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**NOTE**

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From : Council  
To: European Council  
Subject : ESDP Presidency Report

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Delegations will find attached the ESDP Presidency Report as approved by the Council on 14 June 2004.

## **PRESIDENCY REPORT ON ESDP**

1. In line with the mandate defined by the European Council in December 2003, the Presidency submits this progress report on ESDP.
2. In presenting this report, the Presidency has noted that Denmark has drawn attention to Protocol No. 5 on Denmark's position annexed to the Treaty of Amsterdam.

### **I. EU Operational Capability**

3. There have been intensive preparations for the possible EU-led ESDP Mission in Bosnia and Herzegovina to follow the NATO-led SFOR. The General Concept for the operation was approved by Council on 26 April. On this basis, necessary preparations have been advanced within the EU to complete the remaining strategic planning steps prior to the Istanbul Summit, which would allow operational planning to take place immediately thereafter on the basis of EU decisions, with a view to launching the ESDP mission, including a military component based on agreed Berlin Plus arrangements, at the end of the year. To that end, focussed and transparent consultations with NATO are taking place at various levels within the agreed framework. There have also been regular consultations with the BiH authorities on EU activities and objectives.
4. The EU Police Mission in Bosnia-Herzegovina (EUPM), now in its second year of operation, continued to fulfil its mandate to monitor, mentor and inspect the local police, so assisting the BiH police in their efforts to attain European standards of policing. On 1 March 2004, Commissioner Kevin Carty was appointed the new head of EUPM following the untimely death of the previous Head of EUPM, Commissioner Sven Frederiksen.
5. The European Union Police Mission in the former Yugoslav Republic of Macedonia (EUPOL PROXIMA), which is the second ESDP Civilian Crisis Management operation was launched on 15 December 2003. This mission, comprising nearly 200 officers, is supporting the development of an efficient and professional police service in FYROM and promoting European standards of policing.

6. The Council announced the EU's readiness to launch, by Mid July 2004, an EU Rule of Law Mission to Georgia in the context of ESDP. As requested by the Georgian government, this first ESDP Rule of Law mission will address urgent challenges in the judicial system, in particular the criminal justice system.
7. As part of the EU's commitment to learn from the experience of ESDP operations, lessons learned processes were conducted following Operation Artemis in the Democratic Republic of the Congo and Operation Concordia in FYROM. A lessons learned process from the first year of operations of the EUPM was also completed.
8. The decision establishing the Union's mechanism to administer the financing of the common costs of EU operations having military or defence implications, Athena, was adopted by the Council on 23 February 2004. Athena is now fully functioning and will facilitate the preparations for the envisaged EU led military operation in Bosnia.
9. Considerable progress has been achieved in taking forward the document entitled "European Defence: NATO/EU consultation, planning and operations", which was welcomed by the European Council in December 2003.

## **II. Development of European Military Capabilities**

10. The document "Headline Goal 2010" (Annex I), approved by the Council on 17 May 2004, sets the main parameters for the development of European military capabilities with a 2010 horizon. Member States have decided to commit themselves to be able to respond to a crisis with rapid and decisive action applying a fully coherent approach to the whole spectrum of crisis management operations covered by the Treaty on the European Union (including humanitarian and rescue tasks, peace-keeping tasks and tasks of combat forces in crisis management, including peacemaking). As indicated by the European Security Strategy this might also include joint disarmament operations, support for third countries in combating terrorism and security sector reform. In addition to the European Security Strategy, the new Headline Goal also reflects the evolution of the strategic environment and of technology and draws on lessons learned from EU-led operations.

11. Further implementation of the EU Capability Development Mechanism has continued. In this regard, the Single Progress Report on military capabilities, noted by the Council on 17 May 2004, reaffirmed the assessment of the EU's military abilities made in May 2003. Contributions from the ten new EU Member States have been made and incorporated in the Force Catalogue 2004. The ECAP project groups have continued their work and the ECAP roadmap and the Capability Improvement Chart have been produced. On 17 May 2004, the Council noted that progress was achieved but acknowledged that continued progress will be required in addressing recognised shortfalls and deficits from the Headline Goal 2003. The EU-NATO Capability Group continued to meet confirming the importance of coherent and mutually reinforcing development of military capabilities in the EU and NATO where requirements overlap.
  
12. Work has continued to develop the EU's Rapid Response capacity. The Council has agreed the recommendations made by the SG/HR in his report of 1 April 2004. The Council, by tasking the relevant EU bodies, initiated work towards achieving an initial battlegroup capability in early 2005 and towards putting in place a full rapid reaction capability by 2007. The Council underlined that a rapid decision making and planning process is necessary for rapid response and endorsed the level of ambition for the decision-making and planning process of the EU in the document "Headline Goal 2010". The Council has asked the SG/HR to present as early as possible in the second semester of 2004 his evaluation of the implications of, and his proposal for the effective implementation of, the agreed level of ambition. A way ahead for the elaboration of modalities for the potential provision by the EU of military capabilities in support of the UN have been agreed by the Council. Exchanges of information have continued between the EU and NATO on EU rapid response and on the NATO Response Force with a view to ensuring that developments relating to rapid response in both the EU and NATO are mutually reinforcing and complementary. Work is ongoing on the EU military concept for battle groups.
  
13. Further discussion took place on the development of the EU space policy where relevant to CFSP and ESDP. Examination has continued of operational requirements for space applications, taking into account the Headline Goal 2010 and of the means of exploring possible synergies between the work of the ECAP project group and the work preparing the European Community Space Programme.

**III. Agency in field of defence capabilities development, research, acquisition and armaments**

14. The establishment of the agency in the field of defence capabilities development, research, acquisition and armaments has been advanced.

**IV. Development of European Civilian Capabilities**

15. The process of reviewing Civilian Capabilities in light of the accession of ten new Member States was launched in May when the ten were formally asked for indications of intentions to contribute to the four priority areas (Police, Rule of Law, Civil Administration, and Civil Protection).
16. In June 2004 the Council endorsed an Action Plan for Civilian Aspects of ESDP. This Action Plan reaffirms the level of EU ambition in the field of Civilian Crisis Management. It defines measures to be carried out over the coming years in order to develop and operationalise civilian capabilities, including work on a consolidated Civilian Headline Goal and plans for a Civilian Capabilities Conference foreseen for November 2004.
17. An embryonic capability for Planning and Mission Support has been established within the Council General Secretariat. This process, which is being supported largely thanks to secondments from Member States, is ongoing and a progress report is expected in the coming months.

**V. Civil-military co-ordination (CMCO)**

18. Following the agreement on a practical framework and drawing on lessons learned, concrete measures to improve civil-military co-ordination have been identified. They are being applied in the context of preparations for the ESDP mission in Bosnia and Herzegovina, with a view to ensuring full coherence in the EU's approach.

## **VI. EU-NATO relations**

19. The strategic partnership in crisis management with NATO remains a key relationship for the EU. This partnership continues to develop, notably through close consultations within the agreed framework on the expected transition from the NATO led SFOR operation to the EU led operation in Bosnia and Herzegovina and on coherent and mutually reinforcing development of military capabilities in the EU and NATO where requirements overlap. The EU has continued to pursue actively co-operation on the fight against terrorism, in particular through civil emergency response in crisis management. General exchanges of information on proliferation of WMD and on security in Afghanistan took place.

## **VII. Crisis Management Exercises**

20. The evaluation process for the first joint EU-NATO crisis management exercise CME/CMX 03 was concluded. The exercise was successful, providing a good test of the relevant aspects of the EU crisis management procedures, as well as of the standing arrangements for consultation and co-operation with NATO in times of crisis, as well as other relevant elements of Berlin Plus.
21. The EU Crisis Management Exercise 2004 (CME 04) took place from 18 to 27 May 2004. It was the EU's first exercise involving a nationally provided headquarters as EU OHQ (co-located with the UK Permanent Joint Headquarters in Northwood). CME 04 provided the opportunity to exercise and evaluate EU crisis management structures, procedures and consultation arrangements and to validate the EU decision-making process in the context of an envisaged EU-led operation without recourse to NATO assets and capabilities, with a view to improving the EU's capacity to manage crises. The evaluation process has commenced. Arrangements for the financing of exercises through the Athena Mechanism agreed by the Council in February 2004 were initiated for CME 04.
22. Following the exercise "Lucerna 03" organised by the Italian Presidency in November 2003, an exercise called "Periland 04" aimed at testing the interoperability of the Integrated Police Units, other rapidly deployable elements and rapidly deployable Police Headquarters was organised by France in June 2004.

### **VIII. EU Training Policy and activity in the field of ESDP**

23. Following the approval of the EU Training Policy in ESDP by the Council in November 2003, work has been undertaken to implement the agreed policy, notably through the development of an EU Training Concept in ESDP. In this context, the proposal for a European Security and Defence College has also been examined, noting that preparations are underway for a first pilot course.
24. A further 15 training courses were organised as part of the third phase of the EC Training Project for Civilian Aspects of Crisis Management. The Presidency brought work forward on the development of a closer working relationship with the informal network of EU Member State training institutions which oversees the implementation of the EC Training Project. These contacts bring valuable input to the development of civilian aspects of training for ESDP. Further courses are being organised for the second half of this year on Civil Military Co-ordination and EU-UN relations.
25. The "Collège Européen de Police" (CEPOL), developed a new course for police planners in crisis management in close association with the Council Secretariat. Trainees of this course actively participated in CME04.

### **IX. Conflict Prevention**

26. ESDP has continued to contribute to the EU's activities in the sphere of Conflict Prevention, as set out in the EU Programme for the Prevention of Violent Conflicts and in the European Security Strategy. Details of progress achieved during the past 12 months are set out in a separate report to the European Council in June.

### **X. ESDP and Africa**

27. Following the adoption by the Council on 26 January 2004 of the revised Common Position on the prevention, management and resolution of conflicts in Africa, the relevant

Council bodies, under the guidance of the PSC, have considered the potential role of ESDP in contributing to peace and security on the continent. In addition, staff to staff dialogue has taken place with the African Union and sub-regional organisations. This work, central to which is the principle of African ownership, is being taken forward with a view to developing a coherent and comprehensive EU response to peace-building in Africa and support for the development of African capabilities. It will be important to co-ordinate these activities with overall EU policy on Africa and the actions of individual Member States and to take account of the work of the UN, the African Union and subregional organisations. Due account should also be taken of the G8 initiative.

## **XI. ESDP and Terrorism**

28. The Report to the European Council on the implementation of the Declaration on combating terrorism includes a contribution on CFSP/ESDP aspects.

## **XII. Co-operation with International Organisations**

29. Significant progress has been made on relations between the EU and UN. Contacts with the UN were intensified as part of follow up to the EU-UN Joint Declaration of 24 September 2003 on co-operation in crisis management. A joint consultative mechanism (also called the joint steering committee) was established at working level to examine ways and means to enhance mutual co-ordination and compatibility in the areas of planning, training, communication and best practices. In this context, regular staff to staff contacts took place. The UN Secretary General, Kofi Annan, made his first official visit to the European Union from 28-30<sup>th</sup> January where discussions focussed on potential for co-operation in peacekeeping and effective multilateralism. A seminar was conducted in Dublin on 11-12 May 2004 on the synergies between the EU and UN in the planning for and conduct of military crisis management/peacekeeping operations.



30. The Council has agreed a way ahead for the elaboration of modalities for the potential provision by the EU of military capabilities in support of the UN, which are being drawn up in close consultation with the UN and which encompass possible rapid response.
31. Practical co-operation with the UN continued in the context of a joint fact-finding mission to Burundi in February 2004 to investigate the establishment of a UN peacekeeping operation. The EU, following consultation with the UN, is currently providing assistance for the establishment and training of an Integrated Police Unit (IPU) in Kinshasa.
32. The Council has invited the incoming Presidency to prepare an assessment report on the EU's role within the OSCE and to consider further practical steps to implement the November 2003 Conclusions in a flexible and effective way.

### **XIII. Relations with Third States**

33. Dialogue and co-operation with strategic partners and other Third States was continued, including with Third States contributing to EUPM and EUPOL Proxima. Contributing States had opportunities, within the agreed framework, for frank exchange of views and feedback on their experience of participating in Civilian ESDP operations. This also allowed them to feed into the EU Lessons Learned process. This dialogue and co-operation with Third States will continue also with a view to their potential participation in the possible ESDP mission in Bosnia and Herzegovina.
34. As authorised by the Council in February 2004, the Presidency opened negotiations with eight states with a view to concluding agreements on a framework for their participation in EU crisis management operations.
35. Work on dialogue and co-operation with Mediterranean partners on ESDP continued on the basis of Option Paper approved by Council and noted by the European Council last year. The Presidency and member States continued their commitment to fruitful and constructive exchange of views on issues of mutual interest. To this end the PSC reviewed the implementation of modalities and considered concrete proposals aimed at strengthening

further dialogue and co-operation with Mediterranean partners in the area of ESDP. This included measures aimed at making EU actions in the field of ESDP more understandable and visible and measures aimed at making the co-operation with Mediterranean partners on ESDP more substantial and concrete, including in the fields of the fight against terrorism and the non-proliferation of WMD. The PSC agreed a report which was presented to the Mediterranean partners on the occasion of the EuroMed Ministerial meeting in Dublin on 5-6 May.

#### **XIV. Mandate for incoming Presidency**

On the basis of the present report and taking into account the European Security Strategy the incoming Presidency, assisted by the Secretary General/High Representative, and, as appropriate, in association with the Commission, is invited to continue work on developing the European Security and Defence Policy within the General Affairs and External Relations Council. In particular, the incoming Presidency is invited:

- to continue all ongoing work on developing European military and civilian capabilities, including civil-military co-ordination, building upon the results of previous Presidencies and with a view to further improving the Union's effectiveness in crisis management, to continue the implementation of the European Programme for the prevention of violent conflicts, as well as to develop further the contribution of ESDP to the fight against terrorism;
- to prepare and implement decisions related to present and future missions, both civilian and military, including the conclusion of the preparatory work for the launching of the EU-led mission in Bosnia and Herzegovina and the related arrangements with NATO;
- to elaborate the military requirements on the basis of the Headline Goal 2010 document, including the development of benchmarks and criteria for evaluating progress on capabilities of the enlarged Union, and, in this light, to evaluate the ECAP process, taking into account the relations with the Agency in the field of defence capabilities development, research, acquisition and armaments, and organise a Military Capabilities Commitment Conference;

- in this context to take forward the work on EU Rapid Response capacities and in particular implementation of the Battlegroups concept and to seek commitments of Member States on their initial contributions with a view to an initial operational capability by early 2005;
- to help to consolidate the establishment of the Agency in the field of defence capabilities development, research, acquisition and armaments in the course of 2004;
- to implement the June 2004 GAERC decisions on European Defence: NATO/EU Consultation, Planning and Operations;
- to start implementing the Action Plan for civilian aspects of ESDP as defined by the European Council in June 2004, including work on consolidated civilian headline goal;
- to organise a Civilian Capabilities Commitment Conference, foreseen for November 2004, in order to confirm the present capabilities commitments in the four priority areas, to integrate the capabilities commitments of the 10 new members of the EU and to continue to improve the qualitative aspects of the commitments;

- to enhance the dialogue and co-operation with the European Union's partners in the field of ESDP, including the European Non-EU NATO Partners, Canada, Russia, Ukraine and the Mediterranean countries engaged in the Barcelona Process, and further pursue the EU partnership with international organisations such as NATO, UN, OSCE and relevant African organisations;
- to conduct a first review of the Athena Mechanism to administer the financing of the common costs of European Union operations having military or defence implications.

## Headline Goal 2010

### **A. The 2010 Headline Goal**

1. The European Union is a global actor, ready to share in the responsibility for global security. With the adoption by the European Council in December 2003 of the European Security Strategy, it affirmed the role it wants to play in the world, supporting an international order based on effective multilateralism within the UN. In this context of new dangers but also new opportunities, Member States' strong commitment to give the enlarged European Union the tools to make a major contribution to security and stability in a ring of well governed countries around Europe and in the world is stronger than ever. The EU has the civilian and military framework needed to face the multifaceted nature of these new threats. The availability of effective instruments including military assets will often play a crucial role at the beginning of a crisis, during its development and/or in the post conflict phase.
2. Member States have therefore decided to set themselves a new Headline Goal, reflecting the European Security Strategy, the evolution of the strategic environment and of technology. Lessons learned from EU-led operations will also be taken into account. Building on the Helsinki Headline and capability goals and recognising that existing shortfalls still need to be addressed, Member States have decided to commit themselves to be able by 2010 to respond with rapid and decisive action applying a fully coherent approach to the whole spectrum of crisis management operations covered by the Treaty on the European Union. This includes humanitarian and rescue tasks, peace-keeping tasks, tasks of combat forces in crisis management, including peacemaking. As indicated by the European Security Strategy this might also include joint disarmament operations, the support for third countries in combating terrorism and security sector reform. The EU must be able to act before a crisis occurs and preventive engagement can avoid that a situation deteriorates. The EU must retain the ability to conduct concurrent operations thus sustaining several operations simultaneously at different levels of engagement.

3. Interoperability but also deployability and sustainability<sup>1</sup> will be at the core of Member States efforts and will be the driving factors of this goal 2010. The Union will thus need forces, which are more flexible, mobile and interoperable, making better use of available resources by pooling and sharing assets, where appropriate, and increasing the responsiveness of multinational forces.
4. The ability for the EU to deploy force packages at high readiness as a response to a crisis either as a stand-alone force or as part of a larger operation enabling follow-on phases, is a key element of the 2010 Headline Goal. These minimum force packages must be military effective, credible and coherent and should be broadly based on the Battlegroups concept. This constitutes a specific form of rapid response, and includes a combined arms battalion sized force package with Combat Support and Combat Service Support. Rapid reaction calls for rapid decision making and planning as well as rapid deployment of forces. On decision making, the ambition of the EU is to be able to take the decision to launch an operation within 5 days of the approval of the Crisis Management Concept by the Council. On the deployment of forces, the ambition is that the forces start implementing their mission on the ground, no later than 10 days after the EU decision to launch the operation. Relevant air and naval capabilities would be included. The need for reserve forces should be taken into account. These high readiness joint packages (battlegroups) may require tailoring for a specific operation by the Operation Commander. They will have to be backed up by responsive crisis management procedures as well as adequate command and control structures available to the Union. Procedures to assess and certify these high readiness joint packages will require to be developed. The development of EU Rapid Response elements including Battlegroups, will strengthen the EU's ability to respond to possible UN requests.
5. Member States have identified the following indicative list of specific milestones within the 2010 horizon:

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<sup>1</sup> Interoperability can be broadly defined as the ability of our armed forces to work together and to interact with other civilian tools. It is an instrument to enhance the effective use of military capabilities as a key enabler in achieving EU's ambitions in Crisis Management Operations. Similarly, deployability involves the ability to move personnel and materiel to the theatre of operations, while sustainability involves mutual logistic support between the deployed forces.

- a) as early as possible in 2004, in conformity with the December 2003 European Council Conclusions and in line with the Presidency note annexed, the establishment of a civil-military cell within the EUMS, with the capacity rapidly to set-up an operation centre for a particular operation;
- b) the establishment of the Agency in the field of defence capability development, research, acquisition and armaments (European Defence Agency) in the course of 2004. This will also support, as appropriate, the fulfilment of the commonly identified shortfalls in the field of military equipment;
- c) the implementation by 2005 of EU Strategic lift joint coordination, with a view to achieving by 2010 necessary capacity and full efficiency in strategic lift (air, land and sea) in support of anticipated operations;
- d) specifically for Airlift the transformation of the EACC into the EAC by 2004 is welcomed, as is the intention on the part of some Member States who so wish to develop a European Airlift command fully efficient by 2010;
- e) the complete development by 2007 of rapidly deployable battlegroups including the identification of appropriate strategic lift, sustainability and debarkation assets;
- f) the availability of an aircraft carrier with its associated air wing and escort by 2008;
- g) to improve the performance of all levels of EU operations by developing appropriate compatibility and network linkage of all communications equipment and assets both terrestrial and space based by 2010;
- h) to develop quantitative benchmarks and criteria that national forces declared to the Headline Goal have to meet in the field of deployability and in the field of multinational training;

## **B. Process**

- 6. This Headline Goal 2010 will generate the necessary analysis, adaptation and development of scenarios in view of the development of new Headline Goal Catalogues as required by the EU Capability Development Mechanism<sup>2</sup> (including a clear categorisation of

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<sup>2</sup> Doc. 6805/03 + COR 1

capabilities to tasks), incorporation of rapid response capability<sup>3</sup> and further improvement of C2 capabilities on operations.

7. To achieve these objectives the EU will apply a systemic approach in the development of the necessary military capabilities, aiming at creating synergies between Member States' forces in order to enhance the ability of the EU to respond more rapidly and effectively to crises.
8. This approach requires Member States' to voluntarily transform their forces by progressively developing a high degree of interoperability, both at technical, procedural and conceptual levels. Without prejudice to the prerogatives of Member States over defence matters, a co-ordinated and coherent development of equipment compatibility, procedures, concepts, command arrangements and defence planning is a primary objective. In this regard, commonality of security culture should also be promoted. Deployability, sustainability and other crucial requirements such as force availability, information superiority, engagement effectiveness and survivability will play an immediate pivotal role.
9. Interoperability must be considered in a broad framework including military, civilian and civil-military aspects. The EU will further strengthen the coordinated use of its civil and military capabilities acknowledging that modern Crisis Management Operations typically require a mixture of instruments. Work will be undertaken to consider interoperability issues including between the military and civilian assets in civil protection operations<sup>4</sup>. Moreover the EU will promote the principle of interoperability in the field of military capabilities with its partners, notably NATO and the UN, and its regional partners, in line with the European Security Strategy. The strength and effectiveness of the OSCE and the Council of Europe has also a particular significance for the EU.

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<sup>3</sup> Of which some are civil crisis management instruments, and notably police components, that can be deployed together with military components and temporarily under military responsibility (ESDP Presidency Report to the Nice European Council), foreseeing also an integrated planning process. Such instruments will enhance the overall capability to respond to crisis management.

<sup>4</sup> Doc. 15564/03, para. 4.



10. Strengthening the United Nations is a European priority. Real world experience, with the successful termination of operation ARTEMIS in the Democratic Republic of Congo, has shown the potential for the EU to conduct operations in support of UN objectives. Work with the UN DPKO at an institutional level could also be beneficial in this respect and as a valuable means to strengthen EU-UN relationship. The development of EU Rapid Response elements including Battlegroups, will strengthen the EU's ability to respond to possible UN requests.
  
11. As underlined by the European Security Strategy and demonstrated by operation CONCORDIA in FYROM, the EU-NATO permanent arrangements, in particular Berlin Plus, enhance the operational capability of the EU and provide the framework for the strategic partnership between the EU and NATO in crisis management. The establishment of a small EU cell at SHAPE and of NATO liaison arrangements at the EUMS as early as possible in 2004 will improve the preparation of EU operations having recourse to NATO assets and capabilities under the Berlin plus arrangements. This will also enhance transparency between the EU and NATO embodying this partnership. Furthermore, promoting the further use of agreed standards<sup>5</sup> will reduce unnecessary duplication and produce more effective forces for both the EU and NATO. In this framework the EU-NATO capability Group will continue to play a central role in accordance with its mandate as defined in the Capability Development Mechanism. Complementarity and mutual reinforcement of EU and NATO initiatives in the field of rapid response should be ensured.

### **C. Way Ahead**

12. The relevant bodies of the Council and the European Defence Agency when established, will develop the necessary set of benchmarks and milestones in order to evaluate progress towards the achievement of these objectives notably in the field of interoperability, deployability and the other crucial requirements identified above. Work will proceed in the field of equipment, forces and command and control based on a systemic and coherent approach.

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<sup>5</sup> In line with para. 53 of the Capability Development Mechanism on consistent standards with NATO.

13. In the field of equipment, the 2010 perspective should allow Member States to harmonise their respective future requirements and calendars in order to achieve a convergent fulfilment of capability needs.
14. In the field of forces :
- all the forces contributed to the EU will be categorised on the basis of their combat effectiveness and operational readiness in relation to the range of possible tasks;
  - concerning Rapid Response, suitable force package requirements, taking also into account the agreed EU Battlegroups concept, should be identified at the beginning of the second semester of 2004 in view of allowing Member States to start contributing to the constitution of high readiness joint packages. In full respect with the voluntary nature of the process, the contributions should indicate when and for what period the force package would be available to the EU;
  - from 2005 onwards the EU will launch an evaluation process in order to scrutinise, evaluate and assess Member States' capability commitments, including Rapid Response;
  - qualitative requirements, such as interoperability, deployability and sustainability, as well as quantitative ones for the forces will need to be identified in greater detail;
  - forces available will be tested through HQ exercises as well as opportunities offered by national and multinational field exercises. In particular, Rapid Response elements will need to undertake regular realistic training, including multinational exercises;
  - the collection of existing operational doctrines will be complemented with common concepts and procedures on the basis of work conducted in the framework of the European Capability Action plan and in coherence with NATO.
15. In the field of Command and Control, the ability to plan and conduct operations will be reinforced in the light of the December 2003 European Council Conclusions and by developments in the European Capability Action Plan. Specifically:
- the work of the ISTAR Information Exchange framework Project Group will contribute to the development of an EU information-sharing policy and associated framework for implementation by 2010, with an interim architecture by 2006;
  - the work of the Space Based Assets Project Group will contribute to the development of an EU space policy by 2006.

16. Under the auspices of the Council and in the framework of its responsibilities for the political direction of the development of military capabilities the PSC, based on the opinion of the EUMC and in liaison, as appropriate, with the European Defence Agency, will direct the necessary steps leading to the more precise definition of the Headline Goal 2010 based on the elements set out in this paper and of the milestones identified in para 5. Taking into account the comprehensive Spring 2004 military capability assessment (Single Progress Report, Capability Improvement Chart) further progress will also be required on the recognised shortfalls and deficits from the 2003 Headline Goal. Implementing this Headline Goal 2010 will include the following steps:

- in 2004 : by the beginning of the second semester, preparatory development work on high readiness joint packages requirements in the framework of EU Rapid Response should be finalised.

Under broad guidance of the PSC, the necessary planning assumptions and scenarios preliminary to the definition of the military requirements necessary to fulfil the 2010 horizon should be elaborated by the EUMC in an iterative process with the PSC. In this framework focussed military scenarios could be presented for political approval.

Work should also start on the capability evaluation process, notably on the definition of the necessary benchmarks and criteria.

By the end of the year, framework nation or multinational high readiness joint packages should be contributed to the EU as an intermediate phase on rapid response development.

A Conference on military capabilities will be organised in the second semester of 2004;

- by the beginning of 2005 : establishment of a list of detailed capability target criteria;
- by mid 2005 : finalisation of the Requirements Catalogue 2005, including Rapid Response, in accordance with the EU Capability Development Mechanism. The capability evaluation process could be already launched;
- by the end of 2005 : a bidding process<sup>6</sup> could be launched in view of the production of the Force Catalogue and Progress Catalogue. The database of military assets and capabilities relevant to the protection of civilian population against the effects of terrorist attacks, including CBRN, would be maintained in connection with the Force Catalogue, produced in accordance with the EU Capability Development Mechanism;

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<sup>6</sup> See in particular the relevant paragraphs of and the annex to the Capability Development Mechanism concerning ESDP information requirements and the interaction with NATO.

- by 2007, complete development of rapidly deployable battlegroups including the identification of appropriate strategic lift, sustainability and debarkation assets;
- between 2006 and 2010 the normal iterations described in the Capability Development Mechanism will continue to take place with the involvement of the European Defence Agency<sup>7</sup>, as appropriate. Building on the Headline Goal 2010, a longer term vision beyond 2010 will be formulated with the objective of identifying trends in future capability developments and requirements and increasing convergence and coherence.

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<sup>7</sup> Agency in the field of defence capability development, research, acquisition and armaments.

EU UN**EU-UN co-operation in Military Crisis Management Operations****Elements of Implementation of the EU-UN Joint Declaration**

1. The European Security Strategy underlined the importance of the United Nations in international relations, and recalled that the United Nations Security Council has the primary responsibility for the maintenance of international peace and security. It also underscored that "strengthening the United Nations, equipping it to fulfil its responsibilities and to act effectively, is a European priority". This commitment will be consistent with other priorities set out in the European Security Strategy.
2. The signature of a "Joint Declaration on EU-UN co-operation in Crisis Management" in September 2003, building on the success of Operation Artemis, has identified tracks to implement the longstanding EU commitment to support the UN in crisis management. A joint consultative mechanism (also known as "the Steering Committee") was established at working level and regular meetings between staffs from both organisations have taken place. Work on the implementation of the Joint Declaration was given further impetus by the meeting in January 2004 between the EU Presidency Minister for Foreign Affairs, Mr Brian Cowen, and SG Kofi Annan. One of the tracks identified in the Joint Declaration under the heading "planning" aims at identifying the modalities under which the EU could provide military capabilities in support of the UN. Work on a complementary document on civilian aspects of EU-UN co-operation in crisis management operations is being taken forward in the appropriate instances of the Council.
3. At this stage, two main options can be identified:
  - provision of national military capabilities in the framework of a UN operation, or,
  - an EU operation in answer to a request from the UN.

## **PROVISION BY MEMBER STATES OF NATIONAL CAPABILITIES**

4. The decision to provide military capabilities to a UN operation is a national responsibility. Military capabilities are in no way "frozen" for ESDP purposes, and it remains a national decision to assign these forces to the UN.
5. A complementary role could be envisaged for the EU in the form of a "clearing house process" among Member States. The "clearing house process" aims at creating a framework by which Member States could, on a voluntary basis, exchange information on their contributions to a given UN operation and, if they so decide, co-ordinate these national contributions. This would be of particular relevance for what is called by the UN the "enabling capabilities". These are scarce, expensive capabilities requiring a very high level of expertise for their deployment and maintenance (field hospitals, ELINT or SIGINT assets....). Such a "clearing house process" would not, nor is intended to, modify modalities for national decision making and national participation in a UN operation, or affect existing bilateral arrangements with the UN Department of Peacekeeping Operations (DPKO). Such participation will remain a national decision and will be managed in accordance with UN Force Generation procedures. The EU Permanent Missions to the UN in New York could play a role in this regard.
6. The "clearing house process" would be activated at the request of one Member State willing to contribute to a UN operation and desiring to share this commitment with other Member States. Following the receipt of requests by Member States from the UNSG, the SG/HR could also propose the activation of the "clearing house process" to Member States.

## **AN EU OPERATION IN SUPPORT OF THE UN**

7. The other main option is the launching and conduct of an EU operation in support of the UN and under the political control and strategic direction of the EU. Different modalities could be envisaged. The EU could conduct operations under a UN mandate, either as a stand alone operation, as could be the case in Bosnia and Herzegovina, or take responsibility for a specific component within the structure of a UN mission (so called "modular approach"). In this case,

an EU component would operate under political control and strategic direction of the EU. These models will have to be assessed from an EU perspective, building on existing and past experience.

8. Special attention should be given to operations calling for a rapid response. In that specific case, the rapid response capability of the EU would bring a particular added value. The UN Secretariat has expressed the view that two broad categories of rapid response operation in support of the UN could be identified, namely the "bridging model" and the "stand by model". Work underway on the "Battle Group Concept" and implementation of the "Headline Goal 2010" document will have to be taken into account in further consideration of these and other possible options for EU/UN co-operation. Experience gained by the Member States concerned from the use of Standby High Readiness Brigade (SHIRBRIG) would also be useful in assessing the modalities for EU support to the UN in military crisis management.

#### Bridging model

9. The "bridging model" aims at providing the UN with time to mount a new operation or to reorganise an existing one (e.g. Artemis case). Such a model calls for rapid deployment of appropriate military capabilities and agreed duration and end-state.
10. The exit strategy from such an operation is the arrival, in time, of a UN force able to take over from the EU force deployed and tailored to the mission. The deployment of an EU force should therefore be complemented by a range of other activities aimed at facilitating the deployment of the UN force:
  - Political efforts in the UN framework to make sure the UN force would have the appropriate mandate and capabilities and be deployed in time, making full use of Art 19 of the TEU.
  - Technical assistance and exchange of information with the UN and the UN troop contributing countries to facilitate the deployment of the UN forces and the hand-over of responsibilities between the EU and UN forces.

11. Early deployment of UN troops before the actual hand over would facilitate a smooth transition by getting the UN force used to the tactical situation on the ground, and familiar with the course of action of the EU forces. It would also allow for the transfer of intelligence. Discontinuity between the two operations would therefore be avoided, depriving hostile forces of the opportunity to exploit such a discontinuity.
12. The UN Secretariat has underlined that the transition between the two operations would be facilitated further by the "re-hatting" (participation in a UN operation of forces previously committed to an EU operation) of EU forces, or by maintaining after the end of the EU operation a number of enabling capabilities. In practical terms, the "re-hatting" would be a national decision to commit the forces to the UN after the end of the EU operation. Maintaining enabling capabilities could be done the same way (national decision to commit assets to the UN operation) or through an EU operation (under political control and strategic direction of the EU) in support of the UN operation.

#### Stand By Model

13. The "stand by model" as described by the UN Secretariat, would consist of an "over the horizon reserve" or an "extraction force" provided by the EU in support of a UN operation. This would be of particular relevance in an African context. Such a type of operation calls for immediate reaction and is therefore very demanding. It would involve complicated coordination between the EU and the UN, and is limited in its usability. Such an operation could carry considerable associated risks. This model raises a number of issues that need to be analysed. The work on the Battle Group Concept will inform this analysis, with a view to ensuring consistency and coherence.
14. The issues that require further detailed analysis in ascertaining the feasibility of this model are inter alia involvement of the EU in the planning of the UN operation, command and control, situation awareness and transfer of authority arrangements.



## **WORKING TOGETHER**

15. An in-depth knowledge of each others' procedures, concept and structures would facilitate co-operation between the two organisations in military crisis management. This could be achieved inter alia through further enhancing the network already established between the two staffs that is taking forward work on the implementation of the Joint Declaration. Cross participation in exercises and training activities, exchange of information on respective operational standards and concepts, temporary and short duration exchanges of officials, and reinforcement of the expertise of the respective liaison offices in the field of crisis management, would greatly contribute to the development of that mutual knowledge in both organisations. This should be complemented by a possible supporting work by the Institute for Security Studies and other relevant policy study bodies.
  
16. The prospects for building on existing co-operation between the EU Satellite Centre and relevant UN agencies should also be explored, including the possibility of a Memorandum of Understanding between the two organisations. Finally work on modalities to further enhance intelligence sharing between the two organisations should be pursued.

## **WAY AHEAD**

- Development of proposals for the establishment of a "clearing house process", in accordance with paragraphs 4,5 and 6. This work will focus on the provision of the "enabling capabilities", to be defined in association with the UN. Permanent Missions to the UN could play an important role in it.
- For the "bridging model": development with the UN of modalities to ensure the proper level of co-ordination with DPKO, with the UN Troop Contributing Countries and, when appropriate, with the UN mission headquarters on the ground as set out in paragraphs 9,10, 11, and 12. The aim would be to facilitate the deployment of the EU force, to ensure adequate co-operation with the UN during the EU operation, and to guarantee a smooth and timely hand-over.
- For the "stand by model": Analysis of the implications of such a model, as outlined in paras 13 and 14.

- Development of proposals for the further development of relations between the two Staffs, in particular modalities for the reinforcement of respective liaison offices with Crisis Management expertise.
- Development of a more co-ordinated approach by Member States for the provision of support to third countries participating in a UN operation with a view to enhancing the EU contribution in that regard
- Development of a Memorandum of Understanding for the use by the UN of EU Satellite Centre products.
- Work on possibilities for developing supporting work by the Institute for Security Studies and other policy study supporting bodies.
- Work on developing modalities for further strengthening intelligence sharing between the two organisations.

**The Way Ahead for Civilian Crisis Management – Action Plan****Draft Action Plan for Civilian Aspects of ESDP**

*“We need greater capacity to bring all necessary civilian resources to bear in crisis and post-crisis situations...we should be able to sustain several operations simultaneously. We could add particular value by developing operations involving both military and civilian capabilities” - European Security Strategy*

The European Security Strategy recognises that today’s security challenges have to be tackled with the full spectrum of EU capabilities and resources. The EU needs to be more active, more coherent and more capable. Drawing on experience to date of civilian crisis management and lessons learned, the EU is committed to improving its effectiveness in civilian crisis management.

With the adoption by the European Council in December 2003 of the European Security Strategy, the EU affirmed the role it wants to play in the world, supporting an international order based on effective multilateralism within the UN. In this context of new dangers but also new opportunities, Member States are strongly committed to give the enlarged European Union the tools to make a major contribution to security and stability.

The enlargement of the EU provides the Union with new chances and possibilities. Ten new Member States, keen to bring added value to the scope of EU crisis management, will contribute to the EU’s capabilities with their specific experiences and resources. They possess highly valuable knowledge concerning transformation processes, restructuring of all areas of society, democratisation and the establishment of the rule of law. Thereby they enrich the EU’s capacity to respond to an even broader range of demands in crisis situations. The new Member States have begun the process aimed at identifying further civilian crisis management capabilities available and a Civilian Capabilities Conference, foreseen for November 2004, will provide a milestone for the enlarged EU to further strengthen and target its civil crisis management capabilities.

## **Ambition for the future – Horizontal and Integrated Approach**

In the light of the challenges and the opportunities facing it, the EU should become more ambitious in the goals which it sets for itself in civilian crisis management and more capable of delivering upon them. To do so it must draw on the full range of its potential responses (Community, CFSP/ESDP, Member States), selecting amongst them so as to best achieve the objective of peace, stability and development in regions and countries in conflict. The EU must also have the ability to conduct concurrent civilian operations at different levels of engagement.

### **Parameters for the Future**

1. Given the increasing complexity of conflict and crisis management situations and the EU's desire to deploy crisis management missions to address these, it has become clear that the EU in addition to its existing capabilities should develop its capacity to deploy multifunctional civilian crisis management resources in an integrated format. The size, composition and precise functions of each EU civilian crisis management 'package' deployment will vary according to the specific needs. Beyond being categorised according to pre-existing areas, each civilian mission will respond with the expertise required to best meet the challenge of each unique crisis situation. This would allow EU operations to be more comprehensive, flexible and adaptable to the needs of specific situations. This has already proven to be a particularly important requirement of operations comprising both police and rule of law elements.

It will be necessary to broaden the range of expertise upon which the Union can draw for its crisis missions in order to better reflect the multifaceted tasks that it will face. EU missions would in particular benefit from expertise in the field of human rights, political affairs, security sector reform (SSR), mediation, border control, disarmament, demobilisation and reintegration (DDR) and media policy. The EU should begin work to ensure it is able to identify experts in these fields to be incorporated into future civilian crisis management missions.

2. The EU will further develop its capacity to conduct monitoring missions. This could be a concrete way to improve its presence before a conflict happens and in conflict and post-conflict intervention. Conceptual and practical work should continue aiming at developing a general monitoring capability by the end of the year.

### **Capabilities**

3. Setting strategic targets and defining the political aims of EU's operational capabilities for civilian crisis management is an ongoing challenge. The next important step towards meeting this challenge in an EU of 25 members will be taken at a Civilian Capabilities Conference foreseen for November 2004. The Conference will offer an opportunity to re-examine the concrete targets that the EU has set itself in the field of civilian crisis management, to integrate the new capabilities of the new Member States and to continue to improve the qualitative aspects of the commitments.
4. Defining their capabilities better will help Member States to deliver on their commitments. Force generation and rotation has raised questions on the relationship between commitments, actual resources and availability of Member State personnel. Capabilities committed, actual resources and their availability will be regularly reviewed by Member States. The existing capabilities database of the Co-ordinating Mechanism for Civilian Aspects of Crisis Management will be updated by Member States in advance of the forthcoming Capabilities Conference.
5. To carry forward the process of improving capabilities, work on a consolidated Civilian Headline Goal, for civilian crisis management will be developed in view of the Capabilities Conference in November 2004. Such a Headline Goal will take a global view of the full spectrum of civilian crisis management instruments and their interaction. It will build on the European Security Strategy, the Action Plan, incorporate lessons learned since the European Councils of Feira and Göteborg, and take into account the results of the Capabilities Conference.

6. Inter-linkages between crisis management and conflict prevention must also be further enhanced. Work begun by the Irish Presidency including improving the capacity of the EU for early warning in order to facilitate ESDP deployments to react quickly to nascent conflicts will be followed up. Particular attention should be given to preventive deployment of EU CFSP/ESDP instruments in potential crisis theatres.

### **Synergies**

The EU has at its disposal a wide range of tools for crisis management. Complementarity and coherence between all its instruments is vital for the conduct of efficient and effective operations.

7. The Union can draw on the combined strengths of Community instruments, ESDP capabilities and Member State bilateral assistance in its response to crisis situations. Clear identification in any given crisis management situation of the EU's political objectives is essential to maximise effectiveness of its combined capacities. The Community makes a substantial contribution to civilian crisis management and its instruments will continue to be a core element in the EU's response. Its added value comes in particular from the continuity it provides with the existing programmes of assistance, and contribution to prevention of crises through long-term programmes of conflict prevention. The Commission will continue to develop its capacity to provide effective, rapid and flexible assistance to crisis management situations through Community instruments. The Commission's proposed rationalisation of external assistance instruments presents an opportunity to promote synergies between EC, bilateral and ESDP responses to crises.
8. The EU is committed to strengthening synergies between its civilian and military crisis management instruments both as regards the development of generic concepts and tools and the planning and conduct of operations, in Brussels and in the field. Ongoing work on ESDP training, exercises and in relation to the development of an EU civil-military planning cell are welcome examples of progress towards these objectives as is coordination between civilian and military sides in the context of contingency planning for a possible EU-follow-on mission to the current SFOR operation in Bosnia-Herzegovina. Further areas for co-ordination will be explored such as concept development for DDR and SSR.

9. Experience has shown that field based coordination of the EU's response in a given crisis management situation is of central importance. Further strengthening of the position of the EUSR in theatre in relation to ESDP missions would be useful in order to increase coherence. Generic support functions for an EUSR's office will be developed to allow for flexibility of deployment and as support to a civilian ESDP mission. Such functions should include human rights, political and legal affairs, gender expertise, media policy and mission administration support.
10. Building on contacts between the Article 36 Committee and the Committee for Civilian Aspects of Crisis Management which have taken place under the Italian and Irish Presidencies, links between civilian crisis management activities and the Justice and Home Affairs pillar should be further explored and strengthened. In particular, the Chiefs of Police, as key stakeholders, are encouraged to actively and jointly engage in police aspects of civilian crisis management, in particular in terms of qualitative and quantitative capability development.
11. An important area for further work is ensuring coherence between ESDP and the fight against organised crime, including in the context of the review of how the EU and its Member States could contribute in a more effective way to the fight against organised crime originating from or linked to the Western Balkans being undertaken under the auspices of the Justice and Home Affairs Council.
12. To contribute to coherence between security and development, synergy between EU development assistance activities and civilian crisis management under ESDP should be elaborated and better developed, including in post-conflict stabilisation and reconstruction. Work begun by the Irish Presidency in this area will be followed up, inter alia by ensuring a continuous dialogue between ESDP and EU development experts.

## **Making Civilian Capabilities more operational**

The EU will continue improving its crisis management tools and procedures on the basis of lessons learned both from its own operations as well as through exchanges with other organisations. Civilian crisis management will be evaluated to contribute to a frank and thorough lessons learned process.

Experience from EU civilian crisis management operations undertaken to date shows that launching operations quickly requires sufficient planning, financial and mission support resources.

13. Planning and mission support remains of the utmost importance. For the EU to respond effectively to crises and to launch and maintain concurrent missions, it must be assured of adequate contingency (advance response) and mission planning and support. While progress has been made, the build-up of such capabilities within the Council Secretariat so far heavily relies on Member States' short-term secondments of personnel. The Council looks forward to follow up to SG/HR Solana's letter of 30 April 2004 and to a more permanent solution as per his report of July 2003, taking full account of existing capacity within the Commission services.
14. Work will be carried forward in the relevant Council bodies to address identified legal and administrative difficulties relating to procurement arrangements. The forthcoming joint report by the Council Secretariat and the Commission expected by September 2004 is expected to make an important contribution to this work. The report should also examine the following as possible solutions:
  - The possibility of signing framework agreements for the provision of standard equipment, which could be triggered upon decision to launch a mission.



- The establishment of an equipment storage facility for start-up kits of key equipment which could be re-used for future crisis management mission. Both the UN and Heads of current EU Police Missions will have valuable input to this question. The importance of adequate planning of procurement, and related expertise cannot be over emphasised including in Brussels, in the field and on fact-finding missions.

15. Guidelines for financing civilian crisis management operations under Title V TEU have been agreed. However, the level of ambition for EU civilian crisis management operations require the strengthening of the CFSP budget.

Discussions on budgeting issues by the competent authorities in the autumn 2004 will provide an opportunity to consider this issue as appropriate.

Drawing on experience of existing Community instruments (viz., Rapid Reaction Mechanism), arrangements for more extensive rapid financing mechanisms could be devised in the context of a strengthened CFSP budget

16. Interoperability between Member States' respective national civil crisis management capacities through training and exercises must also be enhanced in order to ensure the ability of the EU to respond more rapidly and effectively to crisis situations.

### **Training and Recruitment**

As stressed in the European Council at Thessaloniki, the development of a European security culture under ESDP encompassing both civilian and military dimensions of ESDP is a priority. A concept is being developed aiming at ensuring coordination and establishing links and strengthening synergies between the different training initiatives within ESDP (in this context, the proposal concerning a European Security and Defence College has also been examined) and the work already done especially in the field of civilian crisis management .

17. Efforts toward coherent training in the context of ESDP both on the operational and the strategic level will be pursued as follows:

- Current training activities, including the courses provided under the auspices of the European Commission's project on training in civilian aspects of crisis management, will be co-ordinated to achieve increased awareness and a common understanding of the interdependence of the different elements of the EU's crisis management response at all levels.
  - Those who attend training courses, and in particular those conducted by national training institutions under the auspices of the European Commission's project on training for civilian crisis management, should be nominated with a view to their participating in EU crisis management operations.
  - Greater emphasis also needs to be placed on pre-deployment and mission specific training at EU level.
18. The EU must be certain as to the quality of human resources and be assured that their profiles meet the needs of EU crisis management missions. Member States must live up to their responsibility to recruit and train skilled mission personnel. The Committee for Civilian Aspects of Crisis Management is requested to examine the progress made by Member States and to share 'best practice', including on the establishment and maintenance of national data bases, and lessons learned in the field of human resources, national training, and recruitment for civilian crisis management and a report will be presented to the PSC before the Capabilities Conference in November 2004.

### **Working with Partners**

19. The EU is committed to reinforcing its cooperation with the UN. Building on the September 2003 Joint Declaration on Cooperation in Crisis Management, work will be pursued to further deepen and broaden the dialogue and practical cooperation with the United Nations. The EU will pursue its staff-to-staff contacts with the UN and develop its own internal work in order to enhance its ability to respond to possible requests from the UN.

Conflict prevention and resolution in Africa has been identified as an area with considerable potential for cooperation with the UN. Ongoing contacts with the UN and with relevant regional and sub-regional organisations should develop practical proposals with regard to civilian aspects of ESDP in Africa. In particular, the question of capacity building for African organisations should be addressed.

20. The EU will take further steps to reinforce its co-operation with the OSCE in civilian crisis management, including on training. This co-operation has proved particularly valuable in the launching of Operation Proxima in the Former Yugoslav Republic of Macedonia. Building on ongoing work, it will explore with the OSCE the possibility of establishing a framework for co-operation.
21. Keeping in mind the important contribution of Third States in EU crisis management operations, the Union will further enhance transparency, dialogue and cooperation on civilian crisis management with its partners.
22. Exchange of information with representatives from non-governmental organisations and civil society should take place on a regular basis. To this end incoming presidencies are invited to facilitate meetings with them during their respective presidencies. NGO and civil society views in relation to the general orientations of EU civilian crisis management are welcome. NGO experience, expertise and early warning capacity are valued by the EU.

## **Conclusion**

Incoming Presidencies, supported by the Council Secretariat and in close co-ordination with the European Commission, are invited to take this work forward.

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