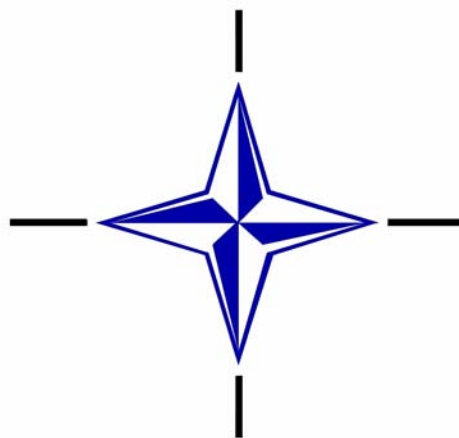


NATO-UNCLASSIFIED

**AAP-3(I)
DIRECTIVE FOR THE
DEVELOPMENT AND
PRODUCTION
OF
NATO STANDARDIZATION
AGREEMENTS
(STANAGs)
AND ALLIED
PUBLICATIONS
(APs)**



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February 2004

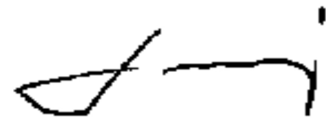
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**NORTH ATLANTIC TREATY ORGANIZATION
NATO STANDARDIZATION AGENCY (NSA)
NATO LETTER OF PROMULGATION**

February 2004

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CHAPTER 1

INTRODUCTION AND POLICY GUIDANCE

0101 Purpose

The purpose of this Allied Administrative Publication is to direct common procedures for the development and production of NATO Standardization Agreements (STANAGs) and Allied Publications (APs) within the framework of the NATO Policy for Standardization.¹

0102 Scope

1. This publication covers the method of work for the production of all STANAGs and APs, except Allied Communication Publications (ACPs), which are prepared in accordance with ACP-198 NATO SUPP-1.
2. This publication is mandatory and binding upon all STANAGs and APs developed or maintained by any NATO committee, group, agency, or staff. This document has been promulgated under the responsibility of the NATO Committee for Standardization (NCS). The NATO Standardization Agency (NSA) is responsible for ensuring the implementation of this publication.
3. This publication contains information on standardization policy and detailed procedures for developing STANAGs and APs. Its intended audience is Tasking Authorities and their subordinate Working Groups (WGs)² developing STANAGs and APs. AAP-3 Supplement³ contains detailed guidance for formatting STANAGs and APs. Its intended audience is STANAG and AP custodians.

0103 Policy Statement

1. In order to strengthen the Alliance defence capabilities, it is Alliance policy that nations and NATO Authorities enhance interoperability inter alia through standardization. NATO nations will develop, agree and implement normative agreements to achieve and maintain compatibility, interchangeability or commonality of concepts, doctrines, procedures and designs; these agreements will be promulgated in appropriate STANAGs and APs. Nations having accepted the agreements, will implement them in the most expeditious manner in response to operational needs.
2. The NATO Policy for Standardization is approved by the North Atlantic Council; the NATO Committee for Standardization (NCS) is its custodian.

1. C-M(2000)54 dated 24 July 2000 and Action Sheet dated 20 September 2000
2. The term "Working Group (WG)" is generically applied in this AP to all bodies subordinate to designated Tasking Authorities. Depending on the standardization domain these bodies include committees or panels.
3. AAP-3 Supplement is being developed from AAP-32(A). AAP-32(A) should be used until AAP-3 Supplement is authorized for use.

0104 Principles of NATO Standardization

The following principles guide the application of NATO standardization:

- a. **GENERAL ALLIANCE OBJECTIVES** - Standardization is not an end in itself. The need for standardization is derived from the overall political objectives of the North Atlantic Treaty and, specifically, from the Alliance Strategic Concept and Ministerial Guidance for defence planning activities in NATO.
- b. **HARMONIZATION OF STANDARDIZATION WITH NATO DEFENCE PLANNING** - Co-ordination among NATO defence planning disciplines is essential for harmonization and achievement of interoperability. For nations concerned, Force Planning is a key focus for the standardization process through the Force Goals and Defence Review Cycles. Partnership Goals address standardization requirements for nations participating in the Pfp Planning and Review Process (PARP). Implementation is then reviewed in PARP Assessment.
- c. **UNITY OF EFFORT** - Unity of effort is enhanced by harmonization and co-ordination of standardization activities with nations, Strategic Commands (SCs) and Senior NATO Committees through the NATO Standardization Organization.
- d. **USE OF CIVIL STANDARDS** - The Alliance will use suitable civil standards to the maximum practicable extent. Only when no applicable civil standard is available, will a NATO standard be developed.
- e. **ATTAINMENT OF STANDARDIZATION LEVEL** - Nations should achieve the levels of standardization indicated in the Standardization Requirement. The levels of standardization are, in ascending order: Compatibility, Interchangeability and Commonality.
- f. **FEEDBACK** – Feedback, both on the fulfilment of Standardization Requirements, and implementation of Standardization Agreements, is an essential part of the standardization process.
- g. **NATIONAL COMMITMENT** – In principle, standardization is voluntary for nations. Nations shall implement standards as applicable and to the maximum possible extent. In some instances, nations may agree to the mandatory implementation of specific standards. Full compliance with the Force Goals for nations participating in Force Planning is a key aspect of national commitment to improve standardization.
- h. **NATO IMPLEMENTATION** -- Applicable promulgated STANAGs/APs will be implemented by NATO Commands, NATO Agencies and other NATO Bodies.
- i. **TERMINOLOGY** - NATO documents must use NATO agreed terminology.

0105 NATO Standardization Documents

1. NATO Standardization Agreements. "The record of an agreement among several or all the member nations to adopt like or similar military equipment, ammunition, supplies, and stores; and operational, logistic, and administrative procedures. National acceptance of a NATO Allied Publication issued by the NATO Standardization Agency may be recorded as a Standardization Agreement." (AAP-6) A STANAG is normally implemented by nations and commands through orders or directives.

2. Allied Publication. An Allied Publication is an official NATO standardization document which NATO nations and commands normally use as a common implementing document and which is distributed down to user level. Implementation of administrative APs is normally directed by competent authorities (e.g. AAP-3). APs which require formal national agreement will be approved through the use of a covering STANAG. APs which require input of national data are normally not covered by a STANAG. In addition to normal APs, there are 2 special types of APs.

a. Allied Joint Publication (AJP). In order to accomplish its mission, NATO services must increasingly operate together. Those publications that are necessary for joint forces are termed Allied Joint Publications (AJPs). Requirements and special instructions for AJPs are in Chapter 4.

b. Multinational Publication (MP). NATO forces must be able to operate with non-NATO forces. Unclassified APs may easily be released to non-NATO forces, however specific approval must be granted for the release of classified APs. To improve interoperability of NATO and non-NATO forces in areas covered by a classified AP, TAs may produce an unclassified extract of a classified AP called a Multinational Publication (MP, formerly referred to as a Multinational Manual (MM)). An MP is NOT an agreed NATO standard (that is the parent AP) but an extract of a NATO standard. Requirements and special instruction for MPs are in Chapter 5.

0106 NATO Standards

The requirement for new or revised NATO standards can be urgent or routine and their applicability can vary from a small number of nations to all Alliance nations. NATO standards are laid down in STANAGs/APs and agreed to by nations. The content of STANAGs or APs is normally categorized as:

a. "Operational". These are standards that affect future or current military practice, procedures or formats. They may apply, among other things, to such matters as concepts, doctrine, tactics, techniques, logistics, training, reports, forms, maps and charts.

b. "Materiel". These are standards that affect the characteristics of future or current materiel to include Consultation, Command and Control (C3). They may cover production codes of practice as well as materiel specifications. Materiel embraces complete systems, C3 systems, weapon-systems sub-systems, interfaces, assemblies, components, spare parts and consumables (including ammunition, fuel, supplies, stores and spares).

c. "Administrative". These standards primarily concern terminology, which applies to both the "operational" and the "materiel" fields. This category also includes standards that facilitate Alliance administration in those fields without direct military application (including financial, military ranks, environment, etc.).

0107 Civil Standards

1. Suitable civil standards shall be adopted for use within NATO, preferably without modifications, unless there are compelling reasons not to do so (see also article 0105). The following general order of precedence shall be applied when selecting civil standards for purposes of NATO standardization:

- a. International Standards produced by ISO, IEC, ITU, IETF¹ and other internationally recognized standardization organizations, or any Publicly-Available Specification (PAS) adopted for NATO use.
- b. Regional (International) Standards, for instance European Standards (EN) or European Telecommunications Standards (ETS).
- c. National Standards.
- d. Commercial Publicly available Standards. (WARNING: Not to be confused with ISO or ISO/IEC Publicly Available Specifications (PAS).)
- e. Civil standards and Commercial and Government off-the-shelf equipment and products (COTS and GOTS) may be used, provided that an appropriate NATO body has reviewed them and has recommended adoption for NATO use on the basis of their maturity, cost-effectiveness, security aspects and product availability.

2. If civil standards are adopted, wholly or partially, for purposes of NATO standardization, the applicable Civil Organization, number, title and date of issue of the respective standard are to be referenced within the STANAG and/or AP as appropriate. The options for adopting external standards include a cover STANAG, or a STANAG/AP in which the external standard is referenced or reproduced (wholly or in part) together with additional text which may augment and/or limit the external standard in some way.

0108 Tasking Authorities

1. STANAGs and APs are produced under the auspices of the North Atlantic Council (NAC), which delegates authority to:

- a. The Military Committee (MC).
- b. The Conference of National Armaments Directors (CNAD).
- c. The NATO C3 Board (NC3B)
- d. The Senior NATO Logisticians' Conference (SNLC)
- e. NATO Pipeline Committee (NPC)
- f. NATO Air Defence Committee (NADC)

1. ISO = International Organization for Standardization
IEC = International Electrotechnical Commission
ITU = International Telecommunications Union
IETF = Internet Engineering Task Force

- g. Senior Civil Emergency Planning Committee (SCEPC)
 - h. Others, as required.
2. TAs may delegate this function to subordinate bodies such as:
- a. The Committee of the Chiefs of Military Medical Services in NATO (COMEDS).
 - b. The NATO Training Group (NTG).
 - c. The NATO Electronic Warfare Advisory Committee (NEWAC).
 - d. The Military Committee Meteorological Group (MCMG).
 - e. The NSA Joint and Single Service Boards.

0109 Urgency

1. Urgent Requirements. In exceptional circumstances a “Fast Track Procedure” is adopted to accelerate development, ratification and promulgation of STANAGs related to urgent operational requirements. The goal is to promulgate a STANAG/AP within weeks rather than the 18-24 months required in the normal process.

- a. A Senior NATO Committee (eg. MC) identifies an urgent need for a new standard. It will task a WG (set up a WG for the task) to develop the standard within a set timeframe.
- b. The WG will formulate the standard and agree on a ratification draft.
- c. The Senior NATO Committee will issue to nations for ratification with a short response due date. Ideally, national representatives at the WG or Senior NATO Committee will be authorized to make a ratification decision.
- d. The Senior NATO Committee review responses after due date and makes a promulgation decision.
- e. DNSA promulgates STANAG/AP.
- f. Nations/SCs implement/apply STANAG/AP.
- g. The Senior NATO Committee is responsible for the review of the STANAG/AP. In most cases, the STANAG/AP will be transferred to a delegated TA for verification and review.

0110. Consensus

1. It is a TA's responsibility to determine which STANAGs/APs require consensus prior to promulgation. At present, all level 1 AJPs and all new terminology definitions require consensus prior to promulgation. MPs do not require consensus on the parent AP, however, they require consensus on their releasability as an unclassified extract of that classified AP. TAs may determine other STANAGs/APs require consensus based on impact upon NATO in the event all nations do not adopt the STANAG/AP.
2. In the event that consensus can not be reached by a TA, responsibility for resolution is vested in the next senior NATO Committee.

0111. Areas of Responsibility

1. The development of NATO standards is the direct responsibility of TAs. The responsibility includes the management, harmonization and updating of all their STANAGs and APs; the identification, formulation and agreement of new standards and recording of national/SC ratification, implementation details, comments and reservations. Promulgation of agreed NATO standards is a DNSA responsibility.
2. Nations are responsible for the ratification and implementation of NATO standards and may identify requirements for standardization as necessary through either 'top-down' or 'bottom-up' processes.
3. The SCs are responsible for the implementation of those STANAGS within their area of responsibility which affect NATO assigned forces, taking into account national reservations, for identifying Military Standardization Requirements in Force Proposals, for indicating their priority scores and the required levels of standardization. They are, in close co-ordination with NATO HQ staff, also responsible for initial formulation of standardization requirements in draft Partnership Goals.
4. The NATO Committee for Standardization (NCS, includes NCS Reps) is the principal NATO committee on standardization working on behalf of the North Atlantic Council. Co-ordination among the TAs is normally accomplished through the NATO Standardization Staff Group (NSSG). The NSA provides staff support for the NCS and NSSG.

0112. The NATO Standardization Programme

1. The NATO Standardization Programme (NSP) is used to track progress on Top Down standardization. The NSP is an electronic database which catalogues SOs and Alliance Standardization Requirements (ASRs) with standardization tasks and contains sufficient detail to enable nations and principal NATO Committees to monitor the progress achieved by WGs in response to the tasks allocated.
2. The NSA is responsible for the maintenance of the NSP. TAs are responsible for updating their assigned SOs and ASRs.

0113. NATO Standardization Documents Database

The DNSA has the responsibility for the co-ordination and maintenance of information related to STANAG and AP development, approval, ratification, promulgation and implementation. Details are published in AAP-4 - NATO STANDARDIZATION AGREEMENTS AND ALLIED PUBLICATIONS and in the NATO Standardization Document Database (NSDD) which include all STANAGs and APs, edition status, points of contact and custodian information. The database also includes the ratification status of each STANAG and links to the full text of all STANAGs and APs. In order to maintain the database, STANAGs and APs forwarded for promulgation are to be provided in hard and soft copy as per AAP-3 Supplement. In the rare circumstance that a STANAG or AP is only useable in either hard-copy (e.g. collections of non-digitised maps) or soft copy (e.g. a database) the DNSA may grant an exception. TAs are responsible for ensuring administrative details contained in the NSDD remain current.

0114. Security

1. STANAGs and APs are subject to the regulations laid down in C-M(2002)49 -SECURITY WITHIN THE NORTH ATLANTIC TREATY ORGANISATION and the NATO Information Management Policy (NIMP).
2. The release of NATO classified information¹ is governed by:
 - a. Enclosure E to C-M(2002)49 - SECURITY WITHIN THE NORTH ATLANTIC TREATY ORGANISATION.
 - b. MC 167 - RELEASE OF NATO CLASSIFIED AND UNCLASSIFIED MILITARY INFORMATION TO NON-NATO NATIONS AND ORGANIZATIONS.
3. The release of NATO UNCLASSIFIED information outside NATO is governed by the NATO Information Management Policy (NIMP C-M(2002)60). Responsibility for the release of NATO UNCLASSIFIED information is delegated by the North Atlantic Council and to the Heads of NATO civil or military bodies or to member nations holding that information who shall determine and elaborate any additional procedures necessary for its release.

0115. Languages

STANAGs are promulgated in both NATO official languages: English and French. For STANAGs that contain large technical annexes and appendices with little text, the translation of those annexes and appendices will be subject to mutual agreement between the TA and the nations concerned. APs should normally be promulgated in both NATO official languages. Their translation may be accomplished with or by nations or NATO as determined by the TAs.

1. NATO classified information is defined as NATO Restricted and above in C-M(2002)49.

0116. Terminology

1. Standardization of terminology is essential for a collective understanding of documentation related to standardization. The NATO Policy for Standardization of Terminology, CM(2003)37-AS1 dated 22 May 2003, provides the overarching principles, the main responsibilities and the process of terminology standardization within NATO. A Directive on the NATO Terminology Programme and a detailed Guidance are being developed to complement the Policy. For the time being, AAP-6, the NATO Glossary of Terms and Definitions (English and French) provides the necessary procedure within the Military Committee for the standardization of terminology. AAP-6 also lists:

- a. Terms of military significance and their definitions in English and French for use in NATO.
- b. An index of NATO agreed documents containing specialist terms and definitions in English and French.

2. Additional specialist glossaries of terms and definitions provide terminology for specialized fields, some of which are referenced within and harmonized with AAP-6.

0117. Internet/Intranet Policy¹

1. NSA is responsible for maintaining STANAGs and APs with all approved changes and amendments on the internet and NATO HQ secure intranet (in line with current security regulations). Nations and commands, where possible, should link to the NSA websites rather than post separate copies of STANAGs and APs to their own websites.

2. All NATO Confidential and below STANAGs and APs are loaded on the NSA website on the NATO HQ secure intranet (MINERVA, accessible through CRONOS and BICES). All NATO Unclassified STANAGs and APs are loaded on the NSA password protected internet website. Those NATO Unclassified STANAGs and APs approved for public release by their TA will be loaded to the NSA public internet website. Security regulations prevent loading NATO secret documents and publications on the NSA websites.

0118. Definitions

A list of Terms and Definitions pertinent to this document has been listed in the lexicon annex.

1. See EAPC(NCSREPS)D(2003)02REV1 of 19 March 2003

CHAPTER 2

DEVELOPMENT OF NATO STANDARDIZATION AGREEMENTS (STANAGs) AND ALLIED PUBLICATIONS (APs)

0201 Outline of the STANAG/AP Development Process

1. **General.** The development of a STANAG is based on the ‘NATO Standardization Process’, which is described in general terms in Chapter 1. The following outline of the development of STANAGs/APs provides amplifying remarks.

2. Identification of NATO Standardization Requirements.

a. **Top Down.** Top-down instructions to a TA to proceed with standardization development contain the definition of content and scope.

b. Bottom Up.

(1) **Standardization Proposals.** Proposals for standardization development constitute a “bottom-up standardization” activity and are submitted to a TA for further action. Proposals should be as precise as possible, but include all relevant information; titles should reflect the envisaged STANAG or AP. The format for a Standardization Proposal is at Annex A.

(2) **Validation.** The need for and content of a Standardization Proposal (‘bottom-up’) are validated by the TA by consulting nations and NATO bodies; this process will include refining the purpose, scope, relationship with other documents, level of distribution, format (i.e. STANAG or AP) and, if applicable, limitations. If the validation has been positive, the task to develop the STANAG/AP is assigned a priority, a responsible WG, and a custodian is nominated. The validated standardization proposal will also be made available to the Policy & Co-ordination Branch of the NSA for possible incorporation into the NATO Standardization Programme.

3. Formulation of NATO Standards.

a. **STANAG/AP development.** The STANAG/AP development is based either on the top-down instruction to a TA or a bottom-up standardization proposal. Once a standardization proposal is approved by a TA the NSA assigns a study number, and AP number if applicable. A WG and a custodian are designated by the TA for the development. Study Drafts will be circulated between WG members for comments. The TA designates a suitable period for development based on priority and complexity. If no ratification draft is produced within this time, the progress of the study is reviewed by the TA. In the light of the continued existence of the standardization requirement, a decision is made whether to cancel the study, modify its scope (with appropriate re-validation) or extend the development phase. The study phase is complete once the WG has agreed a draft for ratification and the TA is satisfied that the **document meets the requirements set forth in the task.**

b. Co-ordination within Nations and Commands. WG members should ensure co-ordination with all affected organizations within their nations/commands. Operational documents that are initiated by a single service normally require some co-ordination with other services.

c. Co-ordination within NATO. It is vital that TAs and WGs co-ordinate with other TAs/WGs or bodies during the development process (and review process) to prevent duplication of effort or conflicting STANAGs/APs.

d. Co-ordination with NAMSA. The importance of co-ordination cannot be over-emphasised with STANAGs that contain data such as NATO Stock Number (NSN), item name, item name code, NATO Supply Code for Manufacturer (NSCM), part number, standard or specification number and other data establishing the characteristics of an item of supply. The NATO Maintenance and Supply Agency (NAMSA) reviews these codes and items regularly. Therefore to ensure that the content of STANAGs is in accordance with the NATO listing, copies of the study drafts of materiel-related STANAGs are to be forwarded to NAMSA to confirm data from the outset.

e. Participation. Nations have the opportunity to choose not to participate in the development of standards, and normally do this by not contributing in the appropriate WG. Nations that initially decide not to participate may at any stage choose to contribute to the development process. All nations/SCs whether participating or not, will receive Ratification Drafts for which a response is required

4. Ratification of STANAGs.

a. Ratification. When the custodian, acting on behalf of the WG, considers the document is ready for formal presentation to nations, he/she forwards 'Ratification Draft 1' to the TA for initiation of the ratification procedure. The TA in turn, after staffing of the document to ensure compliance with AAP-3, will circulate the document to nations for ratification and SCs for comment. A Response Due Date will be set. If the document is an AP, a covering STANAG will be issued with the draft AP. (Although APs are not ratified, only the covering STANAG, the draft AP that is being agreed to in Ratification Draft of its covering STANAG is also referred to as a Ratification Draft.) In all cases nations register acceptance of a STANAG or AP by ratifying the STANAG.

b. Withdrawal from ratification. If the criteria for promulgation has not been met by the response due date, the appropriate TA will review the responses received and either extend the response date or withdraw the STANAG from ratification. Once withdrawn, the STANAG or AP may be returned to the appropriate WG to prepare a new ratification draft. Any new ratification drafts will be issued as per the above procedures and identified by incrementing the ratification draft number (not by changing the edition number or amendment number of the STANAG).

5. Promulgation of NATO Standards.

a. When the TA considers that promulgation criteria have been achieved ('sufficient' nations have ratified the STANAG), the STANAG is forwarded to the DNSA with a recommendation for promulgation. The promulgation criteria are broader than a simple numerical count of ratifying nations and permit the TA to exercise judgement, especially with respect to the applicability of the STANAG once promulgated. The TA should base its recommendation for promulgation on the benefit to NATO of so doing. A STANAG will normally be forwarded for promulgation when "at least the majority of participating nations has ratified". However, a TA can recommend promulgation with less than a majority of participating nations ratifying, provided written justification is presented to the DNSA. Alternatively, a TA may require more than a majority to ratify -- possibly based on SC recommendations.

b. Consensus and Urgency. For some documents (e.g. Capstone and Keystone), consensus will be required. If identified as being urgent for operations, the document may be so designated. The respective needs for urgency and consensus are clearly independent, but can apply to a document individually or together.

6. Implementation. After promulgation, the STANAG should be implemented as specified in the document. Implementation may take effect individually from dates specified by each ratifying nation, dates specified by responding nations/SCs, or collectively via a NATO Effective Date (NED) (see article 0209).

7. Verification/Review of STANAGs.

a. All promulgated STANAGs are to be reviewed at least once every three years to determine their validity. TAs are responsible for resolving issues preventing nations ratifying or reservations expressed by ratifying nations.

b. If a STANAG has become dated, TAs will recommend the DNSA cancel the STANAG or, if some nations still require it, amend the STANAG with the label "not recommended for adoption/future development". Such a STANAG will continued to be reviewed until cancelled.

0202 Tasking Authority

1. Top Down Standardization Tasks. TAs are responsible for implementing the standardization tasks derived from 'top-down' standardization by the following steps:

a. Reviewing in detail the feasibility and affordability of those tasks which indicate new standardization activities and reporting back to the NCS, via the NCS Reps. It may also consult with the NSSG, through the NSA Policy & Coordination (P&C) Branch, on any related issues.

b. Determining the existence or otherwise of relevant NATO standards and/or civil standards in order to decide whether a NATO standard is required and, if so, what kind of standard must be produced (New STANAG or AP, covering STANAG, etc.).

c. Requesting the NSA administration to assign a STANAG/AP number, if a new STANAG is required.

d. Including the task(s) in its Programme of Work, taking into account the priority allocated to the requirement and the target date for completion. The need to advise other elements of the NSO, as required, should not be overlooked.

e. Allocating the STANAG development to one of its subordinate WG for action in accordance with the allocated priority and time-scale.

2. Bottom Up Standardization Proposals. TAs are responsible for validating the need for the proposed standardization by taking the following steps:

a. Considering the justification, military requirement, technical feasibility, priority and applicability, taking into account NATO standardization policies.

b. Inviting NATO nations, NATO Commands, Agencies, staffs or other appropriate bodies to comment. (National comments, including the likely implementation of the resultant STANAG, are to be provided to the TA.)

c. Determining the existence or otherwise of relevant NATO standards and/or civil standards in order to decide whether a NATO standard is required and, if so, what kind of standard must be produced (New or amended STANAG or AP, Cover Sheet STANAG, etc.). The validation process elicits pertinent information.

d. Requesting the NSA administration to assign a STANAG/AP number, if a new STANAG/AP is required.

e. Including the task(s) in its Programme of Work, take into account the priority allocated to the requirement and the target date for completion. The need to advise other elements of the NSO, as required, should not be overlooked.

f. Allocating the STANAG development to one of its subordinate WG for action in accordance with the allocated priority and time-scale.

3. Classification. The TA is ultimately responsible for appropriate classification of STANAGs and APs. Any change to a lower classification requires consensus at the TA. Additionally, the TA is responsible for approving public release, also by consensus. Any STANAG/AP approved for public release will first have its NATO Unclassified markings removed and be marked as approved for internet release (if applicable). See AAP-3 Supplement for security markings.

4. Format of NATO Standard. It is the TAs responsibility to determine whether the developed NATO standard should be a STANAG, a ratifiable AP (i.e. an AP covered by a STANAG), or a non-ratifiable AP.

a. STANAG. A standard that must be ratified by the nations to ensure interoperability, but not necessarily adopted in the same manner should be a STANAG. This includes standards that will be issued to industry (e.g. for procurement of material) or that are better contained in national documents (e.g. directives for national intranets, briefing guides for aircrew).

b. APs. An AP should be developed for any standard that should be used from a common publication by NATO nations. This is especially important when NATO forces or bodies from different nations will work together on the same task. APs should be ratifiable when it is essential that the nations agree to use the publications (e.g. for procedures or doctrine). APs that contain only common or national technical data are normally not ratifiable.

0203 Custodian

1. General. The TA will normally employ a custodian to progress work on a study and/or keep a STANAG/AP up to date. If a study is assigned to a custodian, the TA will appoint the custodian following voluntary offers from nations, commands or other NATO bodies. The results of their work are normally processed through a WG prior to the initiation of the ratification procedure.

2. Tasks. A custodian is to:

- a. Act as a point of contact for all correspondence in the development of a specific STANAG/AP.
- b. Communicate with WG members and other experts to resolve differences or to obtain sufficient data, keeping the WG/TA apprised of developments.
- c. Communicate with other NATO and non-NATO bodies as required e.g correspond with NAMSA, when items such NSN are included in a STANAG/AP.
- d. Provide updates on the status of the work when requested by the TA or the WG.
- e. Notify the TA, when difficulties are encountered and make recommendations for future action.

3. Development of the STANAG/AP. Development of a STANAG/AP normally involves interaction of national experts. The TA is also responsible for providing a recommendation about the applicability of a NED (see 0209).

- a. The custodian prepares Study Draft 1 of the STANAG/AP and circulates it to the WG for comment. If necessary, the custodian revises the draft in light of comments received. Further drafts (Study Draft 2, 3, etc.) are sent by the custodian to the WG for comment. This process continues, keeping the TA informed as required, until Ratification Draft 1 is submitted for the ratification process to the TA (as formatted in Chapter 3 and Annexes B and C).
- b. Within the International Staff (IS) the development of STANAGs is pursued by the parent group through the use of "Working Papers", which are circulated to the group for comment. Once agreement has been reached, a STANAG "Ratification Draft 1" is circulated as a Parent (or Sponsor) Group "Document" over the appropriate signature block. If no precedent exists concerning the signature block for the NATO Body to which the TA belongs, then the TA should nominate an appropriate level of signature for the Ratification Draft.

0204 Identification of STANAGs

1. STANAGs, and their associated *predecessor* Studies, are identified by four-digit numbers. The responsibility for allocating these rests with the DNSA. For ease of reference they have been generally allocated as follow:

1000	-	NSA Naval Board
2000	-	NSA Army Board
2500	-	NSA Joint Service Board
3000	-	NSA Air Board
4000	-	NC3B and CNAD
5000	-	NC3B
6000	-	IMS
7000	-	NSA Air Board

2. Promulgated STANAGs, draft STANAGs and Standardization Studies are listed in AAP-4 and in the NSDD, together with additional information including the responsible WG and custodian.

3. When a study or a STANAG is transferred from one TA to another, the number originally allocated is retained.

4. Where a number has been allocated to a study or STANAG which is subsequently cancelled, that number is not used again.

0205 Identification of APs

1. An AP is to be given a title reflecting its contents, and in addition an abbreviated designation (alphanumeric code). The responsibility for allocating the abbreviated designation rests with the DNSA. Any associated cover STANAG will bear the same title as the AP it covers but will be allocated its own unique 4-digit number, as laid down above.

2. Each AP is given an abbreviated designation according to its subject area, followed by a number assigned consecutively within each series, e.g. AAP-3. Refer to AAP-4 for the listing and types of APs. Allied Joint Publications (AJP) and Allied Logistic Publications (ALP) use a hierarchical numbering system. See AAP-4.

3. Edition. New editions of an operational AP are to be identified by successive letters of the alphabet placed in parentheses after the number, e.g. the second edition of AAP-3 will be AAP-3(A), the third edition AAP-3(B). APs produced under the aegis of the IS are numbered consecutively by Arabic numerals.

4. Supplement. The abbreviated designation of a supplement is the same as for its parent AP followed by:

a. The distinguishing letters of the publication it supplements, e.g. ATP-99(B).

b. SUPP and the consecutive number, in Arabic numerals, e.g. ATP-99(B) SUPP-1 or ATP-99(B)FR SUPP-1.

5. Promulgated APs, draft APs and Standardization Studies are listed in AAP-4 (cross-referenced with any cover STANAG) and in the NSDD, together with additional information including the responsible WG and custodian.

6. When an AP is transferred from one TA to another, the designation originally allocated is retained.

7. Where a number has been allocated to a study or AP that is subsequently cancelled, that number is not used again.

0206 Ratification

1. Procedure. Ratification Drafts are forwarded to nations with a request for ratification and the intended date of implementation (or date if implementation was achieved), and to SCs for comment and impact details. The Ratification Draft is forwarded under a format specified in Annex D. Nations should normally complete staffing for ratification within 6 months of the request date for a new STANAG (3 months for a revision). An extension beyond this time is to be requested by the nation and approved by the TA.

2. Response. To ensure interoperability, it is vital that all nations and both SCs respond to the ratification request. The TAs must review responses to ensure indicated levels of national participation will improve rather than hinder NATO interoperability. Comments from the SCs regarding impact on NATO assigned forces will assist the TA in this decision.

3. Nations reply using the forms at Annex E as applicable stating one of the following:

a. Ratifying. This is the desired response and indicates full agreement with the STANAG/AP and implementation within a specified period. STANAGs/APs should always be considered for application by all services. An agreement to ratify should include a ratifying reference, indicate the service(s) that will implement, indicate the national implementing document(s) and provide the intended/actual implementation date.

b. Ratifying with Reservations. This response indicates that a nation is considered to be in general agreement with the STANAG/AP but takes issue with a specific area(s), or has an impediment to complete full implementation. Nations should provide as much information as possible on their reservation(s) with their respective response. An agreement to ratify with reservations should include a ratifying reference, indicate the service(s) that will implement, indicate the national implementing document(s) and give the intended/actual implementation date as well as the reservation(s). Nations "ratifying with reservations" should regularly review the reservation(s) to ensure it is still applicable, and provide change proposals to the custodian to resolve the reservation.

c. Ratifying - Not Implementing. A response of 'Ratifying-Not Implementing' indicates that a nation is in agreement with the contents of the STANAG, but is unable to give an implementation forecast. However, it indicates that the nation does intend at some time in the future to implement. An agreement to "ratify-not implement" should include a ratifying reference. Nations "ratifying-not implementing" should change their response to "ratifying" as soon as they have a forecast implementation date. Such a response usually carries the same weight as a 'normal' ratification when a TA debates the promulgation criteria.

d. Not Ratifying. A response of "Not-Ratifying" is to be accompanied by amplifying information to allow the TA or its WG to ascertain whether there is objection to the promulgation, or merely an inability of the nation to comply. Remarks suggesting modifications that would make the STANAG acceptable would be of use to the TA, particularly when it meets to make its recommendation to DNSA for promulgation. Although non-ratification by a nation is not construed as a bar to promulgation, nations are advised to consider the implication of not ratifying and its effect on the STANAG.

e. Not Participating. The Non participation response should be stated by those nations that either have no involvement with the subject material covered by the STANAG, those that do not have the ability to staff the document or nations that, for whatever reason, do not wish to participate. Not Participating is effectively an abstention and indicates that there is no objection by the nation to the promulgation of the STANAG; the TA will take this into account when setting or reviewing the promulgation criteria, particularly the number of nations required to ratify. Non-participating nations will continue to receive Ratification Drafts for consideration and the promulgated STANAGs (and any associated APs).

4. Nations, whether ratifying or not, may submit comments on the STANAG/AP, but these are to be informative, rather than restrictive in nature.

5. SCs depend on nations to provide forces in accordance with promulgated STANAGs. Where not all nations have implemented a STANAG, or local conditions demand more specification than the STANAG provides, NATO commands will issue directives for provided forces.

6. SCs should provide a co-ordinated response from their subordinate commands containing comments and implementation details on the form provided at Annex F. SCs will assess and report (on the same form) the probable impact the STANAG/AP will have on NATO operations, especially if not implemented.

7. Replies are consolidated by the TA, which will select one of the following courses of action:

a. Forward the STANAG to the DNSA recommending promulgation, having incorporated any editorial modifications, and ensure NSA has the ratification and implementation details.

b. Withdraw from ratification and recommend further development. The TA will refer the proposed amendments or reservations via the WG to the custodian for reconciliation and request that a new ratification draft be prepared; the TA should supply appropriate guidance.

c. Withdraw from ratification and discontinue further work on the STANAG.

0207 Reservations and Comments

1. Reservations. The stated qualification by a nation which describes that part of the STANAG which it cannot implement or can implement only with limitations. Reservations are provided to the NSA with ratification responses. Collated reservations are available from the NSA or through its websites. When the STANAG/AP is reviewed, an attempt should be made to modify the STANAG/AP so that the reservation(s) may be rescinded in future amendments or editions, without downgrading the value of the original agreement.

2. Comments. Comments are amplifying remarks, other than reservations, expressed by a nation as part of its ratification response; comments are also available through the NSA. They should not express a limitation or restriction on the nation's ratification (for which a reservation should be expressed). Comments may range from observations or suggested improvements on the content of a STANAG, to reasons why a nation has not ratified.

0208 Promulgation

The authority to promulgate STANAGs is vested in the DNSA (see Annexes G and H). Copies of the document are to be presented for promulgation in accordance with AAP-3 Supplement.

0209 Implementation

1. Implementation is the fulfilment by a nation/SC of its obligation under the Standardization Agreement as described in its ratification reply. NATO Commands are required to implement STANAGs/APs when ratified by nations. Implementation details or difficulties should be forwarded to the appropriate TA

2. Implementing Document(s). The national or service publication(s) that incorporate the contents of the STANAG are known as implementing documents. For purposes of identification, a reference to the STANAG is to be made in national manuals, orders and instructions.

3. NATO Effective Date (NED). A NATO Effective Date (NED) may be applied to certain STANAGs and denotes when those STANAGs or amendments thereto come into force. NEDs are typically (but not exclusively) applied to procedural STANAGs (or their associated APs in the case of cover STANAGs) where it is imperative that all participants adopt a new or revised practice simultaneously. This is especially important when the STANAG/AP applies directly to forces provided by nations for NATO combined forces such as the NATO Response Force, or forces identified as High Readiness Forces. NEDs are thus used to ensure that the effectiveness and interoperability of NATO forces is maintained. Additionally, it may be necessary for the TA to determine a date when ratifying (and implementing) nations should implement a STANAG or amendment thereto at the same time.

4. To establish the NED, the TA is to:

- a. Communicate the expected date of distribution to nations and SCs.
- b. The forecast NED will be established when all nations have received the STANAG/AP or change. Depending upon the nations' and SC's projections regarding implementation, the longest time required is normally the forecast NED.
- c. One month before forecast NED, confirm whether it is to become actual.

5. In the event a nation determines a STANAG cannot be implemented as ratified, reservations must be provided when providing national implementation data. If implementation of a STANAG by a nation changes after initial implementation new national implementation data must be provided.

0210. STANAG/AP Review

1. TAs are responsible for ensuring that all STANAGs/APs within their domain are reviewed at least once every three years, and that the NSA database is updated accordingly. The DNSA is to be advised on STANAGs/APs recommended for cancellation.

2. Each review is required to specifically address reservations or comments provided in ratification responses. Nations with reservations or comments are expected to make change proposals to resolve their reservation(s).

3. When reviewing the STANAG and AP the WG, custodian, nations or SCs are to recommend to the TA that the STANAG and AP should be either:

- a. Retained unchanged.
- b. Cancelled (with rationale).
- c. Is not recommended for adoption/future development.

- d. Updated by the issue of an amendment (including the purpose of the draft amendment).
- e. Updated by the promulgation of a new edition (with rationale).
- f. Amalgamated with another STANAG or its contents transferred to an AP (with rationale).
- g. Allocated to another WG or transferred to another TA.

0211. Updating STANAGs

1. AMENDMENTS. Non-ratifiable changes to STANAGs will be made by issuing sequential amendments to the current edition of the STANAG. Replacement pages will be issued, and the soft copy updated accordingly. Non-ratifiable changes generally include the update of factual data or minor editorial corrections to the STANAG. Amendments will be administratively issued by NSA. Amendments will be denoted as follows.

- a. A vertical line in the right-hand margin will denote amendments of substance in new draft editions or full-page draft amendments.
- b. On promulgation, the AMENDMENT NUMBER will be indicated in the bottom right-hand corner of all amended pages and amendments of substance will be identified as above. The vertical line will not appear in new editions.

2. NEW EDITIONS. Ratifiable changes to STANAGs will be made by issuing new editions. The full hard and soft copies will be promulgated by DNSA. TAs are responsible for reviewing the need for a NED (see article 0209). STANAGs originally issued without a NED may require one for new editions. Conversely, a new edition of a STANAG that had a NED may not require a new NED.

- 3. In urgent cases for an operational STANAG, the TA may use the following procedure:
 - a. The appropriate WG agrees the contents of an amendment or a draft new edition.
 - b. The custodian distributes the agreed draft amendment or new edition directly to nations, SCs and to the TA using an agreed mailing list (see Correspondents List for WGs).
 - c. Addressees acknowledge receipt of the draft amendment or new edition.
 - d. Promulgation of the amendment or new edition then follows normal practice.

0212. Updating APs

1. Changes. Minor updates to APs are made by changes to the current edition. Replacement pages and an updated soft copy are issued. The Letter of Promulgation is not changed. All changes will be issued under a covering letter detailing steps required to complete the change. Modifications will be denoted as follows:

- a. Draft changes will denote modifications of substance by a vertical line in the right-hand margin or, depending on the layout, in the outside margin.
- b. On promulgation, modifications of substance will be identified as above. The vertical line will not appear in new editions of an AP.

2. New Editions. Major updates to APs are made by issuing new editions in both hard and soft copy, with a new Letter of Promulgation.

3. Ratification of Changes/Editions. If an update to a ratified AP itself requires ratification, a new edition of the covering STANAG will be issued for ratification. TAs are required to review the need for a NED for any ratifiable changes/editions to APs.

0213. Distribution of STANAGs/APs

1. Standard distribution lists of STANAGs/APs are established by the TA with nations, NATO Commands and Agencies.

2. One courtesy copy of each STANAG/AP containing NSN is provided to NAMSA.

3. STANAGs/APs (promulgation copies and ratification drafts) will be distributed to recipients identified by the appropriate distribution list at the rate of one electronic copy (on 3.5 inch diskette or CD-ROM) and one paper copy only. Promulgation electronic copies of publications must be in PDF format (unless otherwise authorized), bookmarked to paragraph level as per AAP-3 Supplement. Distribution of study drafts (both file format and recipients) will be at the discretion of the WG.

4. In all circumstances, the transmission of documents by electronic means (Internet e-mail) must adhere to the rules stipulated in the NATO Security Guidelines, i.e., classification not higher than NATO UNCLASSIFIED and marked "Releasable for Internet Transmission".

5. All STANAGs and APs will be posted by NSA on a public internet site, a protected internet site or the NATO Classified Wide Area Network as appropriate.

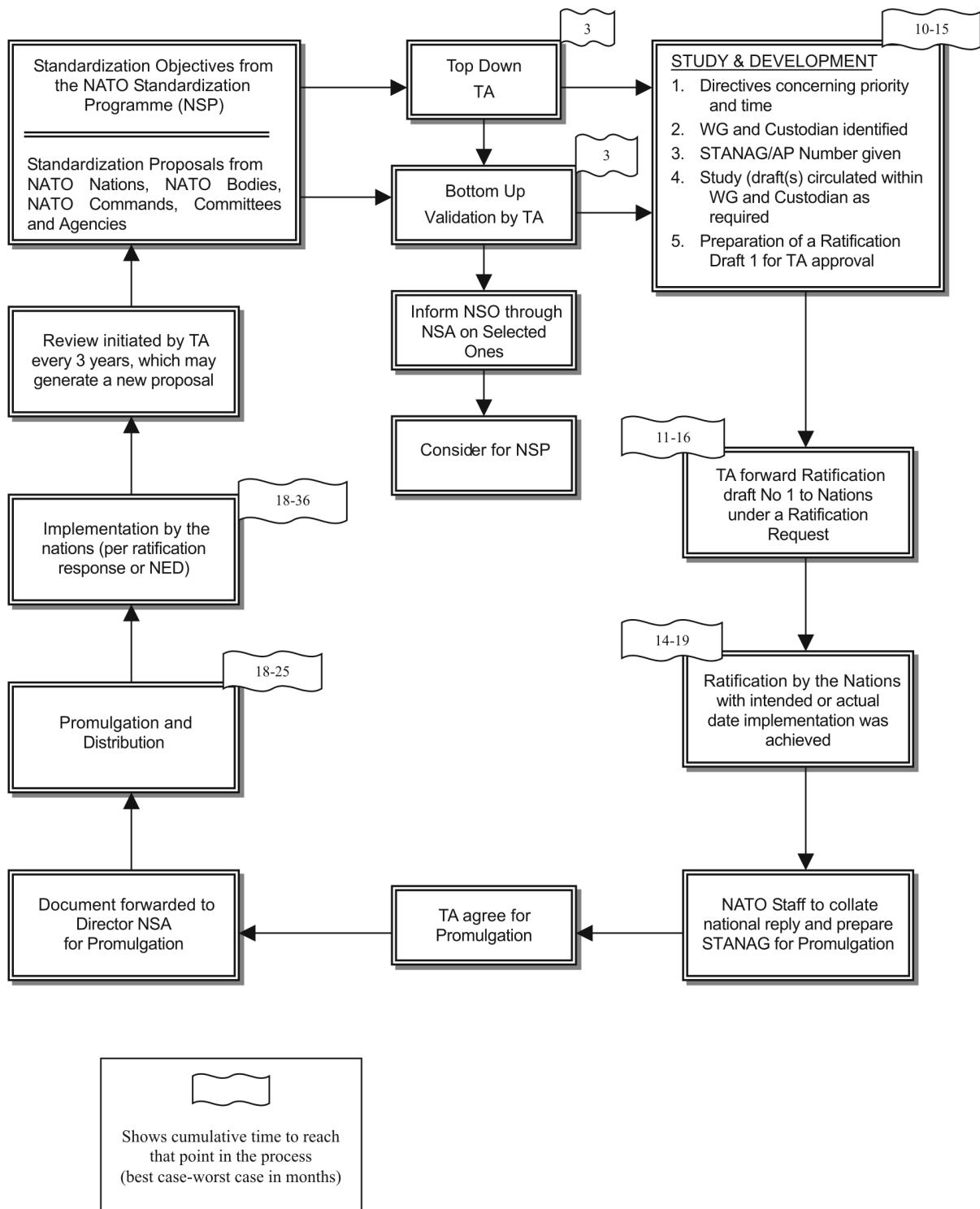


Figure 2-1. STANAG/AP Validation by TAs

CHAPTER 3

STRUCTURE OF STANAGS AND APS

SECTION I - STRUCTURE OF STANAGS

0301 Introduction

When the need for a STANAG has been established, the assigned WG and the custodian are to develop it taking into consideration the points, instructions and guidance contained in this chapter. The 'structure' of a STANAG refers to the order in which information is presented, whilst layout generally refers to the arrangement, style and drafting conventions used in the presentation. Layout is addressed in AAP-3 Supplement.

0302 Structure of a STANAG

A STANAG is comprised of the following components:

- a. A Letter of Promulgation (mandatory).
- b. Title Page (mandatory).
- c. Page ii (reverse of title page) containing (mandatory):
 - (1) Record of Amendments.
 - (2) Explanatory Notes.
- d. Table of Contents (if required).
- e. 'Body' of the STANAG, containing:
 - (1) List of Related Documents (insert "none" if not applicable).
 - (2) Aim (mandatory).
 - (3) Agreement (mandatory).
 - (4) General (if required).
 - (5) Terms and Definitions (if required).
 - (6) Details of the Agreement (if required).
 - (7) Protection of Proprietary Rights (if required).
 - (8) Implementation of the Agreement (mandatory).
 - (9) Annexes and Appendices (if required).

(10)Index (if required)

(11)List of effective pages (optional, mandatory for amendments)

0303 Letter of Promulgation

Irrespective of the originating TA or parental body, promulgated STANAGs, new editions and amendments thereto are distributed under cover of a 'Letter of Promulgation, signed by the DNSA. The format of such a letter is simple and the NSA will supply the necessary document when required. The letter will indicate appropriate references to preceding editions and/or ratification drafts as well as informing addresses of the administrative actions associated with receipt of the new or revised document, including applicability of a NED (See Annex C).

0304 Title Page

The title page provides easy identification of a STANAG, including its subject and classification.

0305 Page ii – Record of Amendments and Explanatory Notes

The reverse of the STANAG front cover is labelled Page ii, and contains a table for the subsequent listing of amendments, below which is a textual section containing a list of general explanatory notes (i.e. **not** notes specific to a particular STANAG). It will be provided by NSA.

0306 Table of Contents

STANAGs seldom contain tables of contents and their inclusion is optional. For larger STANAGs, particularly those divided into sections and sub-sections, the provision of a table of contents may render the document easier to use. Where a custodian chooses to insert a table of contents, it is to be attached between page ii (Roman) and page 1 (Arabic) of the STANAG.

0307 Body

1. The Body of a STANAG will vary greatly according to the purpose and subject of the document. Many technical STANAGs will contain tables and diagrams where as administrative STANAGs will be more textual in their content. In the case of a STANAG covering an AP (see Annex B), the structure is simple, and layout and wording are standardized.

2. Text is divided into Chapters and annexes. It is then further divided into sections (optional), articles, paragraphs and subparagraphs as required (see Chapter 2 AAP-3 Supplement).

3. When abbreviations are used the words abbreviated are to be written in full on first appearance, followed by the appropriate abbreviation in parentheses. Drafters of STANAGs and APs shall use abbreviations found in the NATO Terminology Database (NTDB) or shall develop them following the conventions and guidelines for abbreviations listed in AAP-15, NATO Glossary of Abbreviations used in NATO Documents and Publications (English and French)¹. Drafters of STANAGs and APs shall also submit the abbreviations and their long forms that they have developed to the Office of NATO Terminology Coordination (ONTC) in accordance with the Directive on the NATO Terminology Programme.

1. An updated guidance on the development of terminology in support of the NATO Terminology Programme is being developed and will be approved by the NCS.

4. Related documents dealing with abbreviations are as follows:
 - a. AAP-1 contains the authorised short titles for NATO military commands and agencies.
 - b. Agreed national distinguishing letters for use by NATO Forces are contained in STANAG 1059.
5. The International System of Units (SI) as defined by the International Organization for Standardization (ISO 1000) is to be the primary system used in NATO standardization documents. If another system is used, this is to be stated.
6. Where conversions between different systems are required they are to be shown in brackets after the primary unit. Where such conversions are approximate this is to be stated.

0308 List of Related Documents

Related documents are those which contain information necessary for the understanding of the STANAG; they may be non-NATO documents and need not be referred to in the text¹. Generally the edition of a related document is not shown. However, if it is considered essential to show the edition reference, the specific chapter or paragraph number(s) that are applicable to the STANAG should be indicated. Where an AP is listed, its covering STANAG is not quoted; draft STANAGs and APs should not normally be listed. Related documents are listed below the STANAG title, immediately after the list of annexes; if there is no related document, the word "none" will be inserted. Reference to APs, chapters, articles and paragraphs is to be made as follows:

- a. APs: By use of abbreviated designations, eg ATP-99.
- b. Chapters within the AP: By Chapter number.
- c. Articles: By article number.
- d. Paragraphs: By paragraph number.

0309 Aim

This paragraph must contain a clear and concise description of the substance of the document clarifying the purpose, scope and, envisaged implementation level of the STANAG. If possible, reference should be made to the supported task(s) and how lack of standardization could affect NATO Operations. Its purpose is to serve as an Executive Summary.

0310. Agreement

This paragraph must contain concise statements of what Nations have agreed to. In the case of a simple STANAG it may be possible to include the complete agreement under this heading.

1. Documents that are not essential to complying with the STANAG (e.g. that provide background information for end users but are not necessary for contractors) should not be listed here, but referred to as necessary throughout the text.

0311. Terms and Definitions

1. When it is deemed necessary to assist in the comprehension of a STANAG to include terms and definitions, a 'DEFINITIONS' section is to be placed below the 'AGREEMENT'. If the list is extensive, exceeding one page, terms and definitions shall be placed in an annex called LEXICON.
2. When drafting the DEFINITIONS section, WGs or custodians shall:
 - a. Use NATO agreed terminology from NATO Terminology Database and NATO agreed glossaries; check AAP-6, Part 4 for the index of NATO agreed documents containing specialist terms and definitions.
 - b. Check also non-NATO international vocabularies for suitable terms and definitions.
 - c. Quote verbatim any source document which is used (to include edition letter or number), and identify it after the quotations, e.g. "(AAP-6(2003))".
 - d. Include, if required, under the quoted NATO or international definition, a separate explanatory note to amplify or clarify without affecting its sense.
 - e. If no suitable agreed terminology exists in the reference sources, WGs/custodians may develop their own terminology as per the Directive on the NATO Terminology Programme. Until that terminology is agreed, the following sentence shall be included in the STANAG; "The following terms and definitions, which are still under development, are used for the purpose of this agreement only". Terms and definitions are to be developed and agreed in accordance with the Directive on the NATO Terminology Programme and written using the conventions and guidelines found in Section III of Part I of AAP-6.¹

0312. Details of the Agreement.

This section describes the substance of the agreement, in accordance with the aim. Where necessary, annexes and appendices to annexes are to be used to avoid overloading the body of the agreement. A complicated STANAG may require a "GENERAL" heading which will explain how the STANAG is set out e.g. "This agreement is divided into three parts:...". Clear and precise wording enhances the effectiveness of a STANAG. Therefore, permissive statements such as "nations may utilize..." are not to be used.

0313. Protection of Proprietary Rights

1. This section is only included when a nation furnishing technical information has submitted restrictions concerning proprietary rights. Any release, for any purpose whatsoever, of technical information subject to restrictions included in a STANAG should be accompanied by the following statement:

1. A guidance on the preparation of terminology in support of the NATO Terminology Programme is being developed and will be approved by the NCS.

PROPRIETARY RIGHTS

The following proprietary rights have been indicated as involved in this STANAG by (state nation):

(here list the rights)

The above list is not necessarily exhaustive. NATO and member Governments assume no responsibility for possible infringement of any inventions, trademarks, copyrights, etc. embodied in this STANAG. It is the sole responsibility of anyone using the information to acquire the necessary rights.

2. The above statement is to be modified when necessary to meet the requirements of the restrictions imposed by the nation(s) concerned. Enquiries concerning the protection of proprietary rights are to be addressed to the NATO Group on Acquisition Practices (AC/327).

0314. Implementation of the Agreement

TAs are to ensure that each STANAG contains an implementation paragraph which clearly defines how and when the STANAG is implemented by the ratifying nations/commands. The following are standard implementation paragraphs:

- a. STANAG covering procedures (No NED) – “This STANAG is implemented when a Nation has issued the necessary orders or instructions to authorities and units concerned putting the procedures detailed in this agreement into effect.”
- b. STANAG covering procedures (with a NED) – “This STANAG is considered ready to be implemented when the necessary orders/instructions bringing STANAG into effect have been issued to the authorities and units concerned and will be implemented on the NATO Effective Date (NED) promulgated by the [Appropriate TA].”
- c. STANAG covering equipment (No NED) – “This STANAG is implemented when the forces concerned have received the equipment covered by this agreement and are ready to use it.”
- d. STANAG covering a publication, or change to a publication (No NED) – “This STANAG and (change to) A.... are implemented when the (AP/change) has been received by the authorities and units concerned.”
- e. STANAG covering a publication, or change to a publication (with a NED) – “This STANAG and (change to) A.... are considered ready to be implemented when the (AP/change) has been received by the authorities and units concerned and will be implemented on the NATO Effective Date (NED) promulgated by the [Appropriate Service Board], NSA.”
- f. STANAG covering a publication, or change to a publication containing national/factual and ratifiable content (No NED) – “This STANAG, (change ... to) A... and changes dealing only with national information are implemented when the changes have been received by the authorities and units concerned.”

0315. Annexes and Appendices

When annexes are used, their titles are to be listed at the beginning of the STANAG, below the title. When appendices are used to supplement an Annex, their titles are to be listed in the Annex below the title.

SECTION II - STRUCTURE OF APS

0316. Introduction

When the need for an AP has been established, the assigned WG and the custodian are to develop it, taking into consideration the points, instructions and guidance contained in this section. The 'structure' of an AP refers to the order in which information is presented, whilst layout generally refers to the arrangement, style and drafting convention used in the presentation. The layout of an AP is contained in AAP-3 Supplement.

0317. Structure of an AP

An AP is comprised of the following components:

- a. Binder (Cover)(mandatory).
- b. Title Page (under the binder or cover)(mandatory).
- c. NATO Letter of Promulgation (mandatory).
- d. National Promulgation (if required).
- e. Record of Changes (mandatory).
- f. Record of National Reservation (mandatory)
- g. Table of Contents (optional).
- h. Text.
 - (1) Related Documents (if required)
 - (2) Preface (optional).
 - (3) Terms and Definitions (optional).
 - (4) Body (mandatory).
 - (5) Protection of Proprietary Rights (if required).
- i. Annexes and Appendices (if required).
- j. Lexicon (optional).
- k. Alphabetical Index (if required).
- l. List of Effective Pages (LEP) (mandatory).

0318. Binder (Cover)

1. The binder or cover does not have a page number. It is to show the overall classification of the AP at the top and bottom centres and includes, in the case of a classified AP, the following:

“The information contained in this document shall not be released to a nation outside NATO without prior approval of the NATO nations as laid down in C-M(2002)49(Final) or MC 167 (latest edition) (as applicable).”

2. The outside of the back binder or cover is to show the overall classification of the AP. No marking is required on the inside of the front and of the back binder or cover.

3. On the binder or cover the following markings are also to appear: the abbreviated designation, the title and, if required, the copy number (see AAP-3 Supplement). If a date is included on the binder or cover, it shall match the date on the Letter of Promulgation.

4. Where binders are used, provision should be made to show the edition by the use of an insert to permit their re-use when new editions are promulgated.

0319. Title Page

The title page is to be numbered Roman one (i) and marked per AAP-3 Supplement. The month and year of promulgation (from NATO Letter of Promulgation (LOP)) are also to be shown.

0320. NATO Letter of Promulgation

The NATO Letter of Promulgation, to be provided by DNSA, is mandatory.

0321. National Promulgation

Where required by nations such details should be entered at the front of the book.

0322. Record of Changes

1. The Record of Changes page is mandatory and is to be used to show the date of issue of changes and, if required, the NED.

2. The Record of Changes page is to be retained until such a time as the AP is superseded by a new edition.

0323. Record of National Reservations

1. This page lists, on the front, all chapters of the AP with a notation as to which nations have filed reservations on a specific chapter or article or annex, etc. The reverse side is to record the national reservations.

2. To ensure that the user of the AP is aware that a chapter or article or annex, etc. is constrained by a reservation, the symbol R is to be printed in the outside margin opposite the first line.

0324. Table of Contents

APs, by nature of their construction, normally require a table of contents to enhance the usability of the publication. If required, the table of contents is to list chapters, sections, articles, etc.

0325. Preface

A preface may be included to describe the purpose, scope and other required information. When a preface is not included the purpose and scope will be stated in the body of the document.

0326. Terms and Definitions

When it is deemed necessary to assist in the comprehension of an AP to include terms and definitions, a 'DEFINITIONS' section is to be included, ideally in an annex called lexicon. See article 0311.

0327. Body

1. Text. The custodian is to select the best layout for the text. The basic subdivision of the AP should be chapters with chapters being divided into sections (optional), articles, paragraphs and subparagraphs as required. See AAP-3 Supplement.

2. Figures. If figures are required they may be incorporated in a chapter or grouped after chapters and annexes.

3. Abbreviations and Measurements. See article 0307.

0328. Protection of Proprietary Rights

See article 0313.

0329. Annexes and Appendices

a. Annexes. If annexes are required they are to be placed after the chapters or at the end of the AP as appropriate. They are to be lettered consecutively throughout the AP. Annexes containing factual information not requiring ratification are to be clearly identified.

b. Appendices. If appendices to annexes are required they are to follow the appropriate annex.

0330. Related Documents

See article 0308.

0331. Lexicon

Where a lexicon is required it is to contain those terms and definitions deemed necessary to assist in the comprehension of the AP (see article 0311). The pages are numbered Lexicon-1, Lexicon-2, etc. The pages are marked in accordance with AAP-3 Supplement.

0332. Alphabetical Index

When an alphabetical index is included, the pages are to be numbered Index-1, Index-2, etc.

0333. List of Effective Pages (LEP)

The LEP constitutes the positive means of ascertaining the completeness of an AP. It is to be placed at the back of the AP. Numbered blank pages are to be accounted for on the LEP (see AAP-3 Supplement). Operational APs should normally have a LEP

0334. Promulgation of a Change

1. Following approval, the change is promulgated by DNSA. Clear instructions for incorporating the change are to be provided with the change.
2. **Numbering.** Changes are numbered consecutively starting with number one, e.g. Change 1 to ATP-99.
3. **Classification.** The classification of the change will depend on its subject matter and may not be as high as the AP.
4. **LEP.** A LEP is to be included as part of each change.
5. **Revised Table of Contents.** Where a table of contents is included, a new one is reissued as required.
6. **Revised Alphabetical Index.** Where an index is included, a new one is reissued as required.

0335. New Edition

Revisions to APs may be substantive or editorial¹ (which dictates the need for re-ratification of the cover STANAG). When an AP has been subject to several changes, it may be appropriate to proceed with a new edition (in preference to further extending the list of changes) when the next revision is required, irrespective of the physical size of that change. Should the change not need ratification, the next edition would be an '*editorial* new edition'. A new edition will be identified by the successive letter of the alphabet in parentheses following the number in the short title i.e. AAP-3, AAP-3(A).

1. The TA decides whether a change is substantive or not. In most cases the custodian of a document will be able to advise to the TA. In general, if a change was subject to debate, it could be controversial and should be ratified.

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CHAPTER 4

SPECIFIC REQUIREMENTS FOR ALLIED JOINT PUBLICATIONS (AJPs)**0401 Introduction**

Military operations in today's Alliance increasingly require the application of joint forces in pursuit of NATO goals and objectives. Inherent in the utilization of joint forces is the requirement for joint doctrine and joint tactics, techniques and procedures to guide those forces. A hierarchy of AJPs¹ has, and continues to be developed to meet this requirement. The special procedures concerning AJP development are addressed in this chapter.

0402 Requirement for an Allied Joint Publication

1. When the requirement for a new 'joint' publication is identified (either from top-down tasking or a bottom up standardization proposal) the AJODWG (on the advice of its Harmonization and Hierarchy (H2) Committee) will make a recommendation to the JSB as to the placement in the Hierarchy of the finished document. As with any bottom-up proposal, validation of bottom-up-**joint** proposals require to be validated before allocation of a study number and progression to study development; to save time, however, validation and AJODWG 'jointness review' may be conducted concurrently.
2. Once validation (bottom-up only) and the AJODWG 'jointness review' have been completed, the TA will assign the study to a WG, nominate a custodian and set a priority for development. Although all AJPs fall under the JSB with regard to coordination (the JSB also administers the ratification process) the TA for a given AJP need not be the JSB per se.
3. The Allied Joint Doctrine Hierarchy is divided into 3 levels and comprises documents, both AJP and other APs that are 'joint applicable'; the structure, which conforms to the NATO functional division numbering series, is intended to show dependencies and other relationships between documents. The following is a schematic of the Allied Joint Doctrine Hierarchy (note that the numbering of level 2 documents in this document is illustrative only and does not necessarily correspond to Actual Level 2 documents):

1. The Hierarchy of AJPs is managed by the Allied Joint Operations Doctrine Working Group (AJODWG) on behalf of the Joint Service Board. The hierarchy is reviewed 2 times per year and published in AAP-4.

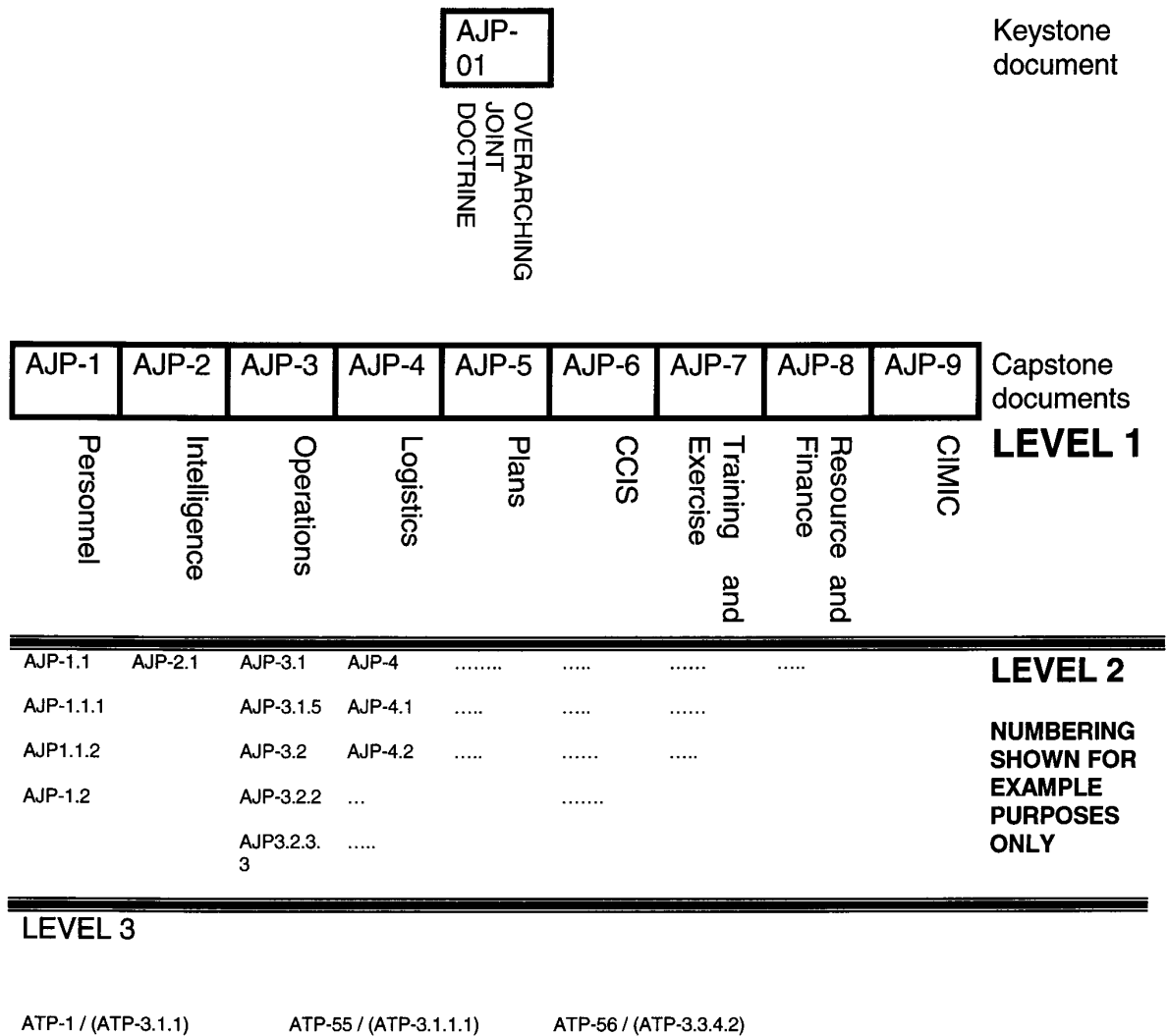


Figure 4-1. Example AJP Hierarchy

0403 Development of a Joint Publication

1. Development of Joint Publications, whether AJP or Joint-applicable AP, follows essentially the same procedures as for other APs, except that circulation of study drafts and ratification drafts needs to include joint staffs within nations and SCs. Involvement of the AJODWG, as principal doctrinal group, is also required to ensure that the content of AJPs (particularly Level 1, but also selected documents from Level 2) is harmonized with other publications in the Allied Joint Doctrine Hierarchy. The AJODWG will normally forward a matrix of comments to the custodian to enable harmonization (and other recommendations) to be addressed in subsequent study drafts, changes or revisions. The custodian will involve the WG as necessary, as with any other comments, to resolve the comments of the AJODWG.

2. The Allied Joint Doctrine Hierarchy contains a mixture of documents that were developed differently. Firstly there are publications that were written from the outset as AJPs, specifically to satisfy functional areas within the structure. There are also documents that were modified from single-service publications (with increased joint content) either to fill gaps, or to satisfy the cascade of doctrine from the joint to the single-service domain. As of 2003, the hierarchy is incomplete in several respects and placeholders have been used to show where future publications are to be inserted. However, as more joint publications are written, existing publications often require amendment to satisfy harmonization demands. Typically, a high-level Joint publication will address a wide range of topics, but only from the executive-overview perspective. If a high-level publication is in development, but not all of the envisaged dependent APs are in progress, then the custodian will tend to address those areas not yet contained in subordinate publications in more detail than those for which supporting material is available. Consequently, revision to an existing document, or the production of a new document, can generate the need to amend several publications; this process is generally referred to as vertical harmonization. Horizontal harmonization is required to ensure that documents within the hierarchy are consistent and reflect the spectrum of policy-derived doctrine without undue repetition, or voids. Not only, therefore, are the publications within the hierarchy subject to constant revision, but the hierarchy itself evolves.

0404 Ratification of a Joint Publication

1. AJPs (Level 1 and 2 only) differ from other APs in that, irrespective of the TA for the parent WG, ratification is administered by the JSB. Once the AJP is deemed ready for ratification, the TA will forward the ratification draft to the JSB to issue to nations with the Ratification Draft of its covering STANAG. From this point onwards the JSB becomes the TA for the publication and the same procedures described in article 0206 are followed.

2. Level 1 AJPs. The authority to recommend promulgation of a Level 1 (Keystone / Capstone) AJP to DNSA for promulgation has not been delegated from the MC to the JSB. The MC normally requires Level 1 AJPs to have been ratified by all NATO nations (except Iceland) **without reservation**. The JSB issues the AJP for ratification, tracks the ratification responses and will not normally make a promulgation recommendation to the MC unless it has met that criteria. Where a Level 1 publication fails to meet promulgation criteria (typically following a 'Not Ratifying' response, or statement of a reservation), the TA is required to initiate remedial action. In the case of those AJPs for which the JSB is not the TA, the JSB formally relinquishes control, but (having reviewed national ratification responses) would generally provide guidance on a course of action. If a subsequent ratification draft is produced, the ratification procedure (and exchange of control, if appropriate) is repeated. When the JSB is satisfied that either promulgation criteria has been met, or that, following (repeated) remedial activity, the document cannot achieve promulgation criteria, it is referred to the MC. At the discretion of the MC, the document would be passed to DNSA for promulgation or, additional remedial action (including possible withdrawal of the document) would be directed.

3. Level 2 AJPs. As with other APs, promulgation criteria is set by the TA (i.e. the JSB once the AJP is in ratification) on a case-by-case basis. By reason of the need to make NATO joint doctrine universally accepted, however, the criteria is often more stringent than for single-service APs (i.e. more than a simple majority). Level 2 promulgation criteria may be set as high as the 100% consensus required for Level 1, but in practice this is rare. Aside from the flexible promulgation criteria, and the need not to refer the Level 2 AJPs to the MC, the ratification procedure for Level 2 AJPs is the same as for Level 1 AJPs (including the formal hand-over of control, where appropriate).

4. Exceptionally, when a publication fails to reach promulgation criteria, the JSB may retain control, rather than return the document to the TA and assign to a JSB WG for continued development; the JSB also has the option to cancel the study, if deemed appropriate.

0405 Revision of a Joint Publication

Revisions to AJPs will normally be staffed within the parent WG under the direction / approval of the TA **for that group; the revision may, of course be ratifiable or editorial.** As with development of the original AP, it is imperative that study drafts be circulated to joint staffs so that the eventual ratification draft (which will *routinely* receive joint distribution) will not contain surprises. The original TA remains responsible for the AJP (unless otherwise directed by the JSB), up to the point of formal handover of the AJP to the JSB for issue as a ratification draft, or editorial new edition/amendment as appropriate.

CHAPTER 5

SPECIFIC REQUIREMENTS FOR MULTINATIONAL PUBLICATIONS (MPs)**0501 Introduction**

1. Multinational Publications (MPs) are formally approved unclassified extracts of classified APs. The aim of MPs is to provide NATO and co-operating nations with common doctrine, tactics, training and procedures to conduct multinational exercises and operations that do not conflict with NATO's ability to apply and develop doctrine for the execution of collective defence and the full range of NATO missions. The following are the key objectives to developing MPs:

a. To provide user-friendly, coherent publications for use in planning and conducting multinational and non-Article V Crisis Response exercises and operations.

b. To minimize the administrative responsibilities on custodians and nations by reducing the time and cost spent in staffing requests for release of Allied classified publications to non-NATO nations.

2. This procedure has been developed to ensure compliance with NATO approved security procedures as laid out in C-M(2002)49 and C-M(2002)60. The goal is to produce NATO Unclassified documents for release as per C-M(2002)60, not documents for public release.

3. NATO nations and commands are to continue to use the parent AP for all exercises and operations, regardless of non-NATO nation participation. The AP is marked to enable easy identification of those portions of the AP that are not contained in the MP. The short title of an MP clearly identifies the parent AP in that the leading "A" in the short title of the AP is replaced with an "M". For example, the parent AP of MTP-1 Vol I is ATP-1 Vol I.

0502 Requirement for an MP

1. TAs are responsible for validating the requirement for an MP. Once satisfied a requirement for an MP exists, the TA will task the appropriate WG.

2. MPs allow non-NATO nations to conduct operations and exercises up to and including the level of peacekeeping. They do not cover complex, multi-threat and high intensity operations and exercises: these are covered within existing APs.

3. When considering developing an MP from an AP the TA must not be too reluctant to declassify/reclassify material in order to include it in MPs. However, NATO must maintain positive control of the distribution process and information which could be a hazard to allied safety must be guarded.

0503 Development of an MP

1. Development of an MP is tied directly to the revision cycle of its parent AP. Changes to both must be issued at the same time, and the effective date of the MP will match the NED of the parent AP.
2. MPs retain the structure of the parent AP. Paragraphs that are not releasable in the MP are so marked in both the MP and the parent AP. Some classified paragraphs may require re-writing to separate sufficient unclassified material to maintain the usefulness of the MP.
3. **Procedures.** MPs should be developed in accordance with the procedures detailed below:
 - a. WG identifies a classified AP as a candidate MP
 - b. TA approves production of an MP
 - c. Custodian / WG commences work on skeleton publication:
 - (1) Identify unclassified paragraphs / chapters
 - (2) Cross-check classified paragraphs with the latest approved MPs and NATO Unclassified documents
 - (3) Edit paragraphs containing classified and unclassified information into separate paragraphs as required (see AAP-3 Supplement)
 - (4) Check the unclassified portion of the AP for coherence and identify the need for any additional information if required
 - (5) Consider reclassification of paragraphs containing required information
 - (6) Consider the rewriting of classified paragraphs into an unclassified general introduction and more detailed classified information (note: developing a MP should not be delayed solely by difficulties associated with declassifying existing classified words and phrases)
 - (7) Write unclassified introductory / bridge information that may be required for inclusion in both the MP and AP
 - (8) Identify those areas in the MP as “not releasable” which remain classified in the parent AP, annotate the AP “NMP” (not in MP) after the paragraph classification
 - (9) Check references in the MP
 - (10) Clearly mark those areas in the AP that remain classified by using a text box in accordance with AAP-3 Supplement.
 - d. Applicable working group agrees contents of AP and MP.
 - e. Custodian writes a covering letter indicating those paragraphs not previously released in current MPs or NATO Unclassified STANAGs/APs. Rationale for releasing previously NATO classified material must be included.

- f. Submit to TA for ratification/approval
- g. TA issues the parent AP for ratification (normal rules for ratification apply) and the MP for approval (consensus required).
- h. DNSA inserts LOP (MP and AP).
- i. Normal distribution and promulgation
- j. The NED for the parent publication will be promulgated by the TA. PfP and Mediterranean Dialog nations may check NED with co-ordination cells and other non-NATO nations may check with their sponsor. The MP will be effective from the same date as the parent AP. Users of MPs should always check the status of their publication when operating with NATO nations.

0504 Classification

1. MPs will bear the classification ‘NATO UNCLASSIFIED’. They will conform exactly to the chapter, section, paragraph and sub-paragraph numbering of the APs from which they are derived and, where information of a classified nature has been omitted, this will be indicated by the words “NOT RELEASABLE”. Conversely the APs with which the MP is associated will continue to bear their appropriate NATO Classification. In cases where classified information has been omitted from the MP, this text will be identified in the associated AP by the acronym “NMP” (NOT IN MULTINATIONAL PUBLICATION)” at the beginning of the paragraph, after the classification, and by marking the text per AAP-3 Supplement.

2. The following guidelines should be used when determining what information can be considered NATO Unclassified.:

a. What information may be considered NATO Unclassified.

- (1) Information which has already been intentionally released;
- (2) Information which is presently classified, but that contains basic policy, plans and procedures;
- (3) Information which presently is classified, but that contains basic responsibilities, arrangements and tasks;
- (4) Information which is presently classified, but that contains basic tactics and tactical deciding factors;
- (5) Information which is presently classified, but that contains basic exercise information.

b. What information cannot be declassified.

- (1) Information that provides knowledge of realistic effectiveness of weapons, sensors and command systems unless it can be regarded as standard data;
- (2) Information that is related to our tactical heritage which can be exploited by an adversary (it would be helpful to break our defence or improve their own policy);
- (3) Information that is related to the optimum use of weapons and sensor systems;

(4) Information concerning tactics and procedures that are of great importance for our own defence both now and in the future.

0505 Approval of an MP

1. Draft MPs will be issued for approval (i.e. agreement that the MP is unclassified) to the TA at the same time as the appropriate change to the parent AP is issued for ratification. The TA is responsible for ensuring that the Draft MP may in fact be de-classified. The draft will be issued with the original classification markings, which will be changed to NATO Unclassified upon consensus. TAs are **not** agreeing to the content of the MP only that the content that has been extracted from the parent AP is unclassified. Agreement on the content itself is reached through ratification of the parent AP.

2. Nations will use Annex J to register their approval of an MP. A silence procedure may be used to reach consensus.

0506 Promulgation of an MP

1. MPs will only be promulgated when the parent AP is promulgated. Conversely, the promulgation of an AP will be delayed pending approval of the MP. If consensus cannot be reached on the MP, then the TA may consider discontinuing the effort of producing a MP with the current change to the parent AP.

2. The DNSA will issue the LOP for the MP (see Annex K). MPs will be issued to nations and commands with the parent AP. Authority to release MPs (as with NATO Unclassified material) is delegated to the Heads of NATO civil or military bodies or to member nations holding that information who shall determine and elaborate any additional procedures necessary for its release (C-M(2002)60). NSA will not normally distribute MPs to non-NATO nations.

3. Those nations/commands working with non-NATO nations are responsible for ensuring those nations have the appropriate MP. If those non-NATO nations have an outdated MP, they may request the originally issuing nation provide those updated MPs, or consider providing those updates themselves.

0507 Updating an MP

1. The process for updating an MP follows the same process as an AP. Non-NATO nations may also propose changes, but all changes are ultimately approved by NATO nations only. Non-NATO nations will normally propose changes through the nations/command initially issuing them the MP.

2. As with the original MP, all changes must be reflected in both the MP and its parent AP.

0508 Control

1. MPs shall not be posted on any freely accessible media facility unless previously and expressly approved by the TA on a “case-by-case” following procedures in C-M(2002)-60.

2. Nations are responsible for:

- a. Advising NSA when distributing a MP to a non-NATO nation.
- b. Providing updates of the MP to receiving nations as required.

ANNEX A FORMAT FOR A STANDARDIZATION PROPOSAL

<u>NATO CLASSIFICATION</u>	
Date	Reference
PROPOSAL FOR THE NATO STANDARDIZATION OF *****	
Reference(s)	
<u>DESCRIPTION OF PROPOSAL</u>	
1. Give a brief and, as far as possible, non-technical summary of the proposal with references which will permit the lowest security classification. Explain the desired effect of the proposal on proposed and/or current equipment, materiel, systems and procedures.	
NOTE: The information requested below provides guidance to those submitting a proposal. Not all proposals will require the completion of all detailed questions, but all information will be of value to the Tasking Authority which has the responsibility to validate the proposals. Therefore, <u>where appropriate</u> answers to the specific questions should be provided.	
<u>JUSTIFICATION</u>	
2. How was the requirement identified? e.g. During:	
<ul style="list-style-type: none"> NATO Exercises National Exercises) Multilateral Exercises) Which nations involved ? 	
<ul style="list-style-type: none"> Operations - Normal peacetime - Special (Peacekeeping) - War 	
<ul style="list-style-type: none"> Training Trials and Testing In another way 	
3. Describe the detrimental effects of the identified lack of standardization, also assessing their significance (major, minor, negligible, intermittent?) e.g.:	
<ul style="list-style-type: none"> - Were sorties/missions lost or delayed? - Lack of appropriate supplies? - Lack of coordination? - Non compatibility of signals with ADP systems? 	
- 1 -	
<u>NATO CLASSIFICATION</u>	

Figure A-1. Standardization Proposal

NATO CLASSIFICATION

- 4. How will the proposal improve future operations or overcome any deficiencies noted?
- 5. Did you use "quick fixes", if so could they be used as a permanent solution?

MILITARY REQUIREMENT (APPLICABILITY)

- 6. What forces of the Alliance will the proposal affect? i.e. -Naval, Army, Air Force.
- 7. What services and formations will the proposal affect? e.g.: Naval/submarine; Army/mechanized; Air Force, Air Defence Fighters
- 8. What subject area is the proposal within? e.g.: RAS procedures; Air Defence weapons/Armaments; Logistics/Supply of clothing, rations /communication etc., to front line troops.
- 9. Will the proposal also have application outside the NATO forum, i.e. with nations allied to NATO nations, Cooperation Partners, Partners for Peace, peacekeeping and/or civilian spheres?
- 10. How large a requirement is it? How many pieces of equipment, personnel or systems will be affected? How many nations may be affected by the application of this proposal?
- 11. Is there a military or civilian standard already in existence or being prepared which could be used instead of generating a NATO STANAG? Consider ISO, ICAO, CEN, etc. (ref. to AAP-3 Vol I, article 0108).

TECHNICAL FEASIBILITY (For Material STANDARD)

- 12. How practical is the proposition? Consider the technical requirements, for example:
 - a. Could the proposed equipment or change to existing equipment be manufactured at local air base, unit or ship level?
 - b. Would the equipment have to be manufactured commercially? How long would it take, how much would it cost?
 - c. How simple would its introduction be? Would front line soldiers be able to adapt equipment or procedures without lengthy training or instruction, or would it entail considerable work at home base workshops etc?

NATO CLASSIFICATION

Figure A-1 Continued

NATO CLASSIFICATION

13. Does the proposer have an existing system in mind? Is it commercially available or still in the development process? How soon could it be available? Is there only one manufacturer?

TACTICAL FEASIBILITY (For Operational Standard)

14. A military requirement does not always have a technical solution; it may have a tactical and procedural solution. Outline your proposal and its application.

PRIORITY

15. How urgent is the need for the proposal? Consider;

a. NATO policy – mobile, flexible, multi-national, high readiness forces; reserve or reinforcement forces, Combined Joint Task Forces (CJTF).

b. Will the proposal fit in with equipment planned for acquisition by nations in the future or is it to overcome a problem with existing equipment only?

c. Commonality and age. There is little point standardizing a piece of equipment fitted to a few, ageing aircraft owned by only one or two nations!

d. Estimate of the time required to deal with the project based on its complexity.

e. When giving your priority (high, medium or low) provide the TA with an estimate of what those priorities mean to you in terms of time e.g.:

(1) High: A STANAG should be completed as soon as possible but not more than 9 months.

(2) Medium: a STANAG should be completed in 2½ years.

(3) Low: a STANAG should be completed within 3½ years.

OTHER RELEVANT INFORMATION

16. Specify as required and include details of the originating office or unit.

Signature Block

Enclosure(s) : (All available supplementary background information should accompany the proposal such as copies of extracts from existing agreements, studies, Standard Operating Procedures, etc.).

NATO CLASSIFICATION

Figure A-1 Continued

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**ANNEX B
CONTENTS OF A STANAG**

NATO CLASSIFICATION

STANAG...
(Edition .)

If applicable → Not recommended for
adoption/future development

**NORTH ATLANTIC TREATY ORGANIZATION
(NATO)**



**STANDARDIZATION AGREEMENT
(STANAG)**

SUBJECT:

Promulgated on

Director, NSA

NATO CLASSIFICATION

Figure B-1. Sample Binder Or Cover

<u>NATO CLASSIFICATION</u>			
<u>RECORD OF AMENDMENTS</u>			
No.	Reference of amendment	Date Entered	Signature

EXPLANATORY NOTES

AGREEMENT

1.This NATO Standardization Agreement (STANAG) is promulgated by the Director NATO Standardization Agency under the authority vested in him by the NATO Standardization Organisation Charter .

2.No departure may be made from the agreement without informing the tasking authority in the form of a reservation. Nations may propose changes at any time to the Tasking Authority where they will be processed in the same manner as the original agreement.

3.Ratifying nations have agreed that national orders, manuals and instructions implementing this STANAG will include a reference to the STANAG number for purposes of identification.

RATIFICATION, IMPLEMENTATION AND RESERVATIONS

4.Ratification, implementation and reservation details have been provided to NSA. They are available on request or through the NSA websites (internet <http://nsa.nato.int> ; NATO Secure WAN <http://nsa.hq.nato.int>).

FEEDBACK

5.Any comments concerning this publication should be directed to (insert tasking authority address, and optionally phone number and e-mail)(optional: or to the custodian: (insert custodian address and optionally phone number and e-mail)).

ii

NATO CLASSIFICATION

Figure B-2. Page ii of a Promulgated STANAG

<u>NATO CLASSIFICATION</u>	
Agreed English/French texts (for promulgation only)	<u>STANAG....</u> (Edition .)
When applicable, add:	not recommended for adoption/future development
<u>NATO STANDARDIZATION AGREEMENT</u> (<u>STANAG</u>)	
<u>TITLE</u>	
Annexes: A. (see article 0315)	
Related documents: (see article 0308)	
<u>AIM</u> (see article 0309)	
1. <i>Mandatory.</i> The aim of this agreement is.....	
<u>AGREEMENT</u> (see article 0310)	
2. <i>Mandatory.</i> Participating nations agree to	
<u>DEFINITIONS</u> (see article 0311)	
3. <i>If required.</i>	
<u>GENERAL</u> (see article 0312)	
4. <i>If required.</i>	
<u>DETAILS OF THE AGREEMENT</u> (see article 0312)	
5. <i>If required.</i> (If complex may refer to annexes.)	
<u>PROTECTION OF PROPRIETARY RIGHTS</u> (see article 0313)	
6. <i>If required.</i>	
<u>IMPLEMENTATION OF THE AGREEMENT</u> (see article 0314)	
7. <i>Mandatory.</i> This STANAG is implemented	
<u>NATO CLASSIFICATION</u>	Ratification Draft # (when applicable)

Figure B-3. STANDAG Layout

Agreed English/French texts	<u>NATO CLASSIFICATION</u>	<u>STANAG</u> (Edition .)
<u>NATO STANDARDIZATION AGREEMENT</u> (STANAG)		
<u>TITLE</u>		
Related Documents: (see article 0308)		
<u>AIM</u>		
1. The aim of this agreement is to register national acceptance of (insert abbreviated designation)(including Change(s) through).		
<u>AGREEMENT</u>		
2. Participating nations agree to use (insert abbreviated designation)(including Change(s) to) as a manual for (insert purpose).		
3. (Participating nations agree to forward any corrections or additions to their national information, to the custodian by each year; they will be incorporated in the AP without being offered to other nations for agreement). (Changes to the format or general information sections will not be incorporated until they have been formally offered by the (insert Tasking Authority) to national authorities concerned and have been agreed by them).		
<u>OR</u>		
3. Changes to (insert abbreviated designation) will be incorporated into the publication and will be accepted as part of it provided they have been formally offered by the (insert Tasking Authority) to national authorities concerned and have been agreed by them.		
<u>IMPLEMENTATION OF THE AGREEMENT</u>		
4. This STANAG and (Change to)(insert abbreviated designation) are (considered ready to be) implemented when the (AP/Change) has been received by the authorities and units concerned (and will be implemented on the NATO Effective Date (NED) promulgated by the (insert Tasking Authority)).		
<u>NATO CLASSIFICATION</u>		Ratification Draft # (when applicable)

Figure B-4. Standard Layout For A STANAG Covering An AP

**ANNEX C
CONTENTS OF AN AP**

<u>NATO CLASSIFICATION</u>	Copy No (if applicable)
(ABBREVIATED DESIGNATION)	
(TITLE)	
FOR AN UNCLASSIFIED AP The information contained in this document shall not be released to a nation outside NATO without following procedures contained in C-M(2002)60	
FOR A CLASSIFIED AP The information contained in this document shall not be released to a nation outside NATO without prior approval of the NATO nations as laid down in C-M(2002)49 or MC-167 (latest edition)(as applicable)	
DATE (from NATO LOP)	
<u>NATO CLASSIFICATION</u>	

Figure C-1. Sample Binder or Cover (non-IS Originated)

N A T O I N T E R N A T I O N A L S T A F F - D E F E N C E I N V E S T M E N T D I V	<u>NATO CLASSIFICATION</u>		
	<table style="width: 100%;"> <tr> <td style="width: 60%;">PUBLICATION TYPE (e.g. ALLIED ENGINEERING PUBLICATION)</td> <td style="width: 40%; text-align: right;">Short Title Edition No (COPY No IF APPLICABLE)</td> </tr> </table>	PUBLICATION TYPE (e.g. ALLIED ENGINEERING PUBLICATION)	Short Title Edition No (COPY No IF APPLICABLE)
	PUBLICATION TYPE (e.g. ALLIED ENGINEERING PUBLICATION)	Short Title Edition No (COPY No IF APPLICABLE)	
	<h1>FULL TITLE</h1>		
	Month and Year (from NATO LOP)		
	<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">FOR AN UNCLASSIFIED AP</p> <p>The information contained in this document shall not be released to a nation outside NATO without following procedures contained in C-M(2002)60</p> </div>		
	<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">FOR A CLASSIFIED AP</p> <p>The information contained in this document shall not be released to a nation outside NATO without prior approval of the NATO nations as laid down in C-M(2002)49 or MC-167 (latest edition)(as applicable)</p> </div>		
	<u>NATO CLASSIFICATION</u>		

Figure C-2. Sample Binder or Cover (IS Originated)
(to be printed on ORANGE colour cartoline)

<u>NATO-CLASSIFICATION</u>	Abbreviated Designation (Copy No if applicable)
 (ABBREVIATED DESIGNATION) (TITLE) (MONTH AND YEAR OF PROMULGATION FROM DNSA LOP) <div style="border: 1px solid black; padding: 10px; margin: 10px auto; width: 80%;"><p style="text-align: center;">FOR AN UNCLASSIFIED AP</p><p>The information contained in this document shall not be released to a nation outside NATO without following procedures contained in C-M(2002)60</p></div> <div style="border: 1px solid black; padding: 10px; margin: 10px auto; width: 80%;"><p style="text-align: center;">FOR A CLASSIFIED AP</p><p>The information contained in this document shall not be released to a nation outside NATO without prior approval of the NATO nations as laid down in C-M(2002)49 or MC-167 (latest edition)(as applicable)</p></div> <p style="text-align: center;"> </p> <p style="text-align: right;">ORIGINAL/Change # Ratification Draft #</p> <p style="text-align: center;"><u>NATO-CLASSIFICATION</u></p>	

Figure C-3. Sample Title Page

<u>Feedback</u>
Any comments concerning this publication should be directed to (insert tasking authority address, and optionally phone number and e-mail)(optional: or to the custodian: (insert custodian address and optionally phone number and e-mail)).

Figure C-4. Sample Title Page (Reverse)

<u>NATO-CLASSIFICATION</u>	Abbreviated designation
NORTH ATLANTIC TREATY ORGANIZATION	
NATO STANDARDIZATION AGENCY (NSA)	
NATO LETTER OF PROMULGATION	
Date	
<p>1. (Abbreviated designation)(Title) is a (insert NATO CLASSIFICATION) publication. It shall be transported, stored and safeguarded in accordance with agreed security regulations for the handling of (NATO CLASSIFICATION) documents. (The agreement of nations to use this publication is recorded in STANAG)*</p> <p>2. (Abbreviated designation) is effective (upon receipt)* (on a date to be promulgated by (insert tasking authority)).* (It supersedes (When made effective it shall supersede)* (Abbreviated designation) which shall be destroyed in accordance with the local procedure for the destruction of documents)*.</p> <p>3. (Insert as applicable) ... contain only factual information. Changes to these are not subject to the ratification procedures; they will be promulgated on receipt from the nations concerned.</p> <p>4. It is permissible to reproduce this AP in whole or in part provided the same level of security classification is maintained.</p>	
Director NSA	
<p>* Delete as appropriate</p> <p style="text-align: center;">III</p>	
<u>NATO-CLASSIFICATION</u>	

Figure C-5. Sample NATO Letter of Promulgation

NATO-CLASSIFICATION Abbreviated designation

RECORD OF RESERVATIONS

CHAPTER	RECORD OF RESERVATION BY NATIONS
1	NONE
2	NONE
3	NL
4	NONE
5	GE, UK
6	NONE
7	NONE
8	NONE
9	FR, GE, NO, UK
10	NONE
11	NONE
12	FR, UK

V

NATO-CLASSIFICATION ORIGINAL

Figure C-6. Sample Page Showing a Record of Reservations by Nations

<u>NATO-CLASSIFICATION</u>		Abbreviated designation
RECORD OF RESERVATIONS		
NATION	RESERVATIONS	
FR	Does not accept Chapter 9 and paragraph 1283.	
GE	Will not comply with paragraph 509 and does not accept Chapter 9.	
N	Will only comply with paragraph 317 in European waters. Does not accept Chapter 9.	
UK	Will not comply with paragraph 509 and does not accept Chapter 9 and paragraph 1283.	
VI		
<u>NATO-CLASSIFICATION</u>		ORIGINAL

Figure C-7. Sample Page of Reservations to an AP by Nations

NATO-CLASSIFICATION

Abbreviated designation

RECORD OF CHANGES

Identification of Changes, Reg. No. (if any), and Date	Date Entered	NATO Effective Date	By whom Entered (Signature; Rank, Grade or Rate; Name of Command)

ORIGINAL
(Reverse blank)

Current changes may be obtained from the custodian through your national chain of command. Proposed changes should be forwarded through your national change of command to the custodian at (insert custodian contact details).

VII
NATO-CLASSIFICATION

Figure C-8. Sample Record of Changes

<u>NATO-CLASSIFICATION</u>		Abbreviated designation
LIST OF EFFECTIVE PAGES (LEP)		
Effective Pages	Page numbers	
Original	I thru X	
Change 1	1-1 thru 1-8	
Original	1-9 thru 1-12	
Original	2-1 thru 2-20	
Change 2	2-21 thru 2-28	
Original	3-1 thru 3-10	
Change 1	3-10a thru 3-10f	
Original	3-11 thru 3-14	
Original	4-1 thru 4-14	
Original	A-1 thru A-6	
Change 3	B-1 thru B-10	
Original	Index-1 thru Index-16	
Change 3	LEP-1, LEP-2	
LEP-1		
<u>NATO-CLASSIFICATION</u>		
		CHANGE 3 Ratification Draft#

Figure C-9. Sample List of Effective Pages (LEP)

NATO-UNCLASSIFIED

AAP-3(I)

INTENTIONALLY BLANK

C-10
NATO-UNCLASSIFIED

ORIGINAL

ANNEX D COVERING LETTER FOR A STANAG RATIFICATION DRAFT

Date	<u>NATO-CLASSIFICATION</u>	Reference
See Distribution List		
STANAG	(Edition)	(Ratification Draft XX) TITLE
<u>Reference(s):</u>		
<p>1. The enclosed STANAG's ratification draft has been prepared by the (insert WP/WG/Custodian/Staff (reference)) (if appropriate: to cover (if appropriate: change # to) AP short designation) (optional: and approved by the (Tasking Authority) for circulation to obtain national ratification).</p>		
<u>ACTION BY NATIONAL STAFFS – RATIFICATION</u>		
<p>2. <u>Ratifying Reference.</u> Nations ratifying (including not implementing) the STANAG are requested to include in their reply, a single coordinated national ratifying reference number, which will be recorded at NSA and made available on the NSA websites. (When TA is Defence Support insert: Most national Ministries of Defence contain a standardization office or standardization liaison officer who can give advice on the procedure to be adopted to obtain a formal ratification reference. It is recommended that contact be made with that office).</p>		
<p>3. <u>Date of Implementation.</u> Nations that ratify the STANAG are requested to specify a date of implementation, which may be stated as a number of months following promulgation of the STANAG (e.g. DOP or DOP + 3m) and the national implementation documents for the services to which it applies.</p>		
or		
<p>3. <u>Implementation/NATO Effective Date (NED).</u> It is important that all participating nations implement this STANAG on the same date. Nations are requested to specify the services to which it applies, their national implementing documents and the earliest date by which they can implement, which may be stated as a number of months following promulgation of the STANAG. The (insert Tasking Authority) will then establish the NED of the STANAG/AP/Change.</p>		
<p>4. <u>Reservations.</u> Nations prepared to ratify the STANAG but with reservations, are requested to state these in detail, so they can be recorded at NSA and made available on the NSA websites. Nations should describe any portion of the STANAG which cannot be implemented and/or any portion which can only be implemented with limitations. (As this is implicit, nations need not state, "This STANAG is applicable only to future procurement")</p>		
<u>NATO-CLASSIFICATION</u>		

Figure D-1. Cover Letter for a STANAG Ratification Draft

- 5. Non-Participation. Nations may elect to be registered as 'Not Participating' and may indicate (or revoke) such status at any stage from the validation process. Although study drafts are not normally distributed to non-participating nations, they will receive ratification drafts and promulgated STANAGs in the same way as 'participating nations'. A nation's non-participation will be taken into account by the TA when setting/reviewing promulgation criteria for the STANAG and non-participating nations will be expected to make a fresh declaration at the issue of each new ratification draft.
- 6. Not Ratifying. A response of Not-Ratifying is to be accompanied by amplifying information, in the form of a 'comment', to allow the TAWG to ascertain whether there is objection to the promulgation, or merely an inability of the nation to comply. Remarks suggesting modifications that would make the STANAG acceptable would be of use and may be taken into account during deliberation of the promulgation process. Although non-ratification by a nation is not construed as a bar to promulgation, nations are advised to consider the implication of not ratifying and its effect on the STANAG.

ACTION BY NATIONAL STAFFS – IMPLEMENTATION

- 7. After the STANAG has been implemented, nations are to complete Annex E and forward this to the relevant Tasking Authority. The Tasking Authority will also monitor the intended dates of implementation provided by nations and may seek confirmation of the date of implementation if responses have not been provided by nations.

ACTION BY THE STRATEGIC COMMANDS (SCs)

- 8. SCs are requested to review the agreement and forward their comments and implementation details. SCs are requested to consolidate their requirements including subordinate commands, for the final version of the STANAG/AP/change (delete as applicable) and forward their requirement forms in accordance with AAP-3, Annex F.

FORWARDING REPLIES

- 9. National staffs are to complete Annex E of AAP-3(I) and forward their replies through their national delegation as appropriate. SCs are to forward their replies in accordance with Command Operating instructions.
- 10. Replies should reach (insert as appropriate) by (a date should be given for receipt of replies allowing a minimum of 3 months from the date of circulation).

Signature Block

Enclosure:

STANAG (Edition) (Ratification Draft)

- 2 -

NATO-CLASSIFICATION

Figure D-1 continued

**ANNEX E
NATIONAL REPLIES TO STANAGS**

<u>NATO CLASSIFICATION</u>				
<u>.....</u> (Date)	<u>.....</u> (National reference)			
(To) (Insert tasking authority)				
<u>STANAG (TO INCLUDE NUMBER; EDITION; TITLE; RATIFICATION DRAFT)</u>				
Reference(s)				
a. (cover letter under which subject STANAG was submitted)				
1. The following information is submitted concerning the subject STANAG.				
a. RATIFICATION INFORMATION (1)				
Ratifying	Ratifying (2) w/reservations	Ratifying, but not implementing (3)	Not ratifying	Not Participating (4)
Ratification Reference: _____(5)_____				
b. PRELIMINARY INFORMATION ON IMPLEMENTATION (6)				
Intended date of Implementation				
Navy/ Mer	Army/ Terre	Air		
2. RESERVATIONS: (2)				
3. COMMENTS: (7)				
4. One paper copy is/is not required.				
(SIGNATURE BLOCK)				
Enclosure(s) : (If applicable, list enclosures, such as reservations and comments)				
<u>NATO CLASSIFICATION</u>				

Figure E-1. National Reply on the Ratification of a STANAG

Notes for Figure E-1:

- (1) **RATIFICATION INFORMATION:** Nations should choose only one of the options by placing an "X" in the appropriate box.
- (2) **RESERVATIONS:** The stated qualifications by a nation which describes that part of the STANAG which it cannot implement or can implement only with limitations. Nations "ratifying with reservations" are expected to regularly review the reservation to ensure it is still applicable, and provide change proposals during the normal review process to resolve the reservation(s).
- (3) If a nation does not use the equipment or ammunition covered under the subject STANAG, the recommendation, is to mark the "Ratifying but not implementing" or "Not Participating" block (see AAP-3(I) paragraph 0206). This enables the STANAG to progress to promulgation in an acceptable timeframe.
- (4) Nations stating that they are '**not participating**' will not receive further study draft or related correspondence for the STANAG/AP, unless they indicate a requirement to remain on the distribution list. Non-participating nations will, however, continue to receive ratification drafts, to which they are expected to respond, as well as all promulgated editions/amendments.
- (5) **NATIONAL RATIFICATION REFERENCE:** This information should be provided only if your nation is ratifying the subject STANAG. If not ratifying - leave blank.
- (6) **PRELIMINARY INFORMATION ON IMPLEMENTATION:** Nations should indicate which service(s), if any, are implementing by placing an intended date of implementation, month and year, in the appropriate box(es) (it should normally be stated as a number of months following promulgation of the STANAG for the Services to which it applies).
- (7) **COMMENTS:** When a nation indicates its intention of not implementing or states reason(s) for non-ratification and provides recommendations that support a change to the STANAG/AP which will allow the nation to ratify. When a nation issues a statement of 'Not Ratifying', it is to be supported by appropriate comment to allow the TA/WG to ascertain why the stated position has been taken.

<u>NATO CLASSIFICATION</u>											
..... (Date)	 (National reference)									
(To) (Insert tasking authority)											
<u>STANAG (TO INCLUDE NUMBER; EDITION; TITLE; AMENDMENT) - IMPLEMENTATION DATE</u>											
Reference	:	a. (cover letter under which subject STANAG was submitted) b. (national reply on the ratification request)									
1. The date of implementation achieved for STANAG presented under reference.											
a. INFORMATION ON IMPLEMENTATION (1)											
<table border="1" style="margin: auto; border-collapse: collapse;"> <thead> <tr> <th colspan="3" style="padding: 5px;">Date Implementation was achieved</th> </tr> <tr> <th style="width: 33%; padding: 5px;">Navy/ Mer</th> <th style="width: 33%; padding: 5px;">Army/ Terre</th> <th style="width: 33%; padding: 5px;">Air</th> </tr> </thead> <tbody> <tr> <td style="height: 30px;"></td> <td></td> <td></td> </tr> </tbody> </table>			Date Implementation was achieved			Navy/ Mer	Army/ Terre	Air			
Date Implementation was achieved											
Navy/ Mer	Army/ Terre	Air									
National Implementing document(s): _____ (2) _____											
If applicable add:											
2. Reservations included in reference b are replaced by the following reservations:											
3. COMMENTS: (3)											
(SIGNATURE BLOCK)											
Enclosure(s): (If applicable, list enclosures, such as reservations and comments)											
<u>NATO CLASSIFICATION</u>											

Figure E-2. National Reply |Confirming the date a STANAG was Implemented

Notes for Figure E-2:

- (1) **INFORMATION ON IMPLEMENTATION:** Nations should indicate which service(s), if any, have achieved implementation by placing the implementation date month and year, in the appropriate box.
- (2) **NATIONAL IMPLEMENTING DOCUMENT(S):** List the national or service publication that incorporates the content of a STANAG.
- (3) **COMMENTS:** When a nation indicates its intention of not implementing or states reasons(s) for non-ratification and provides recommendations that support a change to the STANAG/AP that will allow the nation to ratify. When a nation issues a statement of 'Not ratifying', it is to be supported by appropriate comment to allow the TA/WG to ascertain why the stated position has been taken.

**ANNEX F
STRATEGIC COMMAND'S RESPONSE TO A
RATIFICATION REQUEST**

<u>NATO CLASSIFICATION</u>	
	_____ (Strategic Command Reference)
	_____ Date
From	: (insert Strategic Command)
To	: (Tasking Authority)
Reference	: (cover letter under which subject STANAG was submitted)
Enclosure(s)	: (if applicable, list enclosures)
(insert STANAG/AP designation)	
1.	The following information is submitted concerning the subject STANAG(/AP) either
2.	The STANAG(/AP) has no direct operational impact or
2.	Non-implementing nations will still be able to participate in (specify type of operations), but at a reduced capacity. or
2.	Non-implementing nations will be unable to participate in (specify type of operations).
3.	Comments (including implementation details):
	(Signature block)
<u>NATO CLASSIFICATION</u>	

Figure F-1. Strategic Command's Response to a Ratification Request

NATO-UNCLASSIFIED

AAP-3(I)

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F-2
NATO-UNCLASSIFIED

ORIGINAL

**ANNEX G
PROMULGATION OF A STANAG/AP**

<u>NATO CLASSIFICATION</u>	
Date	Reference
(To)	
STANAG (EDITION .) -	TITLE
Reference(s)	
a. (Draft of subject STANAG)	
b. (Previous edition, where applicable)	
1. The NATO Standardization Agreement at enclosure I has been ratified by sufficient nations. Details of national ratifications are at enclosure II, updates to this information are available at NSA.	
2. The enclosed STANAG is effective upon receipt. The reference(s) listed above is(are) to be destroyed in accordance with local document destruction procedures.	
Or where NED applies:	
2. The reference(s) listed above is(are) to be destroyed on the NATO Effective Date (NED).	
3. AAP-4 should be amended to reflect the latest status of the STANAG (and AP if applicable).	
<u>ACTION BY NATIONAL STAFFS</u>	
4. National staffs are requested to examine their ratification response information compiled at Enclosure II and, if they have not already done so, advise (insert TA as appropriate) through their national delegation as appropriate of their intention regarding its ratification and implementation.	
Enclosure: STANAG (Edition .)	Director NSA
<u>NATO CLASSIFICATION</u>	

Figure G-1. Cover Letter for Promulgation of a STANAG

<u>NATO CLASSIFICATION</u>	
Date	Reference
(To)	
STANAG (EDITION .)(AMENDMENT .)	TITLE
Reference(s)	
a. (STANAG reference)	
b. (Reference of draft amendment)	
1. The subject STANAG was promulgated under cover of reference a. Addressees are requested to:	
a. Amend the STANAG as follows:	
(1) Remove pages ...	
(2) Insert pages ...	
b. Destroy reference(s) in accordance with local document destruction procedures.	
2. AAP-4 should be amended to reflect the latest status of the STANAG.	
<u>ACTION BY NATIONAL STAFFS</u>	
3. The (insert as appropriate) considers this an editorial amendment to the STANAG; previous ratifying references and implementation details are deemed to be valid.	
	Director NSA
Enclosure	
STANAG (Edition .)(Amendment .)	
<u>NATO CLASSIFICATION</u>	

Figure G-2. Covering Letter For Promulgation of an Amendment to a STANAG

ANNEX H
LETTER OF PROMULGATION FOR A CHANGE TO AN
AP

NATO CLASSIFICATION

NORTH ATLANTIC TREATY ORGANIZATION
NATO STANDARDIZATION AGENCY (NSA)

CHANGE TO (Abbreviated designation)(Title)

Date

1. Change to (Abbreviated designation) is a (NATO CLASSIFICATION) document. It shall be transported, stored and safeguarded in accordance with agreed security regulation, until entered in the basic AP.
2. Change to (Abbreviated designation) is (effective on receipt)* (IS NOT TO BE EFFECTED UNTIL THE NATO EFFECTIVE DATE (NED) which will be published by (insert tasking authority)).*
3. The following pages are contained in this change:
4. Prior to making the change verify the attached pages against the list at paragraph 2.
5. Insert the new pages and destroy the superseded ones in accordance with the local procedures for the destruction of documents.
6. Check the List of Effective Pages (LEP).
7. Amend the Record of Changes page to reflect the latest status of (Abbreviated designation).

* Delete as appropriate

NATO CLASSIFICATION

Figure H-1. Covering Letter for Promulgation of an Amendment to an AP

NATO-UNCLASSIFIED

AAP-3(I)

INTENTIONALLY BLANK

H-2
NATO-UNCLASSIFIED

ORIGINAL

ANNEX I LETTER OF CANCELLATION

<u>NATO CLASSIFICATION</u>	
Date	Reference
To/	: See Distribution List
A	Voir liste de diffusion
CANCELLATION OF STANAG (EDITION .) -	TITLE
ANNULATION DU STANAG (EDITION .) -	TITRE
References/ Références:	
a.	(Report/Compte rendu)
b.	(Latest edition/Dernière édition)
1.	In accordance with paragraph .. of reference a., STANAG is cancelled.
2.	AAP-4 should be amended accordingly.
1.	Conformément au paragraphe .. du document cité en référence a., le STANAG est annulé.
2.	Il conviendra de modifier l'AAP-4 en conséquence.
Director NSA	
<u>OTAN CLASSIFICATION</u>	

Figure I-1. Letter of Cancellation

INTENTIONALLY BLANK

ANNEX J
LETTER OF AGREEMENT TO REGISTER NATIONAL
ACCEPTANCE OF MP

<u>NATO UNCLASSIFIED</u>
MTP- XXX – (TITLE OF STANAG/AP)
<u>References:</u>
A. (letter issuing the Draft MP for approval)
B. (Custodian’s letter distributing the MP)
C. (letter issuing covering STANAG for the parent AP)
<u>AIM</u>
1. The aim of this agreement is to register national acceptance of MTP-XX an an NATO Unclassified extract of ATP-XX.
<u>BACKGROUND</u>
2. The NSA has issued Ratification Draft of STANAG XXXX at Reference A. to cover ATP-XX. MTP-XX is an unclassified extract of ATP-XX, that was distributed by the Custodian, XX(<i>nation</i>) at Reference B.
<u>AGREEMENT</u>
3. Participating nations agree to the promulgation and distribution of MTP-XX, a MP composed directly from unclassified extracts from of ATP-XX. This agreement does not imply use of MTP-XX by national forces. Agreement to use ATP-XX will be made in response to reference C.
4. MTP-XX will not be released until ATP-XX is ratified by nations, and consensus is reached on release of MTP-XX as a Multinational Publication (MP).
5. The MP may be released to a non-NATO nation by a NATO nation or Command, on a need to know basis, without further authorisation from the Tasking Authority or NATO Headquarters. The MP shall not be released by any non-NATO nation. The MP is the recommended reference for multinational and coalition operations and exercises.
6. The releasing nation is responsible for:
a. Providing updates of the publication to receiving nations as required.
b. Informing NSA when distributing this MP to other nations.
c. Informing the receiving nation of the NATO Effective Date of the parent publication.

Figure J-1. Letter of Agreement to Register National Acceptance of MP

NATO CLASSIFICATION

7. The MP shall not be posted on any freely accessible information or media facility unless previously and expressly approved by the Tasking Authority on a case-by-case basis.

8. Changes to MTP-XX will be incorporated into the publication and will be accepted as part of it, provided they have been formally offered by the Tasking Authority to national authorities concerned and have been agreed by them.

ACTION BY NATIONAL STAFFS

9. Nations are requested to review MTP-XX to confirm the releasability of the MP. A response of Not-Releasable should be accompanied by amplifying information, in the form of a "comment", to allow the TA/WG determine if further changes will address the concerns or discontinue production of the MP.

10. The MP will bear the classification marking 'NATO UNCLASSIFIED'.

11. National staffs are to forward their replies through their national delegation as appropriate.

ACTION BY THE STRATEGIC COMMANDERS (SCs)

12. SCs are requested to review MTP-XX and forward any comments regarding releasability.

13. SCs are requested to consolidate their requirements including subordinate commands, for the final version of the Change to the MP and forward their requirement forms in accordance with AAP-3 and command operating instructions.

14. Replies should reach the Tasking Authority by **XX XXXXXX XXXX**.

FOR THE TASKING AUTHORITY

Ida B CHAIRMAN
Captain, USNA
Chairman

NATO UNCLASSIFIED

Figure J-1 Continued

NATIONAL RESPONSE REGARDING APPROVAL OF A MULTINATIONAL PUBLICATION¹

<u>NATO CLASSIFICATION</u>	
..... (Date) (National reference)
(To)	
<u>(MP DESIGNATION, INCLUDING EDITION/CHANGE)</u>	
Reference (cover letter under which subject MP was submitted)	
1. The following information is submitted concerning the subject MP.	
2. (Nation) concurs that subject MP is releasable as an MP.	
or	
2. (Nation) does not approve the subject MP to be releasable as an MP. The following comments identify the deficiencies or non-releasable portions of the MP.	
3. COMMENTS:	
(SIGNATURE BLOCK)	
Enclosure(s) :	(If applicable, list enclosures, for comments)
<u>NATO CLASSIFICATION</u>	

Figure J-2. National Response Regarding Approval of a Multinational Publication

1. If national staffing permits, MM response may be combined with its response to the parent STANAG/AP. See Annex G.

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Abbreviated designation

**NORTH ATLANTIC TREATY ORGANIZATION
NATO STANDARDIZATION AGENCY (NSA)
NATO LETTER OF PROMULGATION**

Date

1. (Abbreviated designation)(Title) is a NATO Unclassified Multinational Publication composed directly from unclassified portions of (Abbreviated designation). (The agreement of nations to use this publication is recorded in STANAG)*
2. The aim of (abbreviated designation) is to provide NATO and co-operating nations with a user friendly coherent publication forming common doctrine to conduct multinational exercises and operations
3. (Abbreviated designation) is effective (upon receipt)* (on a date to be promulgated by NSA).* (It supersedes (When made effective it shall supersede)* (Abbreviated designation) which shall be destroyed in accordance with the local procedure for the destruction of documents)*.
4. This MP may be released to a non-NATO nation by a NATO nation or command, on a need to know basis, without further authorisation from NSA or NATO Headquarters. This MP shall not be released by any non-NATO nation. The releasing nation or command is responsible for:
 - a. Providing updates of the publication to receiving nations as required.
 - b. Informing NSA when distributing this MP to other nations.
 - c. Informing the receiving nation of the NATO effective date of the parent publication.
5. This MP shall not be posted on any freely accessible information or media facility unless previously and expressly approved by (the TA) on a case-by-case basis.
6. (Abbreviated designation) contains (insert as appropriate) derived directly from (abbreviated designation). Change proposals may be submitted by any nation either through a sponsoring NATO nation or directly to the (nation/command/agency) as the NATO Custodian

Director NSA

* Delete as appropriate

III

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LEXICON

The following terms and definitions are used in NATO standardization and for the purpose of this document:

Allied Publication (AP). An AP is an official NATO standardization document which some or all NATO nations agree to use as a common implementing document and which is distributed down to user level. An Allied Publication may be rendered a mandatory directive by a Covering STANAG.

amendment. Modification, addition or deletion of specific parts of the content of a normative document. The results of amendment are usually presented by issuing a separate amendment sheet to the normative document (ISO/IEC Guide 2). An amendment is serially numbered and applicable to all copies of the document. It is promulgated in the same manner as the basic publication. For the purposes of AAP-3, it applies only to STANAGs. Amendments are non-ratifiable

annex. A supplementary document which amplifies or explains the parent document and is developed when the inclusion of all the detail in the body of a document would make it cumbersome.

appendix. A supplementary document which amplifies or explains an annex and is developed when the inclusion of all the detail in an annex would make it cumbersome.

change. A modification applicable to all copies of an AP. Changes are printed and promulgated in the same manner as a basic publication. See also amendment. Note: changes are serially numbered.

commonality. The state achieved when the same doctrine, procedures or equipment are used. (AAP-6)

compatibility. The suitability of products, processes or services for use together under specific conditions to fulfil relevant requirements without causing unacceptable interactions. (AAP-6)

consensus. A general agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Note: Consensus need not imply unanimity.

correction. Removal of printing, linguistic and other similar errors from the published text of a normative document. The results of correction may be presented, as appropriate, by issuing a separate correction sheet or a new edition of the normative document (ISO/IEC Guide 2).

custodian. A body employed by a Tasking Authority or a Working Group as its executive agent to develop drafts of normative documents. Note: The responsibility is normally given to a nation that in turn appoints a person responsible for the staffing of the document to the tasking authority through the working group.

doctrine. Fundamental principles by which the military forces guide their actions in support of objectives. It is authoritative but requires judgement in application. (AAP-6)

draft standard. A proposed standard that is available generally for comment, voting or approval. (ISO/IEC Guide 2). See also study draft and ratification draft.

edition. The issue of a normative document on any medium. Note: The medium may be printed or electronic.

enclosure. A supplementary document which is complete in itself and issued under the cover of another document. Note: An enclosure may have its own annexes.

implementation. the fulfilment by a member nation of its obligation as specified in a standardization agreement. (AAP-6)

interchangeability. The ability of one product, process or service to be used in place of another to fulfil the same requirements. (AAP-6)

interoperability. The ability to operate in synergy in the execution of assigned tasks.

NATO effective date (NED). The date when a NATO normative document or an amendment thereto comes into force.

NATO Standardization Agreement (STANAG). The record of an agreement among several or all the member nations to adopt like or similar military equipment, ammunition, supplies, and stores; and operational, logistic, and administrative procedures. National acceptance of a NATO Allied Publication issued by the NATO Standardization Agency may be recorded as a standardization agreement. Also called "STANAG". (AAP-6).

NATO Standardization Programme (NSP). A rolling programme of prioritized and approved standardization objectives, based on agreed standardization requirements from the NATO member nations and bodies and executed along a top-down or a bottom-up standardization process.

new edition. New impression of a normative document that includes changes to the previous edition. Note: Even if the content of existing correction or amendment sheets is incorporated into the text of a normative document, the new text constitutes a new edition (ISO/IEC Guide 2). The new edition supersedes the previous edition. A new edition is identified, for a STANAG by a sequential number and, for an AP by a successive letter or number (as appropriate).

normative document. A document that provides rules, guidelines or characteristics for activities or their results. Note: The term "normative document" is a generic term that covers such documents as standards, technical specifications, codes of practice and regulations. A "document" is to be understood as any medium with information recorded on or in it. The terms for different kinds of normative documents are defined considering the document and its content as a single entity. (ISO/IEC Guide 2).

operational standard. A standard that specifies conceptual, organizational or methodological requirements to be fulfilled by a materiel, an installation, an organization or a force to operate and to perform its function or missions in the concerned field. Examples: doctrines, concepts, tactics, terminology, codes for grades of military personnel, codes for geographical entities.

operational standardization. The development of standards concerned with military issues, such as concepts, doctrine, tactics, techniques, logistics, training, organizations, reports, forms, maps and charts. (AAP-6)

period of validity. The period of time for which a normative document is current, that lasts from the date on which it becomes effective ("effective date"), resulting from a decision of the body responsible for it, until it is withdrawn or replaced. (ISO/IEC Guide 2).

procedural standard. A standard that specifies practices and procedures requirements to be fulfilled for the development, operation, maintenance or utilization of a product, system, installation, or for the functioning and activities of an organization. Examples: communications procedures, operating procedures, message text formatting, financial procedures, manpower procedures.

promulgation. In NATO standardization the issue of a formal statement by the competent authority which puts a standard into effect NATO-wide. Note: Promulgation is pronounced by the Director of the NATO Standardization Agency when conditions are met.

ratification. The declaration by which a NATO member nation formally accepts, with or without reservation, the content of a NATO Standardization Agreement (AAP-6).

ratification draft (standard). A draft standard approved by the tasking authority for submission to nations for ratification. Note: The draft of an AP covered by the ratification draft of a STANAG is also identified as a ratification draft.

reservation. In NATO standardization, the stated qualification by a member nation that describes the part of a standardization agreement that it will not implement or will implement only with limitations (AAP-6).

review. The activity of checking a normative document to determine whether it is to be reaffirmed, changed or withdrawn. (ISO/IEC Guide 2). In NATO standardization, a promulgated STANAG is to be reviewed at least once every three years to determine its continued validity

revision. The introduction of all necessary changes to the substance and presentation of a normative document. Note: The results of revision are presented by issuing a new edition of the normative document. (ISO/IEC Guide 2).

short title. A short, identifying combination of letters and/or numbers assigned to a document or device for purposes of brevity and/or security. (AAP-6).

standard. 1. An exact value, a physical entity or an abstract concept, established and defined by authority, custom, or common consent, to serve as a reference, model, or rule in measuring quantities or qualities, establishing practices or procedures, or evaluating results. **2.** A normative document, established by common consent and approved by a recognized body, that provides the rules, guidelines or characteristics associated with a specific topic. Note: In NATO, a standard may be operational, procedural or technical, take the form of a Standardization Agreement or an Allied Publication and is approved by a Tasking Authority.

standardization. The development and implementation of concepts, doctrines, procedures and designs in order to achieve and maintain the compatibility, interchangeability or commonality which are necessary to attain the required level of interoperability or to optimize the use of resources, in the fields of operations, materiel and administration.

standardization agreement (STANAG). See NATO standardization agreement.

standardization requirement. A detailed provision on a subject of standardization that conveys criteria to be fulfilled and the standardization level to be achieved.

study draft (standard). A draft standard produced by a custodian or a working group in the period when the draft standard is being developed or amended until the TA approves it.

supplement. A separate publication, related to a basic publication, and prepared for purposes of promulgating additional information or summaries, and may include extracts from the basic publication (AAP-6). It may be comprised of information which, due to bulk, as in a list type publication, or usage, as in specific broadcast information, is impractical to incorporate in the basic publication.

Tasking Authority (TA). In NATO standardization, a principal NATO committee that has the authority to validate standardization requirements, approve standardization objectives and produce and approve standards. Note: A tasking authority may delegate the production and approval of standards to subordinate groups.

technical standard. A standard that specifies functional, physical or environmental requirements to be fulfilled by a product, a system, and installation or an organization to establish its ability for use in given conditions in the concerned field.

validation. A Tasking Authority's evaluation of a standardization proposal in accordance with specific criteria before approving the development of a STANAG.

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AAP-3(I)

LIST OF EFFECTIVE PAGES

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LEP-2
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