Europe (OSCE) Vienna Document 1999 (VD 99) on The Negotiations on Confidence and Security Building Measures (CSBM); the number (up to 2 for each participating state) name and ranks of all OSCE observers who accept the invitation from the "Host State" should be communicated as soon as possible to the OSE/OCE to permit timely planning of suitable arrangements.

14.   OSCE HOST STATE RESPONSIBILITIES. Responsibilities of the Host State regarding OSCE observers are detailed in Section VI and Annex IV of the VD 99 and amongst other items include:

a.   At the commencement of the programme a briefing on the activity.

b.   Transportation (to/from/in the area of the activity) lodging, food and, where appropriate, medical care.

c.   Provisions for timely communication with observers' embassies.

Note: The Host State may delegate some/all of its responsibilities as host to another nation engaged in the military activity on the Host State's territory. In such cases, the Host State will specify the allocation of responsibilities in the invitation.

15.   CONTACT OFFICERS FOR OSCE OBSERVERS. The OSE/OCE is responsible for providing one or more contact officers fully conversant with the exercise on which nations can

call for assistance when dealing with OSCE observers. Nations are encouraged to include the contact officer(s) as part of the escort team provided for the observers throughout their visit to the forces involved in the exercise. Host States are responsible for the financial arrangements related to OSCE observers as outlined in the VD 99. No commitment should be made from NATO budgets.

16.   DIPLOMATIC STATUS OF OSCE OBSERVERS.   During their mission, OSCE observers are to be granted the privileges and immunities accorded to diplomatic agents detailed in the Vienna Convention on Diplomatic Relations. Therefore DISTAFF/OCE/participants must to be prepared to accommodate observers from nations whose interests may be at variance to those of the Alliance.

17.   SECURITY GUIDANCE FOR THE PROVISIONS FOR CFE INSPECTORS AND OSCE OBSERVERS.   In addition to the observers attending under the auspices of the VD 99 inspectors authorised under the CFE Treaty may be attending. The major obstacle to be solved in determining the provisions for CFE inspectors and VD 99 observers (I/Os) lies in the conflict between the need to protect classified information and the intention to reveal as much as possible in the spirit of "confidence building'. However both include Operational Security provisions to protect legitimate security interests.

18.   RELEASE OF CLASSIFIED INFORMATION.   The NATO Supporting Directive on Information & Intelligence Sharing with NNEs (AC/35-D/1040-Rev3) allows for key roles within a NATO Exercise to release NATO classified information to non-NATO Exercise participants, and for the release of NATO classified information within the context of NATO training. If needed, additional release authority may also be sought via the MPD. Release circumstances will be different for each Exercise and Training event; accordingly, the Security staff should be consulted for specific detail of release authority.

19.   CATALOGUE OF CLASSIFIED ITEMS. The OSE/OCE may wish to consider producing a comprehensive catalogue of items which should not be revealed under any circumstances or discussion of which should be avoided. When appropriate this catalogue could go under the Security Annex of the EXPLAN and be subject to limited distribution according to its classification. This catalogue could include:

   a.   Classified weaponry, and classified performance data.

   b.   Classified tactical techniques.

   c.   Details of communication links, systems and protective measures.

   d.   Classified aspects of the exercise scenario.

20.   CONDUCT OF VISITS. For the actual conduct of CFE/OSCE I/Os visits the OSE/OCE should consider the following points:

   a.   Establishing early liaison with the security and/or Arms Control authorities of the Host State(s).

   b.   Ensuring that routes taken by I/Os to and from the exercise area and any premises used by them have no security sensitivity.

c.   Providing the I/Os with permanent, fully briefed escorts conversant with the unclassified parameters of the exercise.

d.   Bringing to the attention of all, especially escorts, the NATO guidance for official contact with I/Os.

21.   NON-NATO/NON-PARTNER OBSERVERS AT NATO MILITARY EXERCISES. Requirements may arise in which a non-NATO/non-partner nation wishes to send observers to a NATO military exercise. In such cases, the SCs are to forward the NATO commander's proposal, or the nation's application to the MC for endorsement and NAC approval. If a NATO subordinate commander receives such a request, the application has to be forwarded via SHAPE. NATO commanders may discuss with non-NATO/non-partner nations their possible involvement in a NATO military exercise only after NAC approval.

PUBLIC AFFAIRS (PA) CONSIDERATIONS

PA guidance for both real life support to exercises and exercise play development will be conducted in accordance with ACO 95-1, Public Affairs Directive, 23 May 2008, and the Allied Command Operations Public Affairs Handbook, 2010.

REAL SECURITY CONSIDERATIONS

1.   INTRODUCTION. This Annex provides an overview of the additional exercise process planning and execution activity with respect to Real Security. The primary references for Real Security guidance are Allied Joint Doctrine for Force Protection, AJP-3.14, dated 26 November 2007, and ACO Force Protection Directive 80-25, dated 1 January 2003.

2.   RESPONSIBILITIES FOR REAL SECURITY.   Responsibility for the provision of appropriate Force Protection (FP) during the execution of an exercise and associated conferences lies jointly with the OCE and the HN. They are to develop a joint plan for the provision of adequate measures for FP. A preliminary plan must be in place to cover the initial planning conference. A comprehensive plan will follow early in the exercise process.

3.   REAL SECURITY GUIDANCE. Each OCE will issue Real Security guidance for the exercise within their responsibility. This guidance is to be:

   a.   Prepared by a syndicate established by the exercise planners encompassing representatives from SNs and the HN.

   b.   Embodied in an annex to the EXPLAN.

   c.   Used as the foundation for the development of HN MOUs/TAs.

4.   ARRANGEMENTS FOR REAL SECURITY. A MOU/TA between the OCE, on behalf of the SNs, and the HN must be developed at the beginning of the EP. Such arrangements are to acknowledge that effective FP support is to be provided by the HN during each phase of the exercise, including post-exercise activities.

5.   EXERCISE FP PLANNING. The following steps are to be taken in developing the FP annex of the EXPLAN:

   a.   OCE to nominate a POC responsible for all Real Security matters.

   b.   SNs are to identify Real Security requirements to HN and OSE/OCE.

   c.   HN is to inform SNs and OSE/OCE of its Real Security capabilities and limitations or restrictions.

   d.   OCE develops a comprehensive Real Security plan in coordination with HN.

6.   FP FOR CONFERENCES AND MEETINGS. Exercise conferences and meetings are an integral part of the EP. Therefore, effective Real Security measures are to be taken into account for the conduct of such activities. Consequently, the planners responsible for conferences and meetings are required to:

   a.   Select, where possible, a secure/protected military facility as the conference venue. If there is no alternative but to use civil facilities, the following aspects are to be considered in concert with current threat assessment and alert status:

(1)   Provision of appropriate security brief in preparatory papers and at the beginning of the conference/meeting.

(2)   Security of the facilities (including documents, physical security during preparatory and overnight periods) to be provided in co-operation with HN.

(3)   Personal security of participants, including accommodation and dining/refreshment facilities.

(4)   Arrangement of isolated conference rooms, including evacuation requirements.

(5)   If appropriate, the use of civilian attire during the conference/meeting.

(6)   The provisions of local intelligence threat assessment on the exercise area from NATO and HN resources.

(7)   Lowering the public profile of the event, including signs, programmes, flags etc.

(8)   Provide for local/HN emergency medical services' capabilities.

b.   Avoid, where possible:

(1)   Any media announcements of the conference/meetings.

(2)   Group travel to and from the conference/meeting.

(3)   Predictable or regular transit routes.

(4)   Significant programmed assemblies outside the facility (e.g. group photographs).

HOST NATION SUPPORT CONSIDERATIONS

1. **INTRODUCTION.** This Annex provides an overview of Host Nation Support (HNS) considerations and the process by which nations are recruited, selected and informed for supporting NATO exercises. Host Nation Support considerations can be separated into two main areas: Host Nation selection and Host Nation Support agreements. While these are two separate functions, they must be coordinated to achieve the most efficient Host Nation Support for smooth exercise execution. For ease of understanding, these two areas are presented separately. The primary reference for Host Nation Support is AJP-4.5(B).[1]

2. **HOST NATION SELECTION**

   2.1. The Host Nation Selection for NATO exercises is critical to the success of the NATO Military Exercise Training and Exercise Programme (MTEP). Generally speaking, a Host Nation is required for an exercise anytime personnel involved in an exercise deploy to a Non-NATO facility. Deployment to a NATO facility, such as the Joint Warfare Centre during Major Joint Exercises, will be covered under the Host Nation Agreement covering that facility.

   2.2. Several issues may impact the selection of member or partner nations to provide HNS: Exercise details (Training Audience, partner involvement), Memorandums of Understandings (MOU), and political direction. When considering offers for HNS, all effort should be made to capitalise on efficiencies while spreading the experience among various nations. SACT retains the final approval for Host Nation Selection.

   2.3. HQ SACT will advertise exercises requiring HNS by sending a letter to member nations (via SHAPE National Military Representatives) requesting volunteers to host NATO (two years in advance). Exercise OSE/OCE should review their training/ exercise requirements to assist HQ SACT in identifying which of their exercises require HNS. During the exercise planning, additional HNS may be identified. These additional HNS requirements will be handled individually, but should be identified no later than the Initial Planning Conference.

   2.4. After receiving offers from the nations and partners, HQ SACT will coordinate with the exercise OSE/OCE for suitability. Additionally, HQ SACT will evaluate each offer from a political/military perspective. Occasionally a number of nations will apply to host a particular exercise. HQ SACT may need to seek NATO HQ/ACO International Affairs Advisor advice on the implications of the various bids. If there remains more than one candidate nation, HQ SACT will normally select the candidate that makes the best economic sense. However, specific political ambitions may drive the selection to a specific region or nation.

   2.5. If an exercise remains without a clear Host Nation one year prior to the exercise then a second request letter will be issued to the nations. If an exercise still requires a

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[1] AJP-04.5(B), Allied Joint Host Nation Support Doctrine and Procedures, 30 May 2011.

designated Host Nation six months prior to the exercise, then HQ SACT will decide whether to amend the exercise or continue to obtain a host nation.

2.6.   Nations should provide their offer to host a particular exercise to HQ SACT by letter from their nation directly, from the HQ SACT NLR/MPD, or via the OSE/OCE.

2.7.   HQ SACT will maintain a current status of HNS.

3.   HOST NATION SUPPORT

3.1.   If an exercise is due to take place in the territory of a NATO or PfP member state, the key document will be the NATO SOFA.[2]   The NATO SOFA sets out the conditions governing the presence of military forces on other member state's territory. The documents which together establish the legal framework also delineate the responsibilities of NATO, the HN and the troop supplying nation with respect to the collective presence in a country and the responsibility for the health, safety and behaviour of an individual. If there is any doubt as to the existence or the content of these documents LEGAD staff has to be consulted.

3.2.   These documents also cover issues such as indemnity, insurance and taxation. HN's are sometimes slow to inform the local representatives, customs, immigration and other organisations of the existence of an exercise and the modified procedures required when handling visiting military personnel, equipment and acquisitions.

3.3.   Although the NATO and PfP SOFAs may apply for certain personnel attending the exercise, there may also be requirement for special arrangements to be made for personnel not covered by these SOFA's, exercise specific or HNS arrangements. Special arrangements, such as military visas (payment often required) etc may need to be authorised by the HN ahead of any travel. It should be noted that most visas only last 3 months.

3.4.   Other Documents. Other important documents include the Paris Protocol, the Additional Protocol to the PfP SOFA, and the Further Additional Protocol. Applicability of these documents is dependent upon the HNs ratification of each document.

> a.   **Standing or Exercise HNS MOU**. Most, but not all NATO members have standing MOUs with SHAPE. Any such standing HNS MOU is supplementary to the NATO SOFA, and contains general principles covering all operations and exercises on the territory of the HN. The format and normal content of the standing HNS MOU will be found in AJP-4.5(B). The MOU is the formal undertaking by the HN to accept the exercise on its territory whilst also setting out the general principles and conditions concerning HNS. The specific exercise MOU will define any limitations placed on the exercise and its participants. It is essential that this document is handled with the utmost care

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[2] The legal status of personnel participating in exercises involving non-NATO countries will depend mailnly on whether these nations ratified the PfP SOFA, which incorporates by reference the provisions of the NATO SOFA. Not all PfP countries have ratified the PfP SOFA. Where the PfP SOFA does not apply, other arrangements must be made.

and is staffed promptly. The individual national MOU's are managed within SHAPE Support Division.

    b. **Technical Arrangements**. Following the signature of a standing or exercise HNS MOU the next step is the Technical Agreement. This document contains specific practical details on HNS; it covers the whole spectrum of the support of the exercise. A Technical Agreement should be signed between the appropriate NATO JFC and MOD of the Host Nation. AJP 4.5(A) contains the template for Technical Agreements.

3.5. Exchange of Documents. At the IPC, Sending Nations (SN) will be provided with one signed copy of the MOU and will be given a sample Statement of Intent (SOI) and Note of Accession (NOA). SNs are expected to sign and return the SOI or NOA NLT 30 days after MPC as official declaration of their intent to participate in the exercise under the legal terms of the MOU.

3.6. The arrangements for planning the HNS may require either a stand-alone syndicate with strong legal lead (most normal for PfP and out of area activities) or a dedicated sub-group of the Logistics Syndicate. It may be necessary to form a specialist cell to address HNS issues ahead of the formation of the CPT. This group will then form the heart of any syndicate/ logistics sub-group formed during the IPC.

    a. Joint HNS Steering Committee. It could be advised to start a so-called Joint HNS Steering Committee (JHNSSC) as described in AJP 4.5(A). Generally once the MOU has been concluded, the NATO Commander and the HN will establish a JHNSSC to develop the necessary amplifying arrangements regarding HNS. A JHNSSC should be established in any event no later than the conclusion of the Main Logistic Planning Conference (MLPC). This JHNSSC can be continued during the exercise which optimises the contact with the HN related to HNS ssues.

    b. HNS Process. The starting point for any HNS will be a review of the SOFA, extant HNS MOU and national caveats placed upon the MOU. Once complete, channels between the OPR and the national OPR should be formally opened. If desirable the HN should then be invited to host either the ESC or a Recce.

    c. Exercise Specification Conference (ESC). If the decision process has been relatively simple, the HN may have been identified prior to the ESC. Consideration should be given to combining the ESC with a HN visit. This ensures that EXSPEC drafting process can be enriched by the nation's views, and on the spot assessments of the facilities, etc… on offer. This procedure allows the key syndicate leads at the IPC to have first-hand knowledge of the issues to be addressed at the start of the Planning and Product Development Stage.

    d. Final Coordination Conference. The MOU and the Technical Arrangements must be approved and signed by the end of the Final Coordination Conference. Any delay on this timing has serious impact on real life movement planning, etc.

3.7. HNS Options. The HN will provide support to the greatest extent possible on the basis of national legislation, national priorities and the actual capabilities and available resources of the HN. HNS may be rendered on a reimbursable basis, to include direct financial reimbursement, replacement in kind and/or equal value exchange and may include provision at no cost.

3.8. Support provided by HNs Free of Charge. Offers to host NATO exercises should be made with the understanding that the HN is normally expected to provide the following support free of charge to the NATO HQ:

a. A suitable facility to conduct the exercise or event, which does not require renovation or construction in order to serve the purpose.

b. All security associated with exercise/event facilities.

c. Fire protection and emergency medical services for exercise facilities and personnel.

d. Air lift or transport support for recce and other events as detailed per the SOR.

e. Access to APOD and SPOD free of harbour/airport fees not directly associated with services requested, provided and received.

f. Electricity, water, sewage, and other utilities not metered directly to an exclusive NATO facility.

g. Rubbish removal.

h. Contracting support (subject to payment for material purchased).

i. Services of military personnel.

j. Access to/use of training ranges.

k. Customs clearances.

3.9. Reimbursable HNS. Offers to host NATO exercises should be made with the understanding that the HN is expected to be able to provide the following HNS on a reimbursable basis (chargeable at the same rates chargeable to HN forces less taxes):

a. Purchase of consumable supplies.

b. Rental/purchase of non-military equipment when military equipment is unavailable.

c. Military accommodation of exercise/event participants at the same rates charged to HN personnel.

d. Messing at military facilities at the same rates chargeable to HN military personnel.

e.   Installation of room dividers or other temporary modifications to configure otherwise suitable facilities to the needs of the NATO Commander.

f.   Installation of NATO CIS and administrative equipment.

g.   Telephone and other communications services.

h.   Incremental installations of electricity, water, sewage and other utilities that can be metered exclusively to NATO facilities during exercises/events.

i.   Stationery, printing, postage and packing.

j.   Hire of temporary civilian personnel.

k.   Rental of commercial facilities, when military facilities are unavailable, or unsuitable.

l.   Commercial services.

m.   Targets and incremental services at training ranges requested by the NATO Commander.

n.   POL for NATO vehicles.

o.   Ground transportation, subject to reimbursement of incremental costs only.

3.10. Additional Support.   The above detailed standards are not exhaustive, and Commanders may request additional levels of support beyond those mentioned herein (i.e. barracks accommodation in existing facilities, etc).   Subordinate HQ may request SC assistance and further guidance when they are unable to obtain appropriate levels of support from HN during the exercise process.   SC may request assistance of the National Military Representatives (NMR) and NATO delegations in resolving HNS issues.   Some points of attention, regarding HNS, are:

a.   Final financial arrangements, particularly those related to NATO Common Funding, will likely only be determined just prior to the implementation of a NATO operation/exercise.   Expenses not specifically agreed as being a NATO funded expense, prior to the expense being incurred, will not receive NATO Common Funding.

b.   The HN will not incur any financial liability on behalf of the NATO Commander or Sending Nations (SNs), unless specifically requested to do so in advance by an authorised representative, and unless responsibility for payment of the expenses is agreed.

c.   The MOU does not represent a specific funding obligation on the part of the NATO Commander or SN.   Detailed financial arrangements and reimbursement procedures will be specified in the follow-on documents.   Joint Implementation Agreements are especially the financially obligating document. Invoices for provisions and services provided by the HN should be accompanied by the signed documents for those provisions/ services.

SCENARIO DEVELOPMENT

1.   **Introduction.** The purpose of this Annex is to provide greater specificity than can be offered in the individual EP Stage chapters above. Appendix 1 describes the basic scenario modules and Appendix 2 describes the key Activities during the MEL/MIL development process.

2.   **Setting, Scenario and Development Deliverables.** The Setting, Scenario and MEL/MIL Development deliverables are self evident and clearly separated in the EP. However these items are Pol-Mil sensitive and liable to change even after the EXSPEC has been approved. Great care must be taken when drafting the elements of the scenario to ensure sensitivities of Pol-Mil issues are observed at every point.

3.   **Scenario and MEL/MIL Development Organisations.** In most large exercises, especially those at the strategic and operational levels, the roles of these two groups are separate. It is important for the coordination of the two groups that there is interplay, and indeed shared membership between them, but their roles must be seen as different. One provides the springboard from which the exercise stems; the other the script from which the exercise is controlled. Where "off the shelf" (OTS) scenarios are used, it may be possible for the Scenario working group and the MEL/MIL coordination group to merge. In this case the function of the Scenario working group will be purely to adjust the product to reflect the exercise setting.

4.   **Setting Development Process.** The Setting is the EXSPEC description of the exercise's strategic situation. To create the setting the OPR and the OSE EPG will have used the MTEP exercise description and the OSE's Exercise Planning Guidance. The Setting may be sufficiently sensitive as to have been the subject of discussion between NATO HQ and ACO prior to the commencement of the EP. Any record of such discussion will be vital.

5.   **Scenario Development Process.** The Scenario provides the flesh to the setting's bones. It is the exercise starting point to which all relevant data for the execution of the exercise is tied. To achieve this, a separate Scenario working group may be established. This group will require the OSE's Exercise Guidance, the OCE's Exercise Planning Guidance, the EXSPEC Geo-Strategic Situation, the OSE's aim and objectives, the OCE's Approved Training Objectives and all relevant geospatial data.

6.   **Main Event List/Main Incident List (MEL/MIL) Development Process.** The MEL/MIL uses the scenario as its basis. The Scenario provides the broad setting and detailed background information about the locations, groups, people and environment with which the TA are notionally involved for the exercise, to include geographical, political, military, economic, social, information and infrastructure (PMESII) factors. Using this setting, the MEL/MIL builds storylines designed to trigger certain decisions and activities in the TA based on the Exercise and Training Objectives. The intensities of various portions of the Scenario (e.g. the threat to TA forces from specific groups) can be manipulated via the MEL/MIL in order to target specific effects within the TA. The MEL/MIL should include all injects provided to the TA, from the Initiating Directive that starts the Crisis Response Planning Phase, the Situation Updates prior to the CPX and through to the end of the exercise (ENDEX). Thus the key requirements of those drafting it (usually a working group under the chairmanship of the

CHIEF MEL/MIL Coordination Group - often the Intelligence CPT representative) will be the Approved EXSPEC, the Scenario outline and the Approved Training Objectives.

7.   Scenario and MEL/MIL Development. The Scenario and MEL/MIL groups will usually hold their meetings during the EP Exercise Planning and Product Development Stage. To ensure that the Scenario can support the effects intended by the MEL/MIL, it is imperative that the MEL/MIL Team have insight into, and provide inputs for, the development of the Scenario from the earliest stages. Likewise, the MEL/MIL Team should include representation from the Scenario development team to ensure continued tailoring/synchronisation of the Scenario to best support the desired effects of the MEL/MIL and, ultimately, the Exercise and Training Objectives.

> **7.1   Scenario Working Group**. The Scenario group should be working in advance of the MEL/MIL group. Where a new scenario is to be developed, the Scenario group may first meet during or even before the IPC. The group may have to programme one or two workshops to enable the coordination of products; otherwise it will probably subdivide into small sections addressing the production of geography and infrastructure, country data and information (for example; political, social, financial, industrial and cultural/religious background material) and order of battle (armed forces and irregular/terrorist group force holdings, distribution etc). When an OTS product is used these timelines can be greatly reduced.

> **7.2   MEL/MIL Coordination Group**. When an OTS scenario is used the MEL/MIL group can meet relatively soon after the Exercise Planning and Product Development Stage commences. The first task of the MEL/MIL group is to analyse the TOs and the scenario to identify the types of events that will achieve the TOs. Thereafter the group may sub-divide to allow functional and service expertise to be used to develop the Main Events List. This will then lead on to the derivation of suitable incidents to support the individual events.

APPENDICES:

1.   Scenario Modules
2.   MEL/MIL Activities

SCENARIO MODULES

1.   SCENARIO.   A scenario is defined as "the background story that describes the historical, political, military, economic, cultural, humanitarian and legal events and circumstances that have led to the current exercise crisis or conflict. The scenario is designed to support exercise and training objectives and, like the setting, can be real, fictionalised or synthetic as is appropriate. A scenario will be composed of specific modules essential to the accomplishment of the exercise objectives or of the seminar/academic/ experiment objectives.

2.   SCENARIO MODULES. The specific modules are:

2.1.   Module 1 - Geo-Strategic Situation.   Includes a generic description of the crisis area including the major regional actors, and a description of the crisis, including its historical background and major political, military, economic, cultural, humanitarian and legal conditions, including membership in relevant Arms Control treaties and agreements, that support a NATO military response. The Geo-Strategic Situation is summarised in the EXSPEC and included in an EXSPEC Annex.

2.2.   Module 2 - Theatre of Operations. Static information/data about the region to support strategic assessments and operations planning.   Information/data are produced in Bi-SC AIS Functional Services/doctrinal[1] formats (where available) and includes, among other things: Mapping/Map Dataset, Theatre Data, Country Studies/Information, regional/national Orders of Battle (ORBATs) and OPFOR Campaign Plan.

2.3.   Module 3 - Strategic Initiation. Establishes the international and NATO political desired end-state, objectives, limitations and directions as well as the supporting strategic assessments and planning guidance following the NATO crisis response system. This module should include:

   a.   Road to Crisis (Narrative summary of the main events leading to planning situation, to be included in MEL/MIL database).

   b.   UNSC Resolutions and/or other documents providing the legal basis for the operation.

   c.   NAC Request for Advice.

   d.   SACEUR's Strategic Warning Order.

   e.   SACEUR's Strategic Assessment.

   f.   NAC Decision Sheet Requesting Options.

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[1] For example: ADatP-3, NATO Message Text Formatting System (FORMETS) series; ADatP-16, Standard Operating Procedures for NATO Link 16A series; AIntP-03, The NATO Military Intelligence Data Exchange Standard series; APP-11, NATO Message Catalogue series.

g.   SACEUR's Military Response Options.

h.   NAC Initiating Directive.

i.   Strategic CONOPS.

j.   SACEUR and intermediate Commanders' Planning Directives.

2.4.   Module 4 - Crisis Response Planning Information. Provides current updated information/data about the international and regional situation. Information/data are produced in Bi-SC AIS Functional Services/doctrinal formats (where available). This module includes, as a minimum:

a.   Current Intelligence Summary.

b.   Friendly Forces. Provides forces available for planning based on NRF Readiness Reporting System (RRS) and NATO ORBAT as well as current disposition of friendly and neutral forces in the theatre area. Data for generic forces available for planning should be provided in the same formats and level of detail as real forces available for planning would be.

c.   Target Integrated Data Base (IDB).

d.   Civil military data and information sufficient to support TA development of the production of the Civil Assessment and the CIMIC Estimate as well as the CIMIC input to an Operation Plan.

e.   Environmental Assessment.

f.   OLRT Recce Reports.

g.   NCRS messages.

h.   TOPFAS dataset.

i.   LogBase dataset.

j.   Intelligence dataset, including regional forces' data and scenario-specific Crisis Response Intelligence Package (CRIP).

k.   MEL/MIL as appropriate for Phase II.

2.5.   Module 5 - Force Activation and Deployment Information. Provides external information/data in response to player CONOPS and CJSOR as well as CCIR as required to complete execution planning and to initiate deployment and initial entry operations. Information/data are produced in Bi-SC AIS Functional Services/doctrinal formats (where available). This module includes, as a minimum:

a.   ACTWARN/ACTREQ messages.

b.   FORCEPREP messages.

c.   Allied Force List (AFL)

d.   Force Balancing Results.

e.   SOFAs/MOUs/TAs.

f.   Multinational Detailed Deployment Plan (MNDDP)/Flow Execution Plan (FEP).

g.   ACTORD message(s).

h.   ORBATTOA messages.

i.   Current Intelligence Summary (INTSUM)/Intelligence Report (INTREP)(as required).

j.   Joint Targets List.

k.   NCRS messages.

l.   Rules of Engagement Authorisation (ROEAUTH)/Implementation (ROEIMPL) messages.

m.   MEL/MIL as appropriate for Sub-Phase IIIA.

2.6. Module 6 - Execution Information. Describes the current situation at STARTEX, based on OPLAN Operational Information Exchange requirements.[2] Information/data are produced in Bi-SC AIS Functional Services/doctrinal formats (where available). This module includes, as a minimum:

a.   Road to Crisis (Narrative summary of the main events leading to current situation, included in MEL/MIL database).

b.   Current Intelligence Summary (INTSUM)/Intelligence Report (INTREP) (as required).

c.   Operational Assessments and Reports. Assessments and Reports that would normally be available in a real situation must be developed and provided before the exercise starts and during execution at predetermined times/situations.   These would include periodic Operational Information Exchange Formatted Reports and special reports and these should be included as MEL/MIL injections. Additional information and products should be held until requested by the TA using doctrinal processes and procedures. Examples include special intelligence information, port data and CIMIC-oriented reports. The requests for this information could come through the Intelligence Requirements Management (IRM) system or via other doctrinal processes

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[2] The Operational Information Exchange (OIE) reporting requirements should be promulgated in Annex CC of the Training Audience OPLANs. They are based upon the higher echelon OIE reporting requirements which should be provided to the Training Audience during the Phase II.

d.   Order of Battle/Transfer of Authority Land/Air/Sea / STARTEX Force Laydowns.

e.   Current SITREPS for Land, Air, Navy, PAO, CIMIC, CIS, METOC, Deployment, Logistics, etc.

f.   Area of Interest (AOI) Common Operating Picture (COP) data and information. These include data/information products required by 'Recognised Picture' Functional Services (eg; ICC, MCCIS, LC2IS) that contribute automatically to the COP; specialised Functional Services (eg; JOIIS/NITB , EVE, TOPFAS) that provide data and information to the COP as required; and theatre functional databases (eg; CIMIC, Medical, Military Engineering) that contribute to COP overlays through overlay management agents (eg; Interim Geo-Spatial Intelligence Tool (iGeoSIT)). Some of these data/information products may be generated by LOCON and some may be developed with assistance of M&S/synthetic tools.

g.   Main Events List (MEL)/Main Incidents List (MIL). The MEL/MIL is defined as "the main tool (normally a database) for the EXCON to control the exercise. MEL/MIL is maintained by EXCON and it is structured on the main events developed to support achievement of the exercise objectives. Each main event will have one or more incidents that are presented to the training audiences by means of injections. The MEL/MIL should encompass the complete timeline of the exercise and, at ENDEX, be updated to include all dynamic and unscripted events, incidents and injections utilised during the exercise conduct."

(1)   The MEL/MIL includes the complete set of events, incidents and injections, and constitutes the detailed script of the exercise play. These should be developed before the exercise. They may also be dynamically scripted during the exercise. The purpose is to generate responses from as well as to 'paint the picture' for the training audiences.

(a)   Events are major occurrences or a sequence of related incidents developed to support achievement of the exercise objectives and to set the stage for achievement of the TOs.

(b)   Incidents are actions or situations that provide greater clarity to an event.

(c)   An injection is the way of bringing an incident to the attention of the players for whom it was created and are to be made using doctrinal communications means and, where available, formats and media.

(2)   MEL/MIL developers should be sourced from those organisations that will be represented in EXCON (HICON/LOCON) and should not be drawn from the Sub-Phases IIIA/IIIB training audiences. Evaluation teams should assist in development of the MEL/MIL and may request specific incidents and/or injections designed to support their evaluation requirements.

MEL/MIL ACTIVITIES

1.   INTRODUCTION.   This Annex presents the key activities during the MEL/MIL development process based on a three workshops approach described below.

2.   WORKSHOPS. The MEL/MIL development process is divided into the following main workshops:

2.1.   MEL/MIL Strategy Workshop.

a.   Timing: after the Main Planning Conference (MPC) and prior to Phase 2 Crisis Response Planning (CRP).

b.   Attendance: Chief MEL/MIL, Event Managers, Chief Scenario, Chief Situational Forces (SITFOR), MEL/MIL Manager, Computer Assisted Exercise (CAX) Manager, Exercise Officers of Primary Responsibility (OPRs), Training Audience (TA) J7 representatives (as desired) and Experimentation and Doctrine representatives (as required).

c.   Key Inputs:

(1)   Approved Exercise Specification (EXSPEC), Training Objectives and draft Exercise Plan (EXPLAN).

(2)   Scenario Modules 1-2 and draft Modules 3-4.

(3)   Experimental objectives/goals.

d.   Processes:

(1)   Analyse Scenario relative to Exercise Aims and Objectives.

(2)   Develop Events, based on intended effects/outcomes, to support Exercise Aims, Objectives and Training Objectives.

(3)   Ensure Events are focused primarily at the level of the Primary Training Audience.

(4)   Link Exercise and Training Objectives with Events.

(5)   Consider how to influence Phase 2 Start of Exercise (STARTEX) situation and documentation.

(6)   Identify additional expertise/support required for next MEL/MIL workshop.

e.   Key Outputs:

(1)   Recommended improvements to Scenario modules, especially

strategic guidance documents, as required.

(2)   Main Events List (names and descriptions of each Event).

2.2. Incident Development Workshop.

a.   Timing: after Phase 2 CRP – ideally after TA Operations Plans (OPLANs) delivery and analysis.

b.   Attendance: same as MEL/MIL Strategy Workshop plus Subject Matter Experts (SMEs), analysts (one per event), and selected Observer/Trainers (OTs) – ideally those who have observed CRP and analysed the TA OPLANs.

c.   Key Inputs:

(1) Joint Force Commander (JFC) and Component Command (CC) OPLANs and initial force lay-downs (when conducted after Phase 2).

(2) For Follow-on Force (FoF) level exercises: ENDEX situation from corresponding exercises (if linked).

(3) Joint Exercise Management Module (JEMM), populated with updated exercise information.

d.   Processes:

(1)   Review Events based upon OPLANs analysis.

(2)   Develop SITFOR plan – should not be exclusively military-based, but rather consider all lines of operation: Political, Civil,   Military and Economic.

(3)   Develop draft Storyboard for duration of the Execution.

(4)   Ensure Incidents focus on the respective level to the maximum extent possible

(5)   Develop a framework for scripting, including key Injects, actions, and observable intended Event/Incident outcomes.

(6)   Synchronise Events/Incidents/Injects to ensure a steady and realistic flow of activity during the exercise.

(7)   Ensure all Training Objectives are adequately covered and cross referenced with the Storyboard and the functional areas to build play into Events/Incidents.

(8)   Conduct ongoing CAX synchronisation.

(9)   Develop guidance and direction for Scripting.

e.   Key Outputs:

(1)   Main Incidents List.

(2)   Storyboard framework for Events and Incidents.

(3)   Plan for MEL/MIL Scripting Workshop.

2.3.   MEL/MIL Scripting Workshop

a.   Timing: at least four weeks prior to Execution to allow time to review and refine Injects, update STARTEX documentation and validate/synchronise CAX simulation.

b.   Attendance: same as Incident Development Workshop plus scripters (optimally including personnel who will man Response Cells in EXCON), additional CAX personnel, and TA headquarters' liaisons (those not participating in the TA during the exercise).

c.   Key Inputs:

(1)   MEL/MIL framework developed during Incident Development Workshop.

(2)   Friendly forces and SITFOR lay-downs at STARTEX.

(3)   Briefings (Scenario, OPLAN, SITFOR) and training.

(4)   Updated/loaded JEMM

d.   Processes:

(1)   Brief all scripters on friendly force and SITFOR lay-downs at STARTEX.

(2)   Divide scripters into Event-based syndicates (cross-functional and cross-Component).

(3)   Script all Injects within the Incidents with a focus on adding realistic detail.

(4)   Add necessary functional and/or Component-level play to satisfy all Training Objectives.

(5)   Refine Inject and Incident expected outcomes to ensure they are observable and meet Training Objectives

e. Key Outputs:

 (1) MEL/MIL ready for final refinement.

 (2) Key SITFOR actions synchronised with CAX.

 (3) Draft Collection Management Plan.

 (4) Inputs to STARTEX documentation as necessary.

SYNTHETIC ENVIRONMENT SUPPORT TO EXERCISES

1.   **INTRODUCTION**.   The purpose of this Annex is to provide an overview of requirements for synthetic environment support of an exercise process as well as details on the planning activities, steps and resources required to develop and conduct a Synthetic Exercise (SYNEX).   A SYNEX is an exercise in which forces (i.e., troops and/or systems) are generated, displayed and moved by electronic or other means on computers, simulators or other training devices. Exercise Studies can also be conducted as a SYNEX. Contained within the SYNEX grouping is the Computer Assisted Exercise (CAX) which is a CPX where computers simulate the operational environment and provide event resolution that may be used in a distributed or non-distributed form or a combination of both.

2.   **CAX SUPPORT.** CAX support is often thought to be limited to installing and running a military constructive simulation during a CPX. In this perception CAX support is to replace or to help response cells, high level commands (HICON) and low level commands (LOCON) by running a set of stochastic processes to find out the possible outcomes of the decisions or requests coming from the training audience (TA).

3.   **CAX SUPPORT TOOLS IN THE EXERCISE PROCESS.** However, CAX support is more than setting and running a military constructive simulation system. CAX support tools are involved in all stages of the exercise process to automate the processes, to prevent the duplication of work, to enhance the exercise environment and to ensure that the exercise process flows towards the objectives. The CAX support tools can be categorised into four classes:

   a.   **Exercise Planning and Management Tools**. These tools can be used for the automation of processes, information management and information exchange for the preparation of the exercise specification (EXSPEC) and exercise plan (EXPLAN) documents and the products related to these documents. They can help the preparation of scenario modules as well as the MEL/MIL. This requires access to all Functional Services and the related functional databases as well as exercise tool configuration management, security, availability and deployability. The exercise process requires fully interoperable functional tools and databases to be provided. They can also have interfaces for the CAX support tools that fall in the other categories. Through these interfaces the data collected during the specification and planning stages can be directly fed into simulation as well as command and control (C2) software. See Appendix 1.

   b.   **Constructive Simulation Systems and Ancillary Tools.** These are the simulation systems and the software needed to prepare the simulation; e.g., database preparation tools, user interfaces, etc. See Appendix 2.

   c.   **Interfaces to C2 and Functional Area Services.** Simulation systems should be transparent to the TA. Especially primary TA (PTA) should only use C2 systems that would be available during an operation. Therefore, interfaces between the simulation software and C2 systems are needed. Similar interfaces are also needed for the Functional Services because they also need the data related to the exercise scenario.

d. **Experimentation and Analysis Tools.** These are the programs used for designing and managing experiments by using modelling and simulation (M&S) data and for compiling and presenting the data collected by the simulation systems as well as deriving information from these data.

4. PURPOSE. CAX support is mainly operational research support rather than CIS support. During execution phase, CAX support staff use fuctional area systems called CAX support tools mainly for the following purposes:

a. To compute the possible outcomes, i.e., results of the commands given for the simulated units and entities.

b. To simulate the entities and conditions not controlled by the TA or EXCON for providing both temporarily and spatially complete picture.

c. To maintain a consistent white truth.

d. To stimulate the C2 systems.

e. To synchronise the synthetic environment with the exercise flow (i.e., MEL/MIL) and intended training effects.

f. To provide EXCON with services and data needed by them for steering the exercise towards the objectives effectively and consistently.

Appendix 3 portrays the major SYNEX planning responsibilities during the exercise process.

APPENDICES:

1. CAX Support to an Exercise Process
2. CAX Database Development Process
3. CAX Support Planning Responsibilities during an Exercise Process

CAX SUPPORT TO AN EXERCISE PROCESS

1.   **OVERVIEW.** This Appendix addresses the use of CAX support tools in support of the exercise process.

2.   **PRINCIPLES OF M&S TOOLS CAPABILITIES FOR SUPPORTING THE EXERCISE PROCESS**

a.   The CAX support tools should be interoperable with the Bi-SC AIS Functional Services as well as other CAX support tools used to support the Exercise Process. The required level of interoperability depends on the information exchange requirements among these tools.

b.   The CAX support tools should have the capability to operate seamlessly with existing and planned NATO operational CIS such that any simulation is transparent to users.

c.   The CAX support tools should be interoperable with national simulations to support the training and exercise of national forces, including partner nations.

d.   The CAX support tools should reduce the requirement for exercise control staff and response cells by providing an automated representation of friendly and opposing force actions, as well as the response of the opposing force operational command structure.

e.   The CAX support tools should represent the applicable geospatial data as well as the hydrographical regions, the atmosphere, space and weather.

f.   The CAX support tools should have 'staff-officer-friendly' application programs to access and manipulate the databases.

g.   The CAX support tools should be capable of being populated from the training audiences' Bi-SC AIS Functional Services as well as providing data and information in the formats and levels of granularity that the training audience would expect to see if the situation were real.

3.   **M&S SUPPORT TO THE EXERCISE CONCEPT AND SPECIFICATION DEVELOPMENT STAGE**

3.1   The OSE CAX support tools used during the Exercise Concept and Specification Development Stage should assist in the: capture, analysis and harmonisation of relevant NATO policy; strategic direction, guidance and essential exercise/training objectives; lessons learned; etc., to develop the overarching exercise concept, scope and scale and to produce the exercise guidance, specification, geo-political situation, analysis requirements and high level documentation.

3.2   The OCE CAX support tools used during the Exercise Concept and Specification Development Stage should assist in developing the operational commanders' mission essential tasks and training objectives as well as relevant lessons learned.

3.3   The exercise planning group (EPG), when conducting the Develop Exercise Form and Type Alternatives step, should address the merit and costs of using CAX support systems to support the exercise. Although this decision can be modified later during the EP, the broad decision for the use of which simulation systems and to what extent should be taken before the approved EXSPEC is issued. At least, it should be decided whether a simulation system will be used or not. This decision should be based on several factors including:

      a.   Exercise and training objectives.

      b.   Missions and operational tasks.

      c.   Capabilities and the availabilities of the simulation systems.

      d.   Constraints on resources such as budget, time, space, manpower and CIS capabilities.

3.4   The EPG, when conducting the Develop the Draft Exercise Milestone Planning Schedule step, should consider use of a Core Services project management tool or a Functional Service, such as TOPFAS, to develop and manage the Exercise Milestone Planning Schedule.

4.   CAX SUPPORT TO THE EXERCISE PLANNING AND PRODUCT DEVELOPMENT STAGE

4.1   CAX support tools used during the Exercise Planning and Product Development Stage should assist the exercise planning and product development staff with:

      a.   Collaborative development of all scenario modules with respect to geo-referenced data, information and documentation fully in compliance with NATO policy, doctrine, forces' standards, mission essential tasks and interoperability requirements of Functional Services.

      b.   Collaborative development of pre-scripted events, injections and information flows to support achievement of the exercise aim and objectives and to be provided to the training audience via doctrinal means using Functional Services or other authorised conventional means.

      c.   Capturing and managing exercise costs.

      d.   Collaborative development of the EXPLAN.

4.2   The core planning team (CPT), when conducting the Provide Guidance on Scenario Development step for the OCE Exercise Planning Guidance should carefully consider scrutinising and merging available off the shelf scenarios or scenario modules. When this is not feasible and time allows, a completely new

scenario or a complete new setting may need to be developed. In both of these cases a special purpose setting/scenario development tool could prevent the duplication of effort, enhance collaboration and increase efficiency as well as connect the scenario, MEL/MIL and database management team efforts. The scenario development tool should also be capable of producing theatre data and information in the formats and levels of granularity required by the training audiences' Functional Services.

Note: the database management process is explained in detail in the next appendix.

4.3   The CPT and/or the ODE, when developing Scenario Module 4 – Crisis Response Planning Information, should consider use of a MEL/MIL development, management and execution tool. The tool selected should be capable of, among other things: associating the exercise objectives, training objectives, events, incidents and injections; allowing collaborative development of events, incidents and injections; allowing modification of injections before transmitting to the training audience; allowing dynamically scripted injections to be introduced; collecting the lessons identified from the training audiences response to the scripts; supporting training audience response trend analyses; and supporting the post-exercise analysis and reporting phase. An example MEL/MIL tool is Joint Exercise Management Module (JEMM).

5.   CAX SUPPORT TO EXERCISE PHASE I -- INDIVIDUAL AND COLLECTIVE TRAINING

5.1   A scenario development tool could be used for producing the scenario related products required for the Individual and Collective Training sub-phases.

5.2   Functional Services can be used in setting the conditions for training vignettes and M&S tools can be used for war-gaming purposes during some Collective Training sub-phases.

6.   CAX SUPPORT TO EXERCISE PHASE II -- CRISIS RESPONSE PLANNING

6.1   The EXCON CAX support tools used to support the Exercise Phase II, Crisis Response Planning, should assist in the preparation of the scenario related products for crisis response, sustainment and deployment planning as well as for war-gaming purposes.

6.2   There are also M&S tools and Functional Services designed to support the operational, sustainment and deployment planning processes that can be used to analyse the plans produced by the training audience. ADAMS, ACROSS and TOPFAS are examples of this class of tools. They can be used by exercise control staff to provide analytical or simulation support to analyse a selected course of action as well as to assess the impact of potential incidents and injections for inclusion in the MEL/MIL.

7.   CAX SUPPORT TO EXERCISE SUB-PHASE IIIA -- FORCE ACTIVATION, DEPLOYMENT, RSOM&I AND INTEGRATION SUB-PHASE. The CAX support tools used during the Exercise Sub-Phase IIIA, Force Activation, Deployment, RSOM and Integration, should assist in the presentation to the training audience the data and information in the

expected formats and levels of granularity that they would expect to see if the situation were real to include:

a.   Ability of the exercise control staff to execute pre-scripted events, injections and information flows as well as to dynamically script and provide events, injections and information flows oriented toward the exercise aim and objectives.

b.   Ability of the exercise control staff to receive and process training audience generated requests, reports and orders to support development, coordination and execution of exercise control staff responses.

c.   CAX support to assist exercise control staff in identifying potential shortfalls in achieving exercise requirements, evaluating alternative courses of action and recommending modifications and improvements to the exercise director.

8.   CAX SUPPORT TO EXERCISE SUB-PHASE IIIB -- OPERATIONS SUB-PHASE

8.1   The CAX support tools used during the Exercise Sub-Phase IIIB, Operations, should assist in the presentation to the training audience through the real Functional Services the data and information in the expected formats and levels of granularity that they would expect to see if the situation were real to include the same requirements as Sub-Phase IIIA.

8.2   Various constructive simulation systems may be used in the Operations sub-phase of CPXs. Among these the joint theatre level simulation (JTLS) and the joint conflict and tactical simulation (JCATS) are more important for Joint Warfare Centre (JWC) and Joint Force Training Centre (JFTC). JTLS is a highly aggregated joint constructive simulation system used in CAXs supported by JWC of JFTC. JCATS is a high resolution joint constructive simulation system used in the exercises supported by JWC and JFTC.

8.3   CAX support tools must replicate C4I environments during CAXs. In other words, simulation systems and all the other related software must be transparent to (i.e., not seen by) the TA, which should carry out the exercise as if they are in an operation and commanding their subordinates by using C4I systems normally available to them. They should also be able to receive the orders and to send the reports through these systems. This transparency can be achieved by the mediation tools between the simulations and C4I systems. NATO has the mediation tools between NATO C2 systems and simulation systems to fulfil this requirement.

8.4   As many injections can be created automatically by the simulation systems their inputs to the training audiences' information systems should be carefully monitored for two reasons:

a.   Exercise control staff needs to follow the management of the incidents and injections from the beginning to the end.

b.   Some of the incidents and injections created automatically can hamper the exercise goals, and therefore may need to be removed in advance before they come into the attention of the TA.

9. **CAX SUPPORT TO THE EXERCISE ANALYSIS AND REPORTING STAGE.** The CAX support tools used during the Exercise Analysis and Reporting Stage should assist in the observation collection and analysis tasks with tools that can:

a. Relate to the exercise aim, objectives, analysis requirements, mission essential tasks, forces' standards and essential operational capabilities to assist analyses and production of reports on achievement of exercise aim, objectives and requirements.

b. Identify deficiencies that could inhibit training audience abilities to perform their assigned missions.

c. Support conduct of comprehensive post-exercise analyses that can reconstruct events and derive lessons for users in real-world operations

CAX DATABASE DEVELOPMENT PROCESS

1.   OVERVIEW. A computer-assisted exercise employs a computer-based simulation system to represent activities of entities in a consistent manner from a point of view of time and space.   Physical aspects related to movement, consumption of resources and perception are represented in the simulation model.   However the definition and characteristics of entities do not form a part of the simulation model. The collection of actual environment descriptions, entity descriptions and resource characteristics needs to be defined as input for the simulation model. This collection is referred to as the simulation database. Its definition is a collective effort. Entities need to be defined, their descriptive data collected, verified and their behaviour in the simulation validated.   The Database Management Team (DMT) is responsible to accomplish this task.
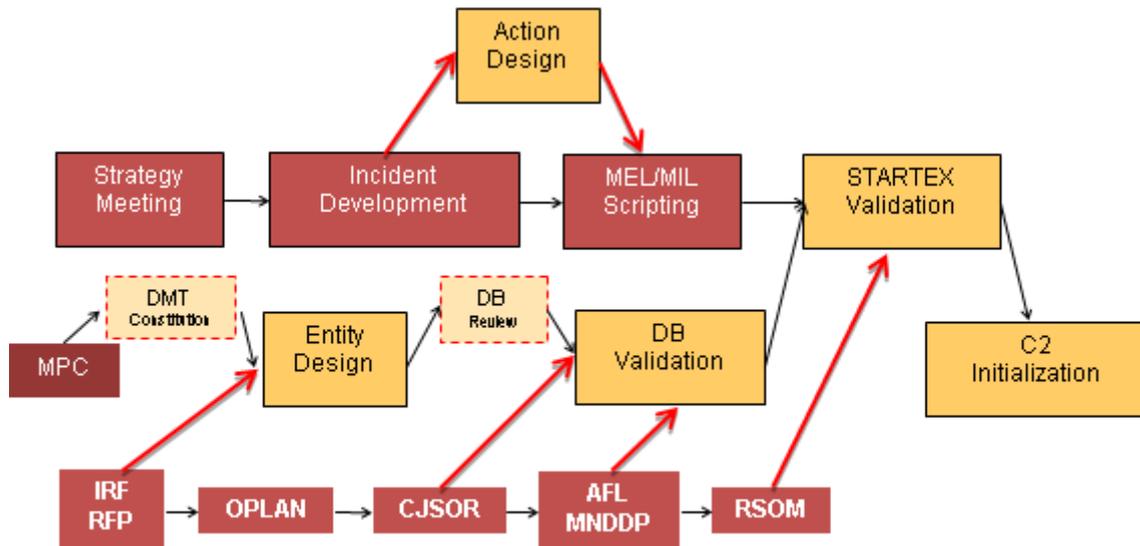
Figure N-2-1 *Synthetic Environment Database Preparation Process*

As depicted in Figure N-2-1, CAX database development process is a complex sub-process integrated to scenario development, MEL/MIL development and operational planning processes. Therefore, its timeline needs to be connected to those processes. Moreover, it is CAX support responsibility to populate the TA C2 systems with the scenario data. Therefore, CAX support database management process is not only for M&S tool databases but also C2 databases.

2. **AIM AND SCOPE.** The purpose of this appendix is to describe the process that will be applied by the JWC/JFTC to build CAX databases and the organisation of the DMTs. Each step of the database development process is described in terms of nature, expected attendance, duration and outcome.

3. **CAX DATABASE**

3.1. Many of the in-theatre entities have already been created in existing CAX databases and can be used for a new CAX database. Their capabilities and state will need to be validated with respect to the exercise objectives. In addition a considerable amount of alliance forces exist in various other databases and could be imported into the new database.

3.2. CAX simulation data may be obtained from many sources. The data include terrain data, description of military units, modelling parameters, description of targets, logistics parameters, prototype definitions, force command and logistics structures, and lethality data. Terrain is represented in different formats in different simulation systems. For example, in Joint Theatre Level Simulation (JTLS) terrain is represented as homogeneous hexes. The terrain data include items such as the terrain conversion constants, hexagon conversion constants, terrain values (open, city, mountain, ocean, etc.), barrier values (wadi, river, tank ditch, etc.), terrain movement delay multiplier, barrier movement delay multiplier and barrier trafficability threshold.

3.3. The combat unit data include combat system names, characteristics (losses, weight, speed, supply category, etc.), and probability of kill (pK) tables. Modelling parameters are represented by weapon effects times, nuclear assessment times and combat assessment times. Target data include time to repair, target category, name, location and size. Logistics data are represented by a number of supply categories, convoy speeds, various probabilities of kill, and damage category. An example of the categories of data in the files of a JTLS scenario database is provided in Table N-2-2.

3.4. DMT typically collects the data indicated as high-level data in Table N-2-1. Low-level data are normally already been collected and in the database. Normally JWC/JFTC collects and/or validates the low level data when a new setting is created. However, there may still be a need to modify some low level data, such as, creating or modifying a tactical unit prototype, creating weather fronts, modifying terrain data and creating and assigning new aircraft loads.

Data Category	Description (Partial Only)
Low level data	
Modelling Parameters	Random number streams
	Altitude and depth zone definitions
	Combat system definitions
	Supply category definitions
	Weather conditions and fronts
Terrain Data	Playing surface size in hexes
	Hexagon conversion factors
	Barrier and hex trafficability data
Target Category Data	Target class definitions
	Aircraft classes, SSM types, etc.
Prototype Data	Force side definitions
	Tactical unit prototypes
	Ship unit prototypes
	High resolution unit prototypes
	Faction prototypes
Lethality Data	Targetable weapon definitions
	Target type
	Group Aircraft loads
	Load assignments
	Weapon type lethality
	Mine field lethality data
	Lanchester data
High level data	
Unit Data	Faction definitions
	Individual unit data
	Command and support hierarchies
	Naval formation data
	Individual high resolution unit data
Target Data	Individual target data networks
	Pipeline and railroad
	Bridge and tunnel target networks
	IADS networks
	Supply movement assets
TPFDD Data	Unit arrival times
	Arrival data
Strategic Re-supply Data	LOGIN times
	Receiving units
	Supplies lists
External Event Data	Types and times of events
	Event-specific data

Figure N-2-2 *Simulation Database Requirements*

4. ORGANISATION OF DATABASE MANAGEMENT TEAM. The Database Management Team (DMT) will have the following composition (typical):

4.1. DMT Coordinator. JWC/JFTC CAX Support Branch assigns a DMT Coordinator responsible for monitoring the overall process and for ensuring that database development process is running according to the exercise process timings and the exercise objectives.

4.2. DMT Own Forces Team. Primary Training Audience constitutes a DMT Own Forces Team, which ensures that the database contains all the elements related to the own forces and alliance according to their OPLANS and multinational detailed deployment plan (MNDDP). This team is typically composed of members, who carry out the following tasks, i.e., the number of members is dependent on the exercise structure:

a.   Coordinator (typically Intelligence/Operations/Planning/Readiness and Requirements staff of TA)

b.   Alliance Air

c.   Alliance Land

d.   Alliance Maritime

e.   Alliance Logistics

f.   Alliance SOCC

g.   Alliance POCC

h.   CBRN

i.   CIMIC

j.   C2 Databases

k.   OPP Tools Databases

l.   Additional forces according to the exercise design

4.3. DMT Scenario Team. JWC/JFTC Scenario Development Team constitutes a DMT Scenario Team composed of the following members, who ensure that the data base contains all the elements related to SITFOR, the neutral forces, weather and geography required to meet the intended flows of Sub-Phases IIIA and IIIB.

a.   Coordinator (typically Scenario Team Leader)

b.   Geography

c.   Country books and area nations

    d.   Weather

    e.   Air

    f.   Land

    g.   Maritime

    h.   SOCC

    i.   POCC

    j.   Logistics

    k.   CBRN

    l.   CIMIC

    m.   NGO/IO

    n.   Fixed Target List

    o.   Additional event required entities

4.4. **DMT Technical Team**. JWC/JFTC CAX Support Branch provides at least one database manager reporting to the Exercise DMT Coordinator, and several database engineers, typically two or three, to provide training and technical support on the database tools used by Own Forces and Scenario Teams, to merge the data collected by DMT, to enter the parameters related to low level data, to coordinate low level data with DMT, to run database verification and validation tools, to correct the minor problems reported by the verification tools, and to report the more complex warnings or errors to the DMT. The database engineers provide technical support to DMT scenario team, and ensure technical requirements for the DMT activities carried out in JWC/JFTC facilities, i.e., hardware and software for database preparation are fulfilled.

5. CAX Database Preparation Process

5.1 DMT Coordinator briefs Scenario and CAX Syndicate during IPC about the following:

    a.   DMT organisation for the exercise

    b.   Tasks of the DMT members

    c.   Database preparation timelines for the exercise

5.2 Primary Training Audience and JWC/JFTC Scenario Team nominate the DMT members before the MPC.

5.3 **DMT Constitution Meeting**. The first DMT meeting is usually during the MPC meeting. The key DMT personnel attend this meeting. The objectives of the first meeting are:

    a.   To define decisions as a lead to CAX database development.

    b.   To define the database building process.

    c.   To define the timelines for database build.

    d.   To discuss database-building tools and introduce the scenario used for the exercise data base and the existing lists of alliance units.

5.4 **DMT Entity Design Meeting**. The DMT Entity Design Meeting will usually take place 20 weeks before STARTEX. In view of any new set of headquarters participating in the process, the entire DMT should attend. The objectives of the meeting are:

    a.   To refine the main database entity design decisions:

        (1)   Describe the important geographical features that are included in the data base and how they are derived from source data,

        (2)   Define the various sides and factions within sides to support the intended Sub-Phase IIIA and IIIB flows,

        (3)   Define the level of detail to which entities should be described and how they will be organised in a coherent structure including the non-combatant or irregular forces,

        (4)   Define the approach that will be adopted to develop the logistic support entities,

        (5)   Establish the list of C2 systems that will consume data from the simulation and to agree on an approach for initialising these systems.

    b.   To describe and distribute an initial ORBAT data base based on Immediate Response Force (IRF) and Response Force Pool (RFP) and to agree on who is responsible for modifying which parts.

    c.   To review and amend the database building timeline in order to complete the process in time for STARTEX definition and for the preparation of EXCON training including battle captains.

    d.   To identify any areas of uncertainty in the definition of the exercise setting that require decision by exercise planners so that their requirements can be incorporated into the simulation database.

    e.   To present the database building tools and data exchange procedures that will be employed to build and to exchange data between data providers and database builders. A tutorial in using the database building tools is provided to DMT members.

f.   To demonstrate how the final product of the DMT work will be employed during Sub-Phases IIIA and IIIB by conducting a short simulation execution session.

g.   To distribute the initial scenario database and associated data collection and review tools to DMT members.

5.5   Within four-six weeks after the Entity Design Meeting, the DMT members collect and build their forces in the application provided by the DMT Technical Team, i.e., JTLS Order of Battle Editor (JOBE) for JTLS in JWC, and forward the exported data base to the DMT Technical Team.

5.6   Database Verification (Review) Session. The first database review session is usually four-six weeks after the Entity Design Meeting and can be repeated if necessary 4 weeks after the first review session. If feasible should it be after the CRP (Crisis Response Planning)/FGC (Force Generation Conference). Based on the complexity of exercise, this session can be completed remotely by phone or may require a workshop. If the exercise requires a workshop, each data provider attends the workshop for 1.5 days on a schedule basis by functional area. The schedule is established to enable the database builder(s) to spend sufficient time on correcting the forces in the scenario database. Functional Areas are as follows:

a.   Ground forces + Logistics

b.   SOCC/POCC

c.   Air force assets

d.   Maritime assets

5.7   The overall purpose of the database verification session is for the DMT members to review and discuss the implementation of the data in the consolidated JTLS/JCATS database. This session will allow data providers and builders to resolve questions that have arisen during the data collection process, e.g. how to represent certain capabilities and during the consolidation process, e.g. why support structure has been designed in a specific manner. The following data will be reviewed and discussed:

a.   **ORBAT**.   Unit C2 structure, unit composition in terms of combat systems, air defence assets, engineering assets (bridging, mine clearing), sensors, jammers and other associated entities, e.g. runways and shelters for airbases.

b.   **Logistic Support Structure**.   Support relationships, critical supply categories and associated stockage levels and weapon expenditure rates

c.   **Terrain**. In terms of expected trafficability by units

d.   **Targets**. Selected fixed target sets and associated naming convention

e.   **Air Defence**. Air defence system characteristics

f.   **Aircrafts**. Aircraft characteristics and weapon loads

g.   **Sensors**. Sensor and jammer characteristics

h.   **SOF**. Assets and capabilities

5.8   An amended database will be produced as a result of the session and distributed to members.

5.9   The DMT members can make final modifications until 1 Week before the Database validation session and forward any changes to NC3A for incorporation

5.10   **Database (CAX) Validation Session**. The Database validation is conducted 6 weeks before STARTEX and before the MEL/MIL Scripting Conference. Each data provider attends the workshop for 2 to 3 days; during that period supported by a team of subject matter experts the data are validated.

a.   The purpose of the validation session is to run the simulation with the exercise database and conduct a controlled set of dynamic tests to ensure that the units, equipment, targets and terrain behave and interact in a realistic manner. Therefore participants should gather reference data concerning the performance of units and systems prior to the validation session. More specifically the following will be tested and compared to the expected values that participants will have gathered:

(1)   **Maritime**. Capabilities to move, communicate, sustain own and airborne operations, detect, jam, cause attrition, clear and lay minefields. If relevant the ability to support carrier and amphibious operations or remain undetected.

(2)   **Air**. Aircraft ability to perform specific roles with expected level of attrition and success. Standard conventional load composition by mission profile in terms of sensors, jammers, weapons and fuel. Air defence capability to engage and destroy aircraft target categories. Ability to detect and jam by fixed or mobile sensors and emitters. Ability of airbases to support and sustain operations for a specified amount of time.

(3)   **Land**. Direct fire combat, indirect fire ability and effect, manoeuvre capability and speed, engineering assets to lay bridges, mines, destroy obstacles, clear/breach minefields, ability of air defence to engage and attrit, ability of army aviation to detect, engage and attrit, transport assets and supplies. Combat thresholds. Ability of units to collect intelligence through intrinsic or explicit assets, e.g., counter-battery radars, teams. Trafficability and movement.

(4)   **Special Operation Forces**. Ability to create teams and task them to perform specific operations.

(5) **Logistics**. Support distances and holdings in terms of transportation assets. Repair capability of factions. Requisition times and convoy re-supply times.

b. A wider attendance is required for Database Validation Meeting. Indeed DMT team members, and force contributing representatives need to be augmented with functional area experts in order to assess, evaluate and modify simulation data to achieve an acceptable behaviour by simulation entities. DMT Technical Team is also expanded to ensure that the various functional area tests can be executed in parallel.

c. A standard suite of tests has been developed to validate the various aspects of the simulation data base. Modifications to unit and parametric data can be implemented during the validation in an iterative manner and tests need to be performed until an acceptable behaviour has been demonstrated. The associated modifications are recorded and implemented in the exercise database. As a result of the session, a new version of the database will be released to DMT members.

5.11 STARTEX Validation / War-gaming Session. The STARTEX situation is expected to be agreed after the operations planning process is completed. The STARTEX Validation/War-gaming workshop will usually be conducted 4 weeks before STARTEX. The session should coincide with the conclusion of the MEL/MIL scripting workshop. Components will be required to provide STARTEX data one week before STARTEX Validation/War-gaming session to DMT Technical Team.

a. The main goal of STARTEX Validation is to ensure that the scenario database and more specifically the STARTEX position, force ratio (capability) and logistics supply level of forces will provide the ability to meet the training objectives by being able to implement the planned exercise flow including branches that may depend on decisions by the training audience. Events expected to occur during the exercise will be presented at the beginning of the session. A number of critical aspects from a time and space aspect will be war-gamed with the simulation to check whether the timelines foreseen by the storyline developers can be met. At this time the MEL/MIL synchronisation will be done. Whenever adjustments to the STARTEX situation are required, it will be done during the session and the process is reiterated. This session will be conducted in a joint manner using the OPLANs, sustainment plans and deployment/RSOM&I plans that have been developed during Phase II of the exercise.

b. A tailored attendance is required for this critical session. One representative from Training Audience Plans/Intelligence, SOCC Plans, ACC Plans, LCC Plans and MCC Plans needs to attend the first day of the meeting to present the OPLANs that have been developed. DMT members, exercise flow managers and the SITFOR coordinator(s) should attend the entire meeting.

c. As a result of this session, the final simulation database will be compiled. It will be used for training and for the exercise.

d.   The session will also be used to develop an anticipated exercise flow, which can be expressed in a synchronisation matrix for all alliance and other forces as well as for neutrals.

5.12   C2 Initialisation Workshop.   Having developed a validated STARTEX database, a workshop is held with the database managers of the C2 systems that are employed by the exercising headquarters. The workshop is usually two-four weeks before STARTEX. The database managers of the C2 systems in the exercise and DMT Technical Team attend this meeting.

5.13   STARTEX ATO Production and Verification. At STARTEX, aircraft should be flying. Therefore the ACC will need to build the ATO that is executing on the first day of the exercise prior to the exercise.   Since the ATO is processed in an automated manner by the ATO parser, certain rules need to be followed to allow the translation to execute effectively. This process has the following steps:

a.   DMT Technical Team releases a representative ICC STARTEX data base 8 weeks before STARTEX.

b.   The CAOC in combination with army aviation, maritime air planners and SOF air planners is expected to produce a representative ATO in the following 2 weeks and to attend a validation workshop 4 weeks before STARTEX.

c.   DMT Technical Team releases a STARTEX ICC data base no later than 3 weeks before STARTEX.

d.   The CAOC in combination with army aviation, maritime air planners and SOF air planners is expected to produce the STARTEX ATO 1 week before STARTEX.

e.   The ATO will be verified in a dynamic fashion at the EXCON site with the response cell. The JFACC should be reachable for comments.

f.   The AOC should also plan to participate in the EXCON mini-exercise to gain familiarity with the real time management of air operations in the exercise setting.

5.14   Database AAR (After Action Review).   After ENDEX JWC CAX Support/JFTC Training Support Branch saves the simulation database including the checkpoint and time files and archive it onto a suitable media. The classification, the name of the exercise has to be indicated on the MRM (Machine Readable Media) and the media has to be stored at an appropriate location. A record of available scenario databases including the Versions and tools used during the building process will be maintained by the JWC CAX Support/JFTC Training Support Branch.

CAX SUPPORT PLANNING RESPONSIBILITIES DURING AN EXERCISE PROCESS

Event	OSE	OCE	CAX OPR	Supporting Organisations	PTA / CC
Initial Planning Conference	Support CAX Syndicate set-up. Exercise outline	Set-up CAX Syndicate. Exercise outline. Timing and dates. Collect CAX inputs to EXPLAN. First Draft for CAXC2 System IER matrix	Assessment of M&S requirements and resources. Initiate DMT Establishment. Initial draft EXPLAN Annex F. Rough CAX Design. DMT composition. Initial Draft of CAX-C2 system IER.	Provide inputs as required	Provide nominees for DMT composition
Main Planning Conference	Summary of the ongoing issues from OSE CAX point of view. Provide CJSOR used for the Exercise.	Complete CAX inputs to EXPLAN. Final version of CAX-C2 IER matrix. Results of the site surveys, including floor plans and equipment locations.	Refined Draft Exercise Plan Annex F. First Draft of EXCON structure. First Draft of CAX Manning. Final Draft of CAX-C2 system IER. Conduct of first DMT Constitution Meeting.	Provide inputs as required. Participation to DMT Constitution Meeting	Provide inputs as required, Participation to DMT Constitution Meeting

DMT Entity Design Meeting			Train DMT Members on database tools.	Provide support as required	Provide participation as required
Database Verification (may be repeated in 4 weeks)			Build the simulation database and verify the entities	Provide support as required	Provide participation and ORBAT as required
Final Coordination Conference	Summary of the EP and way ahead	Final minor changes to CAX requirements.	Finalise Draft Exercise Plan Annex F. Finalise EXCON structure. Finalise EXCON manning. Finalise CAX EXCON specific training. MINIEX CAX design requirements	Provide support as required	Provide inputs as required
Database Validation			Modify the database as required and test the modelling capabilities	Provide support as required	Provide participation and changes to the ORBAT as required
MEL/MIL Scripting Workshop			Support as required	Provide support as required	Provide participation and inputs as required

STARTEX Validation			Implement the outcome of the Phase and scripting workshop. Validate the STARTEX positions, EXPLAN and proposed courses of action.	Provide support as required	Provide participation and STARTEX inputs as required
Exercise Execution			Execute	Provide support as required	Provide support for EXCON
Transportation	Funding Coordinate with AMCC as required	Log coordinate with AMCC	Provide OCE Logistics with all required inputs (dimension, weight, etc.)	Provide support as required	
Deployment	Supervise	Conduct (OPCON on supporting DCAX supporting element)	Execute	Provide support as required	Provide Admin/Logistic support to DCAX supporting unit as required
Redeployment	Supervise	Conduct (OPCON on supporting DCAX supporting element) until leave theatre	Execute	Provide support as required	Provide Admin/Logistic support to DCAX supporting unit as required

SHAPE J7 (EVALUATION) SUPPORT TO NATO EXERCISES

1.   **GENERAL.**   The purpose of this Annex is to provide an overview of the roles, responsibilities and key evaluation activities of the SHAPE J7 in support of NATO Exercises.

1.1   SHAPE J7 division sets the requirements for the preparation of the NCS and declared forces to meet the full spectrum of current and future Alliance Operations and Missions. SHAPE J7 produces SACEUR's Annual Guidance for ETEE (SAGE), and it provides ETEE input into all other policy documents.

1.2   SHAPE J7 ensures forces are prepared and certified in accordance with the ACO Forces Standards. It develops and manages the NATO evaluation programmes, executes NATO Joint Evaluations (of HQs for NCS and NFS when they are nominated to establish JHQ) or other NATO Evaluations of HQ coming from NCS . Furthermore, it synchronises and harmonises NATO and national evaluations/validation processes as appropriate through the Evaluation Planning Management Board (EPMB) and other Conferences.

1.3   SHAPE J7 is directly responsible of the following Evaluation Programmes :

   a.   Evaluation of Joint HQs (JOINTEVAL)

   b.   Tactical Evaluation (TACEVAL)

   c.   Maritime Evaluation (MAREVAL)

   d.   Combat Readiness Evaluation of Land HQs and Units (CREVAL)

1.4   Each of those programmes helps to reach and maintain ACO Force Standards for the HQs and Units to ensure their required capabilities.

1.5   For the NRF, SHAPE J7 provides training coordination and certification/evaluation support to the Operational Commanders, in accordance with SACEUR's strategic guidance and the Operational Commanders' intent and requirements, in order to achieve coherent preparation and development of the NRF. In order to provide NRF training coordination, SHAPE J7 participates in the entire Exercise Process in a supporting role.

2.   **SHAPE J7 EXECUTING A JOINT EVALUATION (EVALUATION GROUP)**

2.1.   Execution of a Joint Evaluation is one of the most important activities in SHAPE J7. For this reason, it must be developed more extensibily.

2.2.   During the Joint Exercises, SHAPE J7 could evaluate the Joint HQs (and their deployable elements, OLRT, FCE, ICE, JTFHQ), Joint Logistics Support Group (JLSG) HQ and Joint Chemical, Biological, radiological and Nuclear-Joint Assessment Team (JCBRN-JAT) as well as the interactions between the Component Commands (CCs) HQs and the JTF HQ during Joint exercises.

2.3. SHAPE J7 produces an Evaluation Report at the end of the exercise. The evaluation report for NRF is used as a tool for certification.

a. **Exercise Concept and Specification Development Stage.** The Officer Scheduling the Exercise (OSE) is responsible for the Exercise Concept and Specification Development Stage. The key SHAPE J7 activities and planning considerations are as follows:

(1) As a member of the OSE's Exercise Planning Group (EPG), contribute to the production of the Exercise Specification (EXSPEC).

(2) Attend the EXSPEC Conference and throughout this concept stage, assist development of the evaluation requirements if planned, helping ensure their incorporation in the EXSPEC and the Operational Commander's intent, whilst also considering them in light of the TO and experimentation objectives.

(3) Attend the TO workshop, if conducted, and during the TO staffing process, recommend inclusion of additional TO when appropriate.

b. **Exercise Planning and Product Development Stage**. The Officer Conducting the Exercise (OCE) is responsible for the Exercise Planning and Product Development Stage. The key SHAPE J7 activities and planning considerations are as follows:

(1) As a Core Planning Team (CPT) member, support the overall planning stage effort and contribute to the production of the OCE Exercise Planning Guidance and the Exercise Plan (EXPLAN)

(2) Also as a CPT member, participate in the analysis of OCE requirements and limitations, and in the process, refinement of the evaluation requirements. Additionally in conjunction with the HQ JFCs, nominated NFS JHQs, the NSHQ (for SOF), the Joint Warfare Centre (JWC) and the Joint Forces Training Centre (JFTC), (when necessary while evaluating CC HQs), develop the Evaluation plan.

(3) Assist the OCE in the development of the initial Draft EXPLAN, particularly with Part 3, "Evaluation, Analysis and Reporting" and the Training Objectives.

(4) Develop the Evaluation Plan Annex and related Evaluation and Reporting portions of the EXPLAN's Part 3, ensuring that it meets COM NRFneeds, including a Collection Plan and Reporting Template.

(5) During the Initial Planning Conference as coordinated through the evaluation syndicate, provide an initial assessment of the Evaluation Group's requirements regarding Real Life Support (RLS), Manning and Augmentation, Communication and Information Systems (CIS), and Training.

(6)   During the Main Planning Conference as coordinated through the evaluation syndicate, define and finalise the Evaluation Group's manning (including augmentation) requirements; develop the EG's C2 and CIS structures, and training programme; finalise assessment of and coordinate the group's RLS requirements.

(7)   Within means and capabilities participate in MEL/MIL scripting workshops to draft training injects that will challenge the evaluated HQ and meet the TO. Also participate as a member of the stage's Evaluation and Steering Syndicates, and when necessary, also the Logistics, RLS, CIS and Manning Syndicates.

(8)   Throughout this stage, work closely with the JWC and JFTC (EXCON and Observer/Trainers) to achieve maximum coordination and efficiency during Phase II and Sub-Phases IIIA and IIIB of the Operational Conduct Stage.

c.   **Exercise Operational Conduct Stage**. As required by the exercise, SHAPE J7 provides the Director of Evaluation (DIREVAL) and the core of the Evaluation Group (EG).

(1)   The Evaluation Group consists of: a Coordination Cell (consisting of admin support, EXCON and O/T Coordination Officer(s)/Liaison Officers (LNOs), and an Analysis and Reporting Team) and a series of Evaluation Teams covering the Joint HQ, Joint Logistics Support Group (JLSG) HQ and Joint Chemical, Biological, radiological and Nuclear - Joint Assessment Team (JCBRN-JAT).

(2)   Evaluation Teams observe activities and evaluate performance against ACO Forces Standards (AFS) Volume IX (based upon the standards defined in the AFS Vol V and other doctrinal references in accordance with the Evaluation Objectives and TOs). Each team collects, collates and records its findings throughout the exercise. Whenever requested, possible and practical, Evaluation Teams will be led by a SHAPE J7 member and will usually include augmentation from outside the SHAPE J7 as coordinated through NCS.

(3)   Within means and capabilities SHAPE J7 will participate in all training activities in the preparation process to gain a better understanding of how the evaluated HQs operate.

(4)   SHAPE J7 is responsible for the EG training as well as the integration of augmentees into the EG. To help facilitate this, the SHAPE J7 will lead Evaluator Seminars before deployment to exercise areas as necessary.   Seminars contents should include exercise scenario familiarisation, Evaluation Criteria familiarisation and Evaluation Team/Group Collection Plan coordination.

(5)   Running up to deployment to the respective Phase II and III exercise areas, the EG ensures all required RLS is arranged, including common

admin supplies, automation and CIS items and other services. Also, the EG finalises a coordinated interaction plan with the EXCON.

(6)   During Phase II, Crisis Response Planning, the EG evaluates the performance, including the subsequent Operations Planning Process products (OPLANs and SUPLANs).

(7)   The EG evaluates the procedures and performance of the evaluated HQs during both Phase III (Execution) sub-phases while they execute the OPLANs and SUPLANs. The EG uses checklists as the primary tools to record evaluator-level observations, data, assessments and recommendations. The EG uses many sources from which to collect observations and data (to possibly include reactions to MEL/MIL incidents and injects), but relies primarily on first hand information. Collection and analysis starts early in Phase, and impressions, conclusions, and recommendations are gradually formed and consolidated throughout both phases' duration.

(8)   Phase IV (Assessment). The EG collates the observations from Phase II and both sub-phases of Phase III and other training events in order to form the evaluation report.

d.   **Exercise Evaluation and Reporting Stage**. The DIREVAL produces and forwards the evaluation report to the Joint level Commander, with copies furnished to SHAPE. The following are activities and considerations which apply to evaluations:

(1)   The evaluation report will help drive the Lessons Identified/Lessons Learned process and contribute to the improved effectiveness of both the NRF operational procedures and performance, and the evaluation and certification processes. In case of Joint Evaluation, the report will contain a certification recommendation.

(2)   After redeploying from the exercise location, but before the Post Exercise Discussion (PXD) and subsequent evaluation report publication, the EG further discusses its observations and develops conclusions and recommendations.

(3)   Before participation in the PXD, the EG collects comments on and summarises all relevant functional areas, command and staff interactive processes at and between both JHQ and CC levels, and the overall evaluation process. The aim is three-fold: to give the JFC and CCs a comprehensive view of own performance and the interaction between the two levels; to provide the JALLC with a tool to improve the entire future NRF pool; to give the entire NATO community the necessary input to improve the evaluation and certification processes.

(4)   The SHAPE J7 may participate in the PXD to provide input to the Evaluated HQ's performance, to identify trends, suggested improvements and sustainments as well as to provide valuable insight towards improving the exercise, the evaluation and certification processes.

3.   SHAPE J7 IN OTHER EXERCISES. SHAPE J7 within means and capabilities may support planning activities in other exercises. The role in other evaluations depends on Evaluation Programme and the respective ACO Force Standards. SHAPE J7 is to monitor or supervise other evaluations in order to ensure them to be executed in accordance with ACO Force Standards.

OPERATIONAL EXPERIMENTATION INTEGRATION

1.   **INTRODUCTION**. This Annex provides an overview of the experimentation planning process to integrate experimentation into an operational NATO exercise.

2.   **OPERATIONAL EXPERIMENTATION INTEGRATION.**   Using NATO exercises as venues for experimentation requires careful planning to minimise the impact of experiments on the conduct of the exercise and achievement of exercise objectives while simultaneously accommodating the needs of the experiment(s).

    a.   **HQ SACT**. HQ SACT manages a database of concepts and experiments. Scheduled experiments are compiled in an annual Experimentation Programme of Work (EPOW). Some of these experiments identify specific exercises in the Military Training and Exercise Programme (MTEP) as the desired venues to host the experiments.

    b.   **JWC**. JWC, as SACT's agent, is responsible for planning and coordinating the integration and managing the execution of collective experimentation in exercises. JWC's NATO Guidance for Experimentation Planning (NAGEP) provides planning requirements to support the integration of experiments.

    c.   **JFTC**. The JFTC supports HQ SACT CD&E. It is responsible for planning and managing the integration of experimentation into exercises where it is the venue (e.g. an exercise or live operation).

3.   **EXPERIMENT INTEGRATION DELIVERABLES**

    a.   **Experiment inputs to EXSPEC**. The EXSPEC will also specify the tasks and responsibilities of the different organisations related to experimentation. Inputs to the EXSPEC will be finalised at the Exercise Specification Conference (ESC).

    b.   **Experiment inputs to EXPLAN**. An Annex to the EXPLAN will provide an overview on all the experiments to be conducted in the exercise, including appendices with detailed information on each experiment. As required, there will also be experimentation inputs to other parts of the EXPLAN.

    c.   **Operational Experimentation Plan**. An Operational Experimentation Plan (OEPLAN) will provide information required for teams to conduct their scheduled activities in an exercise. The OEPLAN describes experimentation execution during an exercise. The OEPLAN consists of a main body with annexes as required; including the Experiment Design Document, the Analysis Plan, the Data Collection Plan for each experiment, and the timelines for submission of experiment Initial Impressions Reports.

    d.   **Consolidated Venue Experiment Report**. After the exercise a Consolidated Venue Experiment Report (CVER) will provide the OCE and the Operational Commander a summary of the highlights of each experiment integrated in the exercise.

4.   EXPERIMENT INTEGRATION ORGANISATION

a.   **HQ SACT/JWC/JFTC Experiment Coordinator**. The HQ SACT/ JWC / JFTC Experiment Coordinator is responsible for experimentation inputs to the EXSPEC, preparing the experimentation package and handover to the Experimentation Integrator at the IPC.

b.   **Experiment Integrator**.   The Experiment Integrator, from the IPC on, is responsible for the integration of experiments into the exercise, and attends CPTMs, MPC and FCC. The Experiment Integrator is responsible for collecting and delivering experimentation inputs to the EXPLAN, included the Experimentation annex, as well as compiling and producing the OEPLAN.

c.   **Experiment Coordination Cell**.   An Experimentation structure will be established as part of EXCON if experimentation is integrated in an exercise.   An Experiment Coordination Cell (ECC) will be formed to control and coordinate experimentation activity in the exercise.   In major NATO exercises the appropriate Training Centre leads the ECC. If JWC is in lead of ECC then tactical level functions come under JFTC's responsibility or any other appropriate agency.   For each experiment there will be a team and an Experiment Lead.

d.   **Experiment Coordination Cell Chief**. The Experiment Coordination Cell Chief (ECC Chief) is responsible for coordination of all experimentation during the conduct of an exercise. The ECC Chief will monitor experiment activity and steer and direct the various experiments as required.

e.   **Experiment Lead**. The Experiment Lead is responsible for the management of the Experiment Team prior to and during an exercise to meet experiment objectives. Experiment Leads are responsible for providing documentation for their experiment to the Experiment Integrator for delivery to the EXPLAN.

5.   EXPERIMENTATION INTEGRATION PROCESS

a.   **Experimentation Planning Process**. The Experimentation Planning Process is required to ensure close coordination and smooth integration of experimentation into exercises. This process is time driven, and is carried out both parallel to and integrated with the exercise planning process.

b.   **Experimentation Package**. HQ SACT will define an Experimentation Package for the exercise, having carried out Bi-SC level coordination for approval as required. Once this Experimentation Package is approved the process to integrate the experiments into the exercise can start.

c.   **Operational Experimentation Plan**. The Experimentation Planning Process is completed when the Operational Experimentation Plan (OEPLAN) is approved (normally by Director JWC), the experiments are ready to be conducted, and all details are coordinated through the HQs and units involved.

LIVE EXERCISES, ENVIRONMENTAL PROTECTION AND ENVIRONMENTAL HEALTH HAZARD ASSESSMENT CONSIDERATIONS

1.   **INTRODUCTION**. The purpose of this Annex is to provide an overview of additional planning activity required for a LIVEX as well as considerations for environment protection for LIVEXs and deployed elements of CPXs. LIVEXs are a vital part of the exercise armoury. Even with advanced assistance from computers, CPXs are unlikely to discover interoperability and other "real" difficulties.   However, CPX deployed sites require consideration of environmental protection and environmental health hazard assessments. The key to LIVEX planning is to ensure that the objectives offer nations sufficient training payback for the expense of deploying troops. Additionally LIVEX need to be programmed well in advance with sufficient detail to allow national asset programmers the opportunity to fit unit schedules around the exercise.

2.   **LIVEX PLANNING CONSIDERATIONS.**   The following are a series of additional factors that have to be considered when planning a LIVEX:

   2.1.   Host Nation Selection. The choice of HN can be a major influence on the degree of planning required. There will often be a payoff between the sophistication of the infrastructure to support the exercise and the restrictions placed on the use of exercise areas, amount of low flying, night time activity etc. See Annex L, Host Nation Support Considerations, for further guidance.

   2.2.   Exercise Area Review. It is no surprise that the availability of suitable exercise areas must come high on the list of considerations. It may be necessary to programme Exercise Area Recces for the units scheduled to operate in them.   There are three aspects to take into account:

      a.   **Size**. There is a serious shortage of large exercise areas suitable for joint manoeuvre. For instance: If an amphibious exercise is to be anything more than procedural the exercise must have more than just a suitable beach. Width is required for more than one unit disembarkation while 24 hour availability is required to enable a true beachhead to be established and depth inland is required to facilitate post consolidation manoeuvre.

      b.   **Capabilities. Exercise area capability factors include:**

         (1)   Can the roads accept the largest expected vehicles?

         (2)   What is the capacity of the road and rail infrastructure?

         (3)   Can the facilities support the numbers of troops expected?

         (4)   Are live fire opportunities available? If so what are the largest calibre weapons acceptable?

         (5)   Are any ranges instrumented?

    c.   **Restrictions**. Exercise area restriction factors include:

    (1)   When are the areas available?

    (2)   Is there any minimum/maximum height or airspeed restrictions placed on flying activity?

    (3)   What are the arrangements for cooperating with the local populace?

    (4)   Is crop and other damage a Host Nation or a sending nation responsibility?

    (5)   Is there any arms control limitation, e.g. CFE ceilings?

2.3.   LIVEX Environmental Factors.

    a.   **Exercise on the environment.**

    (1)   Exercise areas are often home to rare fauna and flora.

    (2)   Noise limitations (low flying).

    (3)   Out of hours activity restrictions may limit tactical realism.

    b.   **Environment on the exercise.** A full environmental survey may be required to discover hazards to personnel; e.g. Toxic Waste, environmental health issues, endemic disease etc.

2.4.   Scheme of Manoeuvre. To enable nations to understand the OCE's concept for the exercise, a scheme of manoeuvre (SOM) will have to be drawn up for distribution with the final draft EXSPEC prior to the IPC.

2.5.   Statement of Requirement. A Statement of Requirement (SOR) will accompany the SOM. This will state in general terms the types and numbers of forces the OCE requires to achieve the SOM.

2.6.   SOM/SOR Modification. Once the nations have indicated their intent to participate and their expected contribution, the OCE will have to modify the SOM and SOR to reflect the reality of the declared participation. These two will form the basis of the Operational Plan the CPT will have to devise. The CPT must be prepared for rapid planning changes as national commitments remove or indeed add to the expected list of participants.

2.7.   Time Jumps. To make the most of the presence of the training audience it is tempting to build a number of phases or time jumps into a LIVEX. Such events are useful to HQs but usually involve the redeployment of forces on the ground or at sea. The time taken to achieve this eats into the available exercise time and may be a waste of scarce national resources such as fuel or flying hours. If this is to be accomplished successfully, these jumps will need widespread consultation and careful planning.

2.8.   Force Protection.   An early assessment of the exercise Force Protection posture is essential. The FP requirements may be so great that they restrict tactical freedom and prevent free-play on the grounds that unexpected activity may elicit dangerous FP responses. Throughout the planning and the conduct of the exercise, Force Protection (FP) will be given the highest priority.   Protection of personnel participating in and material deployed for the planning and the conduct of the exercise is the responsibility of the HN in close coordination with the OCE. Nations are to inform the OCE and Host Nation of the detailed force protection requirements for their participants.   If required, a generic Force Protection TA will be developed to supplement the MOU. The HN is requested to provide appropriate Security Support and to discuss changes in security situation with the OCE as soon as possible, and to discuss potential preventive counter-measures with OCE prior to implementing them. OCE will appoint a Security Officer, who will be the Security Advisor to the Exercise Co-Directors together with HN Security Officer assigned for the exercise.   Security Officers will elaborate a security plan for all aspects of security to the exercise. See Annex K, Real Security Considerations.

2.9.   Safety.   Safety as opposed to Force Protection will require a great deal of attention in a LIVEX. Everything from the establishment of attack corridors and the use of safety cells and frequencies for the control of air attacks at sea to the rule of engagement for sentries issued with live ammunition. Aspects such as the issuance of Notice to Mariners and Notices to Airmen have to be coordinated.

2.10. OPFOR.   Orders for OPFOR have to be prepared, STARTEX positions determined, etc. Great care has to be taken that Plans and orders are given the correct distribution.

2.11. Distinguished Visitors Day. LIVEX attract high level interest from both NHQ and nations. There will be pressure to plan a DV Day. This will have to be merged into the exercise play with care. Programme it too near the start and the troops may not be fully ready for a display. Leave it too late and some participants may be packing to leave or have already left. Planning the DV Day for the middle will ensure the practise day and the actual day do not cut right across important training time. A compromise will always have to be met taking the OSE and OCE's diaries into account. See Annex I, Visitors, Observers and Inspectors.

3.   LIVEX ORGANISATION. LIVEX organisation factors to be considered include, among other things:

3.1.   Planning. A complex, joint LIVEX will require considerable coordination. The EP, whilst having to take a broader range of issues into account, will not require a vastly changed planning organisation. There will undoubtedly be a larger number of syndicates to convene at planning conferences and probably a larger attendance list. However the CPT should remain a small manageable team with augmentees added only when called for.   There will probably be the need for a number of extra coordination conferences to deal with issues such as air safety, movement planning etc. Difficult situations with an unclear situation about the HN may require a longer than the projected 12 months planning cycle. Time consuming (politically implicated) questions need to be solved before this 12 month cycle.

3.2. **Execution**. The execution organisation will need to be augmented. The Exercise control organisation will probably need the addition of an Umpires structure to act as control on the ground whilst an additional Response Cell known as Local OPS CONTROL (LOPSCONTROL) should be considered. A template for LOPSCONTROL Terms of Reference (TOR) is at Appendix 1. It is almost certain that a large LIVEX will attract both Visitor and Media interest. In these circumstances the EXPLAN may have made the VOBDIR and the PICDIR EXCON.

4. **LIVEX PROCESS.** The EP throughout the LIVEX remains the same as in any other exercise. However, it should be clear who must make the decision with respect to the LIVEX location and this decision must be made before the EXSPEC is written. To ensure all aspects such as recces, extra workshops and conferences are catered for it may be necessary to commence the EP for a LIVEX considerably earlier than for a major CPX. It is important to remember to ensure deliverables can reach operational units in a timely manner.

5. **LIVEX MILESTONES.** The notional milestone summarised in Annex E should be adequate for LIVEXs, however the decision making process with respect to the host nation(s) may need to be initiated before the notional 12 month exercise process period. This should include consideration of the host nation searching process; i.e. whether there is only one offer or multiple offers, whether it will be a NATO country or a non-NATO country.

6. **NEED FOR ENVIRONMENTAL PLANNING.** By considering environmental issues early during the planning process, the JFC may continue to achieve operational objectives while minimising the impact on human health and the environment. Failure to consider the environmental impacts of all activities may adversely affect the operation. Potential effects include delaying exercise commencement, limited future use of exercise or HN areas, and adverse public opinion, potentially impacting the success of an exercise. Commanders should make environmental considerations an integral part of the mission planning and operational decision-making process. In joint operations, it is important that all Services implement these requirements in the same way. The JFC and subordinate CC should develop and publish environmental policies and procedures in the "Environmental Protection" appendix to the OPLAN that will minimise the impact of environmental health effects on an exercise and the exercise effects on the environment. By early assessment of environmental considerations, commanders may become aware of the potential environmental effects or impacts of mission accomplishment while alternatives still exist to address mitigating actions. By planning early, the JFC and joint force staff will be aware of the environmental requirements, and will be able to plan more efficiently and act accordingly. Furthermore, careful and visible attention to environmental considerations in the conduct of an exercise can assist in shaping a positive image both internationally and domestically.

7. **ELEMENTS OF ENVIRONMENTAL PLANNING.** The OCE should plan the exercise to achieve mission objectives while minimising the environmental effects and observing environmental requirements. Although not all of the following elements will be applicable to all exercises, they may prove helpful during planning.

7.1. Identification of operational objectives and the activities that are proposed to obtain these objectives, including logistics and identification of hazardous materials that may be used.

7.2. Identification of potential alternative means of obtaining operational objectives. Alternatives include such ideas as computer simulation or use of new technologies to minimise impact on the environment.

7.3. Identification of the environmental requirements that is applicable to the exercise area.

7.4. Identification of adverse environmental health and environmental impacts that may result from conducting the exercise.

7.5. Establish formal relationships and coordination with other disciplines that have roles in environmental planning and operations (e.g., medical and legal).

7.6. Identification of the characteristics of the environment potentially affected.

7.7. Identification of possible environmental contingencies that may occur during the exercise, such as accidental spills. Determination of how the environmental contingency would affect the environment in the exercise area and how it could be prevented or mitigated should it occur.

7.8. Determination of the environmental and operational risk associated with the exercise. If risks are unacceptable, identification of alternatives that will mitigate associated risks.

7.9. Negotiation of applicable agreements to allow for the unimpeded transit of hazardous materials or waste by military and contracted assets for environmentally sound treatment or disposal.

7.10. Determination of contractor status, to include privileges and immunities in support of the exercise.

8. **KEY ENVIRONMENTAL FACTORS.** JFCs should consider environmental and force health protection during each phase of an operation. In planning and conducting joint operations, regardless of geographic location, commanders should give appropriate consideration to the following:

8.1. Pre-existing environmental conditions impacting site selection, environmental health vulnerabilities and potential liabilities associated with the operation.

8.2. Ensure a pre-deployment site assessment is performed. Military preventive medicine and Environmental Protection personnel, part of the initial deployment team on site, will perform an Environmental Baseline Survey to document the occupational and environmental health status of a bed down location.

8.3. Air emissions.

8.4. Hazardous materials, including pesticides.

8.5. Hazardous waste. Appropriate disposition could include recovery, treatment, or disposal within the operational area or, where necessary, transit to another country for these purposes.

8.6. Oil and hazardous substance spills prevention, control, and response training.

8.7. Medical and infectious waste.

8.8. Solid waste.

8.9. Water and wastewater, to include sanitary wastewater.

8.10. Natural resources to include endangered or threatened species and marine mammals.

8.11. Historic and cultural resources.

8.12. Noise abatement.

8.13. Resource and energy conservation through pollution prevention practices.

8.14. Camp closure and site cleanup prior to redeployment.

8.15. Incident reporting and documentation of any cleanup action.

8.16. Transportation of excess material and equipment from the tactical area in an environmentally sound manner. Contractors and contractor vehicles need to be assured of unhindered transit of international borders.

9. **ENVIRONMENTAL RISK MANAGEMENT.** Environmental risk management is the process of assessing, detecting and controlling the environmental risk arising from operational actions and balancing environmental risk with mission benefits and gains. Knowledge of the environmental factors is key to planning and decision making. With this knowledge, leaders can promote operational success, quantify environmental risks, detect problem areas, reduce the possibility of injury or death to military personnel and affected civilian populations, reduce property damage, and ensure that operations are consistent with environmental requirements. The JFC should integrate environmental risk management into the overall planning of operations.

10. **ENVIRONMENTAL CONTINGENCIES**

10.1. Oil and Hazardous Substance Spills. The laws and policies that control oil and hazardous substances protect water, soil, and air from harmful levels of contamination. Joint forces should ensure that they minimise environmental contamination from oil and hazardous substances. The JFC or subordinate CC should complete an oil and hazardous substance spill contingency plan for an operation as part of the "Environmental Protection" appendix to the OPLAN prior to commencing joint operations. Spill contingency plans should address prevention procedures and practices, spill reporting, initial control and recovery actions, cleanup actions, and C2 responsibilities. The plans should also address availability and location of equipment (e.g., personal protective equipment) for control and cleanup, safety and health of personnel, and training.

10.2. Environmental Non-Compliance. During an exercise, environmental non-compliance may occur due to machinery and equipment breakdown or malfunction, enemy actions, or the inadvertent or wilful disregard or violation of environmental

requirements by operating force personnel. Failure to take prompt and appropriate action may endanger human health and exacerbate the consequences of the incident. The "Environmental Protection" appendix to the EXPLAN and the appropriate OPLANs should address such environmental contingencies, including reporting requirements.

APPENDIX:

1.   Local Operations Control Terms of Reference (TOR) Template

LOCAL OPERATIONS CONTROL TERMS OF REFERENCE (TOR) TEMPLATE

For execution of a LIVEX the Exercise Director will require a means to monitor, direct and coordinate with the umpire organisation as well as with the live forces. There will normally be an exchange of liaisons between the EXCON, the umpire organisation and the commanders of the live forces. This Appendix provides a template for establishing a Local Operations Control Response Cell to carry out the LIVEX roles and responsibilities. The EXPLAN should lay down the agreed procedures and responsibilities.

1.   COMMAND RELATIONS

1.1.   The Local Operations Control (LOPSCONTROL), commanded by their Director (LOPSCONDIR), is directly subordinate to the EXCON and is to report directly to the EXDIR.

1.2.   The LOPSCONTROL is supported by the Umpire Organisation and the EXCON representatives at (the live forces commanders). The Chief Umpire is directly responsible to LOPSCONDIR.

2.   ROLES

2.1.   To monitor, direct and coordinate exercise play on the tactical level in AOO.

2.2.   To act as liaison for EXCON.

2.3.   To inform, report and advise EXCON on matters relating to the exercise.

2.4.   To inject EXCON control messages as directed.

3.   RESPONSIBILITIES

3.1.   Exercise national responsibilities as directed by National Commander.

3.2.   Advise the EXCON on the course of the exercise, observing, reporting and offering recommendations to the EXCON in order to achieve exercise aims and objectives

3.3.   Coordination of injection of incidents as directed.

3.4.   Establish frequent communication exchange via VTC or other means, as required, with EXDIR, EXCON, the Umpire Organisation, and respective HQs.

3.5.   Responsible for handling all exercise related message traffic and other correspondence. Ensure appropriate action is taken in a timely manner.

3.6.   Responsible for planning of future actions i.a.w. EXCON direction.

3.7.   Issue transportation orders to STARTEX positions and from ENDEX to redeployment.

3.8.   Issue routine Hazardous Weather Warnings twice a day and Special Warnings, if the situation so requires.

3.9.   Issue/direct "out of bounds areas" due to expected weather conditions, to prevent dangerous situations.

PARTNER NATIONS INVOLVEMENT IN NATO EXERCISES

1. **AIM**. The overarching aim of partner involvement in collective training is to enhance interoperability to have effective partner forces capable of responding to the demands of today's NATO-led Operations.

2. **PRECONDITIONS FOR PARTNER PARTICIPATION.**

   2.1. The participation of partners in any NATO event has to be approved by the NAC. Dialogue with partners cannot even start before the participation is approved. For exercises, this approval is made through the annual submission of the MTEP open to partners and through the building of the Partnership Cooperation Menu (PCM). The PCM depicts all NATO events open to partners including all the events of the exercises. The PCM is built by populating the ePRIME electronic database. This is made the preceding year before summer. Additional updates can be made at any time. Annually the MPD issues instructions for uploading the events in ePRIME.

   2.2. The Action Authorities of the NATO events open to partners have the responsibility to populate the ePRIME database. The OCE is the Action Authority of the events of an exercise. For each exercise open to partners, the OCE has to asses in which events partners should participate and consequently upload them in ePRIME.

3. **ELIGIBILITY.**

   3.1. Participation of partners in NATO exercises is subject to the eligibility criteria stated in MC 458/2 (under review). This criterion is based on the contribution of partners to NATO-led operations, to the NRF and to the OCC pool of forces.
   3.2. Prior to participation in NATO LIVEXs other than COOPERATIVE exercises, partner forces must undergo a PETE as described in MCM-0086-2010. Exceptions to this principle must be staffed through the OSE for endorsement by the NAC.

4. **COORDINATING INSTRUCTIONS FOR PARTNER'S PARTICIPATION IN THE EVENTS.** For each exercise event open to partners the OCE, as the Action Authority, has to follow a process to allow for their participation in co-ordination with the MPD. This process and the distribution of tasks between MPD and the OCEs is explained in the MPD Partnership Programmes Management Guidance, SH/MIP/DEI/JPA/20130121, and is intended to ensure that the following aspects are fully covered:

   4.1. An invitation letter to partner countries must be issued a minimum of 90 days prior to an event taking place. This invitation must be also uploaded in ePRIME. The invitation will be distributed only to the partner nations for which the event is open, in accordance with the PCM and the eligibility criteria.

   4.2. Visa Support letters are to be sent as requested by participant partners.

   4.3. Financial support to partners. The NATO financial assistance to appropriate partners is to be managed in accordance with the appropriate NATO financial

regulations in force. The NATO subsidy is granted to partners participating in exercise related events but not in the execution phase.

4.4. Joining Instructions must be submitted for partner nations a minimum of 30 days prior to an event commencing. The Joining Instructions have to be uploaded also in ePRIME.

4.5. Feedback and After Action Report. For NATO Exercises, where partners participate, along with the reports detailed in Chapter 6 of this directive, other specific reports are required to evaluate the specific partner involvement in the exercise:

    a. A Short After Action Report (SAAR) is to be produced within ten days of event completion. This report must be developed using ePRIME's appropriate format and posted in this database.[1]

    b. A Full After Action Report (FAAR) should be available within thirty days after an event's completion. This includes all exercise-related events for military cooperation analysis purposes, and should not be confused with the exercise's final evaluation reports. The primary content of this document must be devoted to an objective evaluation of event successes and shortfalls, clearly stating what steps should be taken in future to achieve better results. This document is to be produced using the template at Appendix 1 to this Annex, and posted in ePRIME.

    c. Cancellations or postponement. The cancellation or postponement of an event already open to partners (i.e. listed in the PCM) will be notified to the interested partners and also posted in ePRIME.

    d. Exercise documents. The OCE is to ensure that partners have access to the relevant planning documents. The minutes of the planning conference and other documents essential for partners' participation should be posted in ePRIME.

5. **SECURITY.** All security regulations need to be addressed well in advance. Event related security requirements must be clearly stated in the invitation letter and also promulgated in ePRIME. See Annex T to this directive.

6. **RELEASE OF NATO DOCUMENTS.** The NATO Supporting Directive on Information & Intelligence Sharing with NNEs (AC/35-D/1040-Rev3 dated 14 May 2012) allows for key roles within a NATO Exercise to release NATO classified information to non-NATO Exercise participants, and for the release of NATO classified information within the context of NATO training. If needed, additional release authority may also be sought via the MPD. Release circumstances will be different for each Exercise and Training event; accordingly, the Security staff should be consulted for specific detail of release authority.

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[1] See Appendix 1 to this Annex.

7.   MPD SUPPORT. MPD support is pivotal to the success of partner participation in NATO exercises. MPD support to Exercise Planning Groups (EPG) and Core Planning Teams (CPT) is essential in order to establish effective communication between partners and exercise planners.

APPENDIX:

1.   MILITARY PARTNERSHIPS PROGRAMMES

MILITARY PARTNERSHIPS PROGRAMMES

FULL AFTER ACTION REPORT

1. EVENT IDENTIFICATION.	
1.a. Identification Code:	
1.b. Event Name:	
1.c. Start / End Date :	
1.d. Location:	

2. PREPARATIONS.

3. EXECUTION STATISTICS.

3.a. NATO Team Composition.

HQ	NATO Grade	Name	Job (Position)	Remarks

3.b. Attendance from Non-NATO Countries.

Country	No. of Participants	Subsidisation (in EUR)		Remarks
		Meals	**Travels**	

3.c. Identification of Participants.

Country	Rank	Name	Job (Position)	Remarks

3.d. Units Participating.				
Country	**Designation**	**Personnel**	**Equipment**	**Remarks**
-	-	-	-	-

3.e. Total Costs Incurred (in EUR).

Hospitality	
Miscellaneous	
Other Expenses	
Gross Total	

4. PROPOSED WAY FORWARD.

4.a. Achievement of Objectives.

4.b. Adequacy of Participants.

4.c. Identified Shortcomings.

5. LESSONS IDENTIFIED.

6. RECOMMENDATIONS.

7. ADDITIONAL INFORMATION.

8. POINT(S) OF CONTACT.

9. RELEASING AUTHORITY.

			(signature)

LESSONS LEARNED PROCESS AND INFORMATION SHARING IN COLLECTIVE TRAINING AND EXERCISES

1.   INTRODUCTION

1.1.   This Annex provides guidance for the execution of the lessons learned process throughout the planning and conduct of the collective training events and exercises. The process is based on the Bi-SC 80-6, Lessons Learned Directive.

1.2.   Additionally, this annex also provides guidance for the Information Sharing across the Exercise, Training, Reporting and Analysis[1] (EXTRA) community for the development of shared knowledge and identification of exercise and training related lessons. This can take place during the course of a training or exercise and continue through the sharing of ideas, thoughts and issues through other means such as the JALLC managed EXTRA Portal. As specific procedures for conducting LI/LL are detailed in the Bi- SC 80-6, Lessons Learned Directive as supplemented by the ACO and National HQs Lessons Learned directives and procedures, most will not be repeated here.

1.3.   The intended audience for this Annex included all individuals who are engaged with exercises, training, reporting and analysis including Exercise Planning Groups (EPG), Core Planning Teams (CPT), Exercise Control (EXCON) and other exercise, analysis and training organisations/teams.

2.   OBJECTIVES OF THE LESSONS LEARNED PROCESS FOR TRAINING AND EXERCISES.

2.1.   The objective of a generic LL process is to improve a procedure:

   a.   Avoid repeating mistakes or help others avoid those same mistakes.

   b.   Share best practices throughout an organisation or with other organisations

2.2.   The objective of the LL process applied to training and exercises is to:

   a.   Improve operations, checking the accomplishment of the training objectives.

   b.   Improve the training process itself, improving the way in which future exercises will be planned, prepared and conducted.

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[1].   Analysis in this context refers to any level of analytic work including full analysis, assessment, experimentation and evaluation.

3. GUIDANCE FOR THE LESSONS LEARNED PROCESS FOR TRAINING AND EXERCISES

3.1 Observations and Lessons Identified will be collected and processed throughout all Stages of the exercise. Every personnel involved in the planning or conduct of the exercise can observe a problem or procedure that can be improved (an Observation), and can propose a solution to this problem (a Lesson Identified). Their task is to write and document their Observation or Lesson Identified in the appropriate form, which constitute the initial step of the lessons learned process. Every observation and lesson identified should be considered by the OCE for the FER.

3.2 Stage IV is then particularly designed to determine whether the exercise succeeded in achieving the OSE's aim and Exercise Objectives and the Training Objectives, as well as to analyse all observations captured during the previous phases, and validate the proposed remedial actions in order to obtain valid lessons identified on both operational and exercise issues. Chapter 6 provides details of the activities and deliverables of this stage, which are used for the lessons learned process. Main deliverable used for the LL process for training and exercises is the FER.

3.3 The lessons learned process continues with the appropriate authority analysing the proposed remedial actions and approving them, which triggers the implementation phase. The tasking authority endorses those remedial actions that are achievable and affordable within its own structure, commits resources to implement it, and designates one or more action bodies to carry out the remedial actions.

3.4 Designated action bodies prepare an Action Plan with timelines and milestones, implement remedial actions and document the change and resultant impact. Action bodies report the progress in implementing the action plan to the tasking authority, and update the NATO LLDb as appropriate.

3.5 The output of the Implementation phase is a Lesson Learned. As a product, the LL leads to improved performance or increased capability, and to a better planning and conduct of future training events and exercises.

3.6 Lessons identified and lessons learned must not be perceived to be the final product for training, exercises and experiments. The best added value of a LL lies in its subsequent exploitation as inputs to improve the preparation of future training events and exercises.

3.7 JALLC's additional support to a collective training event or exercise to provide an Analysis Report may be established through the submission of an Analysis Requirement by the OSE or OCE to HQ SACT Lessons Learned Branch for inclusion into the JALLC Program of Work.

4. FORMAT FOR CAPTURING OBSERVATIONS AND LESSONS IDENTIFIED. The Observation, Discussion, Conclusions and Recommendations (ODCR) format is taken from the Bi-SCD 80-6 and is the same used in the NATO Lessons Learned Database (LLDb). The essential entry fields include a Title plus the O,D,C & R. The format should be used for submission of exercise and training activity and process related observations and Lessons Identified throughout the exercise and training process. Employing the ODCR format enables

more efficient management of the issues and accelerates the initiation of the lessons learned process for entries that warrant further study and their eventual endorsement and staffing. A description of the five essentials fields is provided below.

a.   **Title**. The title should encapsulate the essence of the Lesson Identified/Learned in such a way as to give a reasonable indication as to content. A short but explicit title will make it easier to use when presented through the NATO LLDb.

b.   **Observation**. This field should present a short factual description of the observed issue or problem and the results of dealing with it. Details should be presented in the discussion paragraph.

c.   **Discussion**. This field should amplify the observation statement and include the: who, what, where, when, why, how and how long details of the situation observed. The impact to the exercise process activities and/or steps as well as their products should be defined.

d.   **Conclusion**. Conclusions should sum up the essential elements of what has been reported in the discussion and should support the recommendation(s).

e.   **Recommendation**. Recommendations are suggested actions to take to resolve the issues raised above. These can range from creating new or modifying existing publications, revising processes, development of tools, etc. This field should also include a statement about who is responsible for making the correction.

5.   FEDERATING AND ENHANCING INFORMATION SHARING AMONGST MEMBERS OF THE VARIOUS ENTITIES WHO COMPRISE EXERCISE, TRAINING, REPORTING AND ANALYSIS COMMUNITY.   One of the biggest challenges is the dynamic and timely sharing of information, ideas, lessons, issues and problems amongst all of the individuals in NATO who are involved in exercises, experimentation, training, and reporting. Although there are "cells" of individuals who meet and work together during specific events, this sharing and the exchanges tend to end with the wrap up of the event.

5.1   To enhance this information sharing and to form a more cohesive federation of this overall community beyond individual events requires:

a.   Encouraging easy and open sharing of information about the variety of issues, problems and successes that members of the EXTRA community have experienced.

b.   Enhancing the connectivity amongst all EXTRA community members

c.   Enhancing the interactions, collaboration and information amongst specific Communities of Interest.

d.   Encourages the exchange of ideas and perspectives, the provision of additional context and detail and the identification of recurring patterns and trends concerning observations from the overall community.

e.   Enhancing the communities overall knowledge and understanding as well as increasing shared situation awareness of the activities other members of the community are engaged in.

5.2   Achieving this level of federation and resultant coordination, collaboration and information sharing is essential to support coherent application of resources towards the improvement of the NATO exercise and training programmes.

5.3   Developing an understanding of all the various processes and activities the NATO EXTRA community is involved with is vital to continue the transformation of Alliance capabilities. This in turn underscores the requirement that observations and lessons be properly identified and disseminated, followed by analysis and, when appropriate, the application of corrective action to produce actual Lessons Learned.

5.4   The JALLC hosted EXTRA Community Shared Portal is one mechanism available to achieve the above through employment/provision of:

a.   On-going and archived general discussions/blogs

b.   Mechanisms to enhance the connectivity amongst EXTRA community members via shared spaces, phone/address listings, direct email and individual and group "chat".

c.   Communities of Interest "rooms" in which special interests groups can conduct more specific/focused discussions.

d.   Consolidated Observation / Lessons / Feedback repositories and tools employing ODCR format covering all levels of exercise training programs and activities.

e.   Consolidated repository for of all levels (NCS/NFS/other) of exercise and training related reports and deliverables ranging from FIRs to endorsed LIAPs.

f.   Frequently Asked Questions (FAQ) regarding Training, Exercises and Analysis that supports new members learning and awareness and positions them to be contributors to the portal more rapidly.

g.   Direct links/connectivity to the NATO LL Portal & Database and other exercise and training related portals.

6.   SUPPORTING TRANSFORMATION OF COLLECTIVE TRAINING AND EXERCISES

6.1.   The JALLC compiles, for SACT, a yearly summary of collective training and exercise events. This report provides an overview of the status of training and exercises with respect to the current NATO direction, guidance and ambition and is generated to support and provide input into SACTs transformational efforts. Data contributing to this report are compiled from the various OCE post exercise and specialised reports from the exercise and training events.

6.2. The report will be further expanded to include additional analyses on the occasions when the JALLC's POW includes Analysis Requirements to examine specific aspects of the conduct of exercises and training.

6.3. Early drafts of the report can be accessed on the EXTRA portal so that observations and issues that have been identified can inform on-going and future training and exercise development efforts in a timely fashion.

6.4. SharePoint Entry Form: Appendix 1 to this annex provides an example of a Share Point based Observation / LI Entry form. It is control field driven with a variety of drop down menus, click boxes, etc. Note that the example includes a variety of additional fields that are very helpful, but Title +ODCR remain at its core.

APPENDICES:

1. SharePoint Entry Form

2. Remedial Action Report Template Chart

SHAREPOINT ENTRY FORM

JALLC ExTRA Portal Observation Entry Form   [OK] [Cancel]

📎 Attach File | 📝 Spelling...   * indicates a required field

Title *

Command *

Branch

Classification *

Activity *

Obs. date *

Observation *

Discussion

Status

Author

To be filled once by the originator only.

Conclusion

Recommendation

Action Plan

DIR Approved

COS Approved

Management Board Date

Management Board Report

References

[OK] [Cancel]

REMEDIAL ACTION REPORT TEMPLATE CHART

REMEDIAL ACTION	DISCUSSION	RECOMMEDATION	SHAPE COMMENTS AND ENDORSEMENTS	ACTION BODY	STATUS	SUSPENSE

SECURITY GUIDANCE FOR PARTNERS / NON-NATO NATIONS AND ORGANISATIONS AS EXERCISE PROCESS PARTICIPANTS AND OBSERVERS

1.   **INTRODUCTION**. This Annex is derived from NATO Security policy and directives[1] and provides general guidance with respect to compliance with NATO security policy and directives throughout the Exercise Process. The respective ACO HQs Security Authority should be consulted for further details and assistance. This security guidance is applicable to the following:

a.   Partners, as scheduled in the MTEP, when supporting the OCE during the Exercise Planning and Product Development Stage and when supporting the EXCON during the Exercise Operational Conduct Stage.[2]

b.   Partners and members of Non-NATO Nations, as scheduled in the MTEP, when observing performance of the Training Audience during exercises.

c.   Partners and members of Non-NATO Nations, as scheduled in the MTEP, when participating as members of the Training Audience during exercises.

d.   Members of non-NATO organisations supporting the OCE during the Exercise Planning and Product Development Stage.

e.   Members of non-NATO organisations supporting the EXCON during the Exercise Operational Conduct Stage.

f.   Members of non-NATO organisations when participating as members of the Training Audience during exercises.

g.   Partners, as scheduled in the MTEP, and members of non-NATO organisations when supporting evaluation, analysis and experimentation activities during the Exercise Process.

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[1] The Security Directives referenced for this annex are: CM(2002)49, NATO Security Policy, Corrigendum 3, dated 5 Dec 06; AC/35-D2000, Directive on Personnel Security, Revision 2, dated 2 Dec 06; AC/35-D2001, Directive on Physical Security, Revision 1, dated 7 Dec 06; AC/35-D2002, Directive on the Security of Information, Revision 3, dated 6 Dec 06; and ACO Security Directive 70-1, 25 Mar 09.

[2] Note that MC 458/2 (under review) states "…. with MC endorsement and NAC approval, selected NATO exercises may be opened to other non-NATO nations not included in the PfP category. The SCs will differentiate two categories of exercise involvement to depict a non-NATO nation's interaction in a NATO exercise; participation or observation. In order for a non-NATO nation to be eligible to participate in NATO exercises, it must be an NNTCN with forces participating in NATO-led operations or have forces declared in the OCC (Operational Capabilities Concept) pool of forces.

2. PREREQUISITES FOR NON-NATO ORGANISATIONS' PARTICIPATION IN THE EXERCISE PROCESS

a. **Authorisation**. The participation of non-NATO organisations in NATO military exercises must be coordinated with the MC and NAC as per MC 411/1, AJP 3.4.9 and MC 550, unless covered in a Memorandum of Understanding (MOU), Letter of Agreement (LOA) or another similar agreement, or that the participation follows a routine cooperation with NATO and is limited to the portrayal of its own role in the exercise. Otherwise participation must be coordinated with SHAPE CIMIC Directorate.

b. **Invitations**. Non-NATO organisations will be invited by the OCE, (JWC when tasked as the ODE for STEADFAST series joint exercises) to send representatives to participate in all NATO exercises. The OCE will coordinate all necessary details with regards to the non-NATO organisations' participation, including participation in exercise planning, developing the MEL/MIL and exercise execution, reimbursing expenses as necessary, and based on the existing arrangements on a case-by-case basis.

3. REQUIREMENTS FOR RELEASE OF NATO CLASSIFIED INFORMATION TO NON-NATO NATIONS/ ORGANISATIONS3

a. **Release Authority**. The NAC is the ultimate authority for the release of NATO classified information to non-NATO recipients. This authority adheres to the principle of originator consent and is delegated to SACEUR or DSACEUR for information classified up to and including NS, which is identified as being releasable to xFOR, or is classified NATO/xFOR SECRET (mission SECRET) under the specified conditions and the Mission Commander, for an operation involving non-NATO Troop Contributing Nations, as endorsed by the NAC, for information classified up to and including NS that has already been determined as releasable to the mission (xFOR), under the specified conditions.

b. **Security Agreement/Assurance**. A Security Agreement/Assurance, signed by the Secretary General on behalf of NATO and by a representative duly mandated[4] by the non-NATO recipient, must have been conducted. Where a Security Agreement/Assurance is in force with an international organisation, the release of information to its non-NATO members shall be in accordance with the relevant provisions of the Security Agreement/Assurance as well as other established rules concerning their participation in NATO activities.

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[3] Authority for release of NATO classified information to non-NATO recipients or international organisations is laid down in Chapter 4 of Part III of the ACO Security Directive 70-1.
[4] Further detail regarding the authority for the release of classified information to non-NATO recipients can be found in AC/35-D/1040 REV3 dated 14 May 12 and the ACO Security Directive 70-1.

4.   INFORMATION AND INTELLIGENCE SHARING WITH NON-NATO ENTITIES.

The Bi-SC Handbook for Information and Intelligence Sharing (I&IS) with Non-NATO Entities (NNEs)[5] derived from the Supporting Document[6] (SD) to the NATO Security Policy (NSP) on I&IS with NNEs, which was published by the NATO Security Committee (NSC). The SD recognises that circumstances can apply in Operations, Training, Exercises, Transformation and Cooperation (OTETC) where exceptional authorities need to be granted to ensure effective access to physical spaces, Communication and Information Systems (CIS) and NATO information, and the release of NATO information and intelligence with NNEs when required.[7]

a.   Via the SD, the Bi-Strategic Commands (Bi-SCs) have been granted special measures by the NSC designed to meet the exceptional requirements experienced in these Environments, subject to a strict governance system being implemented to ensure adequate controls and reporting are in place, and that a suitable level of security risk decision-making is maintained.

b.   The Handbook details how the provisions, mechanisms and procedures to are to be implemented within the Bi-SCs.

c.   It is important to note that I&IS with NNEs shall occur only when the NNE has the need-to-know balanced by the responsibility to share, subject to the appropriate Security Agreements or Security Assurances being in place, and application of the governance outlined in the Handbook.

d.   The Handbook provides a step-by-step, or 'one-stop shop', for Bi-SCs Commanders, their staffs and security practitioners on the procedures to be adopted for I&IS and accesses in the following areas: Physical access to NATO Security areas; Access to NATO CIS; Access to NATO information and intelligence; and Release of NATO information and intelligence.

(1)   The provisions within the Handbook are mandatory within ACO and ACT, as it is derived from the NSP.

(2)   The procedures that must be implemented for I&IS with NNEs are detailed in Appendices 1-7 (one for each category of NNE) in the Handbook. This is a living document with individual appendices for NNEs that will be published as they are agreed by the NSC. As of Version 4.0, the following applies:

(a)   Appendix 1-3 address NNEs in respect of the special mechanisms and procedures that must be followed when authorising access to or release of NATO information to a military or civilian

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[5] The Handbook is also posted in electronic format on the NSWAN at http://i-is.act.nato.int/portal.

[6] AC/35-D/1040 dated 20 August 2009, Supporting Document on Information and Intelligence Sharing with Non-NATO Entities.

[7] AC/35-D/1040 REV3 dated 14 May 2012, Supporting Document on Information and Intelligence Sharing with Non- NATO Entities

representative of a NNE.

(b)   Appendices 4-7 will cover the other 4 Categories outlined in Para 5(c) of the handbook. Each appendix will be published after agreement by the NSC and subsequent publication in the SD on I&IS with NNEs. Thereafter, they will be incorporated into the Handbook.

(c)   Appendix 8-9 addresses the procedures that must be followed when authorising access to or release of NATO information to a NNE which is not covered by Appendix 1, 2 or 3.

e.   The Handbook provides a template that fulfils NATO's security requirements for individual NNE acknowledgement that NATO information they will access in the context of their involvement in OTETC environment activities shall only be used for the effectiveness of NATO's mission. This template should be used for NNE access to any NATO E&T event and is attached at Appendix 1 to this Annex.

APPENDIX:

1.   LETTER OF ACKNOWLEDGEMENT OF RESPONSIBILITIES

LETTER OF ACKNOWLEDGEMENT OF RESPONSIBILITIES[1]

1.   A Letter of Acknowledgement of Responsibilities (LOAR) is a form signed by a Non-NATO Entity (NNE) individual acknowledging that NATO information they will access in the context of their involvement in Operations, Training and Exercises, Transformation and Cooperation (OTETC) environment activities shall only be used for the effectiveness of NATO's mission. The LOAR also states the NNE individual shall not share with, or transmit to their Nation/ Organisation (including their national chain-of-command, national government officials, or Organisation representatives) any NATO information that has not been specifically released to their Nation/Organisation. A LOAR is to be signed upon arrival on the OTETC task, re-signed annually (if the individual is still involved with NATO twelve months after their last signing of the LOAR), and signed at the conclusion of their involvement with NATO. The LOAR template below may be reproduced locally.

2.   This template should be completed in conjunction with approval by the NATO Command/Organisation Principal Security Advisors in granting a NNE access to NATO information.

3.   Records of use of this template for approving Information and Intelligence Sharing (I&IS) with NNEs shall be maintained as required by the appropriate security directives. These records shall also be maintained to support development of NATO Command/ Organisation Annual Security Reports which include, among other things, all I&IS with NNE decisions from the previous calendar year.

4.   These reports are complied by the NATO Command/Organisation Principal Security Advisors and forwarded to support the consolidated SC Annual Security Reports to SHAPE ACOS Intelligence Support and ACT Director Office of Security, respectively, by 31 January of each calendar year.

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[1] As taken from Annex E to Bi-SC Handbook for Information and Intelligence Sharing (I&IS) with Non-NATO Entities (NNEs), Version 3.0, January 2010. Users should ensure that this template version is current before use.

LETTER OF ACKNOWLEDGEMENT OF RESPONSIBILITIES

1.   This letter details my responsibilities for the protection of NATO information accessed during my tour of duty with *[insert NATO command]*. Specifically:

   a. I am responsible for protecting NATO information in accordance with NATO Security Policy (C-M(2002)49) and all supporting directive and guidelines.

   b. Without escort, I shall only enter the NATO Class I and Class II areas for which I have been granted access. I am strictly prohibited from entering, without escort, NATO Class I and Class II areas for which I have not been granted access.

   c. When escort is required, I shall only enter NATO Class I and Class II areas when escorted by a NATO National.

   d. I am not authorised to serve as an escort in any NATO Class I or Class II area.

   e. I will have access to only the NATO information which is essential for the effectiveness of NATO's mission, and for which I have a need-to-know.

      i.   I am **strictly prohibited** from providing (in any and all formats, to include verbal, printed, and electronic format) to my Nation (including government officials and military chain-of-command) any NATO information I have accessed which has not been specifically released to my Nation (i.e., non-released NATO information).

      ii. I may provide to my Nation any NATO information which has been specifically released to my Nation, provided transmission of such information meets the requirements specified in NATO Security Policy.

   f. When using NATO Communication and Information Systems:

      i.   Access to NATO information must be in accordance with paragraph 1.e. (above).

      ii. I am aware that any and all of my actions can be monitored at any and all times.

2. Failure to comply with any of these responsibilities will result in the **immediate and permanent loss** of all forms of access to NATO information. Failure to comply with any of these responsibilities will be reported to the *[insert NATO command]* Delegated Authority, the *[choose Allied Command Operations or Allied Command Transformation]* Delegated Authority, and possibly the NATO Office of Security.

LETTER OF ACKNOWLEDGEMENT OF RESPONSIBILITIES

3.   I certify that I have read and understand the responsibilities detailed above. I also understand I must recertify my understanding of these responsibilities on an annual basis for the remainder of my tour of duty at *[insert NATO command]*.

Rank & Name (Printed)	Nation
Signature	**Date**

4.   Annual recertification:

Rank & Name (Printed)	Nation
Signature	**Date**

5.   I certify that I have been debriefed and understand my responsibilities for protecting the NATO information which I have accessed during my tour of duty with *[insert NATO command]*. I fully understand that I am **strictly prohibited** from providing to my Nation any non-released NATO information (i.e., NATO information which is not specifically released to my Nation) I have accessed during my tour of duty with *[insert NATO command]*.

Rank & Name (Printed)	Nation
Signature	**Date**

Note: This template is taken from Annex E to Bi-SC Handbook for Information and Intelligence Sharing (I&IS) with Non-NATO Entities (NNEs), Version 3.0, January 2010. Users should ensure that this template version is current before use.

GUIDE TO PLANNING INFORMATION/KNOWLEDGE MANAGEMENT SUPPORT TO NATO EXERCISES

1.   **SCOPE**. This Annex is derived from NATO Information Knowledge Management (IKM) policy and directives[1] and provides general guidance for the EPG, CPT and EXCON with respect to compliance with NATO IKM policy and directives throughout the Exercise Process.

2.   **IKM POLICY.**   Underpinning EPG, CPT and EXCON IKM capabilities are the prerequisites of enabling information/knowledge sharing and providing for the efficient and effective collection, collation, organisation and storage of information/knowledge in a standardised way that makes it easily traceable, discoverable, accessible, retrievable and exploitable.

NATO IKM policy and directives highlight six fundamental IKM components to assist with this:

    a.   Clearly defined end user requirements.

    b.   Integration of data, information and knowledge.

    c.   A structured repository.

    d.   Accessibility by providers and consumers.

    e.   Discovery and retrieval.

    f.   Information knowledge sharing in a Web application networked environment.

3.   **PLANNING.** Plans for EXCON IKM management should be developed either as a stand-alone document or as an annex to the appropriate EXPLAN. The EXCON IKM plan should set out the direction, priorities and resource allocation for IKM within the EXCON expanded structure, taking into account the exercise objectives and any CIS and Information Security (INFOSEC) constraints. It should identify the resources required and set in place the processes necessary to deliver the EXCON information/knowledge requirements and to ensure that the information systems will support these requirements. The EXCON IKM plan should address, among other things:

    a.   EXCON information/knowledge needs and outputs, leading to an Information Flow Analysis. This in turn will enable the production of the EXCON Information Exchange Requirements (IERs).

    b.   Procedures for storing the information/knowledge for subsequent exploitation.

    c.   Procedures for the use of web services.

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[1] C-M(2007)0118, NATO Information Management Policy (NIMP), 28 January 2008; CM(2008)0113, The Primary Directive on Information Management, 18 December 2008; and Bi-SC Directive 25-1, Bi-SC Information and Knowledge Management (IKM) Directive, 15 September 2008.

d.   Procedures for information knowledge dissemination to the appropriate audience in an exploitable format, on time while taking into account the communications availability and the need for acknowledgement, timeliness and replication means.

4.   **IKM EXERCISE PROCESS.** The following IKM exercise process principles should be applied throughout the exercise process and specifically when developing and executing EXCON IKM plans:

a.   Responsibility for ensuring the efficient management of information and knowledge is shared by all exercise participants.

b.   Information and knowledge are corporate resources and as such once created are to be available for re-use across all EXCON and associated entities. Thus, information and knowledge will be made available for general use within EXCON unless there is a specific reason not to do so.

c.   All information and knowledge held is created by an owner and so all owners are responsible and accountable for effective management and appropriate classification of the information and knowledge that they create.

d.   The EXCON IKM Managers should be designated as the main responsible authority for IKM coordination.

e.   The most appropriate means must be used for storing, labeling, processing, transmitting and presenting information and knowledge. During the exercise; specific Web pages, file structures, file transfer conventions, Lessons Learned/Identified procedures and Functional Services (FS) will be used as specified in the EXPLAN.

f.   To ensure proper handling of messages, official orders/messages will be identified with the releasing authority marked on the documents and emails in accordance with NATO doctrine.

5.   **ROLES AND RESPONSIBILITIES.** The EXCON IKM Manager is a full time member of the Core Planning Team for the event. The EXCON IKM manager's main role is to develop, interpret and apply IKM policies and advise all users on appropriate practices to be employed. The EXCON IKM Manager liaises and coordinates with OSE, OCE and other exercise process entity OPRs for requirements as well as NCIA for technical support. Key tasks for the EXCON IKM manager include:

a.   Identifying EXCON and associated entity users' access rights to file structures, web and by exception, functional services.

b.   Generating and implementing an EXCON common file structure, with access rights.

c.   Ensuring that the information that needs to be transferred for the EXCON and associated entities can be stored at a certain pick up-point and distributed to the appropriate dispersed exercise event locations.

d.   Generating and implementing the architecture and layout of network capabilities and web applications needed to support planning, set-up, training and execution of exercise process events.

e.   Generating backup/restore priorities/principles establishing work around solutions for the information/knowledge flow during the exercise process events.

f.   Coordinating basic and additional training on IKM required by EXCON and associated entities as a whole or as elements before or during EXCON training events.

g.   Supervising the production and maintenance of EXCON telephone, email and video conferencing directories as required for the exercise process events.

TRAINING OBJECTIVE (TO)

1.   **INTRODUCTION**. Training Objectives (TOs) provide the basis from which exercises are designed, prepared, executed and assessed. This annex describes the role and use of TOs within NATO exercises.

   1.1.   Definition. A Training Objective is a mission essential task to be performed, under resource conditions, and predefined standards (references and criteria of performance). It describes the staff processes, knowledge, skills or attitudes to be reached during the conduct of training. A TO example is available in Appendix 1.

   1.2.   Purpose

   a.   Exercises represent a major investment for NATO and the participating Nations. The scope of missions is large but exercise's resources and duration are limited. Therefore, starting from the OSE's EXSPEC, there is a need to develop a detailed common understanding between the Training Audience (TA) and OCE/ODE in terms of TA training priorities (Mission Essential Tasks to be performed), resources that are required to enable the training of these tasks (Conditions), and Standards that will enable measurement of the progress achieved during the exercise.

   b.   While staffing the TO list, key exercise participants develop an in depth mutual understanding. Once the TO list is approved, TA and Training Team prepare to conduct and observe the tasks according to set standards. On the other hand, resource providers plan and set the material conditions. Field areas that are not in the TO list do not necessarily need to be exercised and resourced. When the exercise starts and TO conditions are set, the TA is in a position to be observed and trained according to the agreed standards.

2.   **TOs' DEVELOPMENT, IMPLEMENTATION AND EXECUTION PROCEDURES**

   2.1   TOs' Life Cycle

   a.   For each exercise, specific and detailed TOs will be staffed, implemented, executed and assessed. OCE OPR is responsible for the overall process depicted below. He is assisted by ODE OPR and TA OPRs (PTA and STA).

   b.   The process starts with the production of Commanders' guidance. The EXSPEC provide the exercise aims, objectives, and settings which must take into account TA Commanders training priorities. Finally, during the Commanders' Conference, those training requirements are reviewed and prioritised. OCE/ODE present the Scenario outlines that should enable meeting these training priorities.

   c.   TOs are developed in a collaborative manner. The TA develops TOs in close coordination with at least the Training Team and Resource providers. This process, led by an OCE/ODE TO Manager, is depicted in paragraphs 2.2 and the OCE approves the TO list after having ensured that TOs recommended by TA

encompass all the Exercise Objectives approved at the Commanders EXSPEC Conference.

d.   Before the exercise, TA prepares to perform the specific tasks depicted in the TOs, while Resource providers set the material conditions specified.

e.   Once participants are deployed to the exercise, Training Team confirms that TOs are fully achievable (material Conditions are in place). During the exercise, they observe the progress of TOs and report to EXDIR any obstacle to their achievement. The TA executes TOs and improves, as necessary.

f.   At the end of the exercise, the achievement of TOs is assessed and reported (First Impression Report and Final Exercise Report).
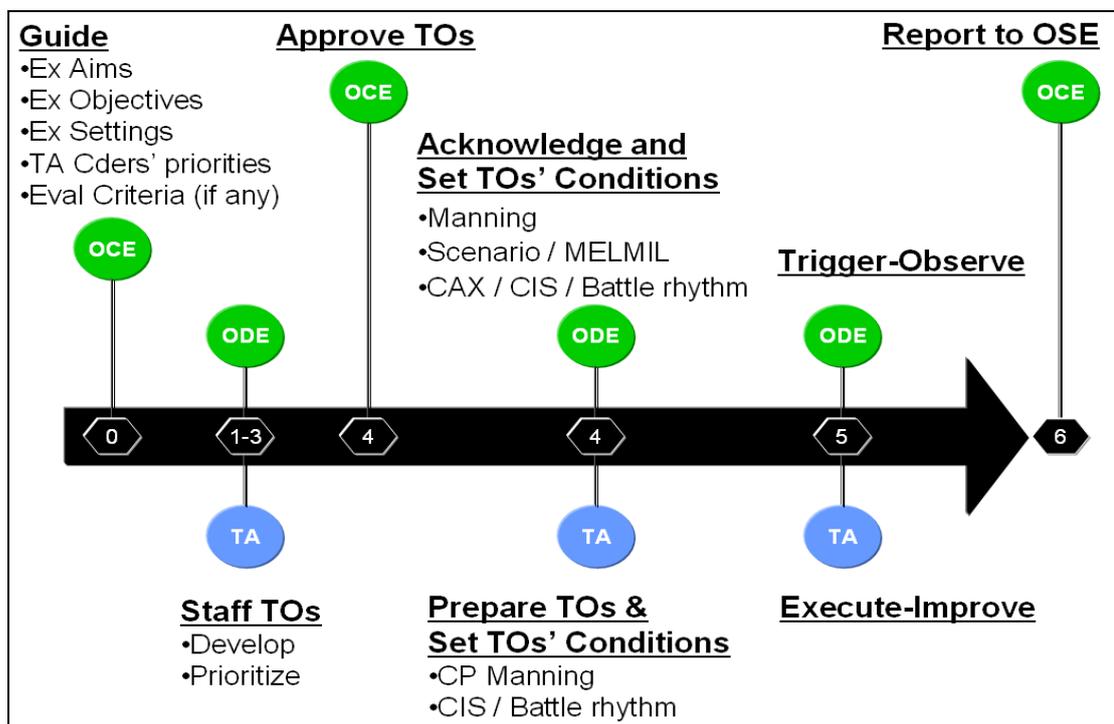

Figure V-1 – *Training Objective life cycle*

2.2   Staffing organisation and steps

a.   The staffing process starts when the Exercise Specifications (EXSPEC) are being finalised and ends with the release of OCE's Exercise Planning Guidance. The process below distinguishes OCE from TA (they are normally combined in NCS exercises) to stay relevant when there are several TA HQs or when PTA is different from OCE.

b.   Staffing is led by a TO Manager who is designated by OCE. The TO Manager establishes a TO planning group composed of:

(1)   One representative per TA HQ and per Division/Branch to script TOs

(2)   Resource providers (OCE/ODE/TA) acknowledge and set conditions

(3)   Training Team (ODE) comment on Tasks and Standards

(4)   OPRs (OCE/ODE/TA) assist TO Manager from their HQ perspective

(5)   Depending on the exercise settings, additional persons may be asked to comment (e.g. Evaluators, or SMEs from higher echelon HQs).

c.   TOs are staffed by the following 5 steps:

(1)   <u>Step 0</u>: Initiation – OCE/ODE/TA review guidance documents. TO manager establishes TO planning group and provides an inbrief to TA.

(2)   <u>Step 1</u>: TA defines specific Mission Essential Tasks (MET) and develops corresponding Supporting-Enabling Tasks (SET). TO planning group comments.

(3)   <u>Step 2</u>: TA develops Conditions and Standards. Resource providers acknowledge Conditions. Training Team comment Standards.

(4)   <u>Step 3</u>: TA prioritises TOs in close coordination with OCE/ODE

(5)   <u>Step 4</u>: OCE approve TO, accepted by ODE and recommended by TA

d.   It is to be noted that:

(1)   TA Command Group commitment is required for steps 0 and 3. OCE/ODE Command Groups are involved in steps 0 and 4.

(2)   Steps 1 and 2 should be conducted in a continuous staffing effort.

(3)   TO list is promulgated with the OCE EPG in a final draft form so that minor changes remain possible for a few months until the EXPLAN release.

	STEP 0 *Initiate*	STEP 1 - STEP 2 *Develop*		STEP 3 *Prioritize*	STEP 4 *Approve - Implement*		
	EXSPEC	1-2 Wks	1-2 Wks	1-2 Wks	OCE EPG	EXPLAN	-> STARTEX
OCE	Guide				Promul-gate	Confirm	Monitor conditions
TA COM	Guide			Prioritize	Recom-mand	Recom-mand	Control TA Prepa-ration
TA Branch Heads				Propose		Propose changes	Control TA Prepa-ration
Resource providers	Lead-in Brief		Acknowledge	Acknowledge, Schedule, and Set material Conditions			
OTs, …, Evaluators		Comment				Comment	Prepare
TA Branch scripters		MET SET	Conditions Standards	Refine Main TOs		Refine on order	Prepare

Figure V-2 – *TOs' Staffing and Implementation: timeline and responsibilities*

2.3 TO Manager and TA detailed responsibilities

a. **TO Manager** To be able to fulfill his responsibilities, TO manager needs a solid operational background as well as a deep understanding of exercise organisation. Ideally, TO manager role is assumed by the OCE OPR or the ODE OPR.

(1) Present TO staffing procedure to TA OPR and propose a timeline to develop TOs

(2) Establish TO planning group

(3) Present TO staffing procedure and timeline to TA OPRs

(4) Present OSE/OCE guidance to initiate TO staffing

(5) Assist TA HQs in developing TOs over JEMM

(6) Involve external actors for comments & acknowledgement: Resource providers (OPRs, Chief Manning, Chief Scenario, Chief MEL/MIL, CIS POC, Chief CAX, Chief IKM), Observer Trainers Analysts, Evaluators (if any), and Divisions/Branches from the higher Echelon (when applicable)

(7) Assist TOs' prioritisation by TA iccw OCE

(8) Export TO list from JEMM

(9) Submit TOs to EXDIR and OCE for approval

(10) When necessary, assist TO list refinement until release of EXPLAN.

b. **Training Audience.** The TA is in the best position to define its training needs and priorities. Therefore, the TA develops and prioritises the TOs. However, the TA needs to be assisted in formulating them.

(1)   TA Command Group provides a training guidance that

(a)   Fits into the frame of the given Exercise's aims, objectives, and settings

(b)   Describes Commanders' training priorities

(2)   TA OPRs assist TO Manager in establishing TO Planning Group

(3)   TA OPRs organise a Staffing initiation briefing ICCW TO Manager

(4)   Staff branches script 2 to 5 TOs. Each TO is composed of:

(a)   A Mission Essential Task (MET) to be trained in the frame of the above guidance. For a CPX, MET is a Staff Process to be improved (previous Lessons Identified), to be maintained or to be experimented.

(b)   Supporting and Enabling Tasks (SET) that describe 'who is doing what' in the Staff process

(c)   Conditions listing the concrete Manning, Scenario, MEL/MIL, CIS, and Battle rhythm requirements that will enable TA to achieve each TO properly

(d)   Standards defining reference documentation and criteria of performance

(5)   TA persons in charge of TA Manning, CIS, and Battle Rhythm conditions acknowledge TOs

(6)   TA OPR recommands TOs to OCE.

Remark Nr 1. Secondary Training Audience (STA) will contribute to PTA Training Objectives. In addition, STA may develop a few Training Objectives when they do not exist in the PTA's list.

Remark Nr 2. In the case of a Mission Rehearsal Exercise (MRE), the in-theatre staff will develop TOs for its successor.

2.4   Implementing TOs. Between IPC and STARTEX, TA will develop, refine and practise the procedures related to the TOs. At the same time, OCE/ODE/TA OPRs ensure that the material conditions listed in TOs are progressively set-up by resource providers with a focus on main TOs. Therefore different steps in the preparation process have to be conducted.

a.   **Between IPC and MPC**

(1)   Set-up the Conditions and update TO achievability: As soon as TOs are promulgated, OCE/ODE/TA OPRs ensure that the conditions listed in the TOs are integrated in the EXPLAN and progressively implemented according to Appendix 2 (Main TOs to the full extent; Secondary TOs as much as possible):

(a)   C1-C3. Manning Conditions

The ODE OPR adds Response cells and OTs requirements as listed in TOs to the EXCON manning list. TA OPR adds TA HQ augmentees listed in the TOs to the TA manning list. End state is that by STARTEX, EXCON and TA manning relevant to TOs should be filled in quality and quantity.

(b)   C4-C5. Scenario and MEL/MIL Conditions

(c)   Chief Scenario prepares deliverables and documentation accordingly to the scenario requirements listed in the TOs. End state is that before STARTEX, the Scenario is adapted and consistent as requested in TOs.

(d)   Chief MEL/MIL develops Incidents that address the MEL/MIL expected outcomes listed in the TOs (see paragraph b. below).

(e)   C6. CIS POC set the CIS conditions

(f)   C7. Chief CAX set the CAX conditions

(g)   C8. Chief IKM (Information Knowledge Management) or TA HQ equivalent schedules the meetings and reports listed in the Battle Rhythm conditions.

(h)   Resource providers (condition owners) update Conditions' status in JEMM. OCE/ODE OPRs control/monitor the progress of TO achievability.

(2)   Develop MEL/MIL in JEMM database

(a)   JEMM Manager supports the completion of JEMM database. JEMM manager (ODE) organises JEMM training and gives access to the users.

(b)   Chief MEL/MIL develops MEL/MIL and ensures that each TO that has an 'Expected MEL/MIL Outcome' is addressed at least by

one incident. Incidents and TOs are linked into JEMM tool and identify the inject of an incident that indicates the date when the associated TO is expected to be achieved.

b.   **During MPC.** OCE/ODE OPRs update the audience on the requirements that are not yet filled according to TOs' conditions (priority on Main TOs). As required the OCE/ODE OPRs ensure that the reference documentation listed in the Standards is distributed to the Training Team organisation.

c.   **Between MPC and STARTEX**

    (1)   OCE/ODE OPR

        (a)   Track and confirm the establishment of the TO Conditions

        (b)   Update OCE/EXDIR on the achievability of TOs based on the requirements listed in the main TOs

        (c)   Export the list of TOs from JEMM. TOs list is confirmed as an Annex to EXPLAN Part I

    (2)   Training Team ODE

        (a)   Prepare Training Team (TT) according to EXPLAN Part III

        (b)   Prepare the observation plan and ensure that each Main TO is observed by at least one dedicated Observer Trainer (OT).

        (c)   Prepare OPCAR module in JEMM (if applicable).

d.   **Warm-Up / EXCON Training**

    (1)   Training Team

        (a)   TT verifies that the conditions listed in the Main TOs are established. TT updates TOs achievability in JEMM.

        (b)   TT get familiar with TA: organisation, Tactics, Techniques, and Procedures. TT review Main TOs with TA.

        (c)   Chief TT reports TO achievability to EXDIR. If some conditions of a main TO are not set, OCE might decide to reduce the level of ambition of this main TO, change it into a secondary training objective, or reschedule it for a following exercise.

    (2)   Chief EXCEN

        (a)   Refines the EXCEN organisation to better satisfy TO conditions

        (b)   Updates OCE/EXDIR on the achievability of TOs based on the conditions as listed in the main TOs pertaining to EXCEN.

(3)   TA

(a)   Update TT on the achievability of self-observed secondary TOs based on the requirements listed in the conditions

(b)   Refine TA organisation to better satisfy TO conditions ICCW TT

2.5   Executing TOs. During the Exercise, TOs continue to serve as the reference to drive the Exercise. Based on the daily observations made by TT and TA, the EXPLAY and Scenario will be adjusted dynamically to enable TA to meet a maximum of TOs.
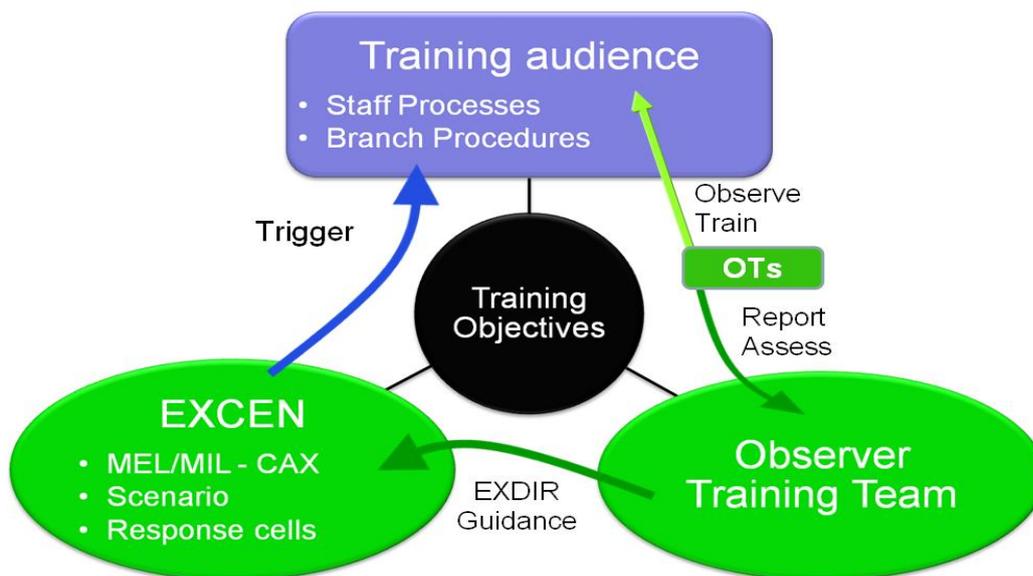

Figure V-3 – *TOs' drive mechanism*

During Exercise Execution, delineation of responsibilities is as follows:

a.   **TT Chief** While ensuring the efficient conduct of training, the TT Chief provides feedback to the EXDIR on the progress of the TA towards achievement of the TOs suggesting adjustments as required.

b.   **EXCEN.**

(1)   As required ICCW the TT Chief, adjust the exercise play so that TA is in an optimum position to achieve the TOs

(2)   As required ICCW TT Chief, adjust the Exercise tempo so that TA is adequately challenged in all functional areas, at all levels

(3)   Minimise Exercise artificialities ICCW TT

c.   **EXDIR.** Provide Direction and guidance to all EXCEN/TT staff so as to optimise TOs' achievement based on the regular assessment of CHIEF TT and COM TA.

    d.   **TA.**

    (1)   Act and React realistically to Exercise situations with a view to gaining the best training event experience

    (2)   Assess the progress of Secondary TOs and report to OCE
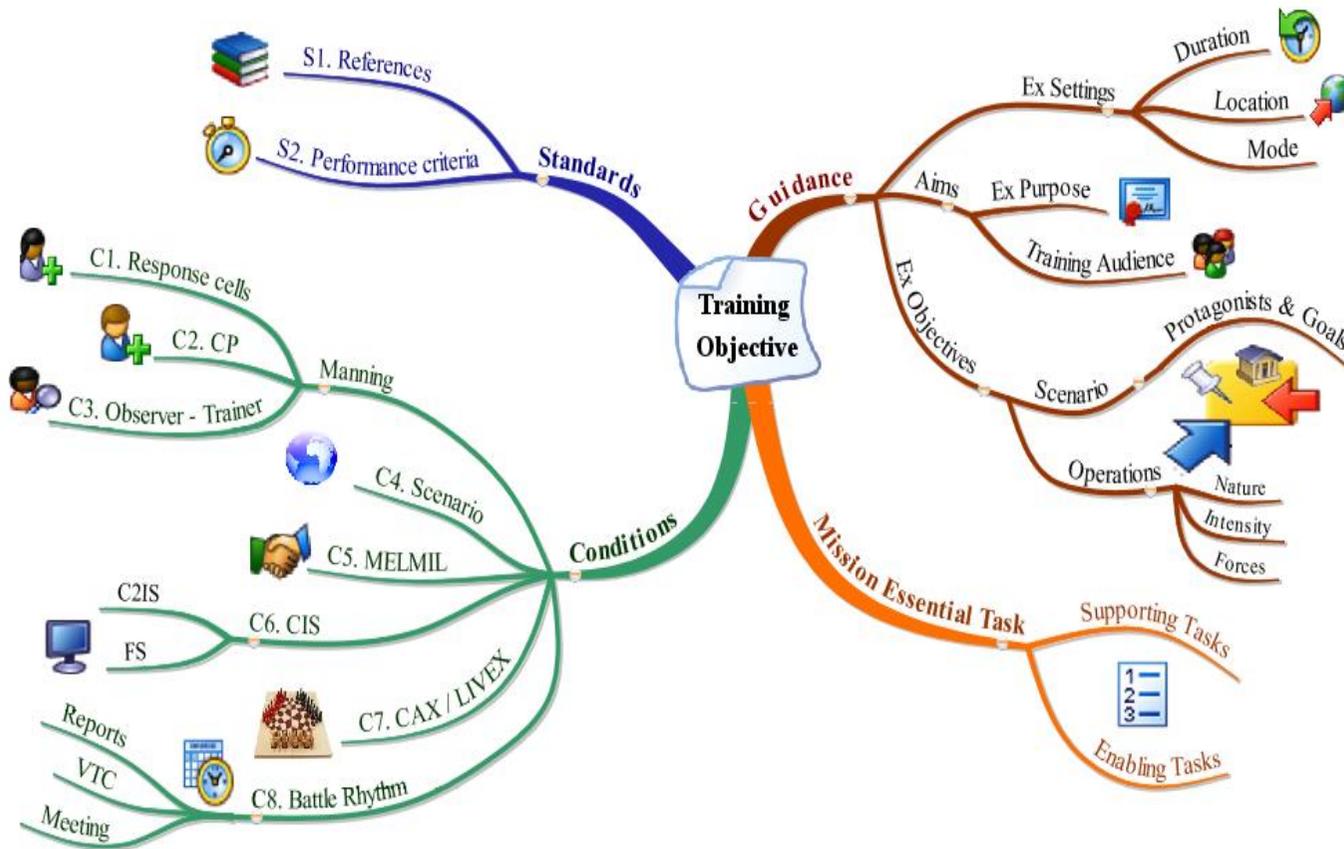
2.6 Assessing TOs.

a   During the After Action Review (AAR), in addition to the TA providing insight to its self-determination of strengths and weaknesses, the OCE & ODE update the key exercise participants on the achievement of Training Objectives.

b   After the Exercise, a report on TO achievement is provided within the ODE First Impression Report. At the discretion of the OCE these details may be shared within the Final Exercise Report (FER). Mission Essential Tasks that have been identified as "needing more training" may be considered by the OSE and OCE as potential TOs for a following Exercise.

APPENDICES

1. TO Elements
2. TO Example
3. TO Implementation and Achievability
4. TO Scripting Tutorial

TO ELEMENTS

TO EXAMPLES

Mission Essential Task	Supporting / Enabling Tasks (Training audience involved)	Conditions (For Resource Providers OCE/ODE/TA)	Standards (For Observer-Trainers)
Organise and control flow of casualties within LCC AOO	1. Conduct Personnel Reporting Procedure. 2. Install Patient Evacuation Coordination Cell (PECC) at HQ RRC-FR level, ensure CIS connection to all other PECCs and the ACC Air Evacuation Coordination Cell (AECC) and the Rescue Coordination Cell (RCC) of the assigned MedTF 3. Execute Patient Tracking on LCC Level (quantities, generic, nationality) 4. Coordinate AERO Medevac and Ground Medevac with -if applicable- EAC, other CCs and subordinated levels. 5. Maintain Common Operational Picture within JOC about disposition of units/assets and incidents. 6. Coordinate incidents with casualties within JOC LCC with G1, G3 Current Ops, G Med, PM, LAD, PAO and Chf JOC. 7. Support Chief JOC and participate in the Crisis Action Team CAT (if applicable). 8. Process, receive and assess the reports.	**C1-Response Cells** G1: HICON (J1) and LOCON (S1) with experience personnel evacuations // GMED: CJTF MEDAD, LATCON (MJLC, ACC, MCC: MEDAD + Patient Evacuation Cell (PECC). LOCON (MEDTF, MEDADs Bdes/Units). // Possible providers: JFC N/JFC BS JMed (HICON), Other NRDC's Gmed (HICON, LATCON and even support LOCON), Integral MEDAD of LOCON Bde. **C2-CP Augmentation** OF2-4 GMED Officer with Medical Advisor expertise preferably from 1GNC. **C3-Observer Trainer** One OF4-5 MED who just returned from ISAF MED ADVISER **C4-Scenario Documentation** List and capabilities of Host Nation Hospitals within AOO. STRATEVAC Force capabilities. **C5-Expected MEL/MIL outcome** Different information through different functional stovepipes can cause confusion and might lead to the need of close coordination and checking IOT inform COM LCC with the right figures! Regular flow of casualties to force GMed to track the evacuation based on the amount of casualties + 1 major incident with (MASS CASUALTY -MASCAL-) to train HQ requesting support from other CCs and coordinating. **C6-C2IS** INTERNET and 2 C2IS SICF workstations specific to JOC/PECC. **C7-CAX** SITFOR, Accidents and Diseases randomly generate a Regular flow of casualties from any formation and nationality. Simulation system (JTLS) should update the C2IS (SICF) automatically. It should enable every Subordinated Unit and NSE to report PERSREP and OWNSITREP twice a day accurately. NATO formats to be used. **C8-Battle Rhythm** Clear responsibilities between MedTF Rescue Coordination Cell (RCC) and LCC GMed PECC are set. Report via the normal Chains: TOC-> JOC; CASREP from S1 -> G1 and MEDSITREP from S4/MEDAD -> GMed	**S1. Reference Doc** MC 326, AJP 4.10 A, Med Concepts HRF/NRF or specific mission, SOP D Chapter 01 Personnel, SOP D Chapter 12 Medical. **S2. Criteria of Performance** - Knowledge of OPLAN, including the Med SPT Plan - Ability to communicate with all levels (EAC, Flanking and Subordinated Commands/Units) outside LCC HQ and have contacts in place. - Ability to coordinate with main players within JOC. - Check the figures with G1, GMed and G3 and speak 'one language'. - BPT man the CAT and to advice/inform how the Med Spt is/will be executed. - Rely on lower levels and the responsibility of lower levels e.g. MedTF RCC; prevent micromanagement e.g. with Medical Mobile Team (MMT). - The clearly defined input (an incident with casualties) will lead to coordination and the -possible- tasking of subunits.

TO IMPLEMENTATION AND ACHIEVABILITY

OCE/ODE/TA OPRs ensure that the material conditions listed in TOs are progressively set-up by resource providers with a focus on main TOs.

The legend below enables tracking TOs' achievability. Conditions have 'Amber' status once scheduled in EXPLAN, MELMIL database, and OPO. They have 'Green' status once set. Red indicates that there is an open issue with one of the conditions.

	C1. Response Cells C3. OTs	C2. Augment CP	C4. Scenario	C5. MEL/MIL	C6. CIS	C7. CAX / LIVEX	C8. Battle Rhythm
Lead	OCE / ODE OPRs	TA OPR	Chief Scenario	Chief MEL/MIL	OCE CIS POC	Simulation provider	TA Director of Staff
Support Advise	POC for EXCON Manning	POC for TA Manning	Scenario Working group	MEL/MIL Group Observer Trainers	TA CIS POC ODE CIS POC	ODE/TA OPRs	OCE/ODE OPRs
White	Not started Yet						
Blue	Condition owner acknowledges (He accepts it and will resource it)						
Amber	Slot added into the Manning List (EXPLAN Part II - Annex C)	Doc/Database on the list of Scenario deliverables (EXPLAN Part I - Annex C)	Expected outcome linked to an Incident in MELMIL database	CIS and FS means are on the Information Exchange Requirement list (EXPLAN Part I - Annex V)	CAX / LIVEX requirements are technically feasible (EXPLAN Part I - Annex F / EXPLAN Part II – Annex C)	Report/Meeting included in the TA Battle rhythm (OPO / Annex CC) and EXCON Battle rhythm (EXPLAN Part II – Annex C)
Green	Slot resourced, name available	Doc/Database complete	TT confirm that Incident can achieve the effect	CIS resourced. Set-up is organised	Synchro working + Branch confirm ORBAT	Report / Meeting executable
Red	Slot skipped from the manning or that can't be resourced	Doc/Database not complete	Storyline insufficient	CIS can't be resourced	Not feasible	Not in the Battle rhythm or not executable

TO SCRIPTING TUTORIAL

This appendix is assisting TO scripters in writing useful TO.

The text in Italic is a TO Example. The rest of the text advises on the way to fill in TO, both from Form and Content perspectives.

<u>TO DEVELOPMENT PROCESS: STEP 1</u>

<u>TO LABEL.</u> TO development starts with defining a 'TO Label', which indicates TO's properties and enable to sort TO lists out later. The paragraph below is an example of TO label.

Abbreviated Name: *01- FLOW OF CASUALTIES* (Abbreviated Name of the Mission Essential Task)

TO Scripter: *XXXX* (TO scripter who is responsible for the TO. SURNAME is selected from JEMM user list)

Proposing Branch: *RRC-FR GMED* (involved HQs and Branches)

TO Scripter Priority: *5* (Prioritised from 1 to X. Different TOs can't have the same priority)

Key Process: TOs may be grouped by Ex Objectives or key staff processes

Player: *ACC PECC, RRC-FR PECC, LEGAD, GMED, JOC, CG, PAO, AOCC* (TA Branches involved in the staff process)

Training Period: *CPX* (e.g. CRP exercise, CPX)

Need for Training: *Lesson Identified during Common Tenacity 11, 'need to train more regularly CASEVAC'*

Answer the question: Why is it so important to set priority on this task for the Ex? (Serve to prioritise between main and secondary TOs)

Once a TO label has been asigned, the new TO is acessible for developement: Mission Essential Tasks (MET), Supporting-Enabling Tasks (SET), Conditions and Standards as described in the following pages. <u>MISSION ESSENTIAL TASK</u> (MET)

Organise and control flow of casualties within LCC AOO

Form: MET is the sentence that details the Abbreviated Name chosen on the TO Label. As Command Post Exercises are training CPs, MET is a staff process. It requires an Operational Verb expressed at the active form.

Content: MET is a process to be improved, to be maintained or to be experimented. It is a specific task that requires a training effort. To be specific, a Task must either encompass all the aspects of a minor process, or a part of a major process, or even a major process limited to certain circumstances. Tasks may be planned and executed or Planned only (e.g. Plan the relocation of the HQs with the Host Nation).

MET is Not: the entire responsibility package of a Division/Branch. TOs do not limit the training scope but focus the training on specific areas. When the MET is too large, the focus is lost and the TO is "globally and vaguely" trained. Each Division/Branch is still free to propose 2 to 5 MET to address many specific points.

SUPPORTING ENABLING TASKS (SET)

1. Install Patient Evacuation Coordination Cell (PECC) at HQ RRC-FR level, ensure CIS connection to all other PECCs and the ACC Air Evacuation Coordination Cell (AECC) and the Rescue Coordination Cell (RCC) of the assigned MedTF

2. Execute Patient Tracking on LCC Level (quantities, generic, nationality)

…

7. Coordinate incidents with casualties within JOC LCC with G1, G3 Current Ops, G Med, PM, LEGAD, PAO and Chf JOC.

8. Process, receive and assess the reports

Form: SET are listed and numbered. They describe the film of the staff process: Who (CP Division/Branches and external actors) is doing What (supporting - enabling tasks starting with an active verb) with Whom (CP branches and external actors). The involved TA Division/Branches should be mentioned as Players in the TO Label (and the other way around). In the same way, External actors mentioned in SET should be reflected in Condition C1 (Response cells). When a Division/Branch or external actor is involved in each Supporting - Enabling task, it can be mentioned on the top or the bottom of the list. SET can be divided into subparagraphs to differentiate families of tasks. Abbreviations must be explained at least the first time.

Content: SET should be as cross-functional as possible so that the TO has a chance to be selected as Main Training Objective (Staff Priority). SET can encompass real life or real CIS procedures.

SET is Not: a handbook for specialists. It should be understandable for non-specialists.

<u>TOs' DEVELOPMENT PROCESS: STEP 2</u>

<u>CONDITIONS</u>

<u>C1-Response Cells</u>

-G1:   HICON   (J1)   and   LOCON   (S1)   with   experienced   personnel   on   evacuations.
- GMED: JTF MEDAD, LATCON [JLSG, ACC, MCC: MEDAD + Patient Evacuation Cell (PECC). LOCON (MEDTF, MEDADs Bdes/Units].
- Possible providers: JFC NP/JFC BS JMed (HICON), Other NRDC's GMED (HICON, LATCON and even support LOCON), Integral MEDAD of LOCON Bde.

Form: How many people with which specific expertise are required in HICON..., LOCON..., LATCON..., Grey Cell... This will be translated with high priority in the EXCON Manning document.

Content: TO Scripters should first become familiar with the Exercise Force Structure to be able to express detailed and relevant manning requirements. Focus should be made on scarce resources (e.g. PECC in a LCC Staff; MED, LEGAD, PA in a Brigade Staff; Financer in a DIV Staff). What is missing by experience in many similar exercises?

Response Cell Condition is Not: the entire environment of a real Operation. A limited number of specific requirements has much more chance to be satisfied than a large and vague amount of requirements.

C2-CP Augmentation

One OF2-4 GMED Officer with Medical Advisor expertise preferably from 1GNC

Form: list of personnel that the Division/Branch should receive for the exercise = Rank + Function + Expertise + Expected Provider. This list will be integrated with high priority in the Training Audience Manning document. A precise and justified request has more chance to be satisfied than a vague one.

Content: TA Manning augmentation necessary to achieve the Training Objective. This augmentation must be founded by the Peace Time Establishment (PE Manning) and/or the SOP corresponding to the Training Objective. TO Scripters should not hesitate to justify their needs. Reinforcements are generally requested to other Divisions/Branches, Reserve Officers, or officers from Sister HQs received in the frame of Mutual Training Support.

CP Augmentation Condition is Not: the manning you dream of or you would get in a real operation.

C3-Observer - Trainer

One OF4-5 MED who just returned from ISAF MED ADVISER (preferably OF5 from 1GNC). If not possible (or in addition) HICON should be able to assess the way LCC GMed/G1 is dealing with the flow of casualties with the LCC AOO, based on contacts HICON has with LCC, with the other LATCON-units and the LOCON.

Form: a Subject Matter Expert that the Training Audience would wish to invite as Observer-Trainer for the exercise = Rank + Function + Expertise + Expected Provider. A precise and justified request has more chance to be satisfied than a vague one. If the TO is selected as Main Training Objective (Staff priority), this OT requirement will be integrated with the highest priority in the EXCON Manning document. If

the TO is only a Secondary one, this OT requirement will not be implemented in the Manning document and the proposing Division/Branch will self-assess the progress of this TO.

Content: It is ideal when the Training Audience is providing the name of an officer who is recognised by himself as an expert. This facilitates the integration of the OT and enhances the training value for the Training Audience.

Observer-Trainer Condition is Not: an option pending on the Division/Branch willing when the TO is a Main TO. Each Main TO must be observed by at least one dedicated OT.

C4-Scenario Documentation

List and capabilities of Host Nation Hospitals within AOO. STRATEVAC Force capabilities.

Form: Document, Order or Database that should be available to the Training Audience at a certain stage to run the Training Objective. A precise and justified request has more chance to be satisfied than a vague one. This requirement will indicate the areas of the Scenario to be developed in detail by the Scenario Group. As a matter of fact, this Group cannot refine the entire available scenario.

Content: Detailed information that would normally be available to the CP to be able to run the process. Requirements should cover the entire 6 Scenario modules: M1 Geo-Strategic Situation; M2 Theatre of Operations Information; M3 Strategic Initiation; M4 Crisis Response Planning Information; M5 Force Activation and Deployment Information; M6 Execution-STARTEX Information. Examples: Minutes of previous meetings, EOD database, Multinational Deployment Detailed Plan, 'bad guys' database, JPTL, Joint Coordination Order, digest of already circulating contracts...

Scenario DOC Condition is Not: requesting information on everything. Even real operations don't satisfy CP's need for information; some information will be wrong and some will be missing. Secondly, requesting Scenario Doc doesn't mean that Training Audience will not be involved in the Scenario refinement. As most of the exercises are self-organised, some expertise of the trained Divisions/Branches may be required.

C5-Expected MEL/MIL outcome

Different information through different functional stovepipes can cause confusion and might lead to the need of close coordination and checking IOT inform COM LCC with the right figures!

Regular flow of casualties to force GMed to track the evacuation based on the amount of casualties + 1 major incident with (MASS CASUALTY -MASCAL-) to train HQ requesting support from other CCs and coordinating.

Form: Where Training Audience is explaining its training expectations. Which type of incident to encourage the staff to produce what... how many times... Priority 1 is to describe the type and number of products that the CP would be able and willing to handle during X days exercise. Priority 2 is to give examples of incidents that may be appropriate to encourage the staff doing so. These indications will guide Chief MELMIL in developing incidents that are consistent with the Scenario and will trigger the expected MELMIL outcome. Expected MELMIL outcome is the most important condition to fill because it is linking Training Audience's expectations to MELMIL and to Observer-Trainers. Later, the Expected MELMIL Outcome is linked to Incidents in JEMM and observed by Training Team.

Content: Usual MELMIL outcomes are CP products as Orders, Meetings, Contracts, Coordination-synchronisation documents, database. Some Training Objectives don't need MELMIL condition like Information Management or Crisis Response Planning.

Expected MELMIL Outcome is Not: a vague process but rather a clear staff product that can be measured.

C6-C2IS

INTERNET and two C2IS workstations specific to JOC/PECC

Form: List of C2IS equipments necessary to practice the TO properly. This includes CIS, Functional Services (FS), and Tools. Number and Type of Equipments + Persons to equip + Training to be organised. This equipment will be integrated in the CIS list of means and services to deliver during the exercise.

Content: Some C2IS equipment play a key role in certain processes and need to be anticipated very much in advance due to unusual or heavy real life constraints (e.g. VTC capabilities; specialised C2 Shelters that need to be transported; secured systems for Electronic Warfare; equipment of Non-NATO or Civilian elements; internet connection with large bandwidth). FS usually require training for CP and Response cell users: e.g. LOGFAS, TOPFAS, JCHAT, ADAMS, FAST, JST, Blue Force Tracking.

C2IS Condition is Not: the list of standard C2IS equipment usually available to the Division/Branch.

C7-CAX   (1/2)

SITFOR, Accidents and Diseases randomly generate a Regular flow of casualties from any formation and nationality. Simulation system (JTLS) should update the C2IS (SICF) automatically. It should enable every Subordinated Unit and NSE to report PERSREP and OWNSITREP twice a day accurately. NATO formats should be used.

Form: List of Simulation system's requirements to facilitate the Training Objective. What should CAX generate: Nature of operations, type and effect of incidents, type of information that should be populated in the CAX database so as to update the C2IS once CAX and C2IS are synchronised. This enables Chief CAX to choose an appropriate simulation system, to schedule in due time the necessary technical-interoperability developments and to deduct a number of CAX operators.

Content: CAX does not only generate randomly incidents and natural attrition. It is assisting limited Response Cells in conducting the framework operations and reporting in a consistent and accurate manner (e.g. PERSREP, LOGREP, OWNSITREP, ATO and Air Picture).

CAX Condition is Not: to be opposed to MELMIL but integrated in the overall Script as a Response Cell multiplier. CAX can generate outcomes and still be controlled by EXCON with for instance mpost-scripted injects in JEMM.

C7-LIVEX   (2/2)

An OPFOR infantry unit able to conduct conventional defensive actions at company level over 2 days and nights. The same unit should be able to portray a civilian demonstration against deployed NATO HQs for 1 day. The rest of the time, the unit should be capable to conduct squad level harassment activities based on IED and light ambushes along the camp inner road. OPFOR unit controled by OC organisation through HF radio and Liaison Element at OC staff element. Equipment: Blank ammunition; national ISAF type BDU; No life simulation system.

Form: List of LIVEX requirements to facilitate the Training Objective.

Content:

-      Type, Size, Tactics, and capabilities of OPFOR elements. C2 structure should also be detailed.

-      Training environment necessary to meet the TO (e.g. specific shooting range capabilities, use of ammunition or simulaton).

LIVEX Condition is Not: detailing the overall LIVEX organisation (range control, damage control) nor Observer-Controlers that are depicted in C3 Condition. C7 stick to TO specific requirements. Grey cell role players are not mentioned here but at C1 Condition.

C8-Battle Rhythm

Clear responsibilities between MedTF Rescue Coordination Cell (RCC) and LCC GMed PECC are set. Report via the normal Chains: TOC-> JOC; CASREP from S1 -> G1 and MEDSITREP from S4/MEDAD -> GMed

Form: Meeting or Report, on call or regular, necessary to achieve the Training Objective. These Meetings and Reports will be integrated in the Training Audience Order (usually Annex CC: battle rhythm and reporting system). Some meetings chaired by external actors are also necessary to meet the TO.

Content: During an exercise, the Battle Rhythm is so dense due to the compressed available training time, that the Training Audience can easily be overstretched. On the other hand, some Training Objectives can only be achieved if certain meetings and reports are executed. Thus, it is necessary to specify the unusual meetings or reports to avoid that the Operational and well known meetings/reports retain the

only priority. End state is that Director Of Staff is able to prioritise and schedule the meetings and reports along the X days exercise. E.g. CIED needs CIED Working Group sessions; Infra Projects need at least one meeting of the Operational Resource Boards. Observer-Trainers ensure that C8 requirements are set during the exercise.

Battle Rhythm Condition is Not: a can but rather a must. However the number of meetings and reports should not be exaggerated and should be justified.

STANDARDS

S1. Reference Doc

MC 326, AJP 4.10 A, Med Concepts HRF/NRF or specific mission, SOP D Chapter 01 Personnel, SOP D Chapter 12 Medical.

S2. Criteria of Performance
- Knowledge of OPLAN, including the Med SPT Plan
- Ability to communicate with all levels (EAC, Flanking and Subordinated Commands/Units) outside LCC HQ and have contacts in place.
- Ability to coordinate with main players within JOC.
- Check the figures with G1, GMed and G3 and speak 'one language'.
- BPT man the CAT and to advice/inform how the Med Spt is/will be executed.
- Rely on lower levels and the responsibility of lower levels e.g. MedTF RCC; prevent micromanagement e.g. with Medical Mobile Team (MMT).
- Clearly defined input (an incident with casualties) will lead to a coordination and the -possible- tasking of subunits.

Form: Reference Doc is a list of doctrinal documentation (NATO, National, HQs specific). These documents do support the MET/SET and can be referred to by the Training Audience as well as Observer-Trainers. The Criteria of performance should enable to measure the performance of TA in conducting the MET/SET. The criteria should be objective, short, and commensurate.

Content: The Criteria of performance describes the level of ambition of the staff concerning the products of the Process. It is the most difficult part to write in a TO because the Training Audience should find indicators of performance that are understood by everyone and key

to perform MET/SET. Once the process' outcome is clearly identified (Orders, Meetings, Matrix, Targeting list...) and the ambition is known (how many process' outcomes in X days exercise) it is feasible to find relevant criteria of performance.

Standards are Not: "Good, Proper, Appropriate, Sufficient, Fast..." So what???

For instance, criteria of performance for a FRAGO may be: to be delivered within 1/3 available time and reflected in the Subordinates' orders.