



## NATO Standardization Process Ratification and Implementation of NATO Standards – Part I



### Standardization within NATO Course

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# Topics

**The Approval / Ratification Process**



**Implementation Guidance & Implementation of Allied Standards**

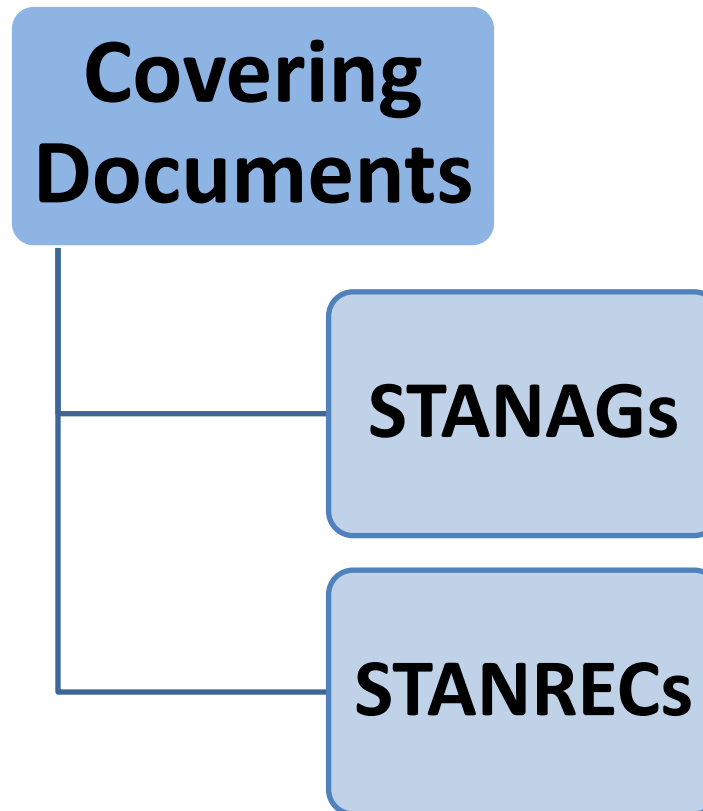


**Ratification and Implementation Reporting**

# **The Approval / Ratification Process**

# Covering Documents for Allied Standards

Source: AAP-03, Edition K



# Covering Document Selection



Criteria: scope of the Allied standard(s) covered,  
contribution to interoperability & intended use

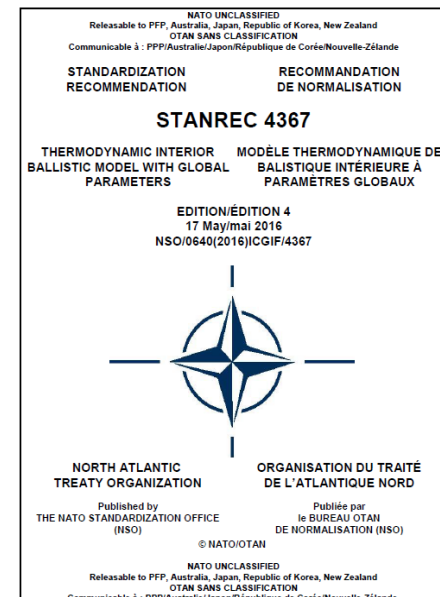
Important for  
**Interoperability**

## STANAG

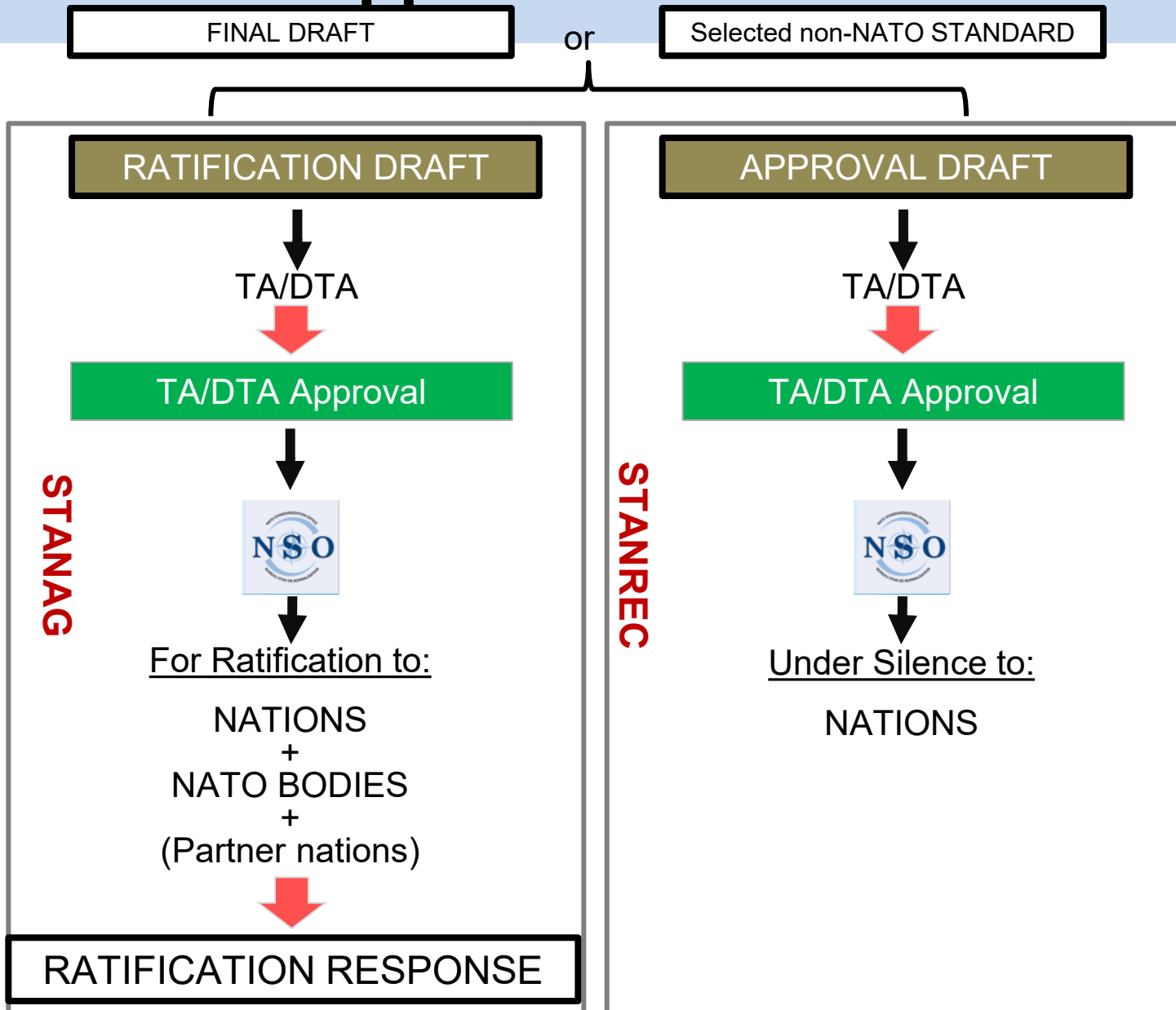


Recommending  
**Useful Practices**

## STANREC

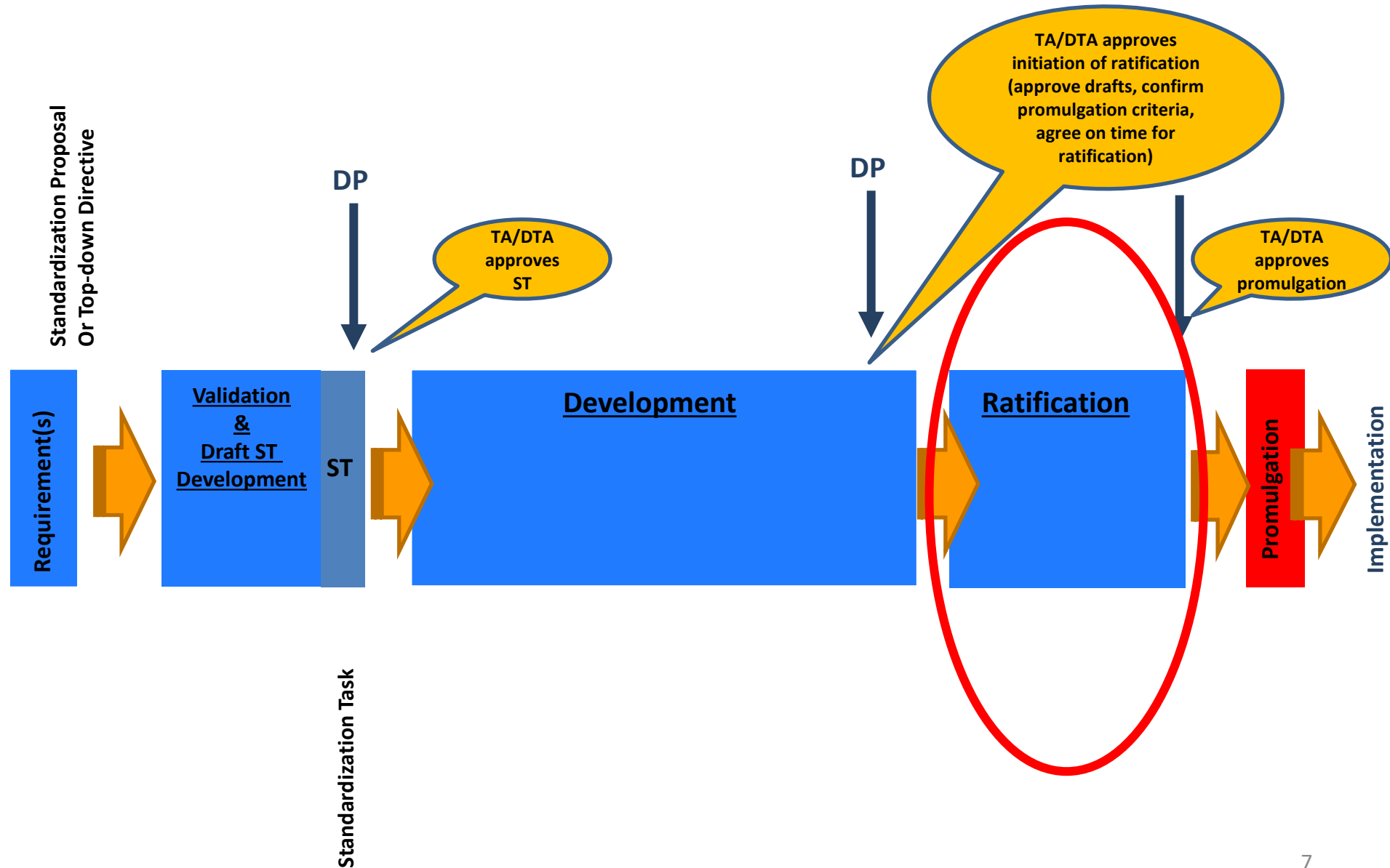


# Approval Process



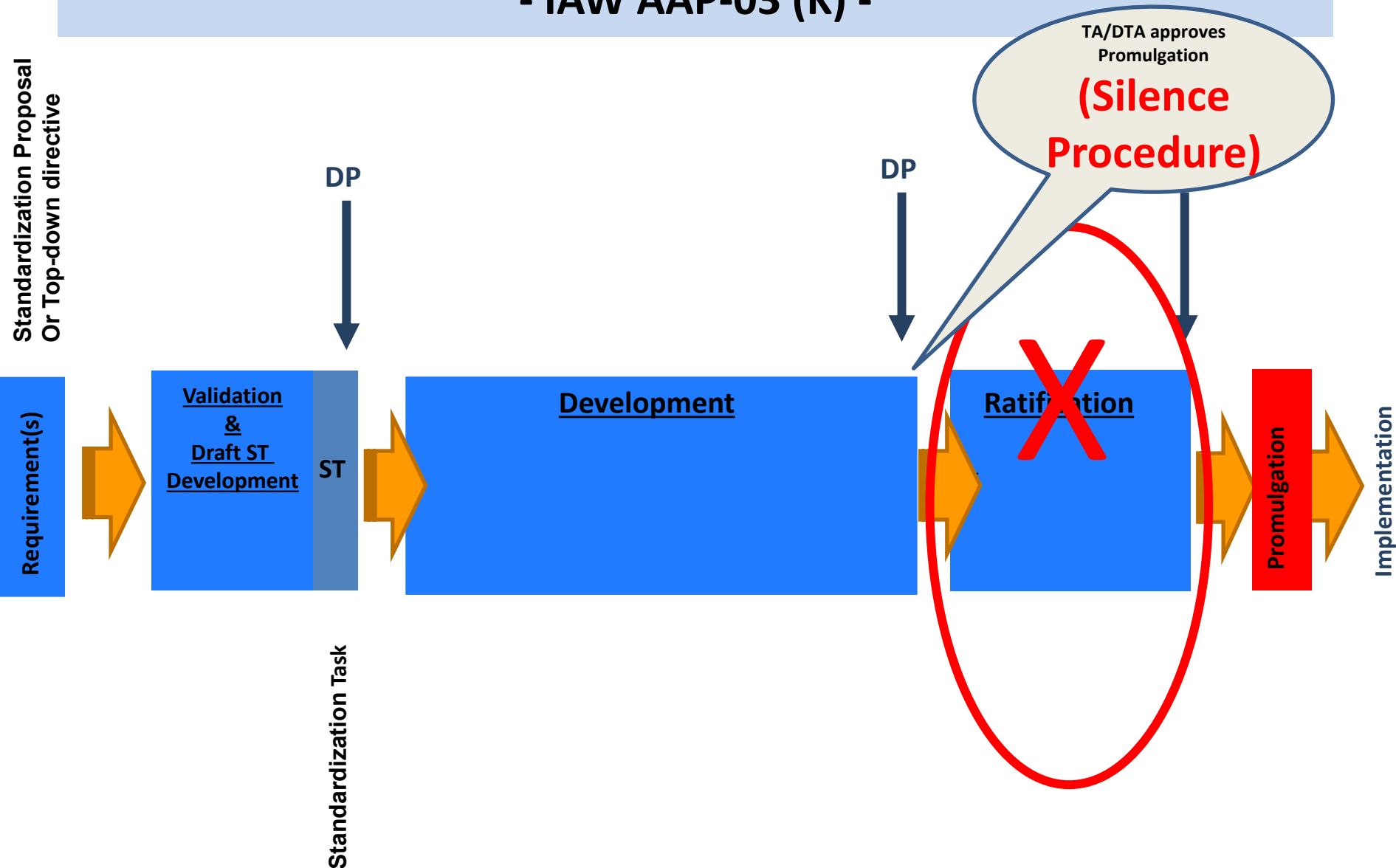
# STANAG Development & Approval Process

- IAW AAP-03 (K) -



# STANREC Development & Approval Process

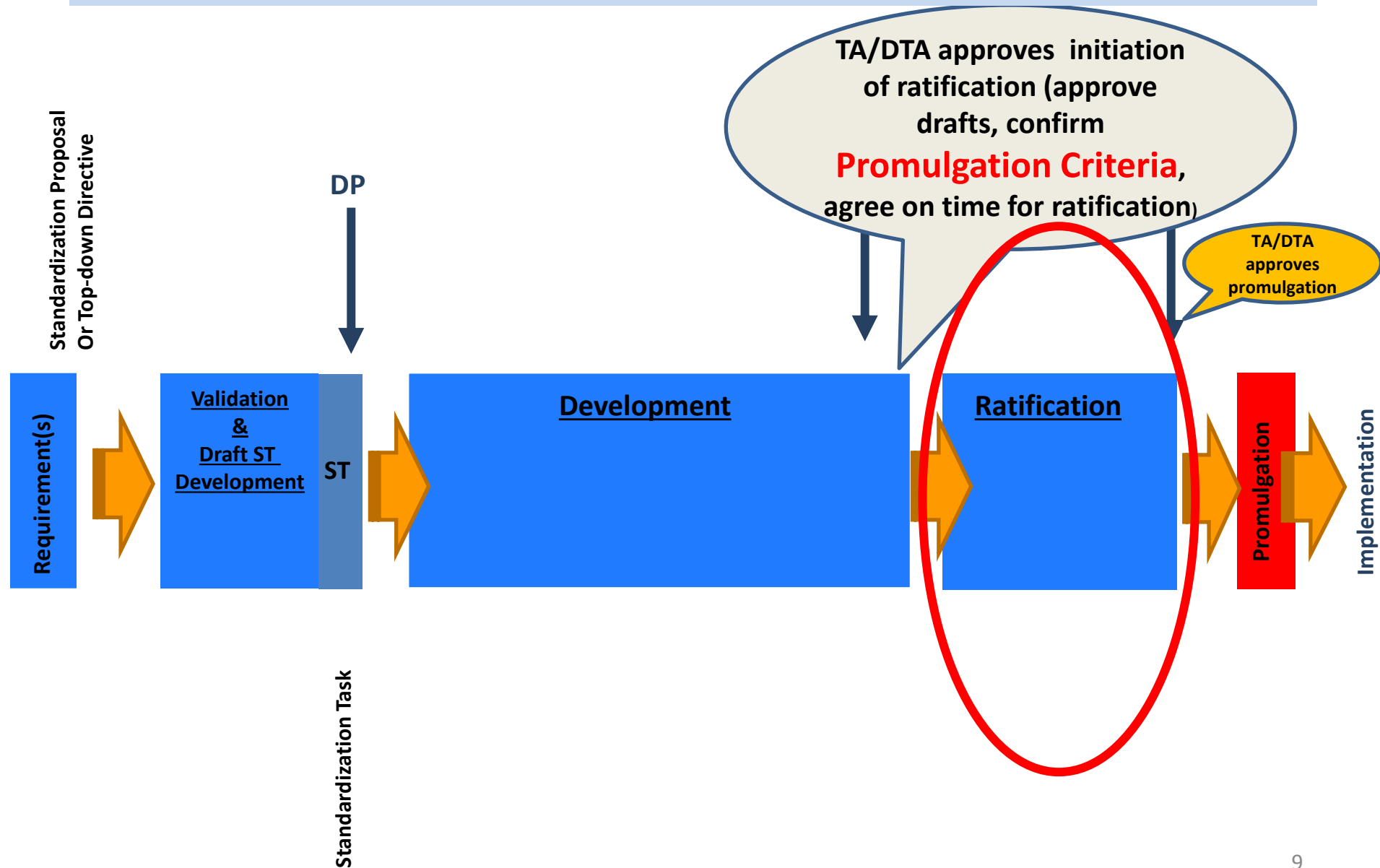
## - IAW AAP-03 (K) -





# STANAG Development & Approval Process

- IAW AAP-03 (K) -



## Promulgation Criteria

**What are promulgation criteria for standards covered by a STANAG ?**

Answer: Required number of positive ratification responses provided by NATO nations

## Promulgation Criteria

What should be considered in order to determine promulgation criteria for NATO standards ?

# Considerations for Promulgation Criteria

- **Impact** of standard **on interoperability**
- Allied **capabilities supported** by standard
- **Allies contributing** or planning to contribute to the capabilities supported by the standard
- Allies which are **major contributors** to the supported capabilities
- **Urgency** for the required standardization solution
- **Envisaged use** of the standard (time, lifespan, specific event or serious of events, etc.)



**“Majority” as default is for most standards probably not the right approach**

# Ratification Process

**RATIFICATION DRAFT**

**TA/DTA Approval**



**NSO**



**REQUEST FOR RATIFICATION**



# Ratification Process

## Ratification

- process in which Allies analyse the standards covered by a STANAG in order to identify how to implement them,
- completion of process results in formal ratification response by which Allies confirm their commitment to a STANAG,
- Allies should complete staffing for ratification and reply within the timescale set by TA/DTA.

# Ratification Analysis by Nations

- ✓ capabilities supported and national plans for development/procurement of these capabilities
- ✓ services concerned
- ✓ required national actions for implementation ( procurement of new material/equipment, technical specification/tactics, change of national education and training courses, software changes to existing IT systems, etc.)
- ✓ required and available resources
- ✓ timelines/roadmaps for implementation
- ✓ national limitations/caveats

# **Ratification Reporting**



# Ratification Responses

- ✓ **ratifying and implementing:** will implement fully and should include date/timescale
- ✓ **ratifying and implementing - with reservations:** will implement but has concerns / caveats in some areas, should include date/timescale
- ✓ **ratifying, future implementation:** will implement fully, but currently unable to provide date/timescale
- ✓ **ratifying, future implementation - with reservations:** will implement but has concerns/ caveats in some areas, unable to provide date/timescale
- ✓ **not ratifying:** not able/ willing to implement / **object to promulgation**
- ✓ **not participating:** does not have capabilities related to the standard / not interested

# Ratification Responses

## Important to note:

All ratification responses can include amplifying information.

All Allied standards are reviewed at least every five years. Amplifying information provided with ratification responses shall be taken into consideration during review.

Source: AAP-03, Edition K

# Ratification Responses

## - Comments and Reservations -

### 1. COMMENTS:

«A comment is an amplifying remark, other than a reservation, expressed by a Nation as part of its ratification response»

«Comments **should not express a limitation** or restriction on the Nation's **implementation**»

### 2. RESERVATIONS:

«A reservation is a formal statement by which a Member Nation describes the part of the document or documents covered by a STANAG that it **will not implement** or **will not implement in full**»

# National Ratification Reporting

- **‘Allies shall complete staffing for ratification and reply within the time allocated...’**
- **‘Allies which have not responded within the time allocated shall respond at any time after promulgation’**

Source: AAP-03, Edition K

# **Development of Implementation Guidance**

# Covering Documents

## - AAP-03 Guidance -

- Custodian, with support of WG, **shall draft** required **cover document**
- Covering documents shall be prepared **in both official languages** (TA/DTA staff responsibility)
- **Type** of covering document **addressed in Standardization Task**
- Covering documents **shall be developed iaw AAP-03 templates** (available on NSO website)
- Covering documents **shall include guidance for implementation** of Allied standards covered by a STANAG, **or the use** of Allied standards covered by a STANREC

# AAP-03 (K): Specifics on Implementation Guidance for STANAGs

Guidance should be sufficiently **detailed** and shall set a list of specific actions, including qualification if necessary, that Allies should take **to complete implementation**.

**OPERATIONAL STANDARDS** - guidance may address the need to:

- include standard(s) covered in national concepts and doctrine
- change/develop national education and training courses
- use standard(s) covered in national exercises and evaluation programmes.

**MATERIEL STANDARDS** - guidance may address the need to:

- change/develop national technical specifications or defence standards
- change national procurement programmes
- development of interface solutions
- participate in tests and trials



**Each STANAG contains a section on implementation of the agreement.**

# Implementation Guidance in STANAGs

	Consider DOTMLPF
DOCTRINE	Does implementation require inclusion of the standard in <b>national procedures, regulations and education plans</b> ?
ORGANISATION	Which military <b>organizations/services</b> will have to implement the standard?
TRAINING	Will implementation require consideration of the standard in <b>national education, training and exercises</b> ?
MATERIEL	Which specific materiel is affected by the standard ? Does the standard require <b>consideration in national procurement programmes</b> , the development of interface solutions, the participation in tests and trials with the standardization solution to confirm interoperability?
LEADERSHIP	Does the standard require <b>leadership engagement</b> ? If, yes, at what levels?
PERSONNEL	Does the standard have an <b>impact on personnel</b> , i.e. education of a certain number of experts or the establishment of additional positions in NATO force structure elements.
FACILITIES	Does the standard requires changes to <b>existing facilities</b> (includes infrastructure like roads, bridges, communication lines) or even the building of new infrastructure?



# Implementation Paragraph

**End-state  
to be Achieved by Allies  
in order to report  
implementation**

**Adressed in STANAG, not in Allied Standard**

# **Purpose & Importance of Implementation Guidance for Defence Planners**

# Implementation of Allied Standards

Implementation of standards is, **in principle, voluntary for Nations**, but **Allies “shall implement standards in accordance with their ratification responses and agreed capability targets, ...”**

Source: Revised NATO Policy for Standardization, 20 May 2016

# **Importance of Allied Standards for NATO's Defence Capability Building**

**National Capability Targets  
accepted by Allies have to  
be delivered at the level of  
interoperability required**

# Implementation of Allied Standards

- **‘An Allied standard covered by a STANAG is implemented when the requirements defined in the STANAG section ‘implementation of the agreement’ are met.**
- **‘Allies shall provide implementation details through the electronic reporting tool (e-Reporting).’**

Source: AAP-03, Edition K

# **Examples for Implementation Guidance**

# Implementation Paragraphs - Example -

STANAG 7185, Ed.2, promulgated Dec 2020

ATP-3.3.3.1

Ed. B

Ver. 1

AIR-MARITIME COORDINATION PROCEDURES (AMCP)

## IMPLEMENTATION OF THE AGREEMENT



This STANAG and ATP-3.3.3.1 are considered ready to be implemented when ATP-3.3.3.1 has been received by authorities and units concerned. The doctrine shall be implemented by authorities and units concerned upon receipt.

# Implementation Paragraphs - Example -

STANAG 4440, Ed:3, promulgated 08-03-2023

AASTP-01  
Ed: C  
Ver. 1

NATO GUIDELINES FOR THE STORAGE OF MILITARY AMMUNITION AND  
EXPLOSIVES

## IMPLEMENTATION OF THE AGREEMENT

This STANAG is implemented when:



- a. national regulations apply the guidelines contained herein for the safe storage of military ammunition and explosives;
- b. training programmes have been updated to disseminate and apply the guidelines; and
- c. trained personnel are applying the guidelines in the safe storage of military ammunition and explosives.



# Implementation Paragraphs - Example -

STANAG 4586, Ed:4, promulgated April 2017

AASTP-01  
Ed: C  
Ver. 1

NATO GUIDELINES FOR THE STORAGE OF MILITARY AMMUNITION AND  
EXPLOSIVES

## IMPLEMENTATION OF THE AGREEMENT

This STANAG is implemented when the necessary orders/instructions have been issued directing the forces concerned to put the content of the covered standard into effect.



# **Challenges related to Ratification and Implementation Feedback by Allies**

# Challenges

- **Missing ratification responses**
  - long ratification process – with extensions
  - delayed promulgation
  - unknown national positions
- **High number of responses “ratifying, future implementation”**
  - unclear national position
- **Implementation**
  - implementation reports improving, however standardization gaps in critical capabilities still exist (exercise reports)

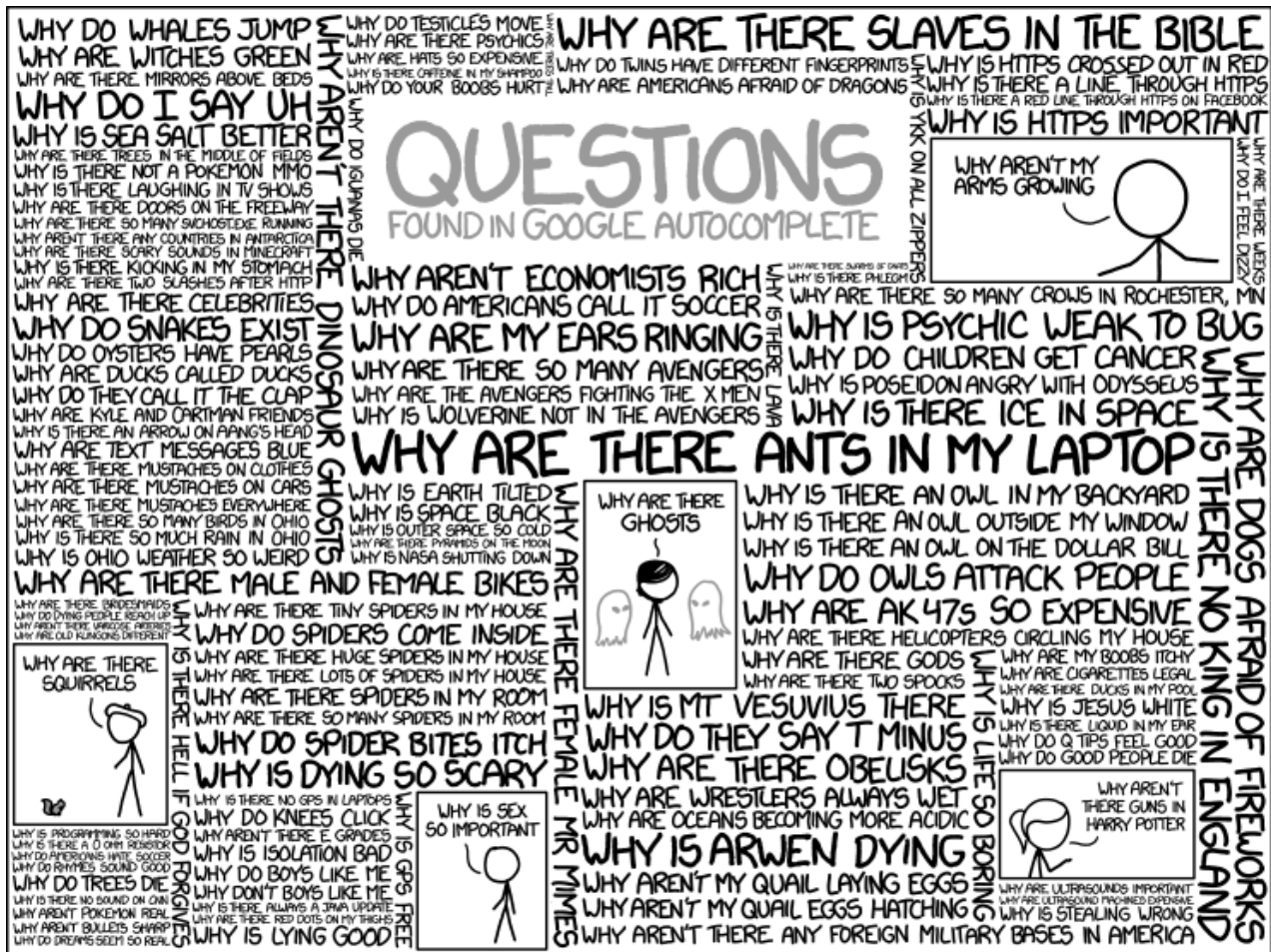
# Take-away

## Related to ratification:

- **Provide national ratification response within timeline allocated by TA/DTA**
- **Submit outstanding ratification responses for already promulgated STANAGs**
- **Update response “ratifying, future implementation” as soon as implementation details are known (time, service, ...)**
- **Avoid stopping a document in ratification. Use options:**
  - **“ratifying with reservation”**
  - **“not participating”**

## Related to implementation:

- **As SME (custodian), provide detailed implementation guidance**
- **As nation, report implementation to NSO**





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