



**SUPREME HEADQUARTERS ALLIED POWERS
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**GRAND QUARTIER GÉNÉRAL DES PUISSANCES ALLIÉES
EN EUROPE**

B-7010 SHAPE, BELGIUM



Our Ref: SH/OPI/J9/PB/17-315278

Tel: +32-(0)65-44-7111 (Operator)

Date: 07 February 2017

Tel: +32-(0)65-44-5335

NCN: 254-5335

Fax: +32-(0)65-44-3545 (Registry)

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**SUBJECT: ACO CIVIL-MILITARY COOPERATION FUNCTIONAL PLANNING
GUIDE**

REFERENCE: SH/OPI J9/34/14-306550, ACO Interim Civil-Military Cooperation
Functional Planning Guide, dated 30 July 2014.

1. As a result of changes to the ACO Comprehensive Operations Planning Directive (COPD), dated October 2013, a Civil-Military Cooperation (CIMIC) Functional Planning Guide (CFPG) Working Group, with participation of SHAPE, Joint Force Commands, Component Commands, and the CIMIC Centre of Excellence (CCOE), developed an updated version to the CFPG.
2. The current revision effort intended to capture CIMIC inputs and tasks to the Crisis Response Planning on the strategic, operational as well as the higher tactical level, as required by the COPD.
3. The enclosed version of CFPG supersedes the interim version of CFPG dated July 2014.
4. The SHAPE point of contact is LTC P. Boering, J9 CIMIC, email: pieter.boering@shape.nato.int or NCN: 254-5335.

FOR THE SUPREME ALLIED COMMANDER, EUROPE:

Werner Freers
General, DEU A
Chief of Staff

ENCLOSURE:

1. CIMIC Functional Planning Guide (CFPG).

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CIMIC FUNCTIONAL PLANNING GUIDE (CFPG)

REFERENCES:

- A. PO(2010)0169, The Alliance's Strategic Concept, dated 19 November 2010.
- B. MC 0411/2, NATO Military CMI/CIMIC Policy, dated 06 May 2014.
- C. MC 0133/4 NATO's Operations Planning, dated 07 January 2011.
- D. AJP-3.4.9(A), Allied Joint Doctrine for CIMIC, dated 08 February 2013.
- E. AJP-5, Allied Joint Doctrine for Operational-Level Planning, dated 26 June 2013.
- F. Allied Command Operations Comprehensive Operations Planning Directive Interim Version 2.0 (COPD V 2.0), dated 04 October 2013.

INTRODUCTION

1. The intensive demand for a comprehensive political, civilian and military approach, necessary for effective crisis management, requires the Alliance to engage actively with other relevant actors before, during and after crises. This is to encourage collaborative analyses, planning and conduct of activities, and to maximize the coherence and effectiveness of the overall effort. NATO must be prepared and capable to contribute to the wider international community effort, in close cooperation and consultation wherever possible, with other relevant actors. CIMIC has a major role to facilitate cooperation between NATO commanders at all levels and Non-Military Actors (NMAs).

2. This CFPG describes the process through which CIMIC supports the planning process for all types of NATO operations. It explicitly includes the CIMIC support to planning in the strategic, operational, and higher tactical commands of the NATO Force Structure (NFS). The CFPG is not a standalone guide and should be read in conjunction with the references listed above and incorporated into specific HQ specific Standing Operating Procedures (SOPs) and Standing Operating Instructions (SOIs). In particular, a specific J9 SOI will describe and detail the roles and the responsibilities of the Branch members within the planning process. The J9 SOI must also reflect the required decision making and information management process to support this planning endeavour.

3. The definitions of CIMIC and CMI are described in the policy document (Reference B).
- a. CIMIC is a joint function comprising a set of capabilities integral to supporting the achievement of mission objectives and enabling NATO commands to participate effectively in a broad spectrum of CMI with diverse NMAs.
 - b. CMI is a group of activities founded on communication, planning and coordination, that all NATO military bodies share and conduct with international and local NMAs, both during NATO operations and in preparation for them, which mutually increases the effectiveness and efficiency of their respective actions in response to crisis.

4. CIMIC staffs will facilitate CMI between other military functions and the NMAs. This helps ensuring that potential effects to the civil environment, as a result of military actions, as

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well as potential effects of NMAs' actions on military operations are considered during the planning of an operation. During execution, careful monitoring of both desired and unintended effects will determine what, if any, adjustments should be made to existing plans and identify follow-on efforts of the respective functional staffs.

5. As part of NATO's contribution to a Comprehensive Approach, and in accordance with Reference F, CIMIC should consider the objectives and plans of relevant Governments, International Organizations (IOs), Non-Governmental Organizations (NGOs), Governmental Organizations (GOs), as well as local actors in the planning and execution of current and future operations. The interaction with these actors has to be authorized by the superior headquarters.

6. In line with NATO policy and the planning principles, military planners will integrate Civil-Military Planning and Support (CMPS) planners as well as liaisons from relevant NATO agencies and non-NATO organizations into the appropriate steps of the Operations Planning Process (OPP). NATO's CMPS planners are responsible to provide advice and support to their military counterparts during all phases of the planning process.

7. CIMIC planning implies neither military control of civil organizations or agencies, nor the reverse, but the following is recognized:

- a. In general, the military will only be responsible for security related tasks.
- b. In exceptional circumstances, when the appropriate civil body is not present, or is unable to carry out its mandate and when an otherwise unacceptable vacuum would arise, the military may be required to conduct tasks which are the responsibility of a civil authority, organization or agency.
- c. The military should be prepared to undertake, when requested by the legal or recognized civil authority and approved by the commander, such tasks necessary to maintain momentum towards a lasting solution to the crisis until the mandated civil authority, organization, or agency is able to assume them.
- d. Responsibility for civil-related tasks will be handed over to the appropriate civil authority, organization, or agency as soon as is practicable and as efficiently and effectively as possible.
- e. The military will often require access to local civil resources. In such circumstances every effort will be made to avoid adverse impact on local populations, economies, infrastructure or the work of civilian organizations.
- f. Appropriate measures will be taken to avoid compromising civilian organizations' principles.

8. Close working level relationships (including planning activities) between the military and appropriate civil organizations and agencies will be required before and during a military deployment and subsequently during sustainment of military operations. These relationships will be conducted both inside and outside the Joint Operations Area (JOA) and at any level of command when military planning takes place. It must be recognized, however, that even when such relationships or planning mechanisms exist, it may not always be possible to conduct them

on a formal basis. As a minimum, when parallel activities have to be conducted, an overview of civilian plans and activities will have to be maintained.

9. CIMIC planning must therefore:

- a. Adhere to the overall military mission, helping to maximize the non-military contribution in achieving the desired end-state.
- b. Support the establishment and maintenance of relations with all potential NMAs. Appropriate liaison arrangements will be critical to this effort.
- c. Ensure that any activities conducted in support of the civil environment are necessary, agreed with the appropriate civil authority, can be resourced, and follow a strict line of operation. CIMIC activities in support of the civil environment should only be implemented when these preconditions are in place.
- d. Exchange functional information at all levels of command during all phases of the OPP. The CIMIC Coordination Meeting (CICOM) is the mechanism to improve sharing and synchronization at the start of the planning process.
- e. Dedicated training is required for all CIMIC staff; detailed training requirements are stated in Annex D.

PLANNING PROCESS

10. CIMIC support to planning contributes to the OPP as described in References C, E and F. This planning process is applied at a level at which campaigns and (major) joint operations are planned, conducted and sustained to accomplish strategic objectives within theatres or areas of operations. The phases at the strategic level are directly linked to the political level process and are named as follows:

- a. Phase 1 Initial Situational Awareness (SA) of a Potential/Actual Crisis.
- b. Phase 2 Strategic Assessment.
- c. Phase 3 Military Response Options Development.
- d. Phase 4 Strategic Plan Development.
- e. Phase 4a Strategic CONOPS Development.
- f. Phase 4b Strategic OPLAN Development and Force Generation.
- g. Phase 5 Execution.
- h. Phase 6 Transition.

11. At the operational level, the entire process comprises six phases which are closely aligned with the political-military and military-strategic level planning activities within the NATO Crisis Management Process. The phases at the operational level are as follows:

- a. Phase 1 Initial Situational Awareness of a Potential/Actual Crisis.

- b. Phase 2 Operational Appreciation of the Strategic Environment.
- c. Phase 3 Operational Estimate.
- d. Phase 3a Mission Analysis.
- e. Phase 3b Courses of Action Development.
- f. Phase 4 Operational Plan Development.
- g. Phase 4a Operational CONOPS Development.
- h. Phase 4b Operational OPLAN Development.
- i. Phase 5 Execution.
- j. Phase 6 Transition.

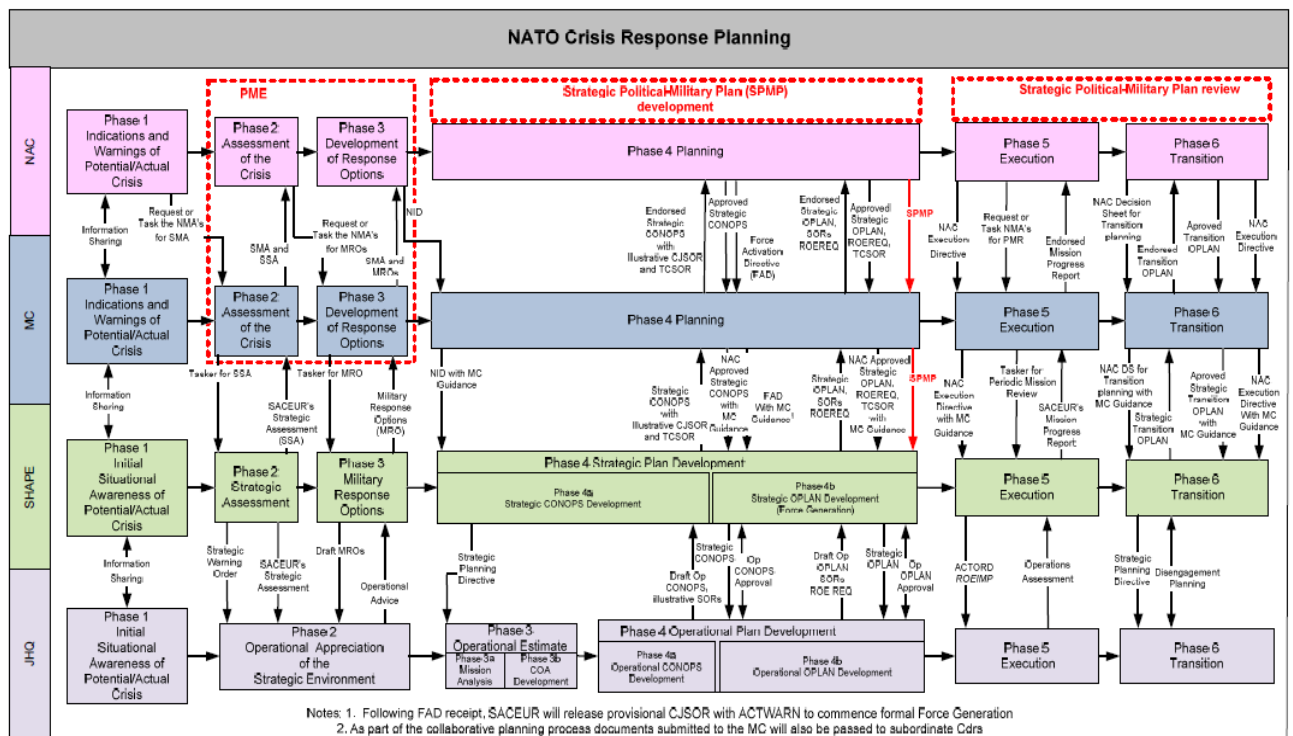


Figure 3.1 - Political Military, Strategic and Operational Level Processes

12. For clarity reasons and in order to stay in line with the COPD; this document will be in the first chapter describing the activities and efforts at the strategic level and in the second chapter for the operational level. This methodology allows updating this document with a dedicated chapter for the lower tactical level at a later stage.

CHAPTER 1: STRATEGIC LEVEL PLANNING

Phase 1 – Initial Situational Awareness (SA) of a Potential/Actual Crisis

1. In order to prevent strategic surprise, both at NATO HQ and at the SHAPE Comprehensive Crisis and Operations Management Centre (CCOMC), a system of horizon scanning is put in place through the NATO Indication and Warning System (NIWS), and Crisis Identification process respectively.
2. NIWS provides continuous monitoring through a series of NATO agreed country or transnational related problem sets.
3. CCOMC Crisis Identification Group (CIG). The CIG provides the focus for Crisis Identification. It will provide fused intelligence and information on potential and ongoing crises across SACEUR's strategic spaces (North, Central, and South) and areas of interest, including transnational threats such as cyber, in order to develop SA, prevent strategic surprise and enable the staff to think, plan and act strategically. The CIG is composed of J2 Ops and Civil-Military Analysis (CMA), who are task-organised and supported by Task Force and Special/J staff Subject Matter Experts (SMEs) as required.
4. J2 OPS manages the Potential Crisis Warning List (PCWL), which is designed as a structured approach to early SA and understanding of how a crisis around the world may affect NATO operations/interests. The PCWL prioritizes countries, regional, and transnational warning problems as a crisis management tool, developed to support NATO Response Force (NRF) deployment. The main role of PCWL is to provide early Indications and Warnings (I&W) for the CG and to support the NATO Intelligence Warning System. J2 OPS assesses and reports on new potential crises and changes to known potential crises, by leading an all staff-wide effort to conduct horizon scanning and filter information and intelligence across all domains.
5. J2 OPS produces reviews and updates SACEUR's Priority Intelligence Requirements (PIRs) in order to respond to changes in the security situation, to adapt to NATO's transformation and to adhere to its interests and operations. J2 OPS also performs Intelligence Requirements Management that includes the administration of Requests for Information ¹(from and to NATO Command Structure HQs, NATO Intelligence Fusion Centre (NIFC), NATO HQ and Nations) and the coordination with the SHAPE Collection Manager.
6. CCOMC Civil Military Analysis (CMA) Branch provides a strategic Research and Analysis capability, focusing on the policy level, within specific regional and thematic domains. CMA's mission includes developing and maintaining situational understanding of current and – through horizon scanning – potential crises relevant to NATO. CMA is outside the NATO Intelligence Structure. This enables CMA – a predominantly civilian unit – to easily engage external civilian stakeholders on relevant issues.
7. CMA produces a number of products to improve situational understanding including:
 - a. For Horizon Scanning purposes, a yearly Global Outlook by region.
 - b. For Crisis Identification purposes, Stability Overviews of relevant countries within SACEUR strategic spaces.

¹ 'Red' RFIs on (potential) adversaries only. CCOMC COMG staffs 'Blue' RFIs on Friendly Forces.

- c. For Situational Understanding, ad-hoc reports on political, social and economic issues.
8. Furthermore, SACEUR’s Directive for Intelligence Production (AD 065-011) lays down the areas of Intelligence focus and arrangements federated working between SHAPE J2 Ops, the Joint Forces Commands (JFCs), Single Service Components (SSCs) and the NATO Intelligence Fusion Centre (NIFC). While not formally part of the CCOMC horizon scanning process, SHAPE J9 Staff will provide support to the analysis conducted through Civil-Military Analysis (CMA) inside the CCOMC.
9. The Crisis Identification Group (CIG) within the CCOMC will fuse the data following the Political, Military, Economic, Social, Infrastructure, Information (PMESII) methodology.
10. If the crisis area is already monitored, information will be made available through BICES, DHS and TOPFAS SAT, however the access will be granted on a “need to know” basis via the regular monthly CIG Plenary or on call. The aim of these activities is to provide timely and accurate information to SACEUR to allow determining imminent threats to NATO as an Alliance, its member states, its strategic partners or ongoing NATO operations.
11. The CIG will present its “Initial Assessment of the Crisis” to SACEUR in the format of a formal meeting (Crisis and Operations Panel (COP) to receive further direction and guidance.
12. This Initial Assessment of the Crisis should then serve the CIMIC Staff of the NCS (after release) as the baseline document for their consideration for planning because it clearly frames the crisis and provides answers to questions in the PMESII & Technology, Environment (TE) domains (see Annex A). This approach allows to clearly describe the effects that this threat might achieve and to predict the impact on the Alliance.
13. SHAPE J9 will intensify its interaction with NATO HQ Political Affairs and Security Policy Division (PASP) by sending a LO.
14. Table 1 illustrates the activities and products of relevance for CIMIC during this phase.

Work strand	Entity	SHAPE J9 actions	NCS Level Actions
Country overview & Initial Assessment of the Crisis	SHAPE CCOMC CMA/J2 (CIG)	Contribute/Support /Make sure info are disseminated top-down	Info / SA
Engagement with NATO HQ PASP and NMRs at SHAPE	SHAPE J9	Acquisition/Dissemination	Info / SA
Interaction with NATO Intel Fusion Centre (NIFC)	SHAPE J2 (BICES)	Provide input to understanding the civil environment; Determine Info requirements with J2; Coordination CIMIC input NCS	Info / SA / Info acquisition
NATO Indication and Warning System (NIWS)	SHAPE J2/J9/CCOMC (BICES)	Engagement with NATO HQ PASP.	Info / SA

Table 1: Activities in Phase 1

Phase 2 – Strategic Assessment ²

1. The aim of this phase is to provide a comprehensive analysis of the crisis in order to identify:
 - a. Root causes of the crisis.
 - b. Actors and Factors that could influence the crisis.
 - c. NATO's potential role in the crisis (NATO End-State).
 - d. The potential role of NATO's military instrument of power.
 - e. Immediate measures to increase the Alliance responsiveness.
2. This Phase starts with a formal tasker by the North Atlantic Council (NAC) to the Military Committee (MC) to provide a Strategic Military Assessment of the Crisis, resulting in the request to SACEUR to provide his assessment of the crisis.
3. Results of the CIG are turned over to the Strategic Planning Group (SPG)³, of which SHAPE J9 is an integral part.
4. SHAPE J9 supports the SPG by forming a dedicated planning team with an integrated outreach capacity. The J9 planning team will react on information requirements of the SPG as they arise and make plans of potential contributors to a crisis solution available.
5. SHAPE J9, through the facilitation of CMI, will increase the capability of the SPG by bringing in representatives from the International Community (IC), Regional (Security) Organizations and affected Non-NATO nations.
6. The J9 staff will support the development of Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis in all PMESII&TE domains.
7. Possible questions supporting delineation of liaison requirements in Phase 2 within the PMESII&TE domains are listed in Annex A.
8. Based on this analysis, the staff will develop/improve an understanding of a possible Comprehensive Approach and the capabilities that other actors will be able to bring to bear in this context.
9. The J9 staff will, as part of staff planning, support the development of the Centres of Gravity (CoGs), objectives and actions of relevant NMAs, which will be main influencers and will insert these into the planning documents.
10. The NCS will, through a Warning Order, be informed about the initial setting for the planning.

² Depending on the urgency of the situation, the NAC might request to combine Phase 2 and 3 and deliver a combined product.

³ Also called a Crisis Action Team CAT (Estimation and Options) in SHAPE under CCOMP handbook and SD 080-015.

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11. The J9 staff will establish a Functional Chain of Command to initiate information exchange with the appointed NCS entities.
12. Deployment of J9 Liaison Officers to the Higher HQ (as required) to ensure collaborative planning.
13. The J9 Staff will ensure that interim products are exchanged with the NCS to increase their SA and get their valuable input as soon as practicable.
14. J9 will deliver all contributions to SACEURs strategic assessment prior to submission to the MC.
15. The J9 Staff will ensure that interim products are exchanged with the NCS to increase their SA and get their valuable input as soon as practicable.
16. J9 will deliver all contributions to SACEURs strategic assessment prior to submission to the MC.
17. SACEUR's strategic assessment combined with the MC's strategic military advice will be endorsed by the NAC; it will then be officially released to the NCS.
18. Table 2 illustrates the activities and products of relevance for CIMIC during this phase.

Work strand	Entity	SHAPE J9 Actions	NCS Level Actions
CIMIC Estimate for the Theatre of Operation (to be continued until Phase 4b)	SHAPE J9	Contribute / disseminate	Info/ SA/ Analyse
Systems Analysis of the AOI, including an actor diagram, risks, strengths, weaknesses, opportunities and threats of the area.	SHAPE CCOMC/C MA J2/ J9	Info acquisition / D&G	Contribute
Strategic Warning Order	SACEUR	Dissemination	Analyse and contribute to the development of the operational Warning Order
SACEUR Strategic Assessment	SACEUR	Contribute	Analyse/ Collaborate
Crisis Response Measures	SACEUR	Recommend	Implement
CICOM	SHAPE J9	Organize / conduct VTC	contributing
Liaison and Coordination Matrix	SHAPE J9 in lead	Initial draft, submit for NAC approval	Implement/ Contribute
Initial CIMIC Planning Guidance	SHAPE J9	Develop / disseminate	Implement

Table 2: Activities in Phase 2

Phase 3 – Military Response Options (MROs)⁴

1. The aim of developing MROs is to provide SACEUR with recommendations for the use of NATO military assets to respond to an emerging crisis.
2. This Phase starts with a formal tasker by the NAC to the Military Committee to provide Strategic Military Advice and a set of Strategic Military Response Options to the Crisis.
3. The task to develop the MROs will include a preliminary NATO End State and Strategic Conditions/ Objectives to be reached.
4. Therefore an analysis of the root causes of the crisis must be followed by a Centre of Gravity (CoG) Analysis of the main actors in the crisis.
5. The SPG will then have to work out two main aspects:
 - a. NATO's CoG.
 - b. Potential adversary's CoG.
6. The CIMIC Staff will support the SPG by liaising with NNA to identify the most likely responses of the civil environment on the proposed actions/effects by NATO military forces.
7. The MRO's will support the identification of liaison requirements by helping to answer the questions for the PMESII&TE domains summarized in Annex A.
8. At this stage, the impact and possible contributions of strategic partners are important factors for framing boundaries within the MROs.
9. These partners might have capabilities at hand that could be required to complement the options or even inherit preconditions for success.
10. It is therefore of utmost importance to establish a permanent, direct link for information exchange between them and NATO's planning team.
11. The exchange of Liaison Officers within these entities should be considered.
12. The NCS CIMIC Staff will be tasked to provide their functional advice on the MROs.
13. The MROs will illustrate the Military Force requirements for each of them including a preliminary C2 structure. This should allow the nations to assess the availability of HQs and forces and allow a timely transfer of planning responsibilities from the NCS to the Joint Forces Structure that will be tasked to plan and conduct any operation.
14. Based on SACEUR's priorities, the developed MROs will be assessed and sent to the MC with his recommendation.
15. SACEUR's recommendations will be integrated in the Strategic Military Advice for the NAC.

⁴ Depending on the urgency of the situation, the NAC might request to combine Phases 2 and 3 and deliver a combined product.

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16. Acknowledging the fact that early guidance is required to steer the thinking and planning process concerning the interaction with the civil environment, J9 staff will develop a CIMIC Planning Guidance to set priorities and to develop the framework for a constructive Comprehensive Approach (CA).

17. Table 3 illustrates the activities and products of relevance for CIMIC during this phase.

Work strand	Entity	SHAPE J9 Actions	NCS Actions	Level
CIMIC Estimate for the Theatre of Operation (to be continued until Phase 4b)	SHAPE J9	Contribute/ Update / Disseminate	Info/ SA/ Analyse	
Strategic Military Advice & SSA	NATO HQ IMS	Analyse	Info	
MC Tasker for MROs	NATO HQ IMS	Analyse	Analyse/ Collaborate	
MROs	SACEUR	Contribute / Recommend to MC	Contribute/ Recommend	
Crisis Response Measures	SACEUR	Recommend	Recommend/ Implement	
CICOM	SHAPE J9	Organize/conduct VTC	contributing	
Liaison and Coordination Matrix ⁵	SHAPE J9 in lead	Refine draft	Implement/ Contribute	
CIMIC Planning Guidance	SHAPE J9	Develop & Disseminate	Implement	
Actor Diagram	SPG	Contribute	Contribute	
Strategic Planning Directive (Draft)	SACEUR	Contribute	Info	

Table 3: Activities in Phase 3

⁵ An enhanced Liaison Matrix is attached as Annex B. It is exhaustive for the Strategic Level and serves as a baseline for the CIMIC/ CMI outreach of SHAPE at that stage.

Phase 4a – Strategic Concept of Operations (CONOPS) Development⁶

1. The aim of Phase 4a is for SHAPE to develop a Strategic CONOPS for the purpose of informing Allied Nations on future NATO operations.
2. This Phase starts with a formal tasker by the NAC to the Military Committee, in the form of the NAC Initiating Directive (NID). The NID provides the political Concept of Operations (CONOPS) and identifies what MROs will go forward for further planning development. The MC is responsible for providing Strategic Military Advice and a Strategic Military CONOPS for the crisis. This CONOPS will include the force requirements, to allow the start of the Force generation process. The NID will also include the NATO Strategic Military End-State, Strategic Military Conditions/Objectives to be reached and SACEUR's mission for this Operation.
3. The MRO provided the rough concept, which will be further refined by developing a detailed scheme of how the operation should unfold.
4. The SPG will commence and run through a condensed Mission Analysis cycle to further understand the mission, and ensure that any changes made at the political level are reflected in the final version of the Strategic Planning Directive (SPD) that is to be released to the Joint Force Commander.
5. SHAPE J9 will supplement this effort by providing a CIMIC Planning Directive – either incorporated in the SPD or as a standalone product – to ensure a coherent application of CIMIC for the operation.
6. Potentially, a Theatre of Operation might encompass more than one country. The application of CIMIC and CMI will vary per country and the CIMIC Planning directive and guidance will have to reflect this.
7. These individual approaches will then have to be included in the Main Body of the Strategic CONOPS, specifying the main effort per phase.
8. The J9 Staff will task the JF J9 to operationalize the respective CAs and provide the force requirements in an illustrative Theatre Capability Statement of Requirements (TCSOR) including critical timings.
9. A special focus will have to be put on the reduction of response timings for the national CIMIC assets in order to meet operational requirements.
10. The current COPD only foresees 4 dedicated places for CIMIC input:
 - a. 1.b Strategic Situation.
 - b. 3a (3) SACEURs intent - Cooperation with Non-Military and Non-NATO Efforts.
 - c. 4c (9) Civil Military Cooperation.
 - d. 4c (10) Interagency Coordination⁷.

⁶ Depending on the urgency of the situation, the NAC might request to combine Phase 2 and 3 and deliver a combined product.

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11. The J9 staff will consider developing a dedicated Annex W to the CONOPS a/o OPLAN to reflect in detail all the different approaches required and the CIMIC organizations to facilitate this.
12. NATO CIMIC planners need to have a clear understanding of the stances of the affected nations towards the deployment and cooperation with NATO forces.
13. The Annex W also reflects how NATO CIMIC units cooperate and coordinate with the Civil Defence of the nations and their domestic/national CIMIC capacities.
14. An understanding of the national legal constraints and restraints of the use of military forces in internal matters must be developed and reflected.
15. Table 4 illustrates the activities and products of relevance for CIMIC during this phase.

Work strand	Entity	SHAPE J9 Actions	NCS Level Actions
CIMIC Estimate for the Theatre of Operation (to be continued until Phase 4b)	SHAPE J9	Contribute / Disseminate	Info/ SA/ Analyse
Strategic Military Advice & MRO	NATO HQ IMS	Analyse	Info
MC Tasker for Strategic CONOPS Development	NATO HQ IMS	Analyse	Analyse/ Collaborate
Crisis Response Measures	SACEUR	Recommend	Recommend/ Implement
CICOM	SHAPE J9	Organize / Conduct VTC	contributing
Liaison and Coordination Matrix	SHAPE J9 in lead	Enhanced draft	Implement/ Contribute
CIMIC Planning DIRECTIVE	SHAPE J9	Develop & Disseminate	Implement
Actor Diagram	SPG	Contribute	Contribute
Strategic CONOPS (Draft)	SACEUR	Develop / Contribute	Info
Preliminary CJSOR	SACEUR	Develop / Contribute	Contribute
Draft TCSOR	SACEUR	Contribute	Contribute

Table 4: Activities in Phase 4a

⁷ Interagency coordination is COPD V2.0 terminology which should be understood and replaced by “Interaction with non-military actors”.

Phase 4b – Strategic OPLAN Development

1. The aim of Phase 4b is to provide a feasible plan which is solid ground to start the operation from.
2. This Phase starts with a formal tasker by the NAC to the Military Committee to provide Strategic Military Advice and a Strategic Military OPLAN for the Crisis, based on the NAC-approved CONOPS. This results in the request to SACEUR to provide a Strategic OPLAN reflecting the results of the Force generation process.
3. The SPG will analyse the MC guidance and the approved Strategic CONOPS to identify recommended changes and direction. This will be compiled in the Strategic Guidance for the revision of the draft Operational CONOPS.
4. The J9 Staff will make MC recommended changes to the Strategic CONOPS, which will now be included into the main body of the Strategic OPLAN to include Annex W with supplementing Appendices, as required.
5. SHAPE J9 staff will analyse the Operational Level CONOPS and provide guidance for refinement.
6. After receiving the Force Activation Order, the SHAPE J9 Staff will monitor the national responses concerning the CIMIC assets and will keep the JFC J9 informed on updates and changes.
7. The JFC and its subordinate commands and units are the main planning effort during this phase.
8. SHAPE J9 will monitor the efforts and preparations of the strategic partners and nations in order to be aware of capability gaps within the civil environment as they arise.
9. The Phase ends with the approval of the Operational Level OPLAN by SACEUR.
10. Table 5 illustrates the activities and products of relevance for CIMIC during this phase.

Work strand	Entity	SHAPE J9 Actions	NCS Level Actions
CIMIC Estimate for the Theatre of Operation (to be continued until Phase 4b)	SHAPE J9	Contribute/ Disseminate	Info/ SA/ Analyse
Strategic Military Advice Approved Strategic CONOPS	NATO HQ IMS	Analyse	Info
MC Tasker for Strategic OPLAN Development	NATO HQ IMS	Analyse	Analyse/ Collaborate
ROE	SACEUR	Recommend	Recommend
CICOM	SHAPE J9	Organize/conduct VTC	contributing
Liaison and Coordination Matrix	SHAPE J9 in lead	Final draft	Implement/ Contribute
CIMIC DIRECTIVE for JF CONOPS revision	SHAPE J9	Develop + Disseminate	Implement

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CJSOR	SACEUR	Develop/ Contribute	Contribute
TCSOR	SACEUR	Contribute	Contribute
Force Activation	NATO HQ IMS	Monitor/ Analyse	Info
Operational Level OPLAN	SACEUR	Approval	

Table 5: Activities in Phase 4b

Phase 5 – Execution, Assessment and OPLAN Review

1. The aim of Phase 5 is to apply the military in concert with the other instruments of power to achieve the NATO end state.
2. This Phase starts with a formal execution order by the NAC, supplemented with a guidance of the Military Committee. This is translated by SACEUR into an Activation Order for the respective JF OPLAN.
3. The conducting of the military campaign is now the responsibility of the JF Commander.
4. SACEUR will monitor the conduct of the campaign and will request periodic mission reviews and provide strategic level support as required based on NAC guidance.
5. The reviews will allow adjustments in the ways, ends and means for the campaign to keep the Campaign progress will be summarized in SACEURs mission progress reports. SHAPE J9 will support SHAPE CCOMC CMA in providing assessments concerning the civil environment and the progress in the non-military domains. campaign on track.
6. Campaign progress will be summarized in SACEURs mission progress reports. SHAPE J9 will support SHAPE CCOMC CMA in providing assessments concerning the civil environment and the progress in the non-military domains.
7. This phase ends with the NAC tasker to develop an OPLAN for transition (Phase 6) or the termination of the mission.

CHAPTER 2: OPERATIONAL LEVEL PLANNING

HORIZON SCANNING

Horizon scanning may be defined as “the systematic examination of potential threats, opportunities and likely future developments which are at the margins of current thinking and planning”. Horizon scanning may explore novel and unexpected issues, as well as persistent problems or trends. Overall, horizon scanning is intended to improve the understanding. Horizon scanning is built upon “SACEUR’s indicators and warnings”. The CIMIC staff will not be involved, however must be aware of the products developed at this stage.

PHASE 1 - INITIAL SITUATIONAL AWARENESS OF A POTENTIAL/ACTUAL CRISIS

1. Phase 1 begins with:
 - a. Commander’s direction, as a result of the HQ horizon scanning activities (for areas where responsibility has been assigned to the JHQ by SACEUR) identifying that a potential/actual crisis is emerging.
 - b. Task/request from SACEUR/SHAPE, as a result of SHAPE coordinated horizon scanning activities.
2. Phase 1 is aimed at informing the NAC in order to assist their decision making, whether or not to engage in the crisis. Consequently, due to sensitivities, planning efforts must not get into the public domain so as not to interfere with diplomatic action. CIMIC should not discuss planning before DIRLAUTH is granted.
3. CIMIC staff focuses on the civil conditions in the respective Area of Interest (AOI) as they might affect a military engagement. During this phase, specific attention should be paid to identify NMAs and determine their role, especially IO/GO/NGOs and Red Cross Red Crescent organizations and the HN Civil Emergency structures. Information forming the basis of this estimate should come from the widest range of sources. The analysis is structured in the PMESII&TE domains. The CIMIC staff has to determine what CIMIC-related factors will impact on possible engagement and initial deductions. If the information is incomplete, a Request for Information (RFI) should be initiated. The quality of CIMIC contribution in this phase will affect the overall planning activities and products for subsequent phases. CIMIC staff will provide input to Comprehensive Preparation of the Operational Environment (CPOE) if initiated. This contribution, after further refinement during the planning process, will form the basis of Appendix 1 of the Annex W.

Work strand	Entity	JFC J9 action	SSC action X9
CMA Products	SHAPE J9	Contribute/Support Disseminate/Make sure info are disseminated top-down	Info / SA
Any results from NATO HQ Engagement	SHAPE J9	Acquisition/Disseminati on	Info / SA
Intel Production and Assessments	All Level J2 (BICES)	Coordination J2/J9 all levels	Info / SA

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NATO Indication and Warning System (NIWS)	All Level J2/J9/CCOMC (BICES)	Coordination J2/J9 all levels	Info / SA
National Intel Reporting	All Level J2	Coordination J2/J9 all levels	Info / SA
NFIUs - RFI (Request For Information) (to be continued) through MNC NE/MND SE	JFCs J9	Info / SA	Direct/ Acquisition/ Dissemination
TOPFAS SAT (Engagement Space)	JFCs J2/J9	Info / SA	Info / SA / Acquisition/ Dissemination
Open Source information gathering (to be continued)	J9 All levels	Info / SA	Info / SA
CIMIC Estimate (to be continued until Phase 4b)	SHAPE J9 JFC J9	Info acquisition/D&G	Initiate/develop
CIMIC Contribution to CPOE if initiated	JFC J9	Info acquisition/D&G	compile/ assess/start contributing
Systems Analysis of the AOI, including an actor diagram, risks and threats of the area.	JFC J2	Info acquisition/D&G	Contribute

Table 6: Activities in Phase 1

PHASE 2 - OPERATIONAL APPRECIATION OF THE STRATEGIC ENVIRONMENT

1. This phase starts with the receipt of the Strategic Warning Order; it will be followed by the activation of the Joint Operations Planning Group (JOPG).
2. Once a JOPG is activated (normally in Phase 2), it is composed of three teams. CIMIC Plans has to support all three teams (Green, Blue and Red). If manning allows, one CIMIC planner will be attached to the Green Team (analysing neutral actors), a planner to the Blue (Friendly forces) and Red Team (opposing forces).
3. The first step is to support the strategic level in developing the SSA.
4. The second step is the request from SACEUR for operational advice on the draft Military Response Options (MRO) to include any other Crisis Response Measures (CRMs) to be declared.
5. The purpose at the operational level is twofold: to understand the strategic situation and to contribute to the development of the definition of NATO's desired end-state and objectives. The main output is the Operational Commander's advice. The CIMIC involvement during this phase will be:
 - a. Liaise with organizations and agencies (outside the AOI), as far as authorized. In case the Operational Liaison and Reconnaissance Team (OLRT) is deployed, liaison also inside the AOI (as earliest in the Strategic Warning Order, or via CRM) in order to encourage and facilitate the exchange of information.
 - b. Update the CIMIC Estimate.

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- c. In principle a CIMIC SO, preferably with planning expertise, participates in the JFC Operational Planning Liaison Element (OPLE) to SHAPE.
 - d. Contribute to the development of the initial draft of strategic level Liaison and Coordination Matrix.
 - e. Identify and understand the main actors and their roles, propose to update the actor diagram if necessary and review relevant international commitments.
 - f. Advise on actors to consult/collaborate with during the OPP.
 - g. Define any additional CIMIC staff capabilities to be inserted into an OLRT, prepare them and direct/guide them when deployed.
 - h. Provide final contribution to the CPOE briefing to the JOPG that is usually the kick-off briefing of the JOPG. A possible format of the suggested CIMIC slides are at Annex B.
 - i. Identify and understand the impact of key strategic factors (described in the SACEUR Strategic Assessment (SSA)) contributing to the crisis.
 - j. Contribute to the development of the Operational Warning Order to the tactical level.
 - k. As a part of the CIMIC contribution to the operational advice: Analyse draft MROs (to include Components advice on the MROs) with regard to the CIMIC relevant portions, to include but not limited to: complementary non-Military Actions, Force Capability Requirements, Non-NATO Interaction Requirements, Strategic Risks, critical effects to the civil environment and vice versa.
6. The CIMIC Branch, in preparation of the next phase, has to start compiling data on the CIMIC Sites of Significance, and List of key Civil actors in the crisis area.
7. The results of this Phase are captured in the CIMIC Estimate.

Work strand	Entity	JFC J9 action	SSC actions	X9
NFIUs - RFIs (Request For Information) through MNC NE/MND SE	JFCs J9	Info / SA	Direct/ Acquisition/ Dissemination	
TOPFAS SAT (Engagement Space)	JFCs J2/J9	Info / SA	Info / SA / Acquisition/ Dissemination	
Open Source information gathering (to be continued)	J9 All levels	Info / SA	Info / SA	
CIMIC Estimate (to be continued until Phase 4b)	JFC J9	Info acquisition/D&G	update	
CIMIC Contribution to CPOE	JFC J9	Info acquisition/D&G	Contribute	

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Systems Analysis of the AOI, including an actor diagram, risks and threats of the area.	JFC J2	Info acquisition/D&G	Contribute
Strategic Warning Order	SHAPE J9	Dissemination	Analyse and contribute to the development of the operational Warning Order
SSA	SHAPE J9	contribute	Analyse
SACEUR Military Response Options (MROs)	SHAPE J9	Dissemination	Contribute to operational advice to SACEUR on MROs)
OLRT - RFIs (to be continued until deployed)	JFCs J9	Info/SA	Direct/ Acquisition/ Dissemination
CICOM	SHAPE J9	contribute	contributing
Liaison and Coordination Matrix	SHAPE J9 in lead J9 All level to contribute	Initial draft	Contribute/ coordinate tactical level input
CPOE	JFCs J9	Info/SA	Contribute to J2 CPOE

Table 7: Activities in Phase 2

PHASE 3 - OPERATIONAL ESTIMATE

1. The purpose of this phase is twofold:
 - a. To understand the problem, the operating environment and the mission (looking for the 'what'); and
 - b. To develop Courses of Action (COA) from which one will be selected (looking for the 'how').

PHASE 3a - MISSION ANALYSIS

1. This phase begins with the receipt of SACEUR's Strategic Planning Directive (SPD), following the release of a NAC Initiating Directive (NID) and any MC guidance, to initiate planning for a military operation as response to a crisis. The start of this phase is characterized by activation of the full JOPG. In order to inform the whole staff, the CPOE briefing is conducted as already described in Phase 2.
2. Mission analysis determines the operational problem that must be solved, the specific operational conditions to be created and the key operational factors. It includes a detailed analysis of the mission and operational factors, the development of an overall operational framework (draft operational design) and the formulation of the Commander's intent.

3. The CIMIC Staff will support the JOPG by contributing to define the role of the NATO force and its impact on the operating environment.
4. The Mission Analysis provides answers to the questions for the PMESII&TE domains listed at Annex A.
5. The CIMIC products of Phase 3a are the contribution to the Mission Analysis and a draft CIMIC concept. The CIMIC Estimate is a baseline document describing the main portions of the CIMIC Concept (which has to be provided in the later phases). A CIMIC concept depicts how CIMIC is going to be employed in the theatre. Since the CIMIC contribution to the CPOE is now completed, a Factor Analysis summary sheet has to be developed as part of the CIMIC Estimate. The CIMIC involvement during this phase will be to:
 - a. Direct/guide CIMIC elements within the OLRT.
 - b. Update the CIMIC Estimate.
 - c. Conduct a functional area coordination VTC (CICOM format) in order to coordinate CIMIC contributions with the Mission Analysis Briefing (MAB) and the CIMIC Estimate.
 - d. Facilitate consultation with relevant civil organizations in order to advise the JOPG.
 - e. Contribute to the development of the factor analysis on the civil dimension and the Centre of Gravity-Analysis on main civil actors. The key CIMIC related factor analysis is to be captured in the Summary sheet that is integral part of the CIMIC Estimate.
 - f. Develop the Operational framework in which the CIMIC planner should consider which:
 - (1) Civil conditions need to be influenced.
 - (2) Civil requirements have to be supported/protected including but not limited to: Host Nation (HN) Civil Emergency Planning (CEP) structures, gaps in civil capacities/ capabilities, critical infrastructure, and cultural property.
 - (3) Civil factors and other actors' objectives need foremost attention in planning and how to best gain civil support.
 - (4) Requirements need to be developed for interaction with relevant international and national actors, to include the contribution to the update of the initial draft of strategic level Liaison and Coordination Matrix.
 - (5) CIMIC Sites of Significance and key civil actors in the JOA need to be developed. The data needs to be correlated with the HN if applicable. The compiled data will be used as a basis for the later Appendices to the Annex W to the OPLAN. They remain working documents until the OPLAN development finishes in Phase 4b.
 - g. Based on all of the above considerations, CIMIC staff, under the lead of CIMIC SO OPS and Effects, contribute to the development of Operational Framework: Decisive Conditions (DC), Operational effects (OE) and Operational Actions (OA).

- h. Prepare the slides on the Civil Situation for the Mission Analysis Briefing (MAB), based on the CIMIC Estimate (see Annex B).
6. After the MAB, the CIMIC planner has to contribute to the Operational Planning Guidance in order to guide the development of the Component Estimates.

Work strand	Entity	JFC J9 action	Component Command (CC) X9 action
CIMIC Estimate (to be continued until Phase 4b)	JFC J9	Info acquisition/D&G	Develop tactical level CIMIC Estimate
Liaison and Coordination Matrix (to be continued.)	SHAPE J9 in lead J9 All levels to contribute	Initial draft JTF Liaison and Coordination Matrix	Contribute/ coordinate tactical level input
CICOM	JFCs J9/CIMIC all level	VTC participate/D&G	Organize/ coordinate
SPD	SHAPE J9	Dissemination	Contribution to MAB/ coordinate tactical level input
Contribution to JOPG	JFCs J9/Tactical level if applicable	Info/SA	Contribute/ coordinate tactical level input

Table 8: activities in Phase 3a

PHASE 3b - COURSES OF ACTION DEVELOPMENT

1. This phase is aimed at selecting how to best carry out operations in accordance with the Commander's intent. It includes review of the Commander's planning guidance, developing Courses of Action (COAs) and a Combined Joint Statement of Requirements (CJSOR). The own (Blue) COAs will be tested against the enemy (Red) COAs during the War gaming in order to refine them.
2. The CIMIC staff supports the JOPG to identify effects of relevant actors' actions, including NATO, on the operating environment.
3. The COA development provides answers to the following questions for the PMESII&TE domains listed at Annex A.
4. Using the CIMIC Estimate, the CIMIC involvement during this phase will be to:
 - a. Support the development of tentative COAs and develop supporting CIMIC concepts, based on the CIMIC Estimate.
 - b. Analyse each COA from a CIMIC perspective to identify advantages and disadvantages and key aspects not limited to the NATO mission, but also to other actors engaged in solving the crisis.

- c. Conduct a functional area coordination VTC (CICOM format) to coordinate the CIMIC Concept for each COA.
 - d. Analyse the effects of complementary non-military actions.
 - e. Participate in the War gaming in the Green team, portraying the actions of non-military actors and their impact on the environment and the implications of military (own and adversary) actions on the execution of their activities.
 - f. Continue contribution to the development of the strategic level Liaison and Coordination Matrix.
 - g. Start drafting the Appendices 2 (CIMIC Structure) and 5 (Reports and Returns) to the Annex W of the OPLAN. Develop the Measures of Effectiveness (MOEs) and Measures of Performances (MOPs) deriving from the Ops Framework, assigned to CIMIC. An additional CIMIC SO (OPS and Effects) has to support this process.
 - h. Provide contribution to Operational Planning Directive that gives additional guidance to the subordinated commands for the development of the Component OPLAN.
5. At the end of this phase, the whole CIMIC staff must have a clear understanding of the CIMIC capabilities required to support the selected COA, staff augmentation requirements, the CIMIC Concept and the supporting C2 arrangement.

Work strand	Entity	JFC J9 action	CC X9 actions
CIMIC Estimate (to be continued until Phase 4b)	JFC J9	Info acquisition/D&G	Further develop tactical level CIMIC Estimate
CICOM	JFCs J9/CIMIC all level	VTC participate/D&G	Organize/ coordinate
CIMIC contribution to MoE-MoP	JFCs J9/Tactical level	Info/SA	Contribute/ coordinate tactical level input
CIMIC contribution to COAs	JFCs J9/Tactical level	Info/SA	Contribute with CIMIC relevant info/coordinate tactical level input
CIMIC contribution to CJSOR ⁸ and TCSOR	JFCs J9/Tactical level	Info/SA	Contribute with CIMIC relevant info/coordinate tactical level input
ANNEX W (appendices 2 and 5)	JFCs J9/Tactical level	Info/SA/D&G	Initial Development/ producing initial Draft

Table 9: Activities in Phase 3b

PHASE 4 - OPERATIONAL PLAN DEVELOPMENT

- 1. The Operational Plan Development is split into two distinct parts:
 - a. Phase 4a. Operational Concept of Operations (CONOPS) development.
 - b. Phase 4b. Operational OPLAN development.

⁸ CJSOR = Combined Joint Statement of Requirements, TCSOR = Theater Capability Statement of Requirements

PHASE 4a - OPERATIONAL CONCEPT OF OPERATIONS (CONOPS) DEVELOPMENT

1. CONOPS development begins following the revision of the Commander's selected COA, operational design and provisional component mission, including objective, which concludes the operational estimate.
2. The purpose of this phase is to transfer the ideas, expressed in the chosen and refined COA, into written form. It is important that all CIMIC information needed to be known to the whole staff is reflected in the CONOPS. The COPD specifies the requirement for an Annex W to the OPLAN and a certain amount of Appendixes. The CIMIC planner must determine if a need already exists for an Annex W or certain Appendixes to be included in the Operational CONOPS. The CIMIC involvement during this phase will be:
 - a. To update the CIMIC Estimate.
 - b. To provide CIMIC contribution in producing the CONOPS; in particular:
 - (1) To the paragraph on the Neutral Actors that influence JFC mission in the main body of the CONOPS.
 - (2) To the paragraph on the Cooperation with Other Actors in the main body of the CONOPS;
 - (3) To develop the Civil-Military Coordination paragraph in the Coordinating instructions of the main body of the CONOPS.
 - (4) To develop the Inter-Agency Coordination paragraph in the Coordinating instructions, capturing the mechanism of interaction with non-military actors, the Civil Emergency architecture.
 - (5) To make sure that the crucial CIMIC message is included in other relevant paragraphs such as, but not limited to, Operational Mission, Commander's Intent, Main Effort, Forces and Resources, Command and Signal, Operational CCIRs.
 - (6) To contribute to the key Annexes to the CONOPS as well as to the illustrative CJSOR and TCSOR based on the components illustrative SORs.
 - c. To continue the development of the Appendixes to Annex W to the OPLAN.
 - d. To coordinate the CIMIC contributions to the CONOPS and the drafted Appendixes across all levels.
 - e. To facilitate consultation with relevant civil organizations in preparation for the development of the Appendixes to Annex W (to include, but not limited to, Appendixes 3 and 4 of Annex W).
3. Approved Cross Cutting Topics (CCT) such as BI, CAAC, CPP, PoC although not a CIMIC, but a whole HQ responsibility, were given to the CIMIC branch as HQ coordinator. Therefore, the different (CIMIC) SOs in lead for the respective WGs have to make sure that all CCT relevant information for the Operational CONOPS is covered on the same way as described for CIMIC and produce (if needed) an appropriate Annex.

Work strand	Entity	JFC J9 action	CC X9 actions
CIMIC contribution to CONOPS	JFCs J9/Tactical level	Info/SA/D&G	Contribute development/ coordinate tactical level input
ANNEX W and its appendixes	JFCs J9	Start drafting	
CICOM	JFCs J9/CIMIC all levels	VTC	Organize/ coordinate

Table 10: Activities in Phase 4a

PHASE 4b - OPERATIONAL OPLAN DEVELOPMENT

1. The OPLAN development begins when the approved Strategic CONOPS is received, followed by the approval of the Operational CONOPS, and ends when the Operational OPLAN is approved by SACEUR and the Operational OPLAN is promulgated by the Commander and the components plan are approved by the Commander.

2. The purpose of this phase is to develop the arrangements, further specify the required activities to implement the CONOPS and to determine the conduct of operations. It consists of an iterative, collaborative process that focuses on synchronization and coordination of the deployment, employment, protection and support of the joint force during different phases of operation. The CIMIC involvement during this phase will be:

- a. To contribute to the finalization of the Main Body and key Annexes of the OPLAN.
- b. To contribute to the development the CIMIC relevant Annexes (e.g. A (Concept of Operations), B (Task Organisation and Command Relationship), R (Logistics), II (Joint Targeting), OO (Operations Assessment), SS (Strategic Communications), UU (Information Operations), VV (Psychological Operations).
- c. To finalize Annex W and its appendixes, or revise them where applicable;
- d. To coordinate across all levels the final draft of the CIMIC contributions to the Operational OPLAN.
- e. To consult relevant national and international actors (as well as cooperating international and regional organizations in the theatre) in the context of a Comprehensive Approach.
- f. To contribute to the approval process of the Components' CONOPS.

Work strand	Entity	JFC J9 action	CC X9 actions
CIMIC Contribution to the OPLAN Main Body and Annexes	JFCs level J9/Tactical	Info/SA/D&G	Contribute development/ coordinate across levels
Finalized ANNEX W and its appendixes	JFCs level J9/Tactical	Info/SA/D&G	Continue Develop Draft
CICOM	JFCs level J9/CIMIC all	VTC	Organize/ coordinate

Table 11: Activities in Phase 4b

PHASE 5 - EXECUTION/CAMPAIGN ASSESSMENT/OPLAN REVIEW

1. This Phase starts after NAC’s promulgation of the NAC Execution Directive (NED) and SACEUR issues the Activation Order (ACTORD).
2. The purpose of this phase is the execution of the approved operations plan. It requires interaction with other NMAs to conduct integrated, coordinated and synchronized activities. It is essential to recognize that harmonization between military and civil actors is key to this effort. It requires continuous operations assessment in order to measure the current status and trends and providing feedback to the planning and decision making process. CIMIC will contribute to this phase by providing the Commander with periodic and specific CIMIC Assessments. Further on, CIMIC advises on how to improve the overall interaction of the Alliance Forces with the civil environment.
3. The CIMIC planning focus now covers the complete spectrum from short to long-term planning and is inserted into the different boards and working groups
4. During this phase it is of utmost importance to balance short term gains against long-term effects and the transition of responsibilities must always be considered.

PHASE 6 - TRANSITION

1. This Phase starts after receiving SACEUR’s Strategic Planning Directive (SPD).
2. The purpose of this phase is to review, develop and coordinate a tailored OPLAN or SUPPLAN for transition, including the handover of responsibility to the HN, the UN, other International Organizations, or a follow-on force. The planning for disengagement of NATO forces must be initiated well in advance and may involve a large number of non-NATO actors. Continuous liaison and coordination between Alliance HQs on all levels, the HN, and civil organizations and agencies is essential.
3. The CIMIC involvement during this phase will be:
 - a. To participate in the planning of the process and procedures for the handover of responsibilities.
 - b. To facilitate the engagement with other international or national actors in developing a transition OPLAN or SUPPLAN.

4. The OPLAN generally entails only a generic part on transition as it is difficult to predict how the disengagement of the Alliance in a theatre will evolve. The CIMIC planner will nevertheless always be required to envision this transition before recommending to take over civil responsibilities and creating dependencies.

ANNEXES:

- A. Considerations for Liaison Requirements during Phases 1-3 (Strategic Level).
- B. CIMIC Estimate.
- C. Explanation of CIMIC Input to an OPLAN.
- D. Education and Training Requirements Support Planning Efforts of a HQ.

CONSIDERATIONS FOR LIAISON REQUIREMENTS DURING PHASES 1-3 (STRATEGIC LEVEL)

1. This table is to help guide what liaison requirements may exist to support prudent thinking and planning work during Phases 1-3.
2. These phases are characterised by the search for information to determine the requirement for a NATO involvement or action related to a crisis situation.
3. To find this information, only a limited amount of information providers have to be contacted by the NATO officials.
4. The military staff will be able to access this information through NATO HQ or the NMRs at SHAPE or through direct engagements within the context of the Comprehensive Crisis and Operations Management Process (CCOMP).
5. The acquisition of detailed information about the civil situation on the ground can be done passively by retrieving information from national or international crisis portals.
6. Civil contributions to crisis solution will be assessed and handled by NATO HQ in order to allow defining NATO's contribution to a strategic CA.
7. Only after the decision to get involved, will the contacts be handed over to the Joint Force level to operationalize the strategic CA.
8. Details will be in the NAC ID and incorporated in the Liaison Matrix for the Mission/ Operation.

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	Strategic Level			Operational Level	
	Phase 1 - SITUATION AWARENESS	Phase 2 - STRATEGIC ASSESSMENT	Phase 3 - MILITARY RESPONSE OPTIONS (MROs)	Phase 3a - MISSION ANALYSIS	Phase 3b – COURSES OF ACTION DEVELOPMENT
P	Does it have a. Political implications for NATO as an Alliance /NATO Nations? b. Political implications for UN/EU/AU?	Who are the a. Spoilers of a consolidation process/ solution finding process for the AOI? b. Supporters of a consolidation process/ solution finding process for the AOI?	Who are the a. NATO agreed spoilers that need to be targeted? b. NATO agreed actors that are to be supported?	What is a. The role of the NATO Commander/ Force in support of the NATO political objectives? b. The requirement for strategic support for this role?	How is a. The force required to act? b. The force perceived, based on their actions?
M	Is there a military threat to: a. NATO – Nations? b. NATO property/ missions?	Who are the a. Opposing forces to a positive settlement? b. Supporters of a positive settlement?	What is the a. Capability gap that needs to be covered and who will cover it over time and how?	What is the a. Capacity and capability he needs to provide? b. Strategic support he requires?	How will a. The military capability have to be brought to effect? b. It generate the required support for sustainability?
E	Does it have an impact on the: a. EU/US economy? b. financial stability?	Who are the a. Winners of instability in the AOI? b. What are the positive and negative effects within the AOI?	What will a. Be the impact of the mil engagement? b. Be the required investment by the NATO nations?	What will a. Be the impact of the military engagement? b. Be the support he requires to operate sustainability?	How will it a. Generate a positive impact on the economic environment? b. Maximize the support for the force?

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S	Does it have an impact on a. Movements towards NATO countries? b. Social life/ social systems in NATO Nations?	Who are the a. Powerbrokers in societies/ nations? b. Formal/ informal leaders or connectors?	What is to be done to a. Reinstall/ protect the society? b. Return to normality?	What will be a. His impact on the society? b. His contribution to a return to normality?	How will it a. Contribute to the stabilization of the society? b. Facilitate a return to normality? c. Achieve required changes in power broking?
I	Could it have an impact on a. NATO infrastructure/ installations? b. Key national infrastructure (energy, production, basic needs)?	Is vital infrastructure a. Endangered? b. Under multiple use/ overstretched in use?	What is to be done to a. Protect/ reconstruct vital infrastructure? b. Mitigate the effects of mil engagement/ foreign mil engagement/ use?	What is his role in a. Protecting/ reconstructing vital infrastructure? b. Mitigating the effects of mil engagement/ foreign mil engagement/ use?	How and to what extent will it a. Contribute/ Provide protection/ reconstruction for own vital infrastructure? b. Affect the opponent's capability to make use of its infrastructure/ support base?
I	Does it impact the Information Superiority of NATO through a a. Cyber threat? b. Physical threat to C3?	Is the a. Governmental outreach to the population (still) effective? b. International response network challenged?	What are the a. Outreach requirements now? b. Required Strategic Assets for C3?	What is a. His role in information warfare/ the overall information strategy? b. What support does he require to achieve an effect?	How will the force a. Achieve required effects in the information domain? b. Complement/ Counter others actors' efforts?

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T	Does it challenge the balance of power through a. (new) WMD? b. Targeting a gap in Civil Defence?	Is/ are the a. WMD threat limited to the AOI? b. The nations in the AOI sufficiently responsive to that threat?	What is the a. Threat to the force/ effect on the population? b. Resilience/ civil preparedness/ CEP status?	What is required? a. To bring military superior technology to bear? b. To fill a technological gap in the civil environment?	How will it a. Take advantage of technological superiority? b. Maintain superiority?
E	Does it lead to a. Environmental damage beyond national borders? b. Use of environment as a weapon?	Is the problem affecting civil resource availability a. Man-made? or b. Caused by nature?	What is to be done to a. Impact/ prevent/ mitigate the natural environment change? b. Impact/ prevent/ mitigate man-made environment change?	What are a. The side-effects of the mil engagement to be avoided/ mitigated?	How will it a. Generate/ complement the required effects? b. Avoid/ mitigate undesired effects?

CIMIC ESTIMATE

1. The CIMIC Estimate is the product that CIMIC staff undertake and develop during the planning process and includes the outset of each phase of it. It aims to assemble as much raw data as possible and should be based on a ground reconnaissance and supported by information and data drawn from all sources, both open and classified. The information and the deriving assessment will be utilized by the CIMIC staff when preparing the CIMIC contribution to CPOE, the CIMIC estimate to be provided during the JOPG sessions, the OPLAN and any additional CIMIC assessment as directed.
2. The CIMIC staff must identify the critical civil aspects that will influence the accomplishment of the mission and provide the Commander with the CIMIC input that will be used for subsequent guidance to the staff.
3. CIMIC staff will be required to think across all staff branches and functional areas, across the proposed JOA and across the axis of time. They have to:
 - a. Adhere to the overall military mission,
 - b. Support the establishment and maintenance of relations with potential civil partners,
 - c. Ensure that any activities conducted in support of the civil environment are necessary, agreed with the appropriate civil authorities, can be resourced, and follow a strict line of operation,
 - d. Ensure that there is an exchange of functional information across the CIMIC domain at all levels of command during all phases of the OPP.

CIMIC ESTIMATE

APPRECIATION/UNDERSTANDING OF THE SITUATION

- civil situation
- actor diagram
- International Organisations (IOs) and Non-governmental Organisations (NGOs)
- Neutral Actors
- (PMESII&TE)

Phase 1	Situation Awareness	(COPD V2.0 Chapter 4 para 4.5)
Phase 2	Contribute to CPOE	SSA Appreciation (COPD V2.0 Chapter 4 para 4.10)
Phase 3a	Contribute to Mission Analysis	(COPD V2.0 Chapter 4 para 4.24)
Phase 3b	Contribute to COA	(COPD V2.0 Chapter 4 para 4.34)
Phase 4a	CONOPS development	(COPD V2.0 Chapter 4 para 4.41)
Phase 4b	OPLAN development	ANNEX W - Appendix 1 - Appendix 3 (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

MISSION STATEMENT

Phase 2	SSA Appreciation	(COPD V2.0 Chapter 4 para 4.10)
	Contribute to MROs	(COPD V2.0 Chapter 4 para 4.17)
Phase 3a	Input to Mission Analysis Brief	(COPD V2.0 Chapter 4 para 4.24)
Phase 4b	OPLAN development	ANNEX W - Main Body (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC ASSUMPTIONS

Phase 3a	Input to Mission Analysis Brief	(COPD V2.0 Chapter 4 para 4.24)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC CONSTRAINTS & RESTRAINTS

Phase 3a	Input to Mission Analysis Brief	(COPD V2.0 Chapter 4 para 4.24)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC Limitations

Phase 3a **Input to Mission Analysis Brief** (COPD V2.0 Chapter 4 para 4.24)

Phase 4b **OPLAN development** (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC FACTORS ANALYSIS

FACTOR	FACT	DEDUCTION	CONCLUSION	Follow up
Code for Database	Fill in this column facts / information	Use this column To determine the	This column is to provide the Commander	Drop down menu to select
Following PMESII and ASCOPE		critical civil aspects that will influence the accomplishment of the mission	with CIMIC input that will be used in the command guidance for the staff (Initial CIMIC Estimate)	

Phase 3a **Input to Mission Analysis Brief** (COPD V2.0 Chapter 4 para 4.24)

Phase 4b **OPLAN development** (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC FACTORS ANALYSIS

FACTOR	FACT	DEDUCTION	CONCLUSION
Humanitarian crisis	LAK inability to cope with the Humanitarian crisis	Need extensive humanitarian support from civil organizations	Liaison and assessment is needed to identify gaps and shortfalls in the service delivery
	Many IO/NGOs left N-LAK due to KAM invasion	IC humanitarian actors need SASE to operate	ECISAM need to coordinate the security conditions to be established with the IC and HNs

Phase 3a

Input to Mission Analysis Brief

(COPD V2.0 Chapter 4 para 4.24)

Phase 4b

OPLAN development

(COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC Criteria for Success

Phase 3a	Input to Mission Analysis Brief	(COPD V2.0 Chapter 4 para 4.24)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC Main Effort

- Identify CIMIC operational actions, operational effects and Decisive Conditions
- contribute to the Ops Design (DCs and LoOs)

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC Liaison Structure and Coordination Mechanism

- Inter-Agency Coordination
- Liaison and Coordination Matrix

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)
ANNEX B APPENDIX 3 - COORDINATION AND LIAISON MATRIX		

CIMIC ESTIMATE

CIMIC C2

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)
Appendix 2		

CIMIC ESTIMATE

CIMIC Tasks

- Assigned Tasks
- Implied Tasks

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)
	ANNEX W	

CIMIC ESTIMATE

CIMIC Forces

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	(COPD V2.0 Chapter 4 para 4.52)
	ANNEX W Appendix 5	

CIMIC ESTIMATE CIMIC Risks Analysis

Operational Risk Assessment			
Source	Consequence for	Severity	Probability
Actions of the opponent(s). Actions of friendly forces. Operational environmental factors.	Overall mission. Line of operation. Decisive Points. Decisive Conditions. Desired effect.	Extremely high - could result failure to accomplish mission. High - could result in failure to accomplish one or more objectives. Moderate - could result in failure to meet criteria for success or exceed time, space, force/factors limits. Low - minimal impact on mission accomplishment.	High. Moderate. Low.
Risk Management Can we neutralise the source, and if so how? Can we reduce our vulnerability to the source of the risk and if so how? Can we limit the consequence and/or severity of the occurrence and if so how? Can we reduce the probability of occurrence and if so how?			
Conclusion Unacceptable - risk management cannot reduce risk to an acceptable level. Conditionally acceptable - risk can be reduced to an acceptable level by taking actions to: Modify force disposition/posture/composition. Adjust current operations. Prepare branch plan or sequel. Acceptable , no risk management actions required			

Phase 3b **CoA Development** (COPD V2.0 Chapter 4 para 4.34)

Phase 4b **OPLAN development** (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC STAFF RECOMMENDATIONS

Phase 1 **Situation Awareness** (COPD V2.0 Chapter 4 para 4.5)

Phase 2 **Contribute to CPOE** **SSA Appreciation** (COPD V2.0 Chapter 4 para 4.10)

Phase 3a **Contribute to Mission Analysis** (COPD V2.0 Chapter 4 para 4.24)

Phase 3b **Contribute to COA** (COPD V2.0 Chapter 4 para 4.34)

Phase 4a **CONOPS development** (COPD V2.0 Chapter 4 para 4.41)

Phase 4b **OPLAN development** (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC COAs

- Lines of CIMIC Activity
- Execution (CIMIC operational phasing)
- Responsibilities
- Coordinating Instructions.

Phase 3b	CoA Development	(COPD V2.0 Chapter 4 para 4.34)
Phase 4b	OPLAN development	- Main Body - ANNEX W (COPD V2.0 Chapter 4 para 4.52)

CIMIC ESTIMATE

CIMIC in the OPLAN

OPLAN PRODUCT	WHO	SECTION	REMARKS
Main body	CIMIC text		Main Body of the CONOPS and OPLAN
ANNEX B3	Coordination and Liaison Matrix		Annex to the CONOPS
ANNEX W	CIMIC		Overall responsibility
Appendix 1	Civil assessment		
Appendix 2	CIMIC C2 Structure		
Appendix 3	Key Civil Organizations		Linked with the C&L Matrix
Appendix 4	Sites of CIMIC major Significance		
Appendix 5	CIMIC reporting		

EXPLANATION OF CIMIC INPUT TO AN OPLAN

Input to the Main Body

1. **Situation.** CIMIC planners must ensure that civil factors are incorporated into the general situation.
2. **Mission.** When appropriate, CIMIC should be included in the overall mission statement.
3. **Execution**
 - a. Given that CIMIC considerations and tasks are usually instrumental in the overall mission success, there will be visibility of CIMIC issues in the execution paragraph of the OPLAN's main body, usually under a separate CIMIC heading. CIMIC issues may be addressed as specified tasks.
 - b. It is important at this stage that the CIMIC staff has a well-developed understanding of the most likely required military support to the civil environment so that it can be fully incorporated into the main concept of operations. It will ensure that the support to the civil environment is in line with the Commander's intent. If the scale of CIMIC activity cannot be covered in the OPLAN's main body, the development of an Annex W to the OPLAN may be considered.
4. **Annex W.** When the detail of CIMIC activities justifies an annex, the following format offers a non-prescriptive guideline for its layout.
 - a. **Introduction.** The first paragraph might outline the overall relevance of CIMIC within the operation.
 - b. **Situation**
 - (1) **General.** While incorporating information from other annexes, the General Situation should reflect all civil aspects applicable, or potentially applicable to the force.
 - (2) **Assumptions.** Assumptions cover issues that Commanders and their staffs have no **control** over and are used in place of unknown facts, but planning cannot proceed without them. Assumptions will apply throughout the development of the plan until verified as a fact or discarded. Assumptions are never carried over into Operations Orders. They must have the characteristics listed below and must be continually reassessed for validity. They must be:
 - (a) Logical.
 - (b) Realistic.
 - (c) Of such importance that planning cannot continue without them.

- (d) Continuously reassessed.
 - (e) Consistent with superior commanders' assumptions.
- (3) **Military contribution to a Civil End-State.** If the Civil End-State requires a dedicated military contribution, it will be implemented in the COM's overall objectives.
- (4) **CIMIC Main Effort.** CIMIC will conduct an Analysis concerning the civil environment. If the result demands for a particular CIMIC main effort, the CIMIC Concept will be developed accordingly. If identified as necessary, there will never be more than one CIMIC main effort per planning level.
- (5) **CIMIC Objectives.** CIMIC Objectives are identified to enable the achievement of the End-State. Any CIMIC activity, or set of activities, is developed to achieve a specific CIMIC objective.
- (6) **Restraints and Constraints.** Restraints identify those activities that must not be undertaken. Constraints identify those activities that must be done. Any Restraint or Constraint impacting upon potential CIMIC activities should be identified.
- (7) **Assigned Tasks.** Assigned Tasks will have been detailed in the Initiating Directive from the superior commander.
- (8) **Implied Tasks.** Implied Tasks are not specifically assigned but must be performed to accomplish the mission. They are determined through application of the preceding analysis process, thus making them more specific and consistent with the overall operation.
- (9) **Lines of CIMIC Activity.** Lines of CIMIC Activity are not to be confused with Lines of Operation. Lines of CIMIC Activity trace the critical paths of CIMIC activities in their pursuit of the CIMIC objectives. They are often grouped by function under such headings as IDPs and Refugees Return, Civil Administration, Economy and Infrastructure, and Life Saving (or Humanitarian Assistance). However, given the sensitivities of military involvement in civil activities, there are a number of particular characteristics of Lines of CIMIC Activity. These include full justification of each activity or group of activities, identification of the resources involved, and the full implications of their use and plans for extraction from the activities concerned. The latter will include, when appropriate, plans for handover of tasks to a civil organization or local population, in turn including milestones towards that hand over. A CIMIC Line of Activity is therefore both the directional orientation of CIMIC activities and the justification of and arrangements for those activities. A number of CIMIC activities may contribute towards a Line of Operation in the overall plan.
- c. **CIMIC Main Effort.** For the CIMIC planner, the purpose of the CIMIC Main Effort is to provide a cohesive basis for the unification and synchronization of all CIMIC activities in the force, at all levels JOA-wide. The CIMIC Main Effort should support the mission and tasks laid down in the OPLAN's main body. It should not be so prescriptive as to impede effective reaction to what is likely to be a dynamic

situation and should avoid mentioning specific tasks. Examples might include "to support the commander in his relationship with the civil environment with a view to strengthening the legitimacy of the farce," or "to support the efforts of reconstruction agencies with a view to maintaining momentum towards the establishment of a sustainable state". When a range of potential aims exist, then the Main Effort might be more general, such as "to support the Commander in his relationship with the civil environment," or "to minimize impediment to the military mission".

d. **Execution**

(1) **Phasing.** The phases of the CIMIC aspects of an operation will usually follow those of the OPLAN's main body. For guideline purposes, the stages *for* a CIMIC mission have been designated as:

- (a) Pre-operational.
- (b) Operational.
- (c) Transitional.

(2) Under these headings generic tasks might include:

- (a) **Pre-operational:** Planning, Advice, Training, and Education.
- (b) **Operational:** Communication, Co-ordination, Information, Agreements, Assessments, and Operations.
- (c) **Transitional:** Transfer Operations, Terminate Operations, and Ensure a smooth Transition.

(3) As CIMIC activities must be synchronized with the respective phases of the operation, many of the generic tasks listed above will appear in more than one phase.

(4) Each CIMIC task must have its own Line of Activity or contribute towards a Line of Activity. This identifies why a task is to be carried out, the resources involved, how those resources are to be applied, quantifiable milestones towards completion of the task and, when appropriate, arrangements for transfer of responsibility of the task.

(5) For each phase, Lines of Activity, comprising one or more tasks and having been grouped by function, should be in turn grouped under the following headings:

- (a) Liaison.
- (b) Support to the Force.
- (c) Support to Civil Actors and their environment.

5. **Appendices to ANNEX W**

- a. Appendix 1: Civil Assessment.
- b. Appendix 2: CIMIC C2 Structure.
- c. Appendix 3: Key Civil Organizations.
- d. Appendix 4: CIMIC Sites of Significance.
- e. Appendix 5: CIMIC Report and Returns.

ANNEX D TO
ENCLOSURE 1 TO
SH/OPI/J9/PB/17-315278
DATED 07 FEB 17

EDUCATION AND TRAINING REQUIREMENTS SUPPORT PLANNING EFFORTS OF A HQ

1. The intensive demand for a comprehensive political, civilian and military approach, necessary for effective crisis management, requires the Alliance to engage actively with other relevant actors before, during and after crises. This is to encourage collaborative analyses, planning and conduct of activities, and to maximize the coherence and effectiveness of the overall effort. NATO must be prepared and capable to contribute to the wider international community effort, in close cooperation and consultation wherever possible, with other relevant actors. CIMIC has a major role to facilitate cooperation between NATO commanders at all levels and non-military actors.
2. The NATO CIMIC Education landscape is designed to prepare the CIMIC staff actively and efficiently contribute to the efforts of the staff. This NATO CIMIC education is designed to complement national CIMIC education and training and provide the specific competences for the designated position. These requirements are formalized in the job descriptions for the respective positions. As a minimum, the following courses are mandatory for all NATO CIMIC Staff members: NATO Staff Officer / NCO Orientation Course and NATO CIMIC Staff Worker Course. For CIMIC Staff at the Operational and Strategic Level, the participation in the NATO CIMIC Higher Command Course as a complementary course is mandatory.
3. For J9 Staff that is part of the outreach capability of the HQ, it is mandatory to participate in the NATO CIMIC Liaison Course. For CIMIC Planners, the participation in the NATO Operational Planning Course is to be ensured in order to be able to actively contribute to the planning efforts of the HQ. For CIMIC Planners at the Strategic Level, an e-learning will be made available to complement the aforementioned education.
4. This education has to be supplemented by an on-the-job training within the CIMIC Staff. A dedicated training has to be set up for all staff members in order to develop the individual competences to match the demands of the job. Special emphasis has to be put on the training for the use of the collaboration tool of the staff for operations: TOPFAS.
5. For J9 Staff that is part of the outreach capability of the HQ, it is mandatory to participate in the NATO CIMIC Liaison Course. For CIMIC Planners, the participation in the NATO Operational Planning Course is to be ensured in order to be able to actively contribute to the planning efforts of the HQ. For CIMIC Planners at the Strategic Level, an e-learning will be made available to complement the aforementioned education.
6. This education has to be supplemented by an on-the-job training within the CIMIC Staff. A dedicated training has to be set up for all staff members IOT develop the individual competences to match the demands of the job. Special emphasis has to be put on the training for the use of the collaboration tool of the staff for operations: TOPFAS. Taking into account the complexity of the software, it is obvious that the user of that software must be given re-occurring training opportunities in order to be able to contribute to his/her best without relying on other person's availability. This on-the-job training has to qualify the staff member for the next step in his professionalization; the collective training.

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7. The collective training must be designed to practice the collaboration of the staff. Over time, the complexity of the problems the staff has to manage must be increased; however, interim assessments of the training and trainees have to be conducted to identify gaps in the personal skills. The training should culminate in exercises, where the staff must perform all/ selected activities under realistic circumstances.

8. The training audience should be enabled to participate according to its regular functions and not be dragged into the exercise control or evaluation. These functionalities should be provided by external supporters.

This education and training can only be successful if all involved entities fulfil their respective roles:

- a. The individual must be willing to learn.
- b. The nations must provide the education in time.
- c. The NATO Training Institutes must provide training according the requirements.
- d. The supervisors must generate training plans and opportunities and track the progress of the individuals.
- e. The HQs must provide collective training opportunities on a regular basis. Only with a coordinated effort will it be manageable to provide well trained staff that is able to comprehensively find solutions for contemporary problems.