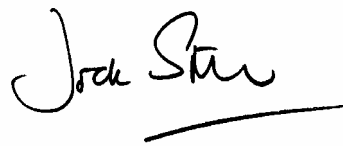


JOINT DOCTRINE PUBLICATION 0-01

BRITISH DEFENCE DOCTRINE

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A handwritten signature in black ink, appearing to read "Jack Star", with a horizontal line underneath the name.

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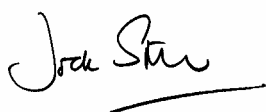
FOREWORD

1. Military Doctrine describes a human activity that is fundamentally different from anything else. In setting out the ‘fundamental principles by which military forces guide their actions in support of objectives’,¹ it draws on the lessons of history, on original thinking and on experiences gained from training and operations. It is ‘authoritative, but requires judgement in its application’.¹ Far from replacing individual initiative, it guides commanders and subordinates in the exercise of that initiative to achieve success. It is:

‘a guide to anyone who wants to learn about war from books; it will light his way, ease his progress, train his judgement and help him to avoid pitfalls...[doctrine] is meant to educate the mind of the future commander, or, more accurately, to guide him in his self-education, not to accompany him to the battlefield.’²

So doctrine is a pragmatic basis for action, decision and reflection, which encourages, amid the uncertainties of crisis and conflict, the decisive contribution of individual initiative, enterprise and imagination in achieving success. It does not provide an algorithm that obviates the need for difficult decisions. It provides the bedrock on which such decisions can be based.

2. This third edition of BDD should be read by all officers, and other interested members of the Armed Forces, Regular and Reserve, so that they understand the fundamentals of the British approach to military operations. It should be introduced during initial training, and re-visited at all stages of training and education thereafter, to establish and then extend understanding and professional competence. BDD is of particular relevance to those officers of mid-seniority and above in command and staff appointments. It should also be made available to allies and coalition partners to facilitate interoperability.



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¹ The UK uses the NATO definition in AAP-6 ‘NATO Glossary of Terms and Definitions’.

² Clausewitz, Carl von, ‘On War’, edited and translated, Michael Howard and Peter Paret, page 141 (Princeton, NJ: Princeton University Press, 1976).

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PREFACE

1. British Defence Doctrine (BDD) provides the broad philosophy and principles underpinning the employment of the British Armed Forces. It is the basis upon which all other subordinate national doctrine, describing in more detail how operations are directed, mounted, commanded, executed, sustained and recovered, is derived.
2. This third edition of BDD reflects recent operational experience, including the need for cross-Government and inter-agency cooperation, and the demands of contemporary military strategy and campaigning. The former, termed a Comprehensive Approach, encourages collaborative working and cooperative enterprises with Other Government Departments (OGDs), wider agencies and other actors. The latter encourages military planners to consider situations as a whole and to seek, through a range of activities, the achievement of outcomes which are both militarily and politically favourable.
3. BDD is divided into 2 parts.
 - a. Part 1 (Defence Context).
 - (1) Chapter 1 explains the relationship between Defence policy and military strategy, and – while highlighting the utility of force – emphasizes the importance of addressing security issues through a comprehensive, rather than an exclusively military, approach.
 - (2) Chapter 2 expounds the Nature and Principles of War, the Levels of Warfare and its evolving character.
 - b. Part 2 (Military Doctrine).
 - (1) Chapter 3 describes the likely employment of the British Armed Forces in pursuit of Defence policy aims and objectives.
 - (2) Chapter 4 explains the components of fighting power and the criticality of the operating context to its effective application.
 - (3) Chapter 5 describes the British approach to the conduct of military operations.
4. BDD is linked to a variety of unclassified policy documents such as Defence White Papers and Strategic Defence Reviews, as well as classified Strategic Planning Guidance. This edition is also underpinned by recent developmental and conceptual publications such as ‘*The DCDC Global Strategic Trends Programme 2007-2036*’ and ‘*The High Level Operational Conceptual Framework*’.

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BRITISH DEFENCE DOCTRINE

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PART 1

DEFENCE CONTEXT

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CHAPTER 1 – SECURITY AND DEFENCE

101. Security encompasses the safety of a state or organization and its protection from both external and internal threats. Externally, the threat may result from invasion, attack or blockade; internally, threats may include terrorism, subversion, civil disorder, criminality, insurgency and espionage. These internal threats may, in some cases, be externally sponsored, but are only likely to jeopardize the stability of a state when they receive widespread internal popular support and mount a challenge to established authority. In the last resort, the authority and stability, particularly of democratic states, depend on meeting the legitimate political, economic, societal, religious and environmental needs of individuals and groups. These aspects are usually expressed collectively as human security.

Human Security

102. Human security is characterized by: freedom from persecution, want and fear; adequate provision of essential commodities such as water and food; broader environmental security; and the protection of cultural values. It is threatened by: ethnic and religious divisions; poverty, inequality, criminality and injustice; competition for natural resources; and corrupt and inept governance, all exacerbated by greater awareness of global opportunities. The absence of, or threat to, human security undermines the stability of a state or region; individuals tend to transfer loyalty to any group that appears or promises to meet their needs, including organized, sometimes trans-national criminal gangs, warlords, and insurgent groups. Once such groups receive popular backing, they become a much greater threat to state, regional or even international security. Those benefiting from insecurity may seek to perpetuate crises and to undermine any international response.

103. The significance of human security is recognized in the United Nation's (UN) 'Responsibility to Protect' agenda,¹ which focuses on preventative and developmental lines of activity (including pre-emptive action) rather than purely reactive military intervention. Provision of human security demands an awareness of the particular needs of individuals as well as states. It requires thorough consideration of the constituent parts of a society, such as: the rule of law; education; commercial and economic; humanitarian and health; information; military; and diplomacy, administration and governance, all shaped by history and culture.

UK Security

104. The security of the UK is rooted in perceptions of national sovereignty and interests and how these may be best protected and promoted. The most important duty of the Government is to maintain the freedom and integrity of the nation's territory and

¹ UN 2004 Paper 'A more secure world: Our shared responsibility. Report of the Secretary General's High-level Panel on Threats, Challenges and Change'.

people. In addition, it will seek to secure a range of broader interests: political, economic and social. Commitments by the UK, and its allies and partners, to the strengthening of international peace and security, underpinned by Defence, enhance national security.

105. The UK's security goals are shaped by a complex combination of geo-strategic factors, which include geo-spatial, resource, social, political, science and technology, and military aspects. Some factors are of enduring significance, but none can be regarded in isolation and all may vary in importance over time. As a result, the ways in which the UK's security goals are achieved are kept constantly under review and modified in the light of events, emerging priorities and an informed view of the future. In-depth analysis of the future security environment and the identification of strategic trends are undertaken continuously by the Ministry of Defence (MOD). These assessments offer a range of potential outcomes, subject to chance and contingency, and the possibility of significant strategic shocks. They alert policy makers to future possibilities, potentially adverse circumstances and likely security implications.

106. Although the UK's geographic position is currently more remote than any other European country from direct sources of threat, the UK is a prominent international player, with numerous interests overseas and a role in the maintenance of international stability and law. The nation's stability, prosperity and well-being depend on international trade and investment more than most other developed economies. The UK is one of the world's largest outward investors and most important sources of capital to the developing world. The country is reliant on the supply of raw materials from overseas, on the secure transport of goods by sea and by air, and on a peaceful and stable world situation, conducive to trade. The UK's global perspective is also shaped by its responsibility for more than 10 million British citizens who live and work overseas, and by its large immigrant population.

107. For these reasons, to maximize its influence in the world and to contribute to the resolution of global problems, the UK supports a system of international collaboration, based on international law. It also seeks to extend its influence internationally by focusing on a broad agenda of shared problems and challenges that affect the mutual security and prosperity of the UK and other countries. The ability to project and employ armed force is one element within this multilateral system.

Collective Security

108. The UK views collective security as an essential pillar of its overall security strategy, promoted through its particularly close relationship with the US and membership of major International Organizations (IOs). These include the UN, the North Atlantic Treaty Organization (NATO), the European Union (EU), the Organization for Security and Co-operation in Europe (OSCE), described at Annex 1A, as well as the G8 and the Commonwealth.

109. This balance of allies, partners and bilateral relationships could, in the appropriate circumstances, generate significant diplomatic, economic and military leverage. Other standing military alliances include formal arrangements such as the Five Power Defence Arrangements (FPDA) and other less formal groupings. The UK also supports, and cooperates with, other international bodies working to increase global and regional security, for example, the African Union (AU).

POLICY AND STRATEGY

110. Politics concerns the capacity to influence the behaviour of others. The conduct of international politics involves the application of national power, within the international system, in support of national or collective interests, usually in conjunction with allies and partners. Suitable political outcomes and objectives, and the use of the military instrument in support of these, are articulated in policy and strategy respectively.

National Strategy

111. National strategy directs the coordinated application of the instruments of national power, described below, in the pursuit of national policy aspirations. Accordingly it lies within the political domain, principally with the Prime Minister and Cabinet, with advice from the most senior military officers. The Government's political intentions, in relation to a specific campaign, may be articulated as a national strategic aim or end-state, based upon the outcome required, and accompanied by associated strategic objectives. For its successful formulation and implementation, national strategy requires continuous re-assessment as circumstances and imperatives change.

112. National strategy also involves determining the UK contribution to multinational operations, the extent of burden-sharing and the harmonization of UK and other nations' policy objectives to achieve common strategic goals. The process by which objectives are established, and resources allocated, across an alliance or coalition is likely to be more complex than for a national enterprise, with less clearly defined conditions and, perhaps, greater limitations. Negotiation and consensus tend to precede formal direction, ultimately delivered through a defined national chain of command, even though military preparations and some operations may have started.

Military Strategy

113. Military strategy is not simply another term for Defence policy. Defence policy establishes the ends of military strategy and, in the normal course of events, shapes the structures and capabilities of the Armed Forces within resource and other constraints. Strategy is particularly concerned with the political consequences and advantages of the threat and use of force; it gives meaning and context to all

operational and tactical actions. Its purpose is to balance the ways and means required to achieve stipulated ends, conditioned by the environment and prospective opponents.

114. Military strategy links political aspiration, expressed in Government policy, and military feasibility. It is derived from national strategy and determines how the Armed Forces should be configured and employed, in conjunction with the other instruments of national power, to achieve favourable outcomes. Military strategy seeks success, underpinned by freedom of action, at the expense of an opponent or in relation to a particular situation. It evolves and adapts as circumstances change. The formulation of UK military strategy is shaped by a particular approach to crisis management in which conflict prevention is paramount, but the ability to intervene effectively with force, in order to re-establish peace and security, is also important.

115. Military strategy is concerned with the allocation, prioritization and balancing of military resources between concurrent and competing operational demands. A particular challenge for senior commanders is to maintain an appropriate focus on long-term outcomes, especially when confronted by short-term contingencies.

116. Military strategy provides the rationale for military operations. Field Marshal Viscount Alanbrooke, co-chairman of the Anglo-US Combined Chiefs of Staff Committee for most of the Second World War, described the art of military strategy as:

“to derive from the [policy] aim a series of military objectives to be achieved: to assess these objectives as to the military requirements they create, and the pre-conditions which the achievement of each is likely to necessitate: to measure available and potential resources against the requirements and to chart from this process a coherent pattern of priorities and a rational course of action.”

APPLICATION OF NATIONAL POWER

117. National policy objectives are achieved through the coherent and effective application of all 3 instruments of national power: diplomatic, economic and military.

Diplomatic Instrument

118. The diplomatic instrument of national power enables the achievement of the UK's, mainly foreign, policy objectives through diplomatic means. Successful diplomacy depends upon the power of persuasion, reinforced by the possibility of coercion, and enhanced by a combination of reputation and integrity, the skilful interplay of the other military and economic instruments, and effective communication. It is based on the nation state system but has evolved to incorporate other opinion formers, power-brokers and third parties.

119. The diplomatic instrument is in use constantly, including during conflict when the need to influence allies and neutrals, as well as opponents, is as vital as the application of military force. Defence Diplomacy aims to dispel hostility, build and maintain trust, and assist in the development of responsible, competent and democratically accountable forces. It may also facilitate other UK military activity, by setting the conditions for overseas basing, access or overflight, and cooperation with allies and partners. Diplomacy is enhanced by Defence sections in embassies, the provision of operational military advice and assistance, the conduct of overseas training, and other influence activities.

Economic Instrument

120. Overseas investment, international flows of capital and trade, and development assistance provide scope for the exercise of economic influence. Economic power can provide a range of incentives, boycotts, tariffs and sanctions to influence decisions and affect behaviour. The potential impact of such measures can, however, be diminished by the effects of economic integration and the political sophistication of recipient countries. Their impact is also complicated by the combination of public and private influences, the operation of market forces and the complex relationships between global and national rates of growth and economic activity.

121. In some circumstances, military force may be required to support the economic instrument, through embargo operations and naval cooperation and guidance for shipping, for example. Alternatively, the placing of military equipment contracts or the reform of indigenous military structures in a foreign country may foster other positive economic outcomes abroad.

Military Instrument

122. Military power is the ultimate instrument and expression of national power, in circumstances ranging from deterrence and coercion through to the deliberate application of force to neutralize a specific threat, including pre-emptive intervention. It is the principal means of defence.

123. However, the military instrument is most effective when employed in conjunction with the other instruments to achieve national objectives; its use is 'not an independent phenomenon, but the continuation of policy by different means'.² The military instrument can, nonetheless, be decisive. For example, in difficult negotiations with intractable opponents, diplomacy may only be successful if backed up by the prospect of force. Indeed, the unique contribution of the military instrument is to threaten or, where necessary, to apply force to ensure the security of the nation, freedom from foreign oppression, and the promotion of national interests.

² Von Clausewitz letter, 22 December 1827.

124. The main strategic objectives and character of any campaign involving the Armed Forces, however, are likely to be largely political in nature, precluding an exclusively military solution to most conflict situations. Military utility relies upon the ability and willingness to deploy forces rapidly and effectively, and sustain them, beyond national boundaries and potentially world-wide. States with armed forces that lack the means of effectively projecting their power on a global scale can exert only limited regional influence. Generally, only a select few states are able to overcome the logistical difficulties inherent in the expeditionary deployment and operational direction of a modern, technologically advanced military force. This ability is a crucial element of the UK's power in international relations.

125. The application of force or the threat of its use, against elements seeking to erode security, helps to maintain the integrity and security of the international system, and reassures populations and communities that might otherwise be at risk. The extent to which the UK can exert such influence depends on a combination of appropriately manned, trained, and equipped forces. The UK maintains a balanced, credible military capability comprising both nuclear and conventional forces, at readiness levels consistent with the assessed threat and perceived intentions of potential opponents.

Information

126. Information enables the application of all 3 instruments. It is fundamental to the Government's approach to crisis management, although the British position is that information does not form a separate instrument *per se*.³ The dissemination of information, in accordance with a cross-Government information strategy, enables diplomatic, economic and military influence to be exerted in an effective and comprehensive way. At the same time, intelligence and information received across Government shapes planning and execution at all levels. Moreover, efficient management of information promotes unity of effort and understanding, and provides the opportunity to influence a range of audiences and activities in a coherent manner.

Employment of National Power

127. The geo-strategic balance of power between nations changes over time, owing to uneven rates of growth and variations in technology, demography and resources, which confer advantage on one society or another. States also determine their posture in relation to the way in which their elites and populations perceive their position and status relative to other states within the international community. These factors, as well as a nation's propensity for security and stability, determine the relative importance afforded to the employment of its instruments of national power.

128. Individually, each instrument of power is limited in terms of its discrete influence and impact. In practice, the diplomatic, economic and military instruments

³ Some other nations, such as the United States, treat information as a discrete instrument of power.

interact or conflict according to circumstance; ideally they act together, unified behind a common purpose or goal. What constitutes an appropriate combination, in any given situation, depends upon a full understanding of the complexities of the strategic context and the national policy objectives sought. At the same time, an appropriate balance should be drawn between the use of hard and soft power, described below.

Hard and Soft Power

129. Hard power is the threat or use of military or economic coercion to influence the behaviour or interests of states, groups or individuals, to induce them to adopt a particular course of action, which they would not otherwise choose themselves. The UK's warfighting capability, for example, is an important source of hard power and serves as an effective deterrent to potential opponents. Similar effects may, however, be realized by means of alternative or complementary soft power.

130. Soft power is the ability of a political body, such as a state or combination of states, to attract and hence to persuade other political bodies through cultural and ideological means or by encouraging emulation. The ways in which soft power may be effective include: culture (when it is attractive to others); values (which are seen to be sincere in their application); foreign policies (when they are seen as legitimate by others), any of which may be reinforced with financial and material incentives. Popular culture and media are regularly identified as sources of soft power, as are the influence of a dominant internationally used language, discreet sharing of privileged technical and commercial information, and a particular set of normative behaviours. In an information age, increased inter-connectivity enhances both the possibilities and the inclination for cooperation. Here, attention is the vital ground and the ability to share information, and to be believed, becomes an important source of influence.

131. A state may, therefore, obtain the outcomes it wants without the explicit threat or prospect of more costly exchange because others admire its values, aspire to its prosperity or openness, and so follow its example. The success of a state in deploying soft power also derives from its standing in the international community; significantly, however, soft power can equally be exploited by multinational companies, ideological movements and other groups.

132. History has shown that soft power is generally slower, more diffuse, and more cumbersome to wield than hard power, although it is often cheaper and its effects may be more enduring. The 2 may need to be used together. Ultimately, however, the carrots and sticks of hard power, especially the threat or actual use of force, have a value and potency of their own, especially in times of severe instability or conflict.

CRISIS MANAGEMENT

133. Clausewitz wrote that there was ‘no purely military evaluation of a great strategic issue, or of a purely military scheme to solve it’. Indeed, attempts to solve major security issues by military means alone seldom succeed in the long run (even if initially enjoying apparent success). Only by understanding fully the dynamics of a particular situation or crisis can the appropriate range of activities be planned and orchestrated. These may be conducted by a variety of participants, such as: Other Government Departments (OGDs); International Organizations (IOs); Non-Governmental Organizations (NGOs); other governments; private and commercial interests; indigenous and local populations; and populations in the surrounding region.

Comprehensive Approach

134. Although the military instrument often plays a decisive role, especially in providing or building a secure environment, crisis management is unlikely to succeed without active cross-Government and multi-agency cooperation, under appropriate unified direction and coordination. Inter-agency relationships, built more on culture, philosophy and shared attitudes than simply the harmonization of process, are vital to the implementation and success of a Comprehensive Approach.

135. In a national context, a Comprehensive Approach requires clear national objectives, strong political leadership and coordination across Departments to ensure the coherent application of all instruments of national power. A national approach often needs to be framed within a broader multinational response, involving a range of actors including allies, IOs and NGOs. It is more difficult to achieve coherence in a multinational context than it is in the case of purely national involvement, owing to competing national or organizational aims and agendas.

136. In complex multi-agency situations, involving a multitude of civilian organizations and possibly a civilian political head of mission, military planning addresses only one element of the desired overall outcome. While it is unlikely that absolute consistency will be achieved between civilian and military activities, commanders should nonetheless encourage, as far as is militarily sensible, a comprehensive response.

137. A Comprehensive Approach is based on 4 guiding principles:

- a. **Proactive Engagement.** Proactive engagement between actors, if possible ahead of a crisis, enables coordinated approaches to complex situations and allows more sensitive responses. Significantly, this requires a shared approach to the collection and interpretation of crisis indicators and warnings in order to inform planning and increase the time available for reaction.

b. **Shared Understanding.** A shared understanding between parties, including the military, is essential to optimize the effectiveness of their various capabilities. Each contributes distinct professional, technical and cultural disciplines, together with discrete values and perceptions, which offer additional perspectives, depth and resilience. Where possible, shared understanding should be engendered through cooperative working practices, liaison and education in between crises.

c. **Outcome-Based Thinking.** All participants involved in crisis resolution need to base their thinking on outcomes and what is required to deliver a favourable situation, when planning and conducting activities. Leadership, cohesion and coherence will be required to ensure that all actors work towards agreed objectives that are outcome-based and consistent with the various national strategic aims. Planning and activity should be focused on a single purpose and progress judged against mutually agreed measures of effectiveness.

d. **Collaborative Working.** Institutional familiarity, generated through personal contact and human networking, enhances collaborative working and mutual trust. Integrated information management, infrastructure and connectivity enable information sharing, confidence building and common working practices across communities of interest, including shared review and reporting.

138. Above all, a Comprehensive Approach requires those dealing with a crisis to be predisposed to cooperation and structured to develop a shared understanding of a situation and its dynamics. This approach should aid the formulation of an agreed collective intent and output-focused objectives, leading in turn to the implementation of mutually supporting activities. Where it is not possible to coordinate or regulate all participants, actions and effects, then steps should be taken to achieve deconfliction at least.

Multinational and Multi-Agency Operations

139. Although the UK may choose to act alone, in most cases the Armed Forces are likely to operate – either as lead or a contributing nation – within either the political and military framework provided by NATO, in conjunction with other established allies and partners, or as part of an *ad hoc* coalition. The aim of any multinational response may be expressed as a UN Security Council Resolution (UNSCR) or as part of a ceasefire or treaty settlement. This aspect generally requires diplomatic engagement in the formulation of the overall multinational aim and the character of the multinational response, before any national commitment to participate can be made.

140. Just as individual components bring different attributes and limitations to joint operations,⁴ allies and coalition partners do the same on multinational campaigns. A clear understanding of the ways in which other nations' armed forces operate, and the ability to merge contributions from several nations into one cohesive force, are important factors in the conduct of multinational military operations. The ability of the British Armed Forces to operate with other nations requires agility and interoperability, and may incur significant resource costs. Cohesion and harmonization at all levels of engagement are critical requirements of any effective alliance or coalition, requiring consideration, protection and promotion by commanders, in both political and military spheres.

141. In these circumstances, military commanders need to recognize and promote the benefits of cooperation, in order to achieve unity of purpose, while not necessarily enjoying either unity of command or ownership. Effective collaboration requires flexibility, openness and sensitivity towards those who have a legitimate role in the area. A Comprehensive Approach may also confer or generate additional legal and moral responsibilities for communication and deconfliction, and generate additional force protection and sustainment requirements.

Crises and their Implications

142. While recognizing that crises have a life, character and momentum of their own, and may not necessarily be susceptible to deliberate management or resolution, a key UK policy priority is to prevent conflict or other crises from developing. Crisis management is the process of preventing, containing or resolving crises before they develop into armed conflict, while simultaneously planning for possible escalation.

143. A crisis, whether identified in advance or in retrospect, ordinarily marks the point at which events take a turn for the worse. The term crisis may also be used to indicate a period of extreme instability, and crisis management, the steps necessary to defuse a crisis, to prevent its escalation into conflict, and contain hostilities should they result, while addressing its underlying causes. This description does not imply that all crises are amenable to management. By their nature, crises are autonomous in their development and likely to mutate, not least in response to any military or other intervention, and not always in the ways envisaged.

144. Relationships between states, between groups and factions within a state, and between state and non-state actors across the geopolitical landscape, can usefully be classified as those of cooperation, confrontation and conflict. While mutual cooperation provides the ideal basis for enduring stability, confrontation arises where innate differences can no longer be contained or effectively reconciled.

⁴ Activities, operations and organizations in which elements of at least 2 [armed] services participate. Effective integration of individual force elements, to form a coherent joint force under unified command, is fundamental to successful joint operations.

145. Conflict results from an inability either to prevent or contain escalation, such that one or other party resorts to violence. A significant deterioration in relations may either be triggered by a crisis or may itself constitute one. In reality, the boundaries between cooperation, confrontation and conflict are complex and constantly shifting. The Armed Forces operate across this spectrum, conducting military activities to promote mutual cooperation, to prevent confrontation from escalating into conflict (or at least contain it) and, ultimately, to resolve armed conflict when it arises.

Cooperation

146. Cooperation may manifest itself in a variety of different ways, from active collaboration (allies or partners working together to achieve common goals) through to mere co-existence (conceivably with only low levels of tangible cooperation). Cooperation may arise naturally between entities which share largely congruent or at least compatible aims and objectives. Alternatively, it can be established and maintained more actively through a combination of deterrence and coercion. Given that domestic and international relations always involve some degree of discord, including economic competition, what characterizes cooperation is usually stability rather than consensus. Disputes are effectively managed, controlled or dissipated, during periods of cooperation, rather than being brought to a head.

Confrontation

147. When cooperation breaks down, either precipitated by a specific trigger or caused by a gradual, or sudden, deterioration in relations, a crisis – and some form of confrontation between entities – is likely to ensue. Confrontation is characterized by a clash of wills, whereby opponents, having failed to reconcile their differences, seek to exert their respective influence over each other.

148. Often the root causes underlying these crises may only be addressed effectively at the strategic level, through diplomatic and economic means, backed in most cases by the implicit threat or imminence of military activity. Hence, crisis management, and the re-establishment of enduring stability, will demand a comprehensive rather than simply a military response.

Conflict

149. An integral part of crisis management is the prevention of armed conflict by containing confrontation and preventing its escalation or expansion. If, however, opposing parties' differences cannot be resolved satisfactorily by other means, the situation could deteriorate, sometimes very rapidly, into conflict and combat. Conflict is characterized by a resort to violence to gain advantage and achieve desired outcomes; the reasons why parties might pursue this course of action, and indeed may be conditioned to do so more or less readily, are discussed in Chapter 2.

150. During periods of confrontation, which may be prolonged, the Armed Forces' emphasis is likely to be on deterrence and coercion; once conflict occurs, however, the focus is likely to shift to containment and surveillance, with the possibility of compellence through the application of force if the international system or national interests are threatened.

UTILITY OF FORCE

151. The Armed Forces, in conjunction with other instruments of national power, deter and counter specific threats to national security, support and advance national interests and provide a measure of assurance and insurance in relation to a range of possible contingencies. The conduct of defence is based on a combination of political decision making, effective command and control, and capable armed forces.

Deterrence and Coercion

152. Deterrence is at the heart of UK Defence Policy; its purpose at all levels of warfare is to dissuade a potential opponent from adopting a course of action that threatens national interests. It is only likely to succeed, however, if the envisaged combination of threats and incentives is credible and deliverable, and its potential is communicated unequivocally to those in a position to assess it. A credible deterrent posture requires manifest political intent and may take a variety of different forms. It may be general or focused on achieving particular or immediate objectives, be broadly preventative, or intended to address specific threats.

153. Effective deterrence also depends upon demonstrable contingent capability and overt preparedness, such that potential opponents conclude, from their own evaluations, that the benefit to be gained from pursuing a particular course of action is not worth the risk associated with the possible or probable consequences. A proven record of success on operations, and the frequent exercise of military forces, is likely to shape the perceptions and influence the decisions of any prospective opponent. Conversely, history indicates that an appearance of military weakness or a lack of resolve encourages opportunistic adventurism by aggressive, ambitious regimes, groups and individuals.

154. The British Armed Forces in their entirety serve to deter, with strategic deterrence ultimately underpinned by a nuclear capability. Deployable nuclear weapons provide an effective means of deterring other states' use of the most destructive weapons, and indicate absolute national resolve. In most instances, however, deterrence is achieved through conventional means, which offer a flexible range of postures and responses with associated levels of military and political risk.

155. Closely allied to deterrence is coercion, often the most obvious manifestation of hard power. Whereas the purpose of deterrence is to dissuade an opponent from

taking a course of action, coercion induces behaviour that he would not otherwise choose. In reality, it is useful that a potential opponent cannot easily distinguish between deterrence and coercion; most situations are likely to require a combination of the threat of force, reassurance and encouragement to prevent undesirable consequences and to induce desirable behaviour in an adversary.

156. Although both deterrence and coercion rely upon capability, credibility (including intent) and communication, other factors are also important:

- a. **Reputation.** An established martial tradition and a habit of operational success improves the effectiveness of deterrence and coercion. Also, where used successfully in a limited intervention for example, force may enhance future deterrence, both locally and over a wider area; conversely, where military action is unsuccessful, deterrence may be undermined and the threat of coercion diluted.
- b. **Perception.** The threat of force – if perceived as offensive and imminent rather than defensive and contingent – may escalate a crisis, or even trigger a pre-emptive attack by an opponent fearful of not acting first. Very clear forms of reassurance should be employed, beyond simple declarations of intent, to convince an opponent that such a unilateral attack is not envisaged.
- c. **Reaction.** The threat of force alone may be ineffective against an irrational, irresponsible or otherwise implacable opponent, or one whose calculations and motivations are not apparent or well-understood. An irrational opponent, for example, may be unable to appreciate the potential repercussions of his actions; a fatalistic opponent, or martyr, may not care. Some opponents may not be susceptible to deterrence or coercion, and crisis resolution may depend, ultimately, upon the application of force.

Application of Force

157. Should deterrence or coercion fail, then force may be required to counter any imminent threat. The application of force involves the deliberate use and orchestration of available military capabilities to realize the effects needed to secure a favourable outcome. Force may be used in both an instrumental (or direct) way to diminish an opponent's capacity to act, and in an expressive (or indirect) way to influence his behaviour, by affecting his understanding of his situation, his will to act and his ability to make timely and effective decisions.

158. Threats may be countered by the disruption, defeat or, where necessary, the destruction of an opponent. Disruption degrades specific parts of an opponent's capability, both moral and physical, thereby limiting his freedom of action. Defeat, a broader effect than simply disruption, diminishes his will, cohesion and overall

capacity to the extent that he is no longer able to maintain a tangible threat, or prevent friendly forces from achieving their objectives. Alternatively, where it is considered necessary to eliminate a potential threat, then destruction of the fighting power and broader capability of an enemy becomes a primary consideration.

LEGITIMACY AND FORCE

159. It is generally accepted that states should maintain an organized structure for authorizing, applying and restraining the use of force. The objectives and conduct of the British Armed Forces should, at all times, be subject to democratic Parliamentary control, exercised on its behalf by the Executive. The application of force should be limited to that which is necessary to achieve the desired outcome, avoiding excessive damage which may subsequently increase the post-conflict reconstruction burden.

Campaign Authority

160. Crisis management activities should be both purposeful and legal; they should also be, and be perceived to be, legitimate, acceptable and appropriate in a broader sense. A necessary condition for long-term success is Campaign Authority: the authority established by international forces, agencies and organizations within a given situation in support of (or in place of) an accepted (or ineffective, even absent) indigenous government or organization. It comprises 4 interdependent factors:

- a. The perceived legitimacy of the mandate for action.
- b. The perceived legitimacy of the manner in which those exercising that mandate conduct themselves both individually and collectively.
- c. The extent to which factions, local populations and others consent to, comply with or resist the authority of those executing the mandate.
- d. The extent to which the expectations and aspirations of factions, local populations and others are managed or met by those executing the mandate.

161. Campaign Authority requires determination, control and demonstrable confidence on the part of those intervening in a crisis, to ensure that expectations are managed and that support is forthcoming from those groups and individuals that shape opinion, share power and grant consent. The creation and maintenance of Campaign Authority depends upon a continuous, rigorous assessment of all the effects and consequences of activities undertaken, whether intended or unintended. An effective Influence and Information Strategy, coordinated across Government in support of the relevant national strategic aim and associated objectives, should be implemented to influence decisions, opinions and outcomes in order to complement and reinforce this authority.

Legitimacy

162. Legitimacy encompasses the legal, moral, political, diplomatic and ethical propriety of the conduct of military forces, once committed, and directly affects the utility of force. It confers a freedom (even an obligation) to act, as well as a constraint on military activity. Legitimacy has both collective and individual aspects, and is based as much upon subjective considerations, such as the values, beliefs and opinions of a variety of audiences (not least at home), as it is upon demonstrable, objective legality. Perceptions of legitimacy are, therefore, unlikely to be either universal or unequivocal and may be shaped, for example, by the media. Once military forces are committed, the perceived legitimacy of the manner in which they conduct themselves is an essential element of overall Campaign Authority. The maintenance of legitimacy depends on a variety of issues, such as consistently reputable behaviour, moral and ethical considerations, and the prospects of a successful outcome. Should one or all of these elements falter, or be perceived to falter, this may readily change opinions about the validity of military action. Moreover, it bolsters morale and promotes cohesion, both within a force and between coalition partners.

Legality

163. The British Armed Forces always operate within a legal framework, defined by applicable national and international law.⁵ Observance of the Rule of Law is fundamental to our warfighting ethos and to maintaining Campaign Authority. Legal aspects of UK Defence are detailed at Annex 1B.

Ethics and Morality

164. Ethical and moral considerations underpin the law and the administration of justice, and are also reflected in operational decision-making and military conduct. Commanders are always accountable for their own actions and, where relevant, the actions of those under their command. They are, moreover, duty-bound to ensure that moral and ethical standards are imbued in their subordinates, through a robust corporate ethos, personal example, training and education, and ultimately experience gained on operations.

165. Service personnel are often affected by, and respond to, the uniquely harsh realities and complexities of warfare. Frequently, they face opponents with different moral, ethical and legal boundaries and perspectives, while themselves operating under intense public scrutiny. The House of Commons Defence Select Committee, domestic law, humanitarian organizations, other NGOs and the media, continuously monitor UK Defence activities in relation to their moral and ethical impact.

⁵ JWP 3-46 '*Legal Support to Joint Operations*'.

166. The tendency towards transparency and greater regulation of Defence activities reflects the expectations of contemporary society, which UK Defence serves and whose aspirations it reflects. Force used in another country needs to reflect the highest morals and ethics of the culture to which it is being applied, if Campaign Authority is to be maintained. This implies respect for local traditions, customs and practices and appropriate attention to the needs of minority or otherwise vulnerable groups, such as women, children and ethnic minorities. The challenge for Defence, and those charged with regulating its activities, is to ensure that society's expectations of greater legal and ethical regulation are balanced against the imperative of operational effectiveness.

Law and Political Direction

167. Political decisions that affect the use of force include those that place limitations on objectives and targets, those that delineate the theatre of operations, those that restrict the types of weapons used, and those aimed at avoiding escalation. In reality, there is unlikely to be an armed conflict that is entirely unlimited in its objectives, the methods by which it is to be conducted, or the theatre in which it is to be fought; such political constraints and freedoms are a constant reality.

168. The political direction, and operational and legal provisions, necessary to achieve a successful mission are laid down in Rules of Engagement (ROE).⁶ ROE are designed to ensure that the activities of military personnel remain within the law and are consistent with Government policy; they are not a comprehensive statement of either the law or policy, although they take account of both. ROE define the constraints placed upon military activity, as well as the freedoms permitted, and they reflect the operational context in which it is envisaged that force may be used. An enduring accompaniment to ROE is the inherent and inalienable legal right to act in self-defence, where such activity is both reasonable and necessary.

⁶ JSP 398 '*United Kingdom National Rules of Engagement*'.

ANNEX 1A – INTERNATIONAL COLLABORATION

United Nations

1A1. The United Nations (UN) is the mainstay of the international system, and the influence gained by the UK's permanent membership of the UN Security Council (UNSC) is central to UK Foreign Policy. The UNSC usually provides the mandate for multinational military operations although other regional organizations, such as the African Union (AU), could also sanction, for example, Peace Support Operations (PSO) on the African continent. Such operations can play a vital role in conflict prevention and post-conflict stabilization, and in alleviating humanitarian crises or the abuse of human rights. The UN works in close cooperation with other organizations, such as the North Atlantic Treaty Organization (NATO) and the European Union (EU), which are better able to conduct integrated multinational operations.

North Atlantic Treaty Organisation

1A2. NATO is the cornerstone of transatlantic Defence and Security and has been central to the stability of Europe since 1949. Its core role remains the commitment to safeguard the freedom and security of its members by political and military means. To this end, the Alliance has a global role in crisis management and stabilization, and can respond to threats wherever they occur. Such intervention may include military assistance to disaster relief operations.

1A3. Since the end of the Cold War, NATO members have committed to transform the Alliance to meet contemporary and emerging security challenges. They have agreed that NATO should field forces that can deploy rapidly, wherever they are needed, to deal with these threats. This has led to the creation of a flexible, deployable, interoperable and sustainable NATO Response Force comprising maritime, land and air elements. Members have also agreed to improve individual contributions to NATO in key areas, such as strategic air and sea-lift. As a founder member of the Alliance, the UK plays a full part in NATO with a range of permanent commitments and the ability to assign further capability in times of crisis. The UK also supports NATO standardization of doctrine, technology and logistics, to promote interoperability between member nations.

European Union

1A4. The UK is a committed and active member of the EU. Within its borders, the EU is involved in a range of economic, social, environmental and other activities. It also has a broad external agenda, which encompasses cooperation on issues such as international crime, terrorism, economic development and trade. The EU is a leading political player on the world stage through its Common Foreign and Security Policy

(CFSP) and plays an important complementary role to NATO in enhancing security and stability.

1A5. The EU has agreed on a European Security and Defence Policy (ESDP) in support of CFSP, to ensure that it has the tools to undertake a more comprehensive role in both military and civilian international crisis management. The ESDP supplements other EU external instruments, such as aid and trade measures, and offers the international community a further option when considering how to respond to global crises. The EU Battlegroup initiative, for example, has evolved to provide capable forces held at high readiness that can be called on by the UN and EU. Members of the EU do not, however, currently share a NATO-style commitment to collective action or defence. The commitment of national forces to an EU operation remains a sovereign decision for each contributing nation. The EU's ambition in terms of military activity is summarized in the 'Petersberg Tasks' described in Article 17 of the Treaty on European Union (namely humanitarian and rescue tasks, peace-keeping tasks and tasks of combat forces in crises management, including peace-making).

Organization for Security and Co-operation in Europe

1A6. The OSCE has 55 member states, of equal status, covering the whole of Europe and Central Asia, as well as the USA and Canada. The organization addresses security across the region in 3 dimensions: political-military, economic/environmental, and human (including the promotion of human rights and democratic institutions). With the publication of the 'Vienna Document', OSCE members committed themselves to an extensive set of Confidence and Security Building Measures (CSBMs) including: an annual exchange of military information; mechanisms for consultation and cooperation regarding unusual military activity or other hazardous incidents (with a view to crisis management); military contacts and cooperation; prior notification and observation of military activities above agreed thresholds; verification and inspection mechanisms; and the establishment of a network of direct electronic communications.

ANNEX 1B – UK DEFENCE AND THE LAW

1B1. A combination of both UK and International Law provides the legal basis and regulation for the manner in which military operations are conducted. Compliance with the underpinning principles of the Law of Armed Conflict (LOAC)¹ – distinction, proportionality, military necessity and humanity – ensures that due account is taken of the wider ethical considerations from which the law is derived.

1B2. Service personnel are also subject to international humanitarian law, which regulates the planning and conduct of military operations in international armed conflicts, hostilities in which states act under United Nations (UN) authority and some internal armed conflicts. Different rules apply to each situation. Through the Service Discipline Acts, the Armed Forces are also subject to domestic UK law anywhere in the world, including that related to self defence. Military activities overseas may also be subject to the domestic law of the host nation concerning, for example, transport legislation and other administrative issues. On multinational operations, coalition partners may not all be subject to the same legal framework; their applicable domestic laws, for example, are likely to be different.

Contingent Operations Overseas

1B3. Non-intervention in another state's affairs is a principle of customary international law. A breach of this principle may amount to an act of aggression, and the UN Charter requires that all Members refrain from the threat or use of force against the territorial integrity or political independence of any other state. But this does not impair the inherent right of a state to take action in self defence in response to an armed attack. Further, it may also be lawful to use offensive force in another state's territory (without its consent) in certain circumstances – under a Chapter VII UN Security Council Resolution, or to prevent an overwhelming humanitarian catastrophe:

- a. **National (or State) Self Defence.** States have an inherent right of individual or collective self defence if an armed attack occurs, until the Security Council (SC) has taken measures necessary to restore international peace and security. Self defence includes the protection of a state's own territorial integrity and may include the rescue of nationals from another state which is unable or unwilling to provide protection.
- b. **UN Security Council Authorization.** Under Chapter VII of the UN Charter the SC may determine that there is a threat to peace, a breach of the peace or an act of aggression. It may then recommend measures, such as economic sanctions, to maintain or restore international peace and security. If these would be inadequate, it may authorize the use of all necessary measures

¹ JSP 383 *'The Joint Service Manual of the Law of Armed Conflict'*.

to restore stability and security, including the use of force. SC authorizations can be granted to regional organizations, such as the North Atlantic Treaty Organization (NATO), as well as to individual member states.

c. **Overwhelming Humanitarian Catastrophe.** A limited use of force may be justifiable without the United Nations Security Council's express authorization where that is the only means to avert an immediate and overwhelming humanitarian catastrophe. Such cases are likely to be exceptional and depend on objective assessment of the circumstances at the time and on the terms of any relevant decisions of the SC bearing on the situation in question.

Military Operations in the UK

1B4. National legislation permits the British Armed Forces to be deployed to support the civil authorities. Such support by MOD and UK Forces – Military Aid to the Civil Authorities (MACA) – should always be at the request of those authorities and requires the authorization of the Defence Council and Defence Ministers. Support to the civil authorities does not usually require additional powers under legislation dealing with emergencies. Therefore, Service personnel are routinely governed by legal conventions permitting the use of force in self defence, to prevent crime or enable the arrest of others in certain circumstances.

CHAPTER 2 – WAR AND WARFARE

WHY WARS HAPPEN

201. War is an instrument of policy, normally stimulated by fear, self-interest or ideology, and is characterized by organized violence, used as a means to assert the will of a state, individual or group. The potential and conditions for war, at all levels and intensities of armed conflict, exist at all times. They occur within and between all societies and polities and simply reflect the existence of incompatible goals, ambitions or perceptions among individuals, groups or states. The global security environment is shaped by a multitude of political, economic, religious, societal and environmental imbalances and discontinuities, whose interactions can precipitate the threat or actual use of violence. Peace and war cannot always be distinguished absolutely. The resolution of complex contemporary crises may involve a hybrid of conventional warfighting and irregular activity combined, as well as concurrent stabilization activity, all in the same theatre. Boundaries between them may be blurred; they may change suddenly and very obviously, or more gradually, even imperceptibly, over time.

202. An understanding of the reasons why states or groups resort to the use of force, and the contexts which in the past have caused conflict, is essential to the intelligent planning and successful conduct of military operations. Historically, states, individuals and communities have been remarkably consistent:

- a. **Self Interest.** Gaining or preserving a position of relative power, preferential control of resources/territory, and the provision of human security (for example, in the face of a large scale humanitarian crisis on or across national borders) are the most common causes for resorting to war.
- b. **Fear or Survival.** Even where success is not guaranteed, a state or group may initiate armed conflict because of its fear or perception of an opponent's intentions or capabilities. It may also seek to avoid a more disadvantageous or disastrous outcome that could result from inaction. Where 2 or more parties perceive a potential threat in this way, each is likely to have a reason for using pre-emptive action.
- c. **Values and Ideology.** Absolute belief in the rightness and justice of a cause, ideology or value system, whether religious or secular, may drive a state or party to war. When an ideology, sense of honour or reputational issue is perceived to be at stake, even the prospect of military defeat or societal collapse may not deter or dissuade this extreme course of action. In these cases, only total defeat is likely to be sufficient to prevent continued conflict and forestall the possibilities of large scale irregular opposition.

203. Legally binding obligations and responsibilities between states, underpinned by international agreements and institutions, are designed to prevent or mitigate conflict. However, 2 particular factors can increase the likelihood or intensity of armed conflict:

- a. **Culture.** A group or regime may be culturally inclined to threaten or employ violence. This inclination may be reinforced by political, societal or religious imperatives; moreover, it may be a long term and deep-rooted condition, not readily susceptible to change.
- b. **Political Will.** A propensity for violence depends also upon the will of the political leadership, its inter-relationship with, and control over, its military, and its ability to sustain national support for conflict. However, conflicts based more upon political resolve than upon cultural pre-disposition may be more swiftly amenable to negotiated settlement, or the limited use of force.

WAR

204. War is a violent relationship between 2 or more states or groups; warfare is the conduct of war. Clausewitz was of the opinion that war had 2 components: *objective* (its nature), which remains constant under all circumstances; and *subjective* (its character), the variable ‘means by which war has to be fought’ which alter according to context. The nature of war, however, has certain enduring features:

- a. The decision to wage war is an act or expression of policy. The measure of its success is the extent to which its political outcomes are deemed to have been favourable.
- b. War is always undertaken to maintain a position of advantage, establish a more advantageous (or less disadvantageous) situation, or otherwise change the attitudes or behaviour of another party; on occasion, however, it may be undertaken, or perpetuated, for its own sake.
- c. Belligerents may employ all the military and non-military ways and means available to them, to seek success.
- d. Warfare reflects, amongst other things, the culture, society and political aspirations of belligerents and other interested parties.
- e. Warfare is an inherently unpredictable, often chaotic, human activity; success will often depend upon asserting some form of order or dominance on a situation and overcoming the inherent frictions and consequences of military activity.

PRINCIPLES OF WAR

205. Principles of War guide commanders and their staffs in the planning and conduct of warfare. They are enduring, but not immutable, absolute or prescriptive, and provide an appropriate foundation for all military activity. The relative importance of each may vary according to context; their application requires judgement, common sense and intelligent interpretation. Commanders also need to take into account the legitimacy of their actions, based on the legal, moral, political, diplomatic and ethical propriety of the conduct of military forces, once committed.

Selection and Maintenance of the Aim

206. A single, unambiguous aim is the keystone of successful military operations. Selection and maintenance of the aim is regarded as the master principle of war.

207. The aim provides a focus for coordinated effort and a reference point against which to gauge progress. Its maintenance prevents unnecessary or nugatory activity, and the unwarranted expansion of an operation. It is fundamentally important that this single aim pervades subordinate operations, all of which should contribute coherently to achieving this end-state, and that resources are allocated accordingly. Therefore, plans should be continually checked against the related objectives of the campaign to ensure that they remain valid. In practice, uncertainty, political reality and insufficient initial understanding of a situation frequently conspire against achieving an unambiguous aim from the outset. This ambiguity is exacerbated in multinational operations by differing national ambitions and perspectives. Military operations may, therefore, begin on the basis of an aim which, at the time, seems sensible but may need to be reconsidered as circumstances change. In this regard, senior commanders should provide clear military advice to political leaders regarding the feasibility of political aspirations in relation to the military means.

Maintenance of Morale

208. Morale is a positive state of mind derived from inspired political and military leadership, a shared sense of purpose and values, well-being, perceptions of worth and group cohesion.

209. No doctrine, plan or formula for conducting warfare is likely to succeed without the maintenance of morale which, except in the most extreme circumstances, depends upon affording personnel the best chances of success or survival. High morale is characterized by steadfastness, courage, confidence and sustained hope. It is especially manifested as staying power and resolve, the will to win and prevail in spite of provocation and adversity. It is sustained and progressively increased by success on operations and is most powerful when it suffuses the whole chain of command.

Offensive Action

210. Offensive action is the practical way in which a commander seeks to gain advantage, sustain momentum and seize the initiative.

211. Offensive action delivers the benefits inferred by action rather than reaction, and the freedom to force a decision. At its heart is the notion of an offensive spirit, which imbues forces with confidence, encourages enterprise and a determination not to cede the initiative, as well as promoting a culture of success and achievement. As a state of mind and in practical terms, offensive action is often decisive, and its broader application should not preclude defensive action when circumstances and prudence demand. Offensive action implies a vigorous, incisive approach to defeat opponents, to exploit opportunities and to apply constant pressure against other forms of resistance and sources of instability.

Security

212. Security is the provision and maintenance of an operating environment that affords the necessary freedom of action, when and where required, to achieve objectives.

213. Security always entails balancing the likelihood of loss against the achievement of objectives. It demands prudent risk management and the protection of high value assets, including personnel, materiel, information and infrastructure, as well as those military activities vital to operational success. Security does not, however, imply undue caution or avoidance of all risks, for bold action is essential to success. Neither does it demand the over-commitment of resources to guard against every threat or possibility, thereby diminishing relative fighting power.

Surprise

214. Surprise is the consequence of shock and confusion induced by the deliberate or incidental introduction of the unexpected.

215. It involves, to varying degrees, secrecy, concealment, deception, originality, audacity and tempo, and confuses, paralyses or disrupts effective decision-making and undermines an opponent's cohesion and morale. Surprise is a potent psychological feature of warfare and may be accomplished by manoeuvre, the introduction of novel technologies or by any activity that is unfamiliar or unforeseen. It may also be attributable to friction or chance. As such, surprising an opponent is a significant way of seizing the initiative and, while it cannot be effective on its own, it may be an important pre-condition for success. Surprise is by nature transient (shock and confusion recede over time), so its effects should be exploited rapidly and aggressively. Commanders should anticipate the effects of being surprised themselves, make appropriate contingency plans to safeguard their freedom of action,

and exploit opportunities that may arise, for example, out of unexpected circumstances or success.

Concentration of Force

216. Concentration of force involves the decisive, synchronized application of superior fighting power (conceptual, physical, and moral) to realize intended effects, when and where required.

217. Concentration does not necessarily require the physical massing of forces, but their agile disposition such that they can engage and prevail through the aggregation and coordination of appropriate elements of fighting power at critical points and times. Similar outcomes may, for example, be achieved by superior command and control, deception, a stronger moral component, superior technology or firepower. Ultimately, success depends upon subtle and constant changes of emphasis in time and space to realise effects, accepting that concentration at the point of main effort may necessitate economy elsewhere.

Economy of Effort

218. Economy of effort is the judicious exploitation of manpower, materiel and time in relation to the achievement of objectives.

219. Central to the conservation of fighting power, a commander should consider carefully the requirements and relative priority between individual engagements, actions and activities, the sustainability demands of the campaign as a whole and longer-term force balance issues. Economy of effort is best summarized as the right tool, in the right place, at the right time, leading to the right result.

Flexibility

220. Flexibility – the ability to change readily to meet new circumstances – comprises agility, responsiveness, resilience, acuity and adaptability.

221. Flexibility has both mental and physical dimensions. To lead to success, it needs to be associated with an organization and culture that encourages people to think creatively, and to be resourceful and imaginative, especially in the face of adversity or the unexpected. Agility is the physical and structural ability that allows forces to adjust rapidly and decisively, especially when operating in complex situations or in the face of new or unforeseen circumstances. Responsiveness is a measure of not only speed of action and reaction, but also how quickly a commander seizes (or regains) the initiative. Resilience is the degree to which people and their equipment remain effective under arduous conditions or in the face of hostile action. Acuity is sharpness of thought, characterized by intellectual and analytical rigour, enabling intuitive understanding of complex and changing circumstances. Adaptability embraces the

need to learn quickly, to adjust to changes in a dynamic situation, and to amend plans that in the light of experience seem unlikely to lead to a suitable outcome.

Cooperation

222. Cooperation entails the incorporation of teamwork and a sharing of dangers, burdens, risks and opportunities in every aspect of warfare.

223. It is based on team spirit and training and relies on 3 inter-related elements: mutual trust and goodwill; a common aim (or at least unity of purpose); and a clear division of responsibilities, including understanding of, and compensation for, the capabilities and limitations of others. Within alliances or coalitions, potentially disparate goals and interests need to be harmonized, and political and military cohesion promoted and protected, to ensure solidarity in the face of difficulties or dangers, and to preserve overall unity of effort.

Sustainability

224. To sustain a force is to generate the means by which its fighting power and freedom of action are maintained.

225. The ability to sustain a force, during every stage of a military campaign from force generation, through deployment and operations in theatre, to redeployment and recuperation afterwards, is a critical enabler of fighting power. Sustainability involves the sustenance of personnel, the maintenance and repair of vehicles, equipment and materiel (including associated networks), the provision of combat supplies and service support, and the evacuation, treatment and replacement of casualties. A rigorous assessment of logistic realities is essential to operational planning; indeed, it may be the deciding factor in assessing the feasibility of a particular campaign.

LEVELS OF WARFARE

226. There are 3 recognized levels of warfare that assist planning and provide a general framework for the command and control of operations.

Strategic

227. The strategic level of warfare is the level at which national resources are allocated to achieve the Government's policy goals (set against a backdrop of both national and international imperatives). More often than not, the achievement of these goals requires a combination of military force, diplomacy and economic measures (the instruments of national power), as well as collaboration with other nations' armed forces, and other international organizations and agencies. Strategic success requires foresight, patience, endurance, constancy and tenacity.

228. Military strategy (described in Chapter 1) determines the military contribution, as part of a Comprehensive Approach, to the achievement of national policy goals; it is an integral, not a separate, aspect of strategic level planning.

Operational

229. The operational level of warfare is the level at which campaigns are planned, conducted and sustained, to accomplish strategic objectives and synchronize action, within theatres or areas of operation. It provides the 2-way bridge between the strategic and the tactical levels. In a national context, this level is the responsibility of the Joint Commander, acting in conjunction with the theatre-level Joint Task Force Commander (JTFC), if deployed. In a multinational setting, a UK National Contingent Commander (NCC) integrates the national contribution into the overall force, advises and influences the deployed multinational force commander, applies national policies and caveats, and has the ultimate in-theatre responsibility for national activities.

Tactical

230. The tactical level of warfare is the level at which formations, units and individuals ultimately confront an opponent or situation within the Joint Operations Area (JOA), either nationally or in conjunction with allies, other agencies and the indigenous population. Tactics is the art of employing maritime, land, and air assets, together with special forces and both integrated and wider area enablers, to conduct a range of activities that together contribute to success on operations. It is the level at which engagements are fought and direct contact is made with an enemy or opponent. In a joint operation, the tactical level normally involves component commanders operating directly to a JTFC, although some business and planning will overlap with the operational level. Under their direction, force elements execute activities to create the conditions for success and contribute to the realization of the required effects in a joint, multinational and multi-agency context.

Significance of the Levels of Warfare

231. The levels of warfare provide a framework within which to rationalize and categorize military activity. This is also useful in clarifying the inter-relationships between the various levels, although these should not be seen as strictly hierarchical. The framework of strategic, operational and tactical levels recognizes the inevitable compression and blurring between them, and reflects their dynamic inter-relationship and non-linear interaction. For example, tactical events can have strategic repercussions, just as strategic decisions will inevitably have tactical implications. The relationships are illustrated at Figure 2.1.

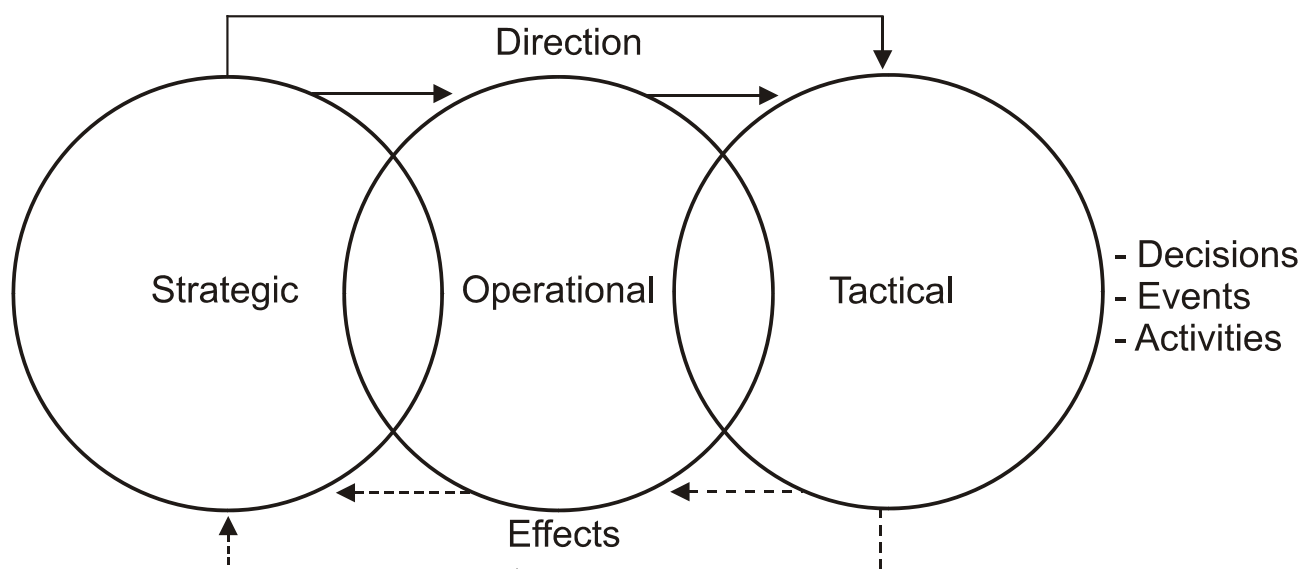


Figure 2.1 – Relationships between the Levels of Warfare

232. Conflict is likely to be characterized by the pervasive, sometimes intrusive, presence of information resources, enabled by rapidly advancing technology and offering, amongst other features, increasingly accurate and timely situational awareness. However, modern communications and media technologies tend to compress levels of warfare, especially at the operational level, such that reported events and activities, true and false, can have immediate perceptual and political impact at the strategic level. At the same time, this inter-connected and information-rich environment invites intervention by strategic level political and military leaders to influence subordinate tactical level activity.

233. While these levels exist formally within the military, the same distinctions are not necessarily made across the diplomatic and economic spheres.¹ There are, however, broadly similar levels of decision-making and planning, if only for resource and manpower allocation. It is vital that interaction and cooperation between those planning and coordinating diplomatic, military and economic activities take place at every level, to ensure a unified, comprehensive approach to crisis resolution.

CHARACTER OF WARFARE

234. The terms war and warfare are unsatisfactory to describe all the many different facets of armed conflict. War is bound by international law that regulates the circumstances in which states may resort to the use of armed force (*jus ad bellum* in accordance with the United Nations (UN) Charter) and regulates the way in which armed force is actually used (*jus in bello* in accordance with the Law of Armed Conflict). Neither peace nor war, however, are absolute, nor are they necessarily

¹ Some Other Government Departments (OGDs) use the word 'operational' in a different sense; the Department for International Development, for example, uses the term to describe 'tactical' elements on the ground.

opposites of each other (being but different means of achieving the same end – that of policy). Instead, they represent a continuum or notional spectrum. No conflict is likely to be played out entirely at a single point; its prevalence, scale and intensity may vary from war (*in extremis* a war of national survival), through inter- and intra-state conflict characterized by instability and chaos, to activities to promote stability and, ultimately, lasting peace in one form or another. Moreover, it may be unhelpful to describe efforts to counter irregular activity,² for example, as war, although such circumstances may include armed conflict between state and non-state actors.

235. Military operations are characterized by both the *activities* undertaken and the circumstances or *context* within which they take place. A combination of the operating environment, in the widest sense, and the various actors or participants involved (including the key constituents and make-up of the relevant nations or societies concerned) together provides the setting for any military activity. Accordingly, a full appreciation of the causes, as well as the symptoms, of any conflict relies upon a thorough understanding of its context.

Military Operations in Context

236. Notwithstanding the changing pattern of geo-strategic engagement between states, multinational entities and socio-economic systems, the threat of conventional, regular warfare is always present. In addition, contemporary and more immediate physical threats to the peace and security of the UK include the potential use of Chemical, Biological, Radiological and Nuclear (CBRN) and unconventional weapons, as well as a range of irregular risks associated with organized crime, terrorism and the possibility of civil violence. These threats are complex, often inter-linked, rapidly evolving in both character and activity levels, and may require military resources to confront some of their more extreme manifestations. In general, experience indicates that states need to retain an affordable range of capabilities that can sustain credible deterrence, reinforce diplomatic and economic instruments and, ultimately, provide effective fighting power.

237. Instability and the failure or inadequacy of effective governance provide catalysts for unlawful or disruptive activity, mostly within states, and increasingly on a trans-national scale, by groups or individuals that employ unconventional, illicit or irregular methods of operation. Perpetrators may draw on a variety of different, but often inter-related motivations, although all seek to exploit ambiguities and weaknesses in international or state structures in challenging existing authority through the threat or use of illicit activity and violence. A wide diversity of terrorists, criminals, insurgents, and other disruptive elements are likely to employ irregular means to pursue ideological, political and personal advantage. These opponents may be difficult to identify, target, deter or indeed induce to the negotiating table. Their

² Irregular Activity is the use or threat of force by irregular forces, groups or individuals, frequently ideologically or criminally motivated, to effect or prevent change as a challenge to governance and authority.

ambitions and cultural assumptions may be unconstrained by either international law or accepted norms of morality, while their methods of operation are likely to be unconventional and have their greatest impact on civilian populations. In the modern world, they often have access to sophisticated networks and technologies and, in particular, exploit the vulnerabilities of open and pluralist societies.

238. Similarly, conducting operations where *'the people in the streets and houses and fields – all the people anywhere – are the battlefield'*³ inhibits identification and engagement of opponents, especially in urban areas, and heightens the risk of collateral damage. Women, children, refugees, internally displaced people and other vulnerable groups may be especially affected by armed conflict. An opponent may even target such groups in order to undermine both the likelihood of reconciliation, with its impact upon a durable peace, and military success.

239. While physical destruction remains a necessary aspect of military activity, emphasis also needs to be placed on shaping perceptions through the coordinated, focused application of both physical and psychological means. In order that a commander can apply these precisely, he needs to have an intuitive feel for both the human dynamics at play and the other agencies that could aid operational planning and activity. This could involve, for example, the exploitation of local leaders and power brokers, and a critical appreciation of the cultural characteristics and motivations of both allies and opponents.

Operating Environment

240. The operating environment, the surroundings or conditions within which military activity takes place, has a variety of dimensions: maritime, land, air, space, information (including cyberspace), electro-magnetic and time. Activity within the physical domain realizes primarily physical effects (on an opponent's capability) and, alongside intangible activity in the virtual domain (such as the manipulation and transfer of information), psychological effects in the cognitive domain. Military action may, however, have a number of potentially undesirable as well as unintended consequences or risks, the threats (or opportunities) associated with which should be mitigated (or exploited) through contingency planning, or through the alternative use of non-military action.

241. Activity in any domain is most successful when conducted jointly, with participation by each of the 3 Services determined by circumstances and by the outcomes required in individual situations. Although the operating environment may be imprecisely defined, and force density may be low, a military force should seek to establish and maintain superiority, and constrain the influence and freedom of action of an opponent, across the operating space. Irregular opponents, and regular

³ Smith, General Sir Rupert, *The Utility of Force – The Art of War in the Modern World*, page 3, 2005 (Penguin, London).

opponents operating in unconventional ways, are likely to be particularly agile in operating throughout and between the various dimensions and environments. Commanders of more conventional forces should ensure that interoperability and integration, between components for example, prevents the exploitation of inherently vulnerable seams and boundaries between dimensions of the operating space.

242. Operations often take place in situations of considerable complexity and in the presence of capable and intrusive media, supported by digital, real-time information technology and personal communications. Influence activities should be planned, both in support of operational objectives and to counter misinformation, to prevent adversaries from exploiting vulnerabilities in the indigenous population, or undermining the cohesion of nations, alliances and coalitions. A commander should employ appropriate influence and counter-information techniques to offset the impact of rumour, commentary and malicious manipulation made possible by informal and formal communities of interest at local and global levels, immediate access to universal net resources and near real-time personalized communication technologies.

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PART 2

MILITARY DOCTRINE

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CHAPTER 3 – EMPLOYMENT OF BRITISH ARMED FORCES

Intervention

301. The National Security Strategy¹ notes that the UK's response to global instability, conflict, and failed states brings together a wide range of government activity including overseas military operations, and that security operations are often a prerequisite for political and economic progress. As such the UK needs to maintain the ability to respond swiftly and decisively across the full range of intervention scenarios, not just to prevent or mediate violent conflicts, but also to stabilize situations in, or emerging from, violent conflicts and to support recovery and reconstruction. Annex 3A outlines when the Armed Forces may be used.

302. Effective military engagement depends, critically, on an accurate, detailed and informed analysis and interpretation of the situation within which the Armed Forces are to be employed. As illustrated in Figure 3.1, the precise operational context of a largely conventional campaign is defined by the relationships between internal and external actors, as well as by the prevailing cultural nuances and characteristics.

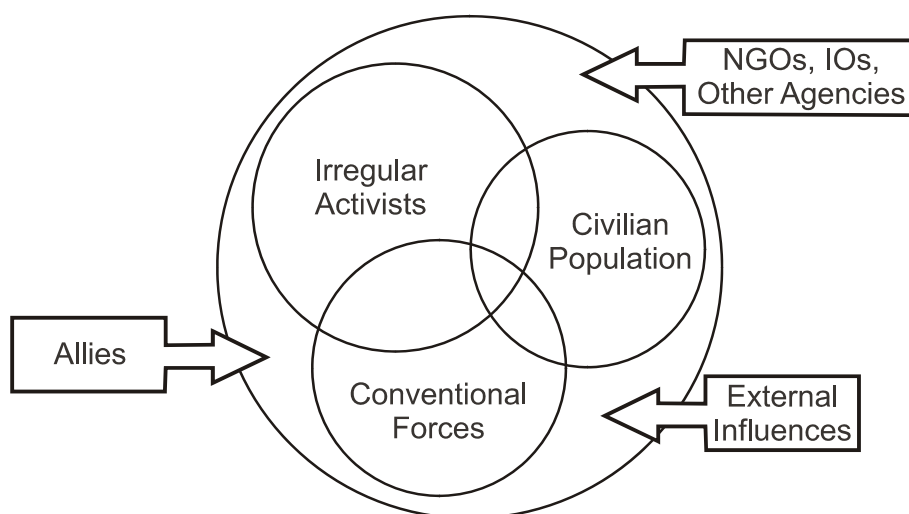


Figure 3.1 – Relationship between Actors in a Potential Crisis

303. An understanding of these relationships, their linkages to each other and the ways in which they change over time and in response to circumstances, indicates the opportunities and limitations of military intervention, together with the range of activities that are likely to be required. It is important that any activity is entirely consistent with the achievement of a favourable outcome. Inappropriate actions or activity for its own sake is likely to prove counter-productive.

¹ 'The National Security Strategy of the United Kingdom', Security in an interdependent world, March 2008.

304. The importance of the range and interplay of participants varies from one situation to another and from one day to the next, as a crisis proceeds. This is likely to lead to a different correlation of forces and situational features, as indicated in Figure 3.2.

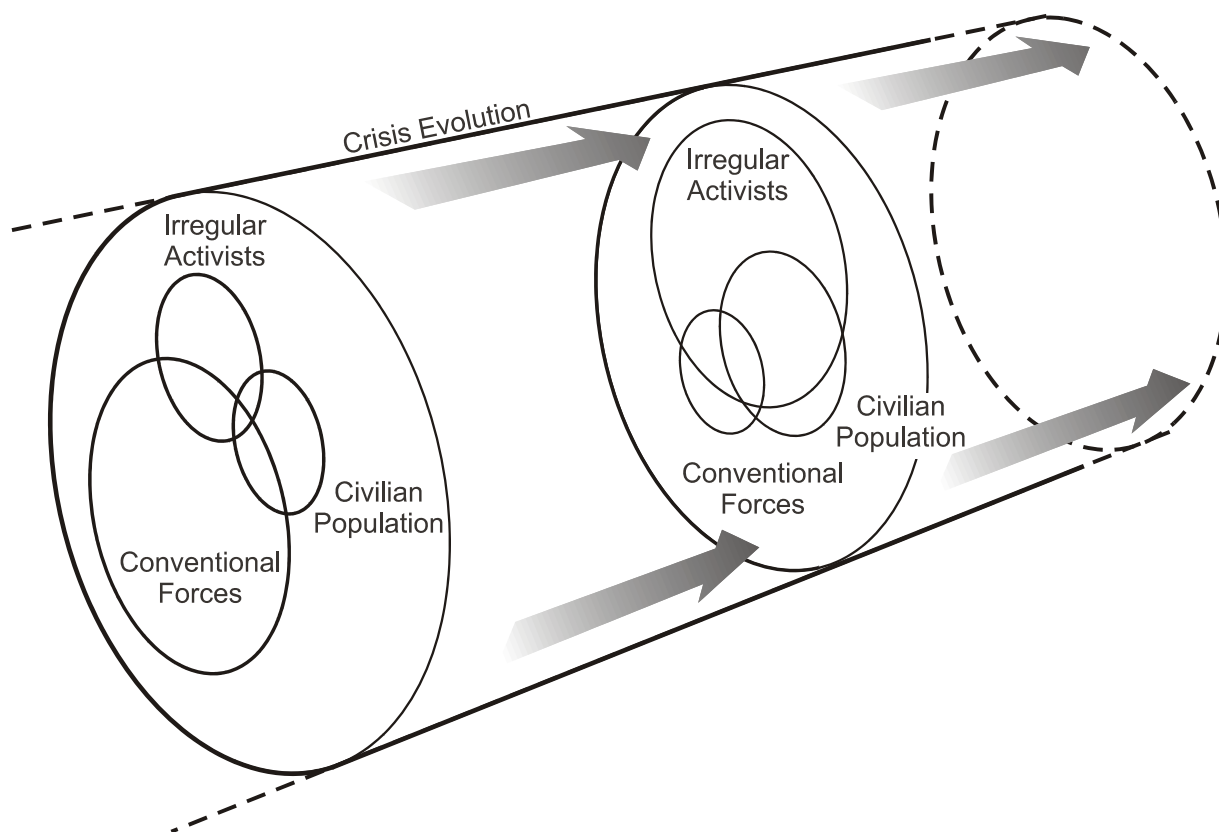


Figure 3.2 – Relationship between Actors in an Evolving Crisis

Military Activity before Conflict

305. Military intervention itself may initially be aimed at enforcing or reinforcing a fragile peace, or preventing a crisis from escalating or becoming more widespread. Subsequently, emergent threats are likely to be removed through focused intervention, involving the rapid use of agile, high readiness forces, or by deliberate intervention and the use of enough combat power to resolve the issue. Similarly, during a peace keeping operation, involving the supervision of an agreed post-conflict settlement, events may deteriorate unexpectedly into a situation that requires peace enforcement and subsequent combat operations to separate or disarm belligerents, such as rival militias. Such situations may involve Other Government Departments (OGDs), Non-Governmental Organizations (NGOs) or other International Organizations (IOs) whose functional capability to provide disaster relief, for example, may have been rendered impotent because of the risks of insecurity and violence. Here again, the Armed Forces' capacity to operate effectively, underwritten by their inherent combat capability and readiness to act, is likely to have a critical role in countering those elements that would seek to profit from ongoing instability.

Military Activity after Conflict

306. The purpose of military activity conducted after armed conflict is to ensure that conditions do not again foment crisis or provoke further violence. These stabilization activities are normally associated with security sector reform, reconstruction and regeneration. In some circumstances, the Armed Forces may be called upon to discharge the responsibilities of an occupying power. Except when a community is utterly dependent on an intervention force for the means of survival and security, there is unlikely to be consensus between the various sections of society. In these cases, opposition, including the use of armed force, intimidation and coercion, can be expected from disaffected, displaced or disempowered elements, mostly in the form of irregular activity by criminals, insurgents, opportunists and terrorists. It may be necessary, therefore, to maintain the security, confidence and expectations of the local population while re-building, reforming or building the capacity of state and societal institutions, in particular the instruments of responsible governance and the rule of law.

307. This phase normally involves the regeneration and training of an indigenous military capacity, in order to sustain recovery and preserve security in the longer term, coupled with the transfer of security responsibilities to local or other mandated forces. These roles should form part of a comprehensive response, in conjunction with a variety of agencies and authorities, and compromises may be necessary. For example, the responsibilities and tasks of military and police forces are likely to overlap in any post conflict environment. Similarly, in theory, OGDs and NGOs should take responsibility for many lines of operation, such as governance, reconstruction and development, but experience has shown that this may not always be the case, especially when security cannot be guaranteed and resources, human and material, are not available. In these circumstances, or when sufficient security cannot be created, the Armed Forces should be prepared, within their specific capabilities, training and authority, to deliver non-military lines of operation.

308. Plans for the regeneration of indigenous forces, structures and institutions, and the maintenance of governance, societal recovery and security capacity should be formulated in stride with the operational plan. Intervention should ideally be limited to the achievement of realisable military objectives and its anticipated duration defined in advance. In practice, both may need to be adjusted in the light of changing operational or political circumstances.

Combat

309. Combat, or the possibility of combat, is a likely feature of intervention operations, when power, control or resources are contested. Combat exists either alongside or as part of peace enforcement, but may arise unexpectedly, during peace building or disaster relief operations. Typically, a volatile, but otherwise largely stable

confrontation may be punctuated by intermittent episodes of fighting; alternatively, unremitting hostility and manifestations of belligerent behaviour during a protracted low-level conflict may develop into more serious warfighting. Where force is applied in response to an unexpected deterioration in an otherwise secure environment, or to counter or contain sporadic violence, it is likely to be initially defensive in nature. Should these measures fail, then forces may need to be employed offensively to achieve specified objectives, including the disruption, defeat or destruction of an opponent.

310. Combat activity may also be required to reinforce an existing, but fragile peace (itself, potentially, the consequence of past conflict), stabilize a critical situation that risks escalating into major conflict, or intervene to re-establish security where it has broken down. In many situations it may be necessary to act militarily to prevent instability from spreading to other, as yet unaffected, areas and to provide the necessary security to enable other processes to resolve the deep-seated causes of conflict and long-held enmities. The role of the Armed Forces in these circumstances tends to be limited to creating and maintaining a stable environment in which underlying issues can be addressed by non-military means.

Major Warfighting

311. Short of the direct defence of the UK against a major opponent, the most exacting commitment of British Armed Forces is likely to be a large-scale, deliberate intervention operation. *In extremis*, this may involve major, sustained warfighting to ensure the survival of the UK. Similarly, if deterrence, containment and coercion fail, or if circumstances deteriorate, major warfighting, which may result in total war and the use of strategic weapon systems, could ensue. Major warfighting involves diplomatic, military and economic actions, unified by an overall strategy and, ultimately, its conduct may draw upon the full resources of the state. It is characterized as combat centred on a contest between the regular armed forces of a state (organized and scaled for combat operations) and the resources of another regular state, and/or an action against large-scale irregular opponents. During major warfighting, the operational context (see Figure 3.1) is dominated by the need to maintain military freedom of action and to deny that freedom to an enemy. The size of the footprint, the intensity and scale of the conflict and the scope of the theatre of operations determine the extent to which civilian populations are exposed to the consequences of this type of military activity. Other considerations include support from allies, the attitude of the wider world and the strength of the other instruments of national power in sustaining fighting power and national resilience.

312. Major warfighting demands significant financial and organizational commitment, with rehabilitation and recuperation implications that extend well beyond the military dimension and the immediate conflict. Major warfighting is likely to be highly resource intensive, on account of its widespread and often protracted and

unrestrained violence, although an asymmetric advantage in terms of weight of effort or technological superiority is likely to mitigate human losses. It tends to be characterized by a series of battles and major engagements, and therefore has the potential to be accompanied by intense combat activity and logistic consumption. The tempo of activities is usually high, with a need to prioritize resources and generate additional fighting power.

313. Although some routine and standing commitments may need to be maintained, such as the protection of overseas territories (which may have utility as forward operating bases), fighting power should be concentrated on those aspects of the war that should lead to the most favourable correlation of forces to realize the effects required by the Government's overall strategy.

314. Combat is always subject to a distinctive legal framework, such as the Law of Armed Conflict, but Rules of Engagement are likely to be less restrictive for major warfighting than for other forms of military activity. Even in major warfighting, both diplomatic and economic instruments continue to play an important role in sustaining fighting power, exerting influence as part of the Government's overall strategy and in helping to achieve a favourable political outcome.

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ANNEX 3A – WHEN ARMED FORCES MIGHT BE USED

Protecting the Security of the UK

3A1. Protection of the UK includes the capacity to deter and defeat military threats or incursions. It encompasses the integrity of the UK, its territorial waters and airspace, and provides support to Other Government Departments (OGDs) (termed Military Aid to Civil Authorities (MACA))¹ in matters of security and law enforcement. MACA may also involve limited manpower to assist local authorities during unforeseen contingencies or more significant resources to assist the civil power in countering terrorism, for example. In the event of a direct military threat to the UK mainland, appropriate forces, either national or in conjunction with allies and partners, would be provided to confront the specific threat and to deter further aggression. In most cases, it is anticipated that any substantial threat to the UK would involve British Armed Forces in a large-scale alliance or coalition operation. In circumstances of extreme necessity, the UK has recourse to strategic nuclear systems.

Protecting the Security of Dependent Territories

3A2. The Armed Forces require the capability to reinforce any British Overseas Territory or Crown Dependency facing a serious threat to its security. Local garrisons are needed in some of these territories to deter adventurism, conduct operations, or to support the civil authorities. Moreover, in response to serious terrorist incidents, specialist forces may need to deploy. Exceptionally, as was the case in the Falkland Islands conflict, circumstances may require the Armed Forces to mount a large-scale national operation, employing the full range of conventional military capabilities, to fight a limited but intense conflict at a considerable distance from the UK.

Treaty Obligations

3A3. Membership of the North Atlantic Treaty Organization (NATO) involves political obligations (under the terms of the Washington Treaty) which include the provision of assistance to an ally under attack, even if the security of the UK is not directly threatened. In addition or alternatively, the European Union (EU) may request Member States to take action (under the modified Brussels Treaty) in certain circumstances. British Armed Forces may also be deployed as part of a multinational force in a wide variety of operations as a result of decisions taken and direction given by the North Atlantic Council or the EU Council of Ministers.

¹Military Aid to the Civil Authorities (MACA) covers the provision of military support to the civil power, OGDs and the community at large, JDP 02 ‘*Operations in the UK: The Defence Contribution to Resilience*’.

Promoting and Defending British Interests Worldwide

3A3. The Armed Forces may be used to promote British interests across the entire spectrum of military activities, including support to diplomacy, military assistance, humanitarian intervention and peacekeeping operations, through to major warfighting. This form of engagement is discretionary, rather than obligatory, based on assessments of the balance of risk and advantage in committing military forces. In view of the UK's widespread interests and investments, as well as its critical dependence on a stable, secure international environment for trade, it is likely that threats to international security would also represent a threat to British interests. In these circumstances, the Armed Forces may take part in operations as part of an alliance or coalition, but may have to act alone to protect or promote national interests. In certain situations, the interests at stake may be only indirectly pertinent to the national interest, but it may nonetheless be judged expedient to intervene on humanitarian, compassionate or moral grounds.

CHAPTER 4 – FIGHTING POWER

401. Fighting power defines the Armed Forces' ability to fight. It consists of a conceptual component (the thought process), a moral component (the ability to get people to fight), and a physical component (the means to fight).

402. The components of fighting power are shown at Figure 4.1. During conflict, belligerents seek to diminish or undermine the fighting power of their opponents while safeguarding, and ideally expanding, their own. The application of fighting power is competitive and adversarial and the achievement of relative superiority is an important aspect of successful military operations.

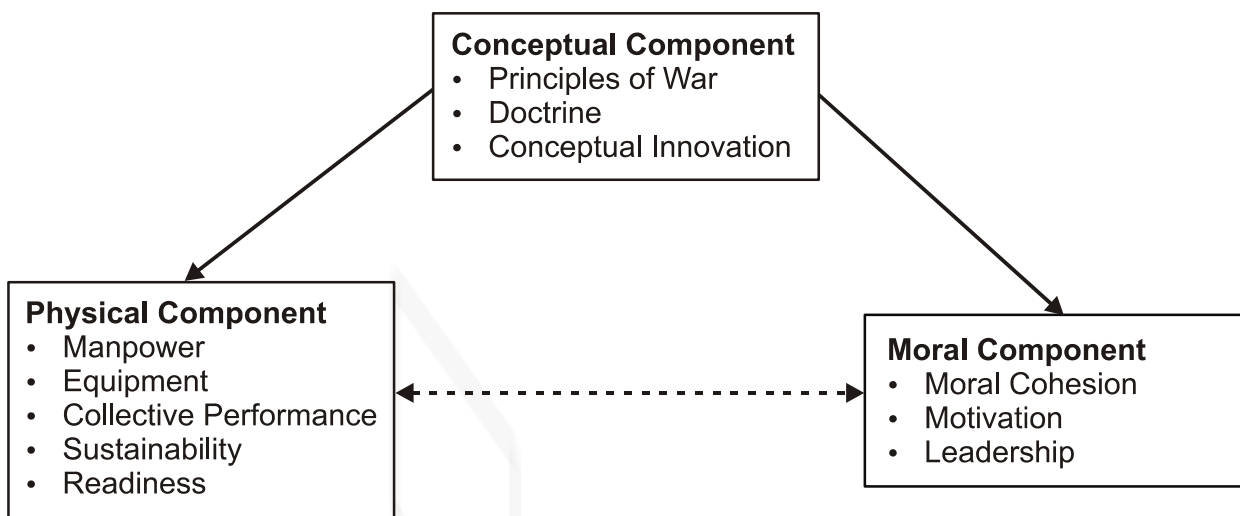


Figure 4.1 – Components of Fighting Power

CONTEXT

403. Fighting power should always be considered in *context*, including:

a. **Character of the Situation.** Given the diversity of crises in which the British Armed Forces may become involved, fighting power should be applied in a way that best suits the prevailing situation and conditions. In some cases, compromises may need to be made where political, resource or legal considerations apply, but commanders should be clear that the character, posture and activities of the forces under their command need to reflect their unique situation.

b. **Environment.** The nature of the environment inevitably affects the range of options available to a commander and determines the type of campaign and forces that may best suit his purposes. The distinctive topography, the climate and the distribution of the built-up, agricultural and industrial landscapes each present potential threats and opportunities. The

features of the society among which forces may have to operate also need to be considered. As well as the manner in which the Armed Forces operate, the physical and cultural environment may also impact upon the efficacy of certain aspects of fighting power. A force optimized to fight in one scenario, such as Western Europe, may be ill-equipped (mentally as well as physically) to operate elsewhere, such as in the Middle East.

c. **Opponents.** Fighting power needs to be comparatively, rather than absolutely, superior to that of an opponent to ensure success, especially when applied at a critical time and place. Mass alone can prevail against a numerically inferior opponent, particularly when numbers are overwhelming in comparison to the means of resistance or attritional capacity of the other side. Frequently, however, it is the quality and coherence of fighting power, applied in a context that maximizes a force's strengths and minimizes its weaknesses, which provide a decisive edge. Success against irregular activists, for example, requires the selective application of appropriate elements of fighting power to counter and exceed their particular attributes. Furthermore, high morale and a strong resolve, or will to fight, may enable an apparently inferior opponent to absorb punishment yet sustain the determination and capacity to re-engage.

d. **Allies, Partners and Other Agencies.** The requirement to work with allies and partners may affect the use of individual nations' fighting power. Interoperability, for example, may enhance capability across a coalition force, possibly at additional cost, while role specialization and burden sharing may promote efficiency. In addition, cooperation between the diplomatic, military and economic instruments, as part of a Comprehensive Approach, may demand external interaction and coordination with other agencies. This may further shape the utility of certain aspects of fighting power, not least the interpretation of doctrine to accommodate non-military actors, their respective cultures, practices and procedures.

e. **Culture and History.** In the consideration of context, the cultural and historical features of a situation or operating area are perhaps most important of all. Close analysis of cultural and historical features of a situation, and their incorporation into planning, affords key insights into how fighting power can best be applied to achieve objectives and favourable outcomes in the most efficient manner. As such, culture and history may affect all aspects of the application of fighting power, from training, through cultural acclimatization, to the execution of operations.

404. The likelihood of success on operations is not simply a function of the application of coherent fighting power against an opponent, but also of a range of wider factors, such as the uncertainties induced by unpredictable events, the interplay

of chance and the vagaries of human nature. It is therefore crucial, in order to identify opportunity and risk, that a commander understands fully the context in which fighting power is to be applied and the type of operation on which he is engaged. Only then can he shape the situation to his advantage. In practice, commanders should always seek to exploit asymmetry between themselves and an opponent, by applying their forces' strengths against an opponent's vulnerabilities (while protecting areas of one's own comparative weakness). In all circumstances, however, commanders should have sufficient reserves or agility to refocus their effort in order to deal with the unexpected.

CONCEPTUAL COMPONENT

405. The conceptual component provides the coherent intellectual basis and theoretical justification for the provision and employment of Armed Forces. It has relevance at all levels of warfare, not least at the strategic level, where it provides the intellectual material needed for effective decision-making at the political-military interface. The conceptual component also serves an important role in preserving and taking forward corporate memory, experience and wisdom. In doing so, it reflects accumulated historic experience, improvements to existing operational practice (gained through lessons, analysis and experimentation) and continuous projections about the future security environment.

406. The most important practical function of the conceptual component is to provide a framework of thinking within which military personnel can develop understanding about their profession and the activities that they may have to undertake, both now and into the future. Critically it is the conceptual component that provides commanders with the ability to understand the context within which they operate, and serves as the foundation upon which creativity, ingenuity and initiative may be exercised in complex situations, to ensure success. It comprises 3 elements: the Principles of War; Doctrine; and Conceptual Innovation.

Principles of War

407. Principles of War inform and guide the way in which the Armed Forces apply military power. They represent enduring principles, whose expression and emphasis change only in relation to context, and are consistent with similar principles applied by the UK's major allies and potential coalition partners.

Doctrine

408. Military Doctrine comprises:

- a. **Joint Doctrine.** The Joint Doctrine Hierarchy (JDH) of publications, headed by '*British Defence Doctrine*', covers all aspects of military operations.

- b. **Higher Level Environmental Doctrine.** Discrete doctrine publications for maritime, land, air (and space) environments guide respective single-Services.¹ They also provide the necessary familiarity and broad basis of understanding for joint and component commanders, formations and units to operate effectively across environmental boundaries.
- c. **Tactical Doctrine.** Joint tactical doctrine, normally expressed as Joint Tactics, Techniques and Procedures (JTTPs), is coordinated by the Permanent Joint Headquarters. Environmental tactical doctrine, relating to the employment of platforms, systems and units in a particular environment, is produced by the most appropriate Service.
- d. **Allied Doctrine.** Except where there is a specific need for national doctrine, the UK adopts NATO doctrine in the form of Allied Joint Publications, duly caveated where necessary to reflect the national position. Similarly, European Security and Defence Policy arrangements specify that NATO doctrine should be used in European Union-led military operations.
- e. **Ad Hoc Coalition Partners.** Where cooperation is required with partners, with whom there are no existing agreements, NATO or national doctrine (appropriately de-classified) may be either adopted or adapted.

Conceptual Innovation

409. The conceptual component is also continuously refreshed by conceptual innovation, capturing how the Armed Forces' thinking changes over time in response to changing contexts, emerging technologies and new challenges. The results of conceptual innovation, including both new capabilities and new ways of operating, generate improvements in fighting power.

410. To meet the requirements of Government policy and the development of future Defence capabilities, the UK maintains a progressive programme of intellectual and academic engagement, innovation and experimentation. Changes in the strategic environment are, thereby, reflected across all Defence Lines of Development.² The MOD's Defence Conceptual Framework provides coherence to this process and comprises 7 main elements:³

- a. **Operate.** The ability to apply the military instrument of power in support of Government policy at a time and place of choice.
- b. **Command.** The authority vested in an individual to influence events and to order subordinates to implement decisions exercised by, or on behalf of,

¹ BR1806 *'British Maritime Doctrine'*, ADP 1 *'Land Operations'* and AP3000 *'British Air Power Doctrine'*.

² Doctrine and Concepts, Equipment, Infrastructure, Organization, Training, Information, Logistics and Personnel.

³ *'The High Level Operational Conceptual Framework'*.

commanders and comprising 3 closely inter-related elements: leadership, decision-making (including risk assessment) and control.

- c. **Inform.** The ability to collect, analyze, manage and exploit information and intelligence to enable information and decision superiority.
- d. **Prepare.** The timely provision of forces for military operations through effective intellectual, moral and physical development.
- e. **Project.** The ability to intervene at a time and place of political choice to act against threats to UK security and in support of national interests.
- f. **Protect.** The means by which operational effectiveness is maintained through countering the threats from technological, natural and human hazards.
- g. **Sustain.** The capacity to generate the means by which fighting power and freedom of action are maintained.

MORAL COMPONENT

‘The one significant advantage that the British military had [in the Falklands War of 1982] was the human element. The quality of its individual soldiers, organization and leadership, and the cohesion of its forces became the deciding factor.’⁴

411. Above all other considerations, warfare is a human activity and the moral component exerts a decisive psychological influence, individually and collectively. While morals – principles of right and wrong – are one aspect (enhancing cohesion), the moral component is considerably broader. Similarly, morale – a sense of confidence and well-being – is also but one aspect of the moral component (promoting courage and commitment) and, again, it is not the whole.

412. The moral component of fighting power is about getting people to fight, a combination of 3 inter-related functions: moral cohesion (the preparedness to fight): motivation (the enthusiasm to fight); and leadership (the inspiration to fight).

Moral Cohesion

413. Moral cohesion is a source of moral fortitude, to fight and to keep on fighting; moral integrity reinforces cohesion.

414. Cohesion occurs when individuals want, or are encouraged, to work together, normally to share tasks, provide each other with support and to achieve a common enterprise. Moral cohesion depends on cultural solidarity, shared experiences, a

⁴ Henderson WD, Cohesion, *‘The Human Element in Combat’*, University Press of the Pacific, 2003.

common sense of worth, appropriate discipline and an expressed collective identity, which is sustained by shared common values and standards. It embodies genuine and deep comradeship that endures, notwithstanding violence and fear of death and injury. Pride in belonging and fear of exclusion, best described by the term *esprit de corps*, reinforces unit identity and cements moral cohesion. Three elements, in particular, need to be highlighted:

- a. **Professional Ethos.** A willingness to face danger is strengthened by emotional links and commitment to comrades, units and country, and to the cause for which one is fighting. An exemplary professional ethos, combined with an appealing cultural identity and military reputation, is a powerful moral force in its own right. The ethos of each Service⁵ is derived from a number of identifiable and intangible qualities that promote an offensive spirit and a determination to succeed, whatever the conditions. These qualities include physical and moral courage, selfless commitment, loyalty, mental agility, initiative, stamina, adaptability and a strong tendency towards teamwork.
- b. **Self-Esteem.** The overwhelming majority of military personnel derive significant self-esteem and satisfaction with life through membership of the British Armed Forces. Much of this is related to belonging to a highly professional body of men and women, who collectively reflect the aspirations of society and provide an example of devoted public service. Tradition and custom, manifested in ceremonies, uniforms, museums and Service distinctions, are also critical factors in promoting and sustaining an individual's sense of worth.
- c. **Tradition.** Cohesion within a team is strengthened by a sense of heritage, infused by professional reputation and fostered through cultural identity. The commitment to prevail on operations, whatever the personal cost, is reinforced by an established and proven national and Service reputation for military success, and a consciousness of being part of that tradition. Indeed, to know and recall what predecessors have experienced and achieved helps an individual face the challenge of duty and the rigours of combat.

415. **Human Factors.** Moral cohesion may be further enhanced by the application of scientific expertise relating to the social, psychological and behavioural aspects of human factors. In particular, a more sophisticated understanding of group dynamics, and the motivational profile of people in relation to force preparation and generation, would enable a better assessment of likely behaviour in stressful situations.

⁵ Each Service expresses its own perception of ethos in published documents: 'Royal Navy Ethos – The Spirit to Fight and Win', 'Naval Service Core Values and Standards' and 'Royal Marines Ethos'; 'Values and Standards of the British Army' and 'Army Doctrine Publication - Land Operations', Chapter 7, 'The Moral Component'; and 'Ethos, Core Values and Standards of the Royal Air Force.'

416. **Moral Integrity.** Moral integrity is another important source of moral strength, providing the foundations upon which cohesion and indeed motivation are built. Most Servicemen and Servicewomen have an intuitive feel for what is right and good and can be relied upon to deplore what is either illegal or unethical. This predisposition is reinforced by aligning the basic decency of individuals with the values and standards of the British Armed Forces, as organizations that are democratically accountable and responsible to the society they represent. The moral legitimacy of the Armed Forces depends upon the individual and collective adherence to ethical principles, both articulated and implicit. Commanders are required to promote and maintain legal and ethical standards amongst their subordinates, regardless of what may be considered acceptable behaviour elsewhere.

Motivation

417. Motivation is a product of training, confidence in equipment, effective leadership and management, firm and fair discipline, self-respect, mutual respect and a clear understanding of what is going on and what is required. Motivation and high morale (the will to fight and a confidence in succeeding) are, in practice, inter-dependent. Motivation is, however, also susceptible to a variety of external influences, such as public opinion. The will to fight is substantially reinforced and sustained by the personal belief that a nation or community supports a particular conflict, and considers that its purpose is legitimate, its conduct ethically sound, and military activity properly resourced. The contribution of the media is important in this regard. Positive reporting reassures Service personnel that they enjoy national support and recognizes publicly their personal contribution to an arduous and often dangerous endeavour (without compromising operational security). Adverse media activity, on the other hand, should be quickly countered. A commander should keep the virtual aspects of his campaign under constant review, to ensure that any gap between perception (what is believed) and reality (what is true) does not erode the moral component and, thereby, inhibit the achievement of operational objectives.

Leadership

‘A commander should have a profound understanding of human nature, the knack of smoothing out troubles, the power of winning affection while communicating energy, and the capacity for ruthless determination when required by circumstances. He needs to generate an electrifying current, and keep a cool head in applying it.’⁶

418. Effective leadership, a critical aspect of command, is characterized by the projection of personality and purpose to influence subordinates to prevail in the most demanding circumstances. There is no definitive style of leader and no prescription

⁶ Liddell Hart, B H, *‘Thoughts on War’*, 1944.

for leadership. The exercise of leadership is related to individual and group dynamics, and the context within which assigned missions and tasks have to be achieved. Natural leaders are rare, but training and experience can develop latent potential.

419. Leadership is a variable combination of example, persuasion and compulsion. Strength of character, judgement, initiative and professionalism all help to overcome natural and human hazards, inadequate information and administrative shortcomings, as well as rivalries, ambitions, the operation of chance and institutional inertia. In order to gain the respect and commitment of their subordinates, leaders need to demonstrate professional competence, firm but fair discipline and moral courage. They should also engender the confidence that breeds initiative and the acceptance of risk and responsibility.

420. Especially in the face of adversity, leaders should share their courage and contain their fear. Calm, confident and collected leadership, enhanced by an ability to communicate clearly and to make things happen, is vital to the success of military operations and the maintenance of morale, even when other factors militate against it. When personal contact is maintained with subordinate formations, units and individuals, leadership is overwhelmingly based on presence and example. Different considerations apply to the exercise of leadership over distance, within large spans of command, decentralized networks, or allied and joint structures. Here subordinates' perceptions of their more remote leaders are based on reputation, mental images gleaned through communications and the media, and demonstrations of competence, personal example and authority.

421. Management of personnel is no substitute for leadership, but is a vital supplement to it. Together, effective leadership and sound management establish and sustain motivation, and inspire confidence.

PHYSICAL COMPONENT

422. The physical component of fighting power provides the means to fight: manpower, equipment, collective performance, and sustainability, at readiness.

423. **Manpower.** Manpower comprises Servicemen and women, both Regular and Reserve, as well as MOD employed civilians and contracted personnel. Military recruits undergo a rigorous selection and initial training process, to condition them for the hardship and challenges of operations; collective training makes them into useful team members. Further professional development maintains the requisite skills balance within the overall force structure. Despite the attractions and economies of simulation, a reasonable amount of stimulation, in the form of live training, is necessary to inure personnel to the sights, sounds and smells of combat. Similarly, the training of all personnel should be matched to the technical, social, cultural, political

and economic complexity of likely operating environments; to this end, specialist and technical skills need to be nurtured, developed and retained.

424. **Equipment.** A credible fighting force depends upon sufficient, effective equipment, optimized and scaled according to likely operational challenges. Suitable equipment should reflect and complement the envisaged scale and intensity of use, making allowance for the integration of human, system and platform requirements. A balanced, sustainable equipment capability programme, driven by conceptual innovation, should enable both the projection and employment of force. Equipment acquisition should be underpinned by sustainable and robust manufacture and supply, and by flexible through-life support (including requisite operating data). The exploitation of technology should provide a decisive edge over an opponent or in regard to an operational situation. However, experience has shown that reliance on technology (especially when it is unproven), at the expense of empirical evidence and human-based fighting culture, may increase operational risk.

425. **Collective Performance.** Collective performance is characterized by high levels of cohesion, confidence and proficiency among units and formations that have successfully trained or operated together. Where time and resources allow, this should be achieved by individual Services, to prepare their respective force elements for all-arms activity. Thereafter, collective performance should be focused on the leadership of, or contribution to, joint and multinational operations. Commanders should be trained and appointed according to the types of operation and scales of forces that are envisaged, concentrating primarily on the demands of warfighting, as the defining core of fighting power.

426. **Sustainability.** The credibility and effectiveness of a military force rests upon its sustainability. A fully agile 'end-to-end' logistic support framework is required to link the strategic base (including infrastructure, stockpiles and industrial capacity) with front line forces. Overall, sustainment depends upon a combination of: logistic, personnel and administrative force structures, training and equipment; infrastructure; and communications and information management, tailored to the activities likely to be undertaken. Logistic support should enable, but may in practice constrain, operational tempo. In addition, personnel support should be sufficiently resilient to meet the operational demands on military manpower.

427. **Readiness.** The UK holds forces at varying states of readiness, consistent with assessed risks and threats. The Armed Forces' readiness profile reflects a balance between the time needed for force generation, preparation and deployment, and the resources available to Defence. Readiness is, therefore, linked to a combination of manpower and equipment availability, sustainability, and collective performance; it provides an assessment of the time within which a unit can be made ready to perform tasks. Overt readiness contributes to deterrence by indicating, to potential aggressors and opportunists, the UK's preparedness and resolve.

Progressive Adaptation

428. The UK retains sufficient capability to deal with crises and conflicts that affect its national interests, exploiting technology and maintaining an appropriate mix of fighting power to meet fresh challenges.

429. An emerging crisis, in an unforeseen environment or against an unexpected opponent, may require new capabilities or render obsolete those currently held. For this reason, the UK generates and maintains fighting power that, subject to adequate resourcing, is broadly balanced and sufficiently agile to deal with a variety of possible scenarios, but with the potential, through research and development, to adopt the latest technology and systems.

GENERATION OF FIGHTING POWER

430. Fighting power is generated to produce Armed Forces that are sufficiently capable, in all 3 components, to succeed on operations. There is an important, although not an absolute, distinction between having fighting power and generating it. Collective training, for example, provides no capability itself; it is the resulting collective performance that contributes to the physical component. Conceptual innovation, on the other hand, provides the basis for future capability development, as well as enhancing our understanding of the likely context within which forces may have to operate.

431. The need to generate fighting power has 2 implications. First, it provides the focus for all non-operational activity across the Armed Forces. On operations, certain aspects of fighting power such as morale may also be enhanced, while others such as stocks of vehicles and equipment may become depleted. A balance should be struck, therefore, at all levels from the strategic through to the tactical, between the application of fighting power, to achieve immediate objectives, especially at high tempo over prolonged periods, and efforts to sustain and generate fighting power for the future. Sometimes this may constrain current operations in order to ensure adequate capability for subsequent ones. Secondly, the generation of fighting power rests upon supporting foundations that, while not contributing directly to operational capability, are essential to ensure that it can be provided, as required, and sustained. A secure home base with adequate technical and domestic accommodation is one tangible aspect of this supporting foundation; the provision of appropriate health, welfare and administration for Servicemen and Servicewomen is another equally important, yet intangible, example. In the same way that the fighting power applied today is the product of generation in the past, so current development and support will determine the extent of fighting power available in the future.

ORCHESTRATION OF FIGHTING POWER

432. The primary responsibility of a military commander is to coordinate and balance *ends, ways* and *means* to achieve objectives and obtain favourable outcomes. His major preoccupation is the effective orchestration of the components of fighting power, in order to optimize their potential for employment throughout the continuum of likely operations and to preserve their strength and agility for future use.
433. The coordination and synchronization of activity are complex undertakings, that will only deliver agility, tempo and unity of effort when planned and conducted by commanders and staffs who are experienced and practised in organizing forces at all levels of likely engagement.
434. The exercise of Command and Control (C2), through appropriate organizations and structures, provides a mechanism for synchronizing activity and also enables a commander to identify opportunities and manage risk, while converting his intent into effect. The complexity inherent in modern situations demands a C2 philosophy that does not rely upon precise control, but is able to function despite uncertainty and disorder. Where control can be established, it has a role in reducing the complementary need for direct command; conversely, where control is weak, the more that command is required. In any environment characterized by complexity, unpredictability and rapid change, the system that adapts best and most quickly is likely to prevail. The most important qualities of any C2 system are constant agility in organization, and time and space, to reflect the context within which activity is to take place. Commanders, in turn, need to be agile across all dimensions and levels of warfare if they are to deal with vast amounts of data and an array of complex, interrelated and possibly unexpected issues.
435. Information and intelligence are critical to establish and maintain situational awareness, to understand the challenges of the operational context and the conditions necessary to achieve the desired outcome, and to orchestrate military and other activity to realize the requisite effects for success. Network Enabled Capabilities have particular utility, conferring decisive advantage through the timely provision and exploitation of information and intelligence, allowing effective decision-making and the agile synchronization of activity. However, near-real time information flows, in ever increasing volumes and to wider audiences, offer both risk and opportunity. Effective information management is required to ensure that an abundance of data does not inhibit or overload the commander's decision-making capacity. Moreover, and notwithstanding advances in information technology, intuition, expertise and intellect, in shaping judgements and assessing perceptions, continue to have an essential role in successful information exploitation.

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CHAPTER 5 – THE BRITISH WAY OF WAR

501. The British Way of War derives from a deep-seated martial tradition and a pragmatic fighting culture that stretches back centuries in both historic narrative and public sentiment. It has been shaped by the UK's imperial and colonial experience, its continuous role in the forefront of world affairs (notably as a Permanent Member of the United Nations Security Council), and the country's active engagement with globalization. History, together with an associated religious and secular mythology, exerts a powerful influence over the Armed Forces' perceptions of themselves and their way of war. At its heart is the notion that the profession of arms is an honourable calling – a vocation rather than merely an occupation.

502. The British Way is characterized by pragmatism and moderation in response to provocation and confrontation, but complemented by steadfast resolve and a determination to win when confronted by aggression, danger or injustice. Its application is denoted by constant adaptation to circumstances and a preference for empirically-based rather than theoretical or necessarily technological solutions. An emphasis on professional competence engenders an uncompromising approach to training, in order to acquire and maintain the skills necessary to prevail in the most challenging situations. However, its most distinctive feature relates to the recognition that warfare is a human activity, both in its exercise and effects, and that the most decisive element is the contribution made by men and women suitably trained, equipped and led. The British Way implies a can do approach and demands that, no matter how difficult the circumstances or remote the immediate chances of success, the urge to succeed should predominate over the need to avoid failure. The attributes of British military culture are expanded upon at Annex 5A.

503. The British Armed Forces respond continuously to the evolving character of warfare, advances in technology and the increasing complexity of the operating environment. The manner in which an individual commander, at any level, deals with these challenges is founded upon his intellect, ability and intuition – supplemented, perhaps decisively, by his creative genius, instinct and vision. He should, however, be guided by a number of principles and approaches that, together, provide a framework of understanding how to plan and execute military operations. These precepts, and the nature of military command necessary to apply them effectively, are described below.

COMMAND

504. Command embraces authority, responsibility and accountability. It has a legal and constitutional status, codified in Queen's Regulations, and is vested in a commander by his superior. Authority enables an individual to influence events and to order subordinates to implement decisions. While a commander can devolve specific authority, he retains overall responsibility for his command; responsibility is thus

fundamental to command. Accountability involves a liability and obligation to answer for the proper use of delegated responsibility, authority and resources; it includes the duty to act. Thus, a commander who delegates responsibility should grant sufficient authority to a subordinate to enable him to carry out his task; the subordinate, meanwhile, remains accountable to his superior for its execution.

505. The exercise of command includes the process by which a commander makes decisions, conveys his intent and impresses his will upon his subordinates. It comprises 3 inter-related aspects:

a. **Decision-Making.** Timely, accurate and effective decision-making enables adaptive command, the optimization of tempo and, ultimately, success on operations. Much of the art of command depends on recognizing *when* to decide and act, which, in turn, relies on good judgement and intuition, based on situational awareness and intelligent interpretation. However, fleeting opportunities need to be identified and sometimes exploited on the basis of incomplete information. Decisions should be communicated effectively and, where possible, personally to inspire confidence and promote cohesion between commanders and their subordinates. The ability to make difficult decisions and to remain resolute, particularly when the outcome is uncertain, are the defining characteristics of a strong commander.

b. **Leadership.** A commander has ultimate, sole responsibility for ensuring that his plan delivers the best chances of success. The way in which he exercises leadership is determined by his character, style and experience, as well as the mix of personalities within his force or organization. Furthermore, the intangible nature of the relationship between a commander and his subordinates may affect the way in which forces are employed and the enterprises they undertake. Consequently, different situations demand different styles of leadership, implying varying amounts of regulation and delegation, inspiration and coercion.

c. **Control.** Control is the coordination of activity, through processes and structures that enable a commander to manage risk and to deliver intent. The extent of military control over a particular situation is influenced by the balance between military and other actors' engagement, and contribution to relevant objectives. In purely military terms, control is frequently delegated to specialist staff or associated systems, except where a commander needs to intervene personally to ensure that his intent is achieved. Generally, a commander should seek to increase the freedom of action of his subordinates through appropriate decentralization and delegation.

506. In all circumstances, command has to be inextricably linked to the strategic context and environmental conditions of a particular campaign. Since military activity

does not take place in a vacuum, the challenge for any commander is to exercise command, possibly working with allies and partners, to achieve a national strategic aim, while retaining both unity of purpose and, where possible, unity of command.

507. Moreover, a commander's immediate subordinates may themselves be senior, experienced commanders, including those from other nations. They should have confidence in his professional ability, sound judgement and firmness of purpose. Wherever possible, a commander should explain the rationale underlying his chosen course of action so that his subordinates understand the reasoning behind his decision and have a clear sense of purpose. Subsequently, when the situation precludes these interactions, subordinates should, nonetheless, have confidence that his decisions are properly considered and valid. Furthermore, a commander should always be prepared to accept and make use of the ideas and opinions of others, who may have an important contribution to make. Finally, a commander exercises command in conditions of inevitable uncertainty, risk, violence, fear and danger. His success depends largely on experience, flexibility and determination but, ultimately, on the ability to shape those aspects amenable to control and to retain sufficient capacity for the unexpected.

Mission Command

508. The UK's philosophy of Mission Command has 4 enduring tenets:

- a. Timely decision-making.
- b. Thorough understanding of a superior commander's intention.
- c. Clear responsibility on the part of subordinates to fulfil that intent.
- d. The commander's determination to take the plan through to a successful conclusion.

509. The fundamental guiding principle is the absolute responsibility to act or, in certain circumstances, to decide not to act, within the framework of a superior commander's intent. This approach requires a style of command that promotes decentralized command, freedom and speed of action and initiative, but which is responsive to superior direction when a subordinate overreaches himself.

510. In practical terms, Mission Command has 5 essential elements:

- a. A commander ensures that his subordinates understand his intentions, their own contribution, and the context within which they are to act.
- b. Subordinates are told what effect they are to achieve and why.

- c. Subordinates are allocated sufficient resources to carry out their missions.
- d. A commander exercises a minimum of control over his subordinates, consistent with their experience and ability, while retaining responsibility for their actions.
- e. Subordinates decide for themselves how best to achieve their superior's intentions and objectives.

511. Mission Command therefore imparts understanding to subordinates about the intentions of a higher commander and their place within his plan, enabling them to carry out missions with the maximum freedom of action and appropriate resources. It is predicated upon delegation of authority and agility in execution. As such, it underpins the Manoeuvrist Approach and reinforces the resilience of command. Its essence relies on striking an appropriate balance between direction and delegation, dependent upon the training, personality and experience of the commander and subordinates concerned. It requires trust, shared awareness and common understanding.

CAMPAIGNING

512. The UK's approach to crisis management (described in Chapter 1) is always cross-Government and very often multinational as well as multi-agency. This approach requires, amongst other things:

- a. A shared understanding across Government, as well as between governments and with other institutions and agencies, of:
 - (1) The nature of the crisis situation and its causes.
 - (2) The nature of the desired outcome (a more favourable, probably more stable situation), and the conditions that need to be changed or created in order to reach it (and sustain it).
- b. A comprehensive response by all relevant instruments of national power, in conjunction with other nations and other actors as appropriate, to achieve mutually agreed objectives. More often than not, these objectives are inter-dependent, so any response needs to be collaborative as well as comprehensive.
- c. A strategy, and specifically a campaign plan, to achieve military objectives, in conjunction with other actors (who may support and/or be supported by the military).

513. The practice of crisis management, and within it campaigning as the military contribution, involves:

- a. Analysis of the situation, in order to understand as much as possible about the context, complexity and possible causes of a crisis. It includes a thorough cultural and historical appreciation of the constituents of a nation or society,¹ as well as recent developments.
- b. Planning to reach the desired outcome. This is an iterative process, based upon analysis and assessment, with plans being continually updated as political priorities, as well as the situation on the ground, evolve.
- c. Execution of activities to change or create improved conditions (recognizing that intervention will not necessarily achieve all, any, or only the results intended).
- d. Assessment of progress towards reaching the desired outcome.

514. These functions are common to all levels of warfare and are carried out, in some form but using a variety of terms, by the majority of organizations engaged in crisis management.

515. Campaign planning is carried out by military commanders in consultation and through coordination with other actors; a campaign plan is only likely to be effective in conjunction with the plans of others. The purpose of campaign planning is to determine the military contribution to the overall desired outcome (the end-state), the conditions that military activity can realistically influence (some of which may be deemed decisive), and the appropriate combinations of activity and associated effect (task and purpose) by which to do so. Military operations are duly undertaken to achieve specific effects, in order to improve conditions cumulatively and progressively, and thereby lead eventually to the desired outcome.

516. The purpose of military operations may be unequivocal and well bounded, such as the defeat of an identifiable enemy. More often, however, crises involve a plethora of different actors and influences; military operations are therefore conducted in concert with others, such as Other Government Departments (OGDs) and International Organizations (IOs) who lead on economic, governance and reconstruction activities. Seldom can the objectives of one be achieved and sustained in isolation, and military commanders at all levels engage continuously with their civilian counterparts to ensure that their respective activities are effectively coordinated in pursuit of agreed goals. If there is any delay in civilian agencies and organizations assuming, or re-assuming, responsibility for their respective lines of

¹ Such as the Rule of Law, Education, Commerce, Humanity, Health, Information, Military, Economy, Diplomacy, Administration and Governance.

activity (perhaps because they cannot respond sufficiently quickly or the security situation prevents them from operating effectively), then the military may be required to provide support in the interim, subject to their available resources, expertise and remit.

517. Crises are habitually complex, adaptive and, to a greater or lesser extent, unpredictable. Continuous assessment, of the performance of activities and their effects (both intended and unintended), is a critical aspect of campaigning. Commanders need to assess the impact of their actions on all participants, not merely the repercussions for individual elements or an opponent. Assessment informs iterative planning and improves situational understanding. It can, however, consume significant time and resources and needs to be carefully focused on satisfying information requirements, rather than on measurement *per se*.

518. Military operations are executed through Joint Action, a term used to describe the deliberate use and orchestration of military capabilities and activities to realize specific physical and/or psychological effects. Joint Action is conducted to affect the will, understanding and capability of opponents, as well as friendly and neutral actors, and relevant decision-makers in particular. Joint Action and the Manoeuvrist Approach are inextricably linked. Together they seek to shape an opponent's understanding, shatter his cohesion, and break his will, as well as diminishing his capability and capacity, through a combination of Fires,² Influence Activities,³ and Manoeuvre.⁴

519. The UK's approach to campaigning recognizes that the features of crises and situations vary over time and that planning cannot address all eventualities. As such, operational success relies on the personality, intellectual engagement and experience of commanders, not only in leading debate on the issues, but also in personally monitoring and sustaining the momentum and integrity of an outcome-focused plan. Consequently, a commander should retain an active and personal role, interacting with his staff and subordinate commands, and engaging with other agencies. Indeed, in many operations, the commander plays an influential role in creating the desired effects himself by his personal interaction with key leaders, opinion-formers and other individuals. A commander has a special role to play when dynamic interventions are required to mitigate the consequences of unforeseen events, to vary the rate of activity in response to circumstances, and to respond with agility to the effects induced by an enterprising opponent or other participant.

520. Effective campaigning enables a commander to provide those under his command with:

² The deliberate use of physical means to support the realization of, primarily, physical effects.

³ The capability or perceived capacity to affect the character or behaviour of someone or something.

⁴ Coordinated activity necessary to gain advantage within a situation in time and space.

- a. A comprehensive understanding of the context in which they are operating.
- b. An awareness of the principal consequences of their actions.
- c. Essential guidance that allows them to exploit Mission Command and contribute effectively the outcomes required.
- d. Discretion with regard to the employment of Fires, Influence Activities and Manoeuvre.
- e. Accurate and timely measures of effectiveness.

MANOEUVRIST APPROACH

521. The Manoeuvrist Approach to operations applies strength against identified vulnerabilities, involving predominantly indirect ways and means of targeting the conceptual and moral component of an opponent's fighting power. Significant features are momentum, tempo and agility which, in combination, aim to achieve shock and surprise.

522. Emphasis is placed on the defeat, disruption or neutralization of an opponent through ingenuity, even guile, rather than necessarily or exclusively through the destruction of his capability or gaining territory for its own sake. Degradation of an opponent's ability to make timely and well-informed decisions, for example, reduces his ability to act appropriately or conceivably to act at all. In practice, direct and indirect forms of attack are not mutually exclusive, and any operation is likely to contain elements of both.

523. The Manoeuvrist Approach does not preclude the use of attrition; it does, however, offer the prospect of achieving results that are disproportionately greater than the resources applied. It calls for an attitude of mind in which originality and producing the unexpected are combined with a ruthless determination to succeed.

WARFIGHTING ETHOS

524. A warfighting ethos, as distinct from a purely professional one, is absolutely fundamental to all those in the British Armed Forces.

525. Notwithstanding the proportion of their career engaged in duties other than warfighting, it is essential that all Servicemen and Servicewomen develop and retain the physical and moral fortitude to fight, when called upon to do so. Not only do they all accept the legal right and duty to apply lethal force, they also accept a potentially

unlimited liability to lay down their lives in the performance of their duties.⁵ The mutual commitment between individuals and the Armed Forces constitutes a voluntary military undertaking or covenant, rather than a formal contract.

526. Armed conflict, of any type, is a bloody, chaotic and destructive business. The inherent chaos of warfighting introduces friction, exacerbated when (almost inevitably) initial plans are overtaken by events and then require continuous adjustment thereafter. Fear is commonplace, even within the minds of those conditioned to cope with its challenges. Courage and leadership, coupled with unit cohesion and discipline, regularly practised and tested during training, are the best counters to fear. By its very nature, military activity is about understanding and managing risk, rather than avoiding hazards; a warfighting ethos enables Service personnel to prevail in even the most demanding of circumstances. The warfighting ethos signifies and embodies the ideals and duties of military service, and unifies those who serve in the Armed Forces.

BRITISH ARMED FORCES INTO THE FUTURE

527. Apart from their primary roles in support of Security and Defence policy, the British Armed Forces provide an important and distinctive strand in the fabric of the nation. They promote the ideals of integrity, discipline, professionalism, service and excellence, and also embody much tradition, which helps to promote a sense of regional and national identity, stability and cohesion. The Armed Forces also represent a considerable repository of skills and talent, corporate memory, national character and heritage.

528. The excellent reputation of the Armed Forces is promoted for the benefit of the nation at large, now and into the future. Although military service makes extraordinary demands on Service personnel, it is important that the Armed Forces should not become disassociated institutions, with markedly different values and goals from the rest of society. Within a democracy, the Armed Forces reflect both the aspirations and the expectations of the nation that they represent and defend.

529. The starting point, therefore, is that the Armed Forces' values should represent the aspirations of society, and that they only set their own particular values where it is necessary to do so by virtue of their distinctive function. Moreover, the Armed Forces need to remain broadly adaptable in relation to society and its evolving aspirations, both to strengthen civil-military relations and to sustain numbers (especially as the Armed Forces are voluntary, professional organizations, without the benefit of conscription).

⁵ 'The essential basis of the military life is the ordered application of force under an unlimited liability. It is the unlimited liability which sets the man who embraces this life somewhat apart. He will be (or should be) always a citizen. So long as he serves he will never be a civilian.' General Sir John Hackett, *The Profession of Arms*, London, Sidgwick and Jackson, 1983.

530. The Armed Forces should continue to deter and, where necessary, defeat threats to the freedom and territorial integrity of the UK, as well as promoting its interests. They are likely to do so within a strategic context that is complex, dynamic, and uncertain. Commanders should, therefore, continue to be guided by enduring principles, such as those contained within '*British Defence Doctrine*', supplemented by their own experience, judgement and initiative. Lessons from operations and deductions drawn from conceptual analysis and practical experimentation, inform both current practice and future capability development.

531. Fresh thinking and innovation, distilled in doctrine, should continue to underpin the successful and efficient use of the British Armed Forces. However, in order to ensure that doctrine preserves a sensible balance between enduring principles, and their application and articulation, in modern and emerging contexts, its expression has to be continuously refined. This is best achieved by constant review of existing doctrine in the light of lessons from operations, advanced analysis and research and quick wins from emerging conceptual thinking. In short, doctrine must be refined to meet the demands of the first day of the next conflict, drawing upon, but not constrained by, experience of the last.

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ANNEX 5A – ATTRIBUTES OF BRITISH MILITARY CULTURE

5A1. The military culture which pervades, and therefore serves to epitomize, the British Armed Forces is characterized by a number of distinctive attributes.

5A2. **Courage.** Physical courage is a primary British military virtue, as is, to a less obvious extent, moral courage in the face of seemingly insurmountable difficulty.

“Courage is rightly esteemed the first of human qualities because it is the quality which guarantees all others.”¹

“War is the realm of danger; therefore, courage is the soldier’s first requirement. Courage is of two kinds: courage in the face of personal danger, and courage to accept responsibility.”²

5A3. **Offensive Spirit.** An offensive spirit and a desire to get to grips with an opponent or problem are persistent features of British military operations.

“No captain can do very wrong if he places his ship alongside that of an enemy.”³

“No method of education, no system of promotion, no amount of common sense ability is of value unless the leader has in him the root of the matter – Fighting Spirit.”⁴

5A4. **Loyalty.** Loyalty is a characteristic without which military forces cannot operate, especially under pressure, and is implicit, regardless of personal or private considerations, in every aspect of British military life and engagement.

“Loyalty is a noble quality, as long as it is not blind and does not exclude the higher loyalty to truth and decency.”⁵

“I have ate of the King’s salt, and, therefore, I conceive it to be my duty to serve with unhesitating zeal and cheerfulness, when and wherever the King and his Government may think proper to employ me.”⁶

¹ Churchill, Sir Winston, *‘Great Contemporaries’*, 1932.

² Clausewitz, Carl von, *‘On War’*, edited and translated, Michael Howard and Peter Paret, Book 1 Chapter 3 (Princeton, NJ: Princeton University Press, 1976).

³ Nelson, Vice-Admiral Horatio, *‘Memorandum’*, 9 October 1815.

⁴ Wavell, Field Marshal Archibald Percival, *‘Soldiers and Soldiering, or Epithets of War’*, 1953.

⁵ Liddell-Hart, Captain Sir Basil, *‘Through the Fog of War’*, 1938.

⁶ Wellesley, Field Marshal His Grace Arthur 1st Duke of Wellington, *‘Despatches: Letter to a friend’*, 1808.

5A5. **Comradeship.** Allied to loyalty is a sense of comradeship based on shared experiences, hardships and achievements. This is linked to a feeling that the military calling, with its implicit risks and dangers, is a worthy and valued profession.

“Such a gallant set of fellows! Such a band of brothers! My heart swells at the thought of them.”⁷

“All things were bearable if one bore them ‘with the lads’. Battles would have become terrible beyond endurance, if pride did not make a man endure what his comrades endured.”⁸

5A6. **Determination.** A distinctive British attribute is the desire to prevail and give it a go whatever the circumstances and in the face of seemingly insuperable odds.

“Never yield to force: never yield to the apparently overwhelming might of the enemy.”⁹

5A7. **Patriotism.** Patriotism manifests itself as a collective and individual attachment to the idea of Britishness and the values and way of life that it represents. Owing to history, training and cultural influences, it also engenders the belief that the British Serviceman or Servicewoman is a match for any opponent.

“If your country’s worth living in, it’s worth fighting for ... you can’t fight a war without losing lives. Although no one wants killing, sometimes it has to be. To keep your country free sometimes you have to fight and die. It was to be a great honour to us.”¹⁰

“Patriotism does not calculate, does not profiteer, does not stop to reason; in an atmosphere of danger the sap begins to stir; it lives; it takes possession of our soul.”¹¹

5A8. **Duty.** Duty is the devotion to a cause or mission that transcends an individual’s personal interests or desires.

“Duty is the great business of a sea officer; all private considerations must give way to it, however painful it may be.”¹²

“Our first duty is towards the people of this country, to maintain their interests and their rights; our second duty is to all humanity.”¹³

⁷ Nelson, Vice-Admiral Lord, ‘Letter to Lord Moira’, 30 March 1805.

⁸ Carrington, Charles, ‘A Subaltern’s War’ 1929.

⁹ Churchill, Sir Winston, ‘Speech to Harrow School’, 29 October 1941.

¹⁰ Mabin, Private William, 36th Ulster Division, ‘Road to the Somme’, 1916.

¹¹ General Sir Ian Hamilton, 1921.

¹² Nelson, Vice-Admiral Horatio, ‘Letter to Frances Nisbet’, 1787.

¹³ Salisbury, Lord, Speech, 1896.

5A9. **Sacrifice.** Closely allied to duty, sacrifice is the acceptance by an individual that he or she may have to serve whenever or wherever needed, regardless of the dangers or difficulties.

“We were all making our way out – there seemed a very fair chance that some of us would make it: to stay here was to stay certainly for capture, possibly for death, when the Chinese launched their final assault on the position. And then I realised that he had weighed all this – weighed it all and made a deliberate choice: he would place his own life in the utmost jeopardy in order to remain with the wounded at the time when they would need him most.”¹⁴

“You will put first the honour and interests of your country and your regiment; next you will put the safety, well-being and comfort of your men; and last - and last all the time - you will put your own interest, your own safety, your own comfort.”¹⁵

5A10. **Initiative.** The use of initiative is a well-proven way of offsetting the friction, uncertainties and surprises that occur in dynamic situations, taking advantage of unexpected opportunities and gaining an advantage. As such, initiative and enterprise are encouraged at every level in the British Armed Forces, based on an understanding of a commander’s intentions and the demands of a situation.

“Not only strike while the iron is hot, but make it hot by striking.”¹⁶

“Initiative simply means that you do not sit down and wait for something to happen. In war, if you do, it will happen all right, but it will be mighty unpleasant. Initiative means that you keep a couple of jumps ahead, not only of the enemy, but of your own men.”¹⁷

5A11. **Humanity.** A combination of honesty, compassion and chivalry, applied professionally, domestically and socially, provides Servicemen and Servicewomen with a common moral compass. It is, arguably, exemplified to best effect in terms of their individual and collective humanity.

“May humanity after victory be the predominant feature in the British fleet.”¹⁸

¹⁴ Farrar-Hockley, General Sir Anthony, *The Edge of the Sword (Echoes of War)*, 1954.

¹⁵ Slim, General Sir William.

¹⁶ Cromwell, Oliver, referring to a cheering crowd, 1654.

¹⁷ Slim, General Sir William, *Courage and other broadcasts*, 1951.

¹⁸ Nelson, Vice-Admiral Horatio, 1805.

5A12. **Ingenuity.** Whether driven by necessity or natural curiosity, the British military are renowned for their ingenuity and resourcefulness. The innate ability to make do, and to respond to unfamiliar or unexpected circumstances with pragmatism and industry, gives the British Armed Forces the capacity to adapt and to overcome both opponents and local difficulties.

“Remember that the one great thing to which you should at all times apply your thoughts and brains is the expansion of the power of material and personnel without increasing either. It is the man who can make bricks without straw who will make a success of any expedition.”¹⁹

5A13. **Humour.** The British sense of humour, capable of raising the spirits of subordinates and colleagues, as well as sustaining morale, even in the most trying circumstances, is a powerful force multiplier.

“There was a Grenadier at Fontenoy who, as the French presented their muskets for a devastating volley, intoned, “For what we are about to receive may the Lord make us truly thankful.” He must have been brother to the freezing British fighting man, crouching under a Korean blizzard, who exclaimed, “I wish to Heaven the Iron Curtain was windproof!”²⁰

“While the battles the British fight may differ in the widest possible ways, they invariably have two common characteristics – they are always fought uphill and always at the junction of two or more map sheets.”²¹

“What impressed me most at the time, and serves as an inspiring memory, was the steadiness and fortitude of the British private soldier combined with his queer ironic humour in days of deep privation and adversity.”²²

¹⁹ Inaugural address by Lord Trenchard to the RAF Staff College, Andover, 4 April 1922.

²⁰ Slim, General Sir William, ‘*Courage and other broadcasts*’, 1951.

²¹ Slim, General Sir William, ‘*Unofficial History*’, 1959.

²² Herbert Asquith.