

HELSINKI EUROPEAN COUNCIL
ANNEX IV OF THE PRESIDENCY CONCLUSIONS
HELSINKI EUROPEAN COUNCIL
10 AND 11 DECEMBER 1999

Presidency reports to the Helsinki European Council on "strengthening the Common European Policy on Security and Defence" and on "non-military crisis management of the European Union"

The Presidency has responded as a matter of priority to the mandate given by the Cologne European Council to strengthen the common European policy on security and defence by taking the work forward in military and non-military aspects of crisis management. The work has been based on the provisions of the Treaty on European Union and the guiding principles agreed at Cologne, which have been reaffirmed by the Member States.

Work has yielded *two separate progress reports* to the European Council, which are intended to be complementary. The reports propose concrete measures and provide guidance for further work to take the necessary decisions by the end of the year 2000 towards the objectives set at Cologne. During the Portuguese Presidency, consideration will be given as to whether or not Treaty amendment is judged necessary.

To assume their responsibilities across the full range of conflict prevention and crisis management tasks defined in the EU Treaty, the Petersberg tasks, the Member States have decided to develop more effective military capabilities and establish new political and military structures for these tasks. In this connection, the objective is for the Union to have an autonomous capacity to take decisions and, where NATO as a whole is not engaged, to launch and then to conduct EU-led military operations in response to international crises.

Also in order to assume these responsibilities, the Union will improve and make more effective use of resources in civilian crisis management in which the Union and the Member States already have considerable experience. Special attention will be given to a rapid reaction capability.

All these measures will be taken in support of the Common Foreign and Security Policy and they will reinforce and extend the Union's comprehensive external role. With the enhancement and concertation of military and civilian crisis response tools, the Union will be able to resort to the whole range of instruments from diplomatic activity, humanitarian assistance and economic measures to civilian policing and military crisis management operations.

NATO remains the foundation of the collective defence of its members, and will continue to have an important role in crisis management.

The development of the common European policy on security and defence will take place without prejudice to the commitments under Article 5 of the Washington Treaty and Article V of the Brussels Treaty, which will be preserved for the Member States party to these Treaties. Nor shall the development of the common European policy on security and defence prejudice the specific character of the security and defence policy of certain Member States.

Further steps will be taken to ensure full mutual consultation, cooperation and transparency between the EU and NATO.

The Union will contribute to international peace and security in accordance with the principles of the United Nations Charter. The Union recognises the primary responsibility of the United Nations Security Council for the maintenance of international peace and security. Following up the principles and objectives of the OSCE Charter for European Security, the Union will cooperate with the UN, the OSCE, the Council of Europe and other international organisations in a mutually reinforcing manner in stability promotion, early warning, conflict prevention, crisis management and post-conflict reconstruction.

ANNEX 1 to ANNEX IV

PRESIDENCY PROGRESS REPORT TO THE HELSINKI EUROPEAN COUNCIL

ON STRENGTHENING THE COMMON EUROPEAN POLICY

ON SECURITY AND DEFENCE

Introduction

Recalling the guiding principles agreed at Cologne, the European Union should be able to assume its responsibilities for the full range of conflict prevention and crisis management tasks defined in the EU Treaty, the Petersberg tasks.

The European Union should have the autonomous capacity to take decisions and, where NATO as a whole is not engaged, to launch and then to conduct EU-led military operations in response to international crises in support of the Common Foreign and Security Policy (CFSP). The action by the Union will be conducted in accordance with the principles of the UN Charter and the principles and objectives of the OSCE Charter for European Security. The Union recognises the primary responsibility of the United Nations Security Council for the maintenance of international peace and security.

For this purpose, the following has been agreed:

A common European headline goal will be adopted for readily deployable military capabilities and collective capability goals in the fields of command and control, intelligence and strategic transport will be developed rapidly, to be achieved through voluntary co-ordinated national and multinational efforts, for carrying out the full range of Petersberg tasks.

New political and military bodies will be established within the Council to enable the Union to take decisions on EU-led Petersberg operations and to ensure, under the authority of the Council, the necessary political control and strategic direction of such operations.

Principles for cooperation with non-EU European NATO members and other European partners in EU-led military crisis management will be agreed, without prejudice to the Union's decision-making autonomy.

Determination to carry out Petersberg tasks will require Member States to improve national and multinational military capabilities, which will at the same time, as appropriate, strengthen the capabilities of NATO and enhance the effectiveness of the Partnership for Peace (PfP) in promoting European security.

In presenting this report, the Presidency has taken note of the fact that Denmark has recalled Protocol no 5 to the Amsterdam Treaty on the position of Denmark.

Military capabilities for Petersberg tasks

Member States recall their commitment made at Cologne and their determination to give the EU appropriate capabilities, without unnecessary duplication, to be able to undertake the full range of Petersberg tasks in support of the CFSP. Such capabilities will enable them to conduct effective EU-led operations as well as playing, for those involved, their full role in NATO and NATO-led operations. More effective European military capabilities will be developed on the basis of the existing national, bi-national and multinational capabilities, which will be assembled for EU-led crisis management operations carried out with or without recourse to NATO assets and capabilities. Particular attention will be devoted to the capabilities necessary to ensure effective performance in crisis management: deployability, sustainability, interoperability, flexibility, mobility, survivability and command and control, taking account of the results of the WEU audit of assets and capabilities and their implications for EU-led operations.

To develop European capabilities, Member States have set themselves the headline goal: by the year 2003, cooperating together voluntarily, they will be able to deploy rapidly and then

sustain forces capable of the full range of Petersberg tasks as set out in the Amsterdam Treaty, including the most demanding, in operations up to corps level (up to 15 brigades or 50,000-60,000 persons). These forces should be militarily self-sustaining with the necessary command, control and intelligence capabilities, logistics, other combat support services and additionally, as appropriate, air and naval elements. Member States should be able to deploy in full at this level within 60 days, and within this to provide smaller rapid response elements available and deployable at very high readiness. They must be able to sustain such a deployment for at least one year. This will require an additional pool of deployable units (and supporting elements) at lower readiness to provide replacements for the initial forces.

Member States have also decided to develop rapidly collective capability goals in the fields of command and control, intelligence and strategic transport, areas also identified by the WEU audit. They welcome in this respect decisions already announced by certain Member States which go in that direction:

- to develop and coordinate monitoring and early warning military means;
- to open existing joint national headquarters to officers coming from other Member States;
- to reinforce the rapid reaction capabilities of existing European multinational forces;
- to prepare the establishment of a European air transport command;
- to increase the number of readily deployable troops;
- to enhance strategic sea lift capacity.

The General Affairs Council, with the participation of Defence Ministers, will elaborate the headline and capability goals. It will develop a method of consultation through which these goals can be met and maintained, and through which national contributions reflecting Member States' political will and commitment towards these goals can be defined by each Member State, with a regular review of progress made. In addition, Member States would use existing defence planning procedures, including, as appropriate, those available in NATO and the Planning and Review Process (PARP) of the PfP. These objectives and those arising, for those countries concerned, from NATO's Defence Capabilities Initiative (DCI) will be mutually reinforcing.

The European NATO members who are not EU Member States, and other countries who are candidates for accession to the European Union will be invited to contribute to this improvement of European military capabilities. This will enhance the effectiveness of EU-led military operations and will, for those countries concerned, contribute directly to the effectiveness and vitality of the European pillar of the NATO.

Member States welcome the recent progress made towards the restructuring of European defence industries, which constitutes an important step forward. This contributes to strengthening the European industrial and technological defence base. Such developments call for increased efforts to seek further progress in the harmonisation of military requirements and the planning and procurement of arms, as Member States consider appropriate.

Decision-making

The Council decides upon policy relevant to Union involvement in all phases and aspects of crisis management, including decisions to carry out Petersberg tasks in accordance with Article 23 of the EU Treaty. Taken within the single institutional framework, decisions will respect European Community competences and ensure inter-pillar coherence in conformity with Article 3 of the EU Treaty.

All Member States are entitled to participate fully and on an equal footing in all decisions and deliberations of the Council and Council bodies on EU-led operations. The commitment of national assets by Member States to such operations will be based on their sovereign decision.

Member States will participate in the ad hoc committee of contributors in accordance with the conditions provided for by paragraph 24.

Defence Ministers will be involved in the common European security and defence policy (CESDP); when the General Affairs Council discusses matters related to the CESDP, Defence Ministers as appropriate will participate to provide guidance on defence matters.

The following new *permanent* political and military bodies will be established within the Council:

a) - A standing Political and Security Committee (PSC) in Brussels will be composed of national representatives of senior/ambassadorial level. The PSC will deal with all aspects of the CFSP, including the CESDP, in accordance with the provisions of the EU Treaty and without prejudice to Community competence. In the case of a military crisis management operation, the PSC will exercise, under the authority of the Council, the political control and strategic direction of the operation. For that purpose, appropriate procedures will be adopted in order to allow effective and urgent decision taking. The PSC will also forward guidelines to the Military Committee.

b) - The Military Committee (MC) will be composed of the Chiefs of Defence, represented by their military delegates. The MC will meet at the level of the Chiefs of Defence as and when necessary. This committee will give military advice and make recommendations to the PSC, as well as provide military direction to the Military Staff. The Chairman of the MC will attend meetings of the Council when decisions with defence implications are to be taken.

c) - The Military Staff (MS) within the Council structures will provide military expertise and support to the CESDP, including the conduct of EU-led military crisis management operations. The Military Staff will perform early warning, situation assessment and strategic planning for Petersberg tasks including identification of European national and multinational forces.

As an *interim* measure, the following bodies will be set up within the Council as of March 2000:

a) - Fully respecting the Treaty provisions, the Council will establish a standing interim political and security committee at senior/ambassadorial level tasked to take forward under the guidance of the Political Committee the follow up of the Helsinki European Council by preparing recommendations on the future functioning of the CESDP and to deal with CFSP affairs on a day-to-day basis in close contacts with the SG/HR.

b) - An interim body of military representatives of Member States' Chiefs of Defence is established to give military advice as required to the interim political and security committee.

c) - The Council Secretariat will be strengthened by military experts seconded from Member States in order to assist in the work on the CESDP and to form the nucleus of the future Military Staff.

The Secretary General/High Representative (SG/HR), in assisting the Council, has a key contribution to make to the efficiency and consistency of the CFSP and the development of the common security and defence policy. In conformity with the EU Treaty, the SG/HR will contribute to the formulation, preparation and implementation of policy decisions.

In the interim period, the SG/HR, Secretary General of the WEU, should make full use of WEU assets for the purpose of advising the Council under Article 17 of the EU Treaty.

Consultation and cooperation with non-EU countries and with NATO

The Union will ensure the necessary dialogue, consultation and cooperation with NATO and its non-EU members, other countries who are candidates for accession to the EU as well as other prospective partners in EU-led crisis management, with full respect for the decision-making autonomy of the EU and the single institutional framework of the Union.

With European NATO members who are not members of the EU and other countries who are candidates for accession to the EU, appropriate structures will be established for dialogue and information on issues related to security and defence policy and crisis management. In the

event of a crisis, these structures will serve for consultation in the period leading up to a decision of the Council.

Upon a decision by the Council to launch an operation, the non-EU European NATO members will participate if they so wish, in the event of an operation requiring recourse to NATO assets and capabilities. They will, on a decision by the Council, be invited to take part in operations where the EU does not use NATO assets.

Other countries who are candidates for accession to the EU may also be invited by the Council to take part in EU-led operations once the Council has decided to launch such an operation.

Russia, Ukraine and other European States engaged in political dialogue with the Union and other interested States may be invited to take part in the EU-led operations.

All the States that have confirmed their participation in an EU-led operation by deploying significant military forces will have the same rights and obligations as the EU participating Member States in the day-to-day conduct of such an operation.

In the case of an EU-led operation, an ad-hoc committee of contributors will be set up for the day-to-day conduct of the operation. All EU Member States are entitled to attend the ad-hoc committee, whether or not they are participating in the operation, while only contributing States will take part in the day-to-day conduct of the operation.

The decision to end an operation will be taken by the Council after consultation between the participating states within the committee of contributors.

Modalities for full consultation, cooperation and transparency between the EU and NATO will be developed. Initially, relations will be developed on an informal basis, through contacts between the SG/HR for CFSP and the Secretary General of NATO.

Follow-up for the Portuguese Presidency

The Portuguese Presidency is invited, together with the Secretary General/High Representative, to carry forward the work within the General Affairs Council on strengthening the common European security and defence policy. The Portuguese Presidency is also invited to report to the European Council in Feira on the progress made, including:

- a) - recommendations on the institutional development of the new permanent political and military bodies related to the CESDP within the EU, taking into account the paper on "Military bodies in the European Union and the planning and conduct of EU-led operations" and other contributions made;
- b) - proposals on appropriate arrangements to be concluded by the Council on modalities of consultation and/or participation that will allow the third States concerned to contribute to EU military crisis management;
- c) - proposals on principles for consultation with NATO on military issues and recommendations on developing modalities for EU/NATO relations, to permit co-operation on the appropriate military response to a crisis, as set out in Washington and at Cologne;
- d) -an indication of whether or not Treaty amendment is judged necessary.

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ANNEX 2 to ANNEX IV

Presidency Report on Non-Military Crisis Management of the European Union

The Presidency was mandated by the European Council in Cologne to continue the work on all aspects of security including the enhancement and better coordination of the Union's and the Member States' non-military crisis response tools. Developments inter alia in Kosovo have for their part underlined the importance of this task. To this end, a thorough discussion has been carried out within the Council instances.

Work listing all available resources of the Member States and the Union has been initiated and has led to inventories of the tools available to the Union and to Member States, which are contained respectively in doc. 11044/99 REV 1 for the Union and in doc. 12323/99 for the Member States.

The inventories which have been drawn up clearly show that Member States, the Union, or both have accumulated considerable experience or have considerable resources in a number of areas such as civilian police, humanitarian assistance, administrative and legal rehabilitation, search and rescue, electoral and human rights monitoring, etc. This inventory should be pursued further. Regular updating will be necessary to better identify lacunae as well as strongpoints.

In order to be able to respond more rapidly and more effectively to emerging crisis situations, the Union needs to strengthen the responsiveness and efficiency of its resources and tools, as well as their synergy.

It is therefore appropriate to draw up an Action Plan which would show the way ahead and indicate the steps the Union has to undertake to develop a rapid reaction capability in the field of crisis management using non-military instruments.

ACTION PLAN

A. The Union should aim at:

- strengthening the synergy and responsiveness of national, collective and NGO resources in order to avoid duplication and improve performance, while maintaining the flexibility of each contributor to decide on the deployment of assets and capabilities in a particular crisis, or via a particular channel;
- enhancing and facilitating the EU's contributions to, and activities within, other organisations, such as the UN and the OSCE whenever one of them is the lead organisation in a particular crisis, as well as EU autonomous actions;
- ensuring inter-pillar coherence.

B. To that end:

Member States and the Union should develop a rapid reaction capability by defining a framework and modalities, as well as by pre-identifying personnel, material and financial resources that could be used in response to a request of a lead agency like the UN or the OSCE, or, where appropriate, in autonomous EU actions.

An inventory of national and collective resources should be pursued to give an overview of resources that could be marshalled within such a rapid reaction framework. In this process Member States and the EU institutions could, if they wish, highlight sectors in which they find that they have acknowledged expertise.

A database should be set up to maintain and share information on the pre-identified assets, capabilities and expertise within all areas relevant to non-military crisis management. The availability and quality of these assets would need to be clearly defined.

A study should be carried out, taking into account lessons learned, to define concrete targets for EU Member States' collective non-military response to international crises (e.g. the ability to deploy at short notice and sustain for a defined period a set number of civilian police as a contribution to civpol missions; to deploy a combined search and rescue capability of up to 200

people within twenty-four hours). This work should be taken forward by the Portuguese Presidency together with the SG/HR.

The inventory, the database project and the study should help identify areas of relative strength and weakness and could promote improved training standards, sharing of experience and best practice, as well as bilateral or multilateral projects between Member States (e.g. 'pairing' one Member State's helicopter lift with a specialist medical team from another).

A coordinating mechanism, fully interacting with the Commission services, should be set up at the Council Secretariat. It would run the database project and the different capabilities initiatives. In particular crises, depending on the EU's role, it may set up an ad hoc centre to coordinate the effectiveness of EU Member States' contributions. This should be a lean, efficient, non-bureaucratic structure permitting close interaction with the Commission (ECHO in particular).

In establishing a rapid reaction capability urgent consideration will be given to developing civil police capabilities.

Rapid financing mechanisms such as the creation by the Commission of a Rapid Reaction Fund should be set up to allow the acceleration of the provision of finance to support EU activities, to contribute to operations run by other international organisations and to fund NGO activities, as appropriate.

DECISION-MAKING AND IMPLEMENTATION

The Union should develop a comprehensive approach with a view to marshalling national and collective non-military instruments within the time limits called for by the situation on the ground.

For the coordination of civilian crisis management tools, the co-ordinating mechanism for a civilian crisis management will be established. This mechanism, which will be of inter-pillar nature, will provide expert advice in support of the management of crises. Decision-making and implementation of non-military crisis management tools under the first pillar will remain subject to institutions and procedures of the EC Treaty.

As an interim practice, this work to develop the co-ordinating mechanism for civilian crisis management may draw on experts from the Member States.

If appropriate, the Union will lay down general guidelines ensuring inter-pillar coherence and setting out the means which should be made available. Arrangements for rapid financing mechanisms for a prompt response to crisis situations could be devised in this context.