



Analysis, Modeling, Simulation and Experimentation

NATO – Flirting with a More Comprehensive Approach to Alliance Security

13th ICCRTS
June 17-19 2008

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LECTURE SERIES SAS-070

on “Effects-Based Approach to Operations”

sur “Approche des opérations fondée sur les effets ”

organized by the

System Analysis and Studies Panel

to be held in

ITALY, Rome on 13 November 2007**

BELGIUM, Brussels on 15 November 2007

USA, Norfolk, VA on 19 November 2007

This Lecture Series is open to citizens from NATO Nations

Latest Enrolment Dates

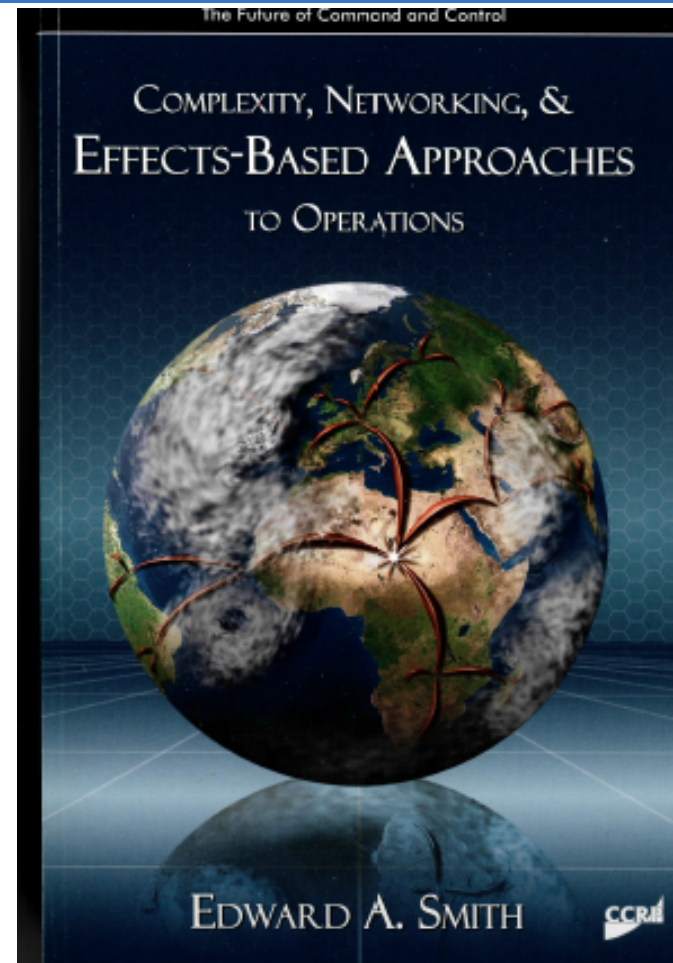
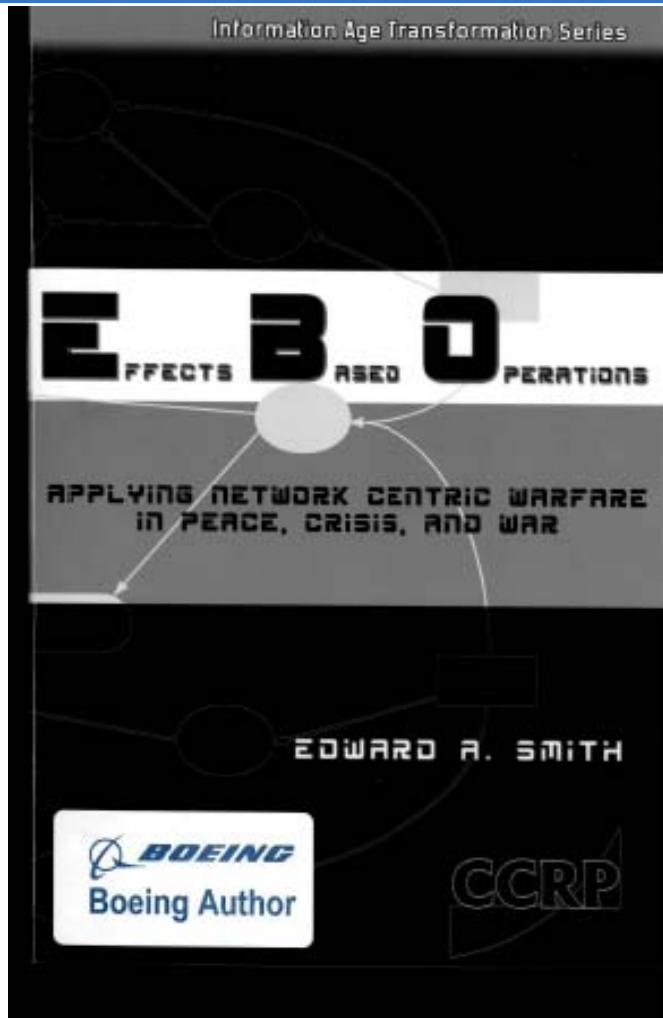
ITALY Tuesday, 30 October 2007**

BELGIUM and USA Tuesday, 6 November 2007

Enrol on-line at <http://www.rta.nato.int/meetings.asp>

All presentations and discussions will be held in English

Why is Boeing involved?



Lecture Series Agenda

Lecture Series Program

- 08:30** REGISTRATION
- 09:00** INTRODUCTION
Mr. Han de Nijs
- 09:10** EBAO Theory & Concepts
Dr. Edward A. Smith
- 10:40** MORNING BREAK
- 11:00** Commonalities & Differences Across NATO Nations
**Group Captain Chris M. Henwood and
CDR Jacques Sueur**
- 12:00** LUNCH BREAK
- 13:30** ACO/ACT Perspectives
**Lt Col Jacques Lessard and
Lt Col Egwin De Voogt**
- 14:30** Panel Discussion
Moderator - Mr. Han de Nijs
- 15:30** AFTERNOON BREAK
- 16:00** CONCLUDING REMARKS
Dr. Edward A. Smith

The “Theory”

1. “Why”: New Security Environment
 - **A Complex World**
 - **Operations in the Cognitive Domain**
2. “What”: Effects-Based Approaches to Operations
3. “What”: Whole of Government Action
 - **Creating Options**
4. Dealing with Complexity
 - **Complex Problems**
 - **What do we do?**
5. Network Enabled + Effects-Based + Whole of Government
 - **Network Centric Operations**
 - **...and Social Networking**

Questionnaire

- **National whole of government/ comprehensive effort?**
 - Underlying philosophy/ approach
 - What is being done
 - Contribution of different ministries/ agencies
 - Military roles

- **Effects-based approach?**
 - Philosophy or process
 - Underlying premises
 - New terminology
 - Scope
 - Military or wider
 - At what level
 - Applications
 - In the field
 - Capabilities
 - Software tools

NATO Research Lecture Series	
A Research Project sponsored by the NATO Research and Technology Organisation	
Outcome Sought: A shared understanding of the commonalities and differences between National Comprehensive and Effects-Based Approaches to Operations (CA and EBAO) in order to shape the development of NATO EBA so that interoperability is enhanced.	
Interim Condition: A shared understanding of the baseline of commonalities between National Approaches in order to facilitate a lecture series which will encourage discussion of the merits of different approaches (if any) and highlight key elements of an effective EBAO.	
Required Activity: Do you have a national POC for Comprehensive Approach or Effects Based Matters? If so, please ask your appropriate National centres to complete the following questionnaire (Examples given are drawn from the UK Effects-Based Approach- EBA)	
Do you have an on-going national effort to explore or undertake an integrated, whole of government, or "comprehensive approach" to dealing with potential crises? If so:	
<ol style="list-style-type: none"> 1. Does this effort have a name or underlying way of thinking, e.g. effects-based approach? 2. How are the contributions of individual departments, ministries, or agencies determined? 3. How is the military's defence role determined? 	
Is your national view of EBAO that it is a way of thinking, a process, a method for planning, or something else? Is it to be conducted at the military or at the national level?	
Example: The UK EBA is a way of thinking or philosophy; a method has been devised to be used in training to build confidence in the way of thinking for commanders. The method is not intended to be prescriptive, although it is available for use commanders may choose to develop their own methods for applying the philosophy. However, they are encouraged to maintain consistent terminology.	
What is the scope and extent of your national EBAO as it currently stands? Is it aimed at the Military or does it have wider applicability, e.g. in a broader "comprehensive approach"? At what levels do you envisage it operating? What are its boundaries?	
Example: The UK EBA is emerging doctrine is focused on a way of thinking for the military from the analysis through planning and execution to assessment – a pervasive philosophy. It is intended for use at the operational level although it has applicability in component commands and likewise may be used at the strategic level. It provides the UK military with an approach that allows it to analyse its contribution to a wider cross-government, multinational, ID and NGO way of thinking that is called a Comprehensive Approach. Its boundaries are thus from the strategic/operational interface, through the operational to the operational/tactical level within the military alone.	
Is there an underlying premise, principle or tenets to be applied in your EBAO?	
Example: Can a system be sufficiently understood that the outcome of actions can be predicted with a high degree of confidence, or are systems and interactions so complex that they can only be understood in context. The UK EBA is based on understanding a situation in context, identifying the desired situation and working out how that situation can best be shaped. Although tenets are to be rigorously applied, emerging military doctrine focuses on a way of thinking from the analysis to planning and execution to assessment.	
How do you intend the tenets/principles to be applied – by using checklists, by providing software support tools, by devising a method that must be followed, or another way?	
Example: The UK EBA is intended to be a way of thinking that pervades military commanders minds, as each situation is unique the use of prepared checklists or software tools may prevent the intelligent application of the philosophy as such lists and tools inherently contain assumptions about a situation. In sum the tenets should be rigorously applied but not rigidly applied to military campaigning from the analysis through planning and execution to assessment – a pervasive philosophy.	
Have you prepared new terms to be applied when using your national EBA? What are these terms; please provide the definitions that you are using?	
Example: The UK EBA employs new terms such as <i>Decisive Condition</i> and <i>Supporting Effect</i> .	
What has been done or are you planning to do to implement a national whole of government or EBAO?	
<ol style="list-style-type: none"> 1. Are effects based approaches currently being used or tested in the field? 2. Is there a written or in draft effects-based doctrine or handbook? 3. Have articles, papers or other literature on effects-based and comprehensive approaches been published in your country? 4. Have changes to organization and planning methods or procedures been made to include better integration with other government departments and agencies? 5. Have certain capabilities, e.g. intelligence analysis, been expanded as a result of EBAO? 6. Are new software tools being examined or being introduced? 7. Is Effects-Based Thinking or Approaches being taught or discussed at your military academies and war colleges? 	

Consolidated Answers

SAS 070 Questionnaire Results – as of 8/27/07

	Do you have an on-going national effort to explore or undertake an integrated, whole of government, or "comprehensive approach" to dealing with potential crises? If so:
Belgium	No
Canada	Canada's ongoing effort to explore and develop a Comprehensive Approach/Whole of Government concept is being discussed by Chief Force Development (CFD) for DND and Stabilization and Reconstruction Task Force (S'ART) within Foreign Affairs and International Trade Canada (DFAIT). The intent is to engage other government departments (OGDs) so that it becomes a truly nationally approved concept, not just military. An agreement to co-develop the concept is not yet finalized.
Czech Republic	My understanding of EBA is rather Affect Based Assessment than Approach (see below), which has an acronym EBAO. <ul style="list-style-type: none"> - the main national POC might be me, so far but we have not got it, yet, recognized as something with a required special attention other than "integrated crisis management and planning" that is quite well developed in our country and managed by the National Security Council lead by the Prime Minister. In fact we have instruments in place but do not call it nationally EBAO. We consider EBAO as a process of the multinational crisis management (that includes planning). The way of thinking is from my point of view only just a conceptual part of it (and we have it included in our Long-Term Vision as the highest level conceptual document) - but when it goes to implementation - it is also a way of execution within the crisis management process (including planning). - In the above explained context - our process goes with a proper consensus of all related 3D tools (Diplomacy, Defence and Development) - that includes delivering development experts together with military already at the outset of a crisis (as happened at the beginning of the OIF). - In the national context - the process is well defined and regulated, in arising crises - all depends on governmental and parliamentary approach and support to a respective operation, including financial and material help and support + on our national NGOs that act independently, in exercises (as MNE-5 - we successfully try to involve MFA and Mo) - It might be clear from the above written that it has a broader than military perception and it goes during a real crisis directly to the MFA and up to the Prime Minister's office. - Tenets should be identified in a respective NATO concept and respective doctrinal documents - that subsequently are implemented by the nations.
France	Yes
Germany	The department in charge in the MoD regretted not being able to answer your questionnaire. The efforts to explore Effects Based Approaches to Operations are very much welcomed and will hopefully be helpful to clarify the different perspectives on this important topic. Due to its complexity the issue of EBAO is under constant extensive discussion. At this time you may find the actual German point of view on the attachment that is an abstract of the German White Paper 2006 on German Security Policy and the Future of the Bundeswehr 2006. Currently Germany is participating at the MNE-series and at the NATO Allied Joint

SAS 070 Questionnaire Results – as of 8/27/07

	Doctrine Working Group to take up a position in the EBAO context.
Greece	
Hungary	Here in Hungary there is nobody really responsible for EBO. There was a conference organized I think back in 2005 and I was not even informed about that. It will take time until we can participate in discussions such as EBO.
Netherlands	I have just concluded a study (To EBO or not to EBO?) in the national applicability of an EBAO. This study is currently in the process of acquiring agreement by the political side of the house. On completion further studies will be require in setting up an interdepartmental policy on a CA, as well as on how the application will affect the operational planning process and other DOTML/PEI factors. I have kept my answers short (included in the document), but I do hope these will be sufficient to help you forward with your work.
UK	The US has a long-standing, formal approach that is designed to ensure strategic vision and grand strategy in support of appropriate "whole of government" preparation for and response to potential crises. Generally, this approach is comprised of national strategic direction provided in the President's National Security Strategy of the United States of America and a variety of supporting strategic documents such as the National Defense Strategy and National Military Strategy; venues such as the US Congress and the National Security Council for discussion, coordination, guidance, and decisions related to national security and foreign policy matters; and supporting systems and processes such as the Joint Strategic Planning System, which develop options and products that support the President's decisions. There are numerous efforts underway to improve WOG planning in the US. The State Dept's Coordinator for Reconstruction and Stabilization (S/CRS) published the Draft USG Planning Framework for Reconstruction, Stabilization, and Conflict Transformation in Dec '06, and the document is currently undergoing revision to include more detailed implementation planning procedures. This WOG planning framework will be tested in a series of experiments during the next 24 months. The Deputies committee approved, on 29MAR07, two key interagency planning and managing documents: a paper for WOG planning and the new Interagency Management System, which includes a Country Reconstruction and Stabilization Group, a geographic combatant command-level Integration Planning Cell, and a JTF-level Advance Civilian Team to coordinate WOG planning and response to crises. All of these efforts are specifically designed for crisis response. Other efforts, many of which are being consolidated under the US Africa Command implementation, are underway to improve WOG planning in a steady state environment. Both US Africa Command and US Southern Command are exploring structural changes to their organizational structure to become integrated Regional Security Orgns. A number of US agencies are working on improvements to strategic planning processes to ensure unity of effort across the spectrum of operations. A number of studies, such as the Project on National Security Reform, are also underway to explore the potential legislative changes necessary to restructure the US government to facilitate WOG approaches. On the domestic side, the National Response Plan describes a WOG approach to consequence management, and US Northern Command has begun work on a National Homeland Security Plan that would address a more comprehensive approach beyond consequence management.
USA	

Literature Search



Federal Ministry
of Defence



White Paper 2006

THE COMPREHENSIVE
APPROACH

on German Security Policy and
the Future of the Bundeswehr

Joint Discussion Note
4/05



INCORPORATING AND
EXTENDING
THE UK MILITARY
EFFECTS-BASED APPROACH

Joint Doctrine Note
7/06

Literature Search



MULTINATIONAL
STRATEGIC
Version 7.015 date

Strategic Pla

Foreword

This document is a guide for strategic planners at the elaboration of the overall response to a given crisis.

It draws on agreed existing documents dealing with strategic planning (and others).

The intent of this guide is to develop a process for planning on the "what to do" and "how". It does not consider "who".

It is not a check list that has to be followed in every detail in the development of a strategic comprehensive approach to crisis resolution.

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DRAFT

The Comprehensive Approach: A Conceptual Framework for MNE5

A Draft Working Paper
Version 0.1xx

7 August 2007



Distribution Statement C

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Other requests for this document shall be referred to:
Multinational Experimentation
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ON EFFECTS BASED OPERATIONS

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rch 2007

Observations: Major Similarities

- Common Driver: Complex realities of current operational environment
 - Cross spectrum security; military alone not sufficient
 - Many interdependent variables
 - Causes and outcomes often unpredictable
 - Need new ways to manage complexity
- Governments/ NATO need some form of comprehensive approach
- EBA is way of thinking/ philosophy not process
 - Evolutionary not new; art not science
 - Still in progress
 - Focus on human means need to deal with complexity
- EBA part of a comprehensive approach

Observations: Major Differences

- Multiple national approaches/ methodologies
 - For whole of government/ comprehensive approaches
 - For application of EBA implementation
- No agreed terminology, lexicon
 - Across ministries, agencies within governments
 - Across NATO member nations



Networked Security vs. Comprehensive Approach

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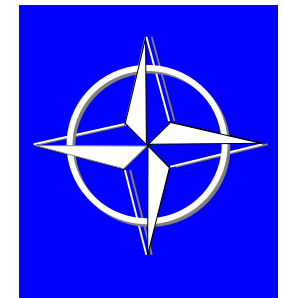
Networked Security

- includes all governments agencies



Comprehensive Approach

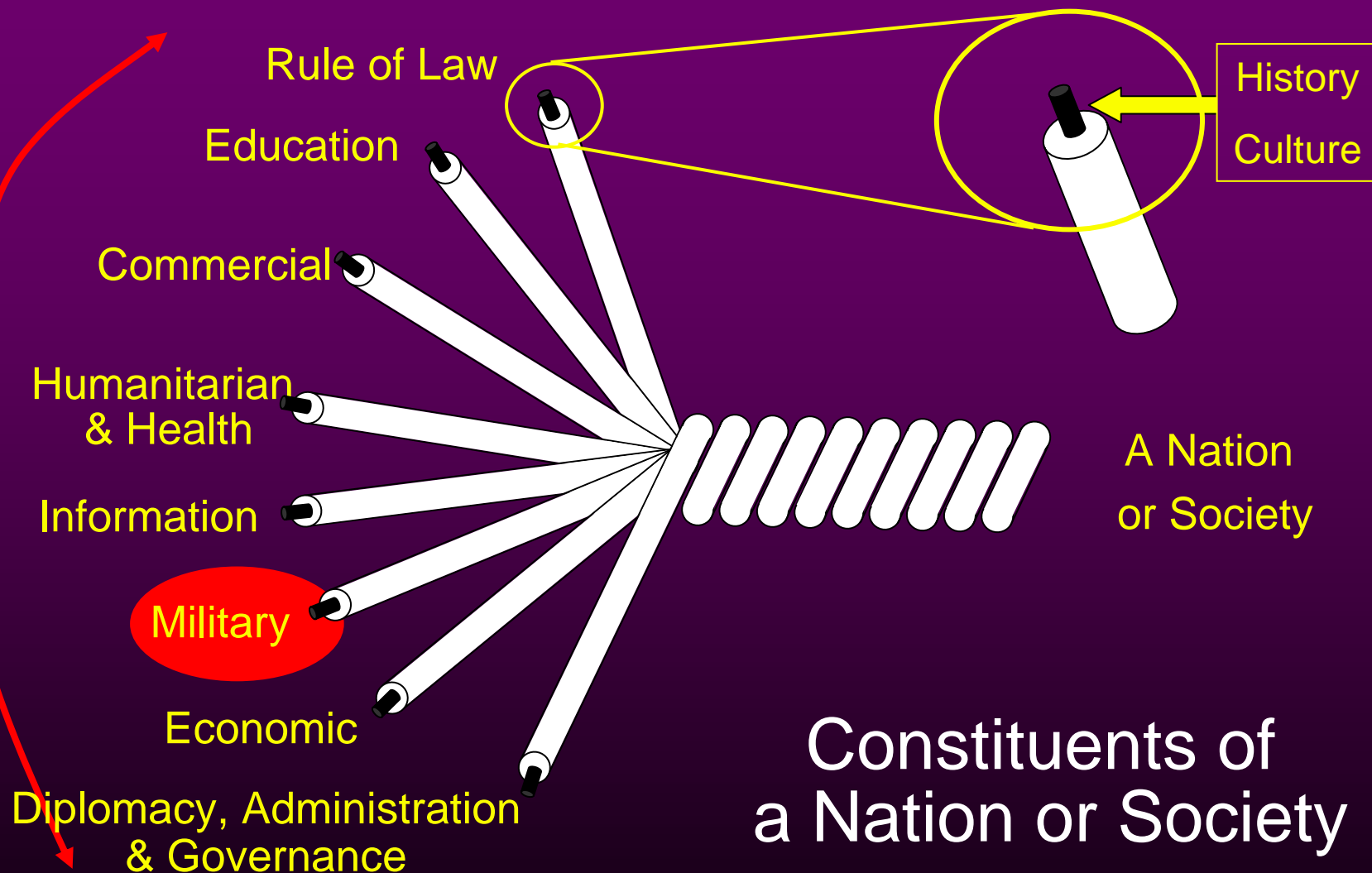
- has a "military perspective"
- seeks civilian contributions





Complexity

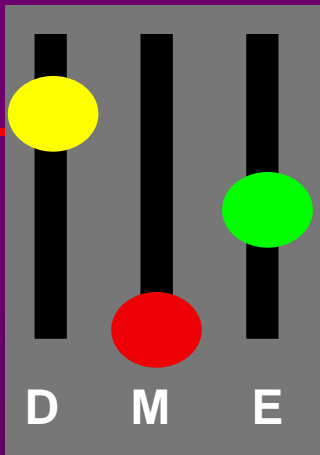
Requires a Comprehensive Approach





National Instruments of Power

- D - Diplomatic
- M - Military
- E - Economic



Other Actors:
 Indigenous Population
 International Organisations
 Allies
 Non-Government Organisations
 Private Military and Security Companies
 Multi-National Corporations
 etc

Co-ordinate
 Involve

Influence
 Be Aware of



The Comprehensive Approach

A Comprehensive Response

Outcomes & Influence

SAS 070 Local Panels

Advanced Systems | Analysis, Modeling, Simulation and Experimentation

■ Rome

- COL Steve Sifers, USA (JFC Naples – Director of Staff)
- LtCol David Jensen, USAF – (J5 Policy and Concepts Implementation Branch Allied Joint Forces Command Brunssum, NL)
- TBD NATO Defence College

■ Brussels

- Mr. Diego Ruiz Palmer (NATO HQ - Head, Planning Section, Operations Division, IS)
- Ms. Eirini Lemos-Maniati (NATO HQ - Officer, Political Affairs and Security Policy Division, IS)
- Col Christos Manolas (SHAPE ACOS J-9)

■ Norfolk

- COL Michael Postma (JFCOM J9)
- CAPT Patrick Chevallereau , FRA N (ACT)
- Col. Rainer Wälde (DEU-Bundeswehr Zentrum for Transformation)

What NATO's Thinking ...

“... today's challenges require a comprehensive approach by the international community involving a wide spectrum of civil and military instruments, while fully respecting mandates and autonomy of decisions of all actors, and provides precedents for this approach”

“ ... we have tasked today the Council in Permanent Session to develop pragmatic proposals in time for the meeting of Foreign Ministers in April 2007 and Defense Ministers in June 2007 to improve coherent application of NATO's own crisis management instruments as well as practical cooperation at all levels with partners, the UN and other relevant international organizations, Non-Governmental Organizations and local actors in the planning and conduct of ongoing and future operations wherever appropriate.”

**PR (2006)150, Riga Summit Declaration
(Para 10), 29 Nov 06**



Background (1)



Development of EBAO within NATO:

- The Alliance's Strategic Concept, Apr 99
- Comprehensive Political Guidance, Feb 06
- MNE 3 and MNE 4, 2003 & 2006
- CAFJO, Feb 06
- SACEUR Guidance on EBAO May 06
- Bi-SC EBAO working group
- MCM 0052 dated Jun 06
- SACEUR Guidance on EBAO Mar 07
- Bi-SC EBAO Discussion Paper Jul 07
- Bi-SC Interim EBAO Handbook Fall 07



WHY DO WE NEED EBAO?



- To better cope with the inherent complexities and interdependencies of modern conflicts
- To optimise efforts from all actors through increased mutual awareness and exchange of information – “NETWORKING PEACE and NATION BUILDING EFFORTS”
- To make our military effort more efficient at achieving the NAC-approved strategic objectives and NATO end-state
- Through assessment and mission reviews, improve our ability to adapt the military plan to the changing conditions within the engagement space
- To devise better long-term solutions to complex and old problems



WE ALSO NEED IT BECAUSE

- **Commanders in the field are already implementing various versions of aspects of EBAO**
- **Commanders need the EBAO tools, processes and doctrine to be able to do their job in today's conflicts**
- **Not answering their demands places at risk the interoperability within NATO**

ACO/ACT Perspective

NATO UNCLASSIFIED

V6.6 dated 02 May 07



NORTH ATLANTIC TREATY ORGANISATION



Supreme Allied Commander, Europe
B-7010 SHAPE
Belgium

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

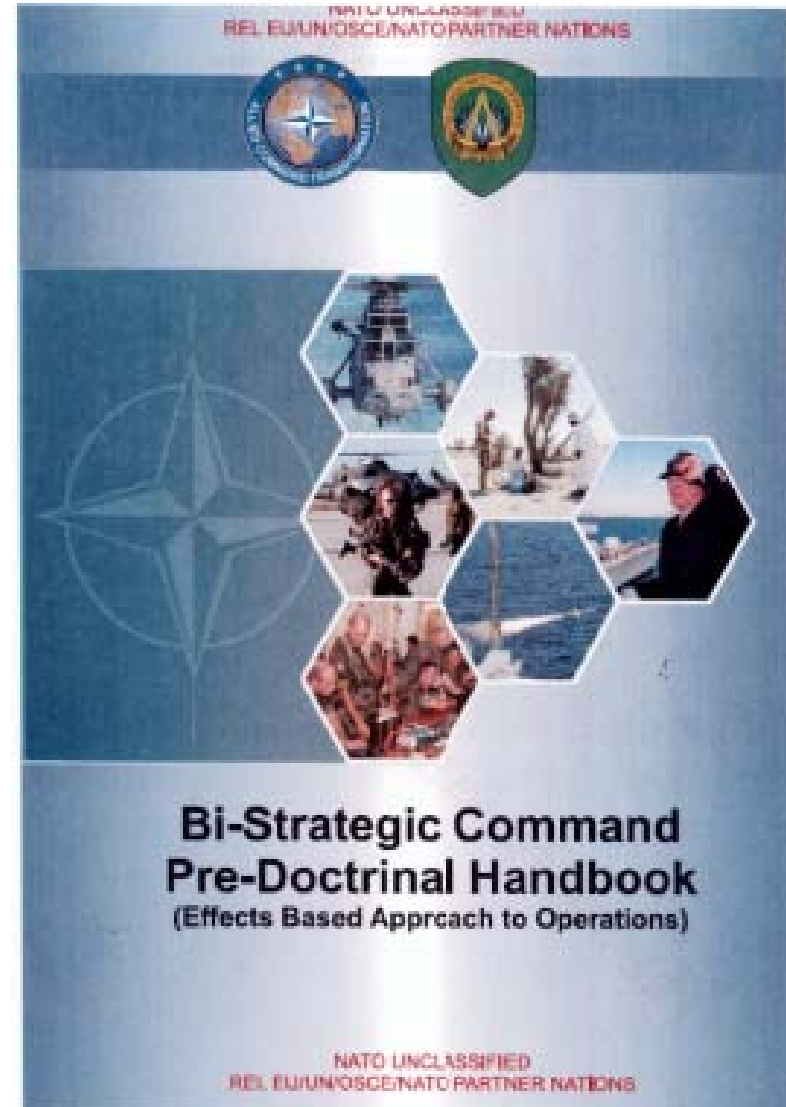
DEVELOPMENT OF NATO's EFFECTS-BASED APPROACH TO OPERATIONS

Bi-Strategic Command Discussion Paper

Rainer Schuwirth
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Post EBAO LS Developments

- **“US is doing EBAO in Afghanistan, Germany is doing EBAO in Kosovo ... J9 is now trying to merge the efforts for NATO”**
BG Drews (Bundeswehr Transformation Center)
- **New EB studies proposed at SAS BP meeting (4/22/08)**
 - *EBAO Practices and Influences in Current Operations*
 - *Effects-Based Assessment*
 - *Application of Complex Adaptive Systems Theory in Defence Analysis*
 - *Science, Technology and Analysis for Rapid Adaptation in Asymmetric Warfare*
- **Portugal request for EBAO consultation / Military Academy lectures**

From Bucharest Summit Declaration

“Many of today’s security challenges cannot be successfully met by NATO acting alone. Meeting them can best be achieved through a broad partnership with the wider international community, as part of a truly comprehensive approach, based on a shared sense of openness and cooperation as well as determination on all sides.”

3 April 2008

