

Since the approval of the new NATO Defence Planning Process (NDPP) by the Defence Ministers in the spring of 2009, work within this new process has been one of the many drivers for transformation within the Alliance.

A Powerful and Innovative Process

The NDPP is a structured, comprehensive, transparent and traceable process, which uses analytical tools and relevant NATO expert analysis to identify the single set of capabilities considered necessary to meet the Alliance's ambitions. Its focus is on medium and longer-term capability development, while in the same time remaining responsive to unanticipated requirements arising from current operations. Increasing transparency has been a consistent theme and the work done over the last several years has featured regular workshop events to engage the Nations and ensure their insight into the work of the Defence Planning Staff Team (DPST).

The DPST has also been a concrete manifestation of the "new way of business" inherent in NDPP. This team is not a standing organisation, but is task-organised as required, drawing on civilian and military expertise from within the different NATO staffs and the seven traditionally recognized defence planning disciplines (armaments, C3, force, logistics, resources, civil emergency, and nuclear) have been joined by air defence, air traffic management, intelligence, military medical, research and technology and standardization communities to make up the thirteen planning domains now contributing to the NDPP. These domains expand the breadth of the NATO Defence Planning activity to make it more appropriately comprehensive.

Methodology and Results

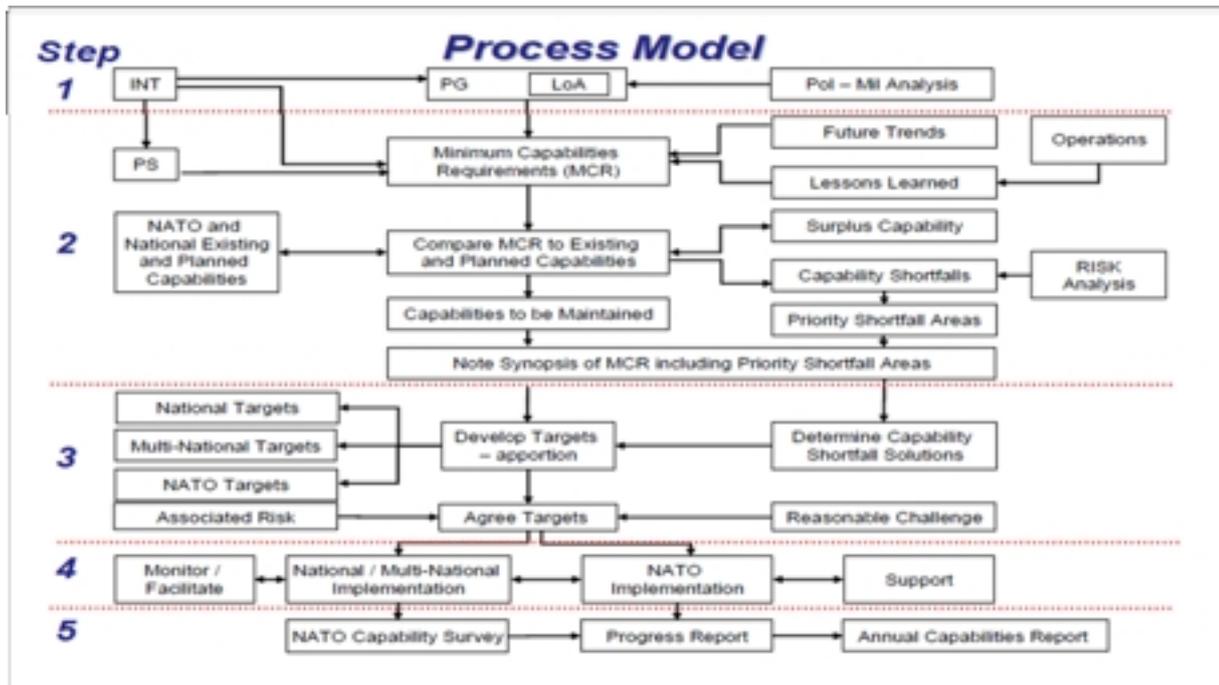
The new NDPP outline model developed five steps to NATO Defence Planning:

1. Establish Political Guidance;
2. Determine Requirements;
3. Apportion Requirements and Set Targets;
4. Facilitate Implementation, and;
5. Review Results.

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The Strategic Commands, with ACT in the lead, are entrusted with leadership of this process during Step 2 (Determine Requirements) and the initial part of Step 3 (Apportion Requirements and Set Targets), all together referred to as "Step 2+".



NDPP Five Step Process Model

Early on in the work it was decided that a Project Management Methodology would be used and the [PRINCE2](#) Model was selected and tailored to specific needs in order to clearly articulate the NDPP Step 2+ project plan and its supporting stage plans to achieve timely delivery of all required outputs and ensure project control and monitor progress of work to meet those outcome expectations, to include quality assurance.

Within this framework the first most significant portion of ACT lead NDPP Step 2+ work was determining the capability requirements to meet NATO's [LoA](#) and other agreed objectives set out in Political Guidance, which was done through the development and approval of the Minimum Capability Requirement (MCR) in December 2011. This document's title denotes the shift within NDPP as it both replaces and also expands the breadth of the former Minimum Military Requirement (MMR), in keeping with the expansion of the breadth of staff now involved in the work as well as the direction in NATO's Political Guidance to expand our planning efforts in support a more comprehensive approach which includes non-military requirements.

From Mission to Task and Capabilities

Development of the MCR involved extensive staff efforts in conducting a full "Mission to Task Decomposition" to break down NATO's accepted missions into their tasks structure as well as the building of a complete set of case studies. These case studies are notional and generic representations of what types of circumstances NATO might be required to operate in to conduct its missions.

In keeping with the transitional nature of this cycle and in order to reduce any "gap" in planning work as the new NDPP was adopted, overlapping work was undertaken such that the work of Determining the Requirement (Step 2) was effectively underway since spring 2010 before NATO developed new Political Guidance (Step 1). To mitigate the associated risk, a number of guiding principles and planning assumptions were developed in order to give direction to Step 2 work until such time the Political Guidance was approved in March 2011. A constant theme of parallel and supporting work has contributed to managing this work. For example in support of NDPP Step 5, the NATO Staff completed an "Inventory of Existing and Planned Capabilities" providing an essential outcome: the comparison between the MCR and existing and planned capabilities potentially available for NATO operations.

The Comparison of the required capabilities as expressed in the MCR against the inventory of existing and planned capabilities derived from the information within the Defence Planning Capability Review was conducted during the fall of 2011 and once again the theme of a broader and more comprehensive approach was seen in the functioning of the DPST. In addition, the notion of transparency was supported in the conduct of a Comparison Workshop involving the Nations in early December 2011 to review and comment on the work which gave a first look at the overall situation as regarded NATO's capabilities to meet the LoA as expressed in the MCR and the resulting shortfalls, surpluses and capabilities to be maintained.

NATO Military Authority Involvement

Immediately upon the identification of the shortfalls resulting from the Comparison phase, the shortfalls were subjected to a risk analysis and a prioritization activity in order to better identify those areas of shortfall that required attention. In this work another element of the NDPP is highlighted, the constant involvement of all three NATO Military Authorities (both Strategic

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Commands and the International Military Staff). While it is true that work throughout the process involves staff from ACO, ACT and the IMS, this Prioritization Activity particularly highlighted this theme as selected Flag and General Officers from both ACO and ACT (IS and IMS were represented by two observers each) were gathered end of January 2012 to bring their experience and judgment to bear in order to provide [PSA](#) ; a ranking of the highest risk shortfall areas. The PSA were reviewed and approved by SACEUR and SACT in February 2012. A synopsis of the MCR, including a summary of the PSA will be forwarded to the [DPPC\(R\)](#) and [MC](#) for notation in May 2012.

The Target Setting, or Step 3, is currently underway and includes an initial apportionment workshop involving the DPST and nations, and focusing on fulfilling requirements with existing and planned capabilities, the development of COA to address the PSA, and development and apportionment of the shortfalls as targets for development. The [COA](#) to address the PSA will be submitted to the DPPC(R) for approval when the COA involve Multinational approaches or NATO common funding. The development and eventual apportionment of Capability Targets to the Nations as well as to the Alliance itself in order to redress the shortfalls, maintain capabilities that are required and, as appropriate, take note of any "surpluses" that may be identified with an eye to re-investment if circumstances warrant such consideration, is in its initial stages and will continue over the next year.



A critical part of this work of will be the Joint Consultations. During this phase a team representing the DPST will visit each NATO National Capital and consult directly with the appropriate Defence and other Departmental planning staff on the subject of the portion of the NATO capabilities requirements which will be apportioned to each nation via Capability Targets. This will follow on from the apportionment work done in the two apportionment workshops, both of which have and will involve full National staff representation. The aim is to apportion all of NATO's required capabilities to meet the LOA as expressed in the MCR to nations (either individually or in multinational collaborative undertakings) or the Alliance itself (collectively within

NATO common funded activities). These Joint Consultations will be short, intense and focused visits aimed to finalize NATO Staff and National positions on the proposed package of National (and appropriate portions of Multinational) Targets in preparation for the final step in this work which is the Multilateral Examinations conducted at NATO HQ in Brussels.

Appropriate Injection of Military and Operations Experience

As the work proceeds through the Joint Consultations to the preparations for and conduct of the Multilateral Consultations, leadership of the DPST will be shifted to the International Staff, in particular the Defence Planning and Policy Division and ACT staff will continue to work in support, ensuring the appropriate injection of military and operational experience from both ACT and ACO is provided.