NATO STANDARDIZATION PROCESS

Ratification and Implementation of NATO Standards

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NSO

30 October 2018
Standardization Document Development
IAW AAP-03(K)
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 determine the national position regarding the implementation (identify if, and how to implement them)
- Completion of process results in **formal ratification response by Allies**
- Allies should complete staffing for ratification and reply within the timescale set by TA/DTA
Ratification Process

What needs to be analysed?

Requirements and impacts on national resources

✓ 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 Responses

- **Ratifying and implementing**: will implement fully; provide date/timescale

- **Ratifying and implementing - with reservations**: will implement but has concerns/impediments in some areas; provide date/timescale

- **Ratifying, future implementation**: will implement fully; unable to provide date/timescale

- **Ratifying, future implementation - with reservations**: will implement but has concerns/impediments in some areas; unable to provide date/timescale

- **Not ratifying**: object to promulgation / inability to implement

- **Not participating**: do not have the capability / not interested
Ratification Responses
Nation A

as of 16 Jul 2018

Reference: 1032 Promulgated STANAGs

Ratification Responses

- No Response
- Not Ratifying
- Ratifying Implementing
- Ratifying FutureImpl
- Rest *

* Rest represents “not participating”
Ratification Responses
Nation B

as of 16 Jul 2018

Reference: 1046 Promulgated STANAGs

* Rest represents “not participating”

- No Response: 293
- Not Ratifying: 1
- Ratifying Implementing: 425
- Ratifying Future Impl: 162

Ratification Responses

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Response</td>
<td>28.4%</td>
</tr>
<tr>
<td>Ratifying Implementing</td>
<td>41.2%</td>
</tr>
<tr>
<td>Ratifying Future Impl</td>
<td>17.6%</td>
</tr>
<tr>
<td>Not Ratifying</td>
<td>10%</td>
</tr>
<tr>
<td>Rest *</td>
<td>0.1%</td>
</tr>
</tbody>
</table>

* Rest represents “not participating”
### STANAGs delayed in Ratification as of 04 Oct 2018

#### Examples

<table>
<thead>
<tr>
<th>STANAG</th>
<th>Due Date</th>
<th>Promulgation Criteria</th>
<th>Ratification responses received</th>
</tr>
</thead>
<tbody>
<tr>
<td>2592 Ed. 2</td>
<td>2018-07-30</td>
<td>15</td>
<td>16</td>
</tr>
<tr>
<td>3297 Ed. 7</td>
<td>2017-09-19</td>
<td>14</td>
<td>13 (+ 1 not participating)</td>
</tr>
<tr>
<td>4622 Ed. 2</td>
<td>2018-06-22</td>
<td>15</td>
<td>6 (+ 2 not participating, 1 not ratifying)</td>
</tr>
<tr>
<td>4684 Ed. 1</td>
<td>2017-08-14</td>
<td>14</td>
<td>8 (+ 5 not participating)</td>
</tr>
<tr>
<td>7219 Ed. 1</td>
<td>2011-05-13</td>
<td>14</td>
<td>10 (+ 4 not participating and 1 not ratifying, objection to promulgation)</td>
</tr>
</tbody>
</table>
Ratification Reporting

Ratification and Implementation

Feedback: Ratification and Implementation

STANAG No: 1059

STANAG Ed: 8

Status: PROMULGATED

Electronic Feedback Reporting

STANAG Information

STANAG 1059

Edition: 8

English title: LETTER CODES FOR GEOGRAPHICAL ENTITIES

French title: CODES LETTRES DES ENTITES GEOGRAPHIQUES

Nationale Ratification Ref: MRSyn 03-233229 of/due 28.11.03

National Implementation Ref: 

National Implementing Doc: SGRS 4007415/STANAG

Intended Date Navy

Intended Date Army

Intended Date Air Force

Intended Date Other

Effective Date Navy

Effective Date Army

Effective Date Air Force

Effective Date Other

Questions or comments about the operation of this website? Send mail to NSO WEB Master, NSO BA Section.

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Adoption Reporting

This Adoption does not exists. You are creating a new Adoption record for the selected STANAG.

<table>
<thead>
<tr>
<th>STANAG</th>
<th>Edition</th>
<th>Partner</th>
<th>Adoption Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1059</td>
<td>8</td>
<td>SWE</td>
<td>ADOPTING IMPLEMENTING</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ADOPTING IMPLEMENTING W/OBSERVATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ADOPTING FUTURE IMPLEMENTATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ADOPTING FUTURE IMPLEMENTATION W/OBSERVATION</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NOT PARTICIPATING</td>
</tr>
</tbody>
</table>

Response Date: 2018-09-04

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Standardization Document Development Process

- Requirements Identification
- Requirements Validation and Task Development
- Standard(s) Development
- Ratification, Approval & Promulgation
- Use of Standard(s)
“For STANAGS, implementation guidance should be sufficiently detailed and shall set a list of specific actions, …, that Allies, and partner nations that have decided to adopt and implement the covered Allied Standards, should take, …”

**Operational standards:** may address need to include NATO standard in national concepts and doctrine and/or to change national education and training courses. May include use of standard in national exercises and evaluation programmes

**Materiel standards:** may address national technical specifications or defence standards, national procurement programmes, the development of interface solutions or even the participation in tests and trials with the standardization solution
## Implementation Guidance in STANAGs

### Consider DOTMLPF(I)

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

• Examples:
  - “Participating nations agree to implement xxx, Edition A, in accordance with their ratification responses”
  - “The agreement is implemented when a nation has issued instructions that all national documents will follow the provisions of this agreement”
• “Allies should provide feedback on implementation.”
  (2016 NATO Policy for Standardization Policy)

• “Allies shall provide implementation details through the electronic reporting tool (e-Reporting).”
  (AAP-03(K), promulgated 28 Feb 2018)
Implementation Reporting

Why is it important?
Provides a **holistic picture of the Alliance’s interoperability**.

What is it?
Implementation of STANAGs
- Reality -
Implementation Reporting

Status 01 Feb 2018

Number of Allies in each category:

- 10% or less reported: 12
- 10-20% reported: 7
- 20-30% reported: 5
- 30-50% reported: 3
- 50% or more reported: 2

Total:
- Received: 19%
- Missing: 81%
Challenges

- **Missing ratification responses**
  - long ratification process – with extensions
  - delayed promulgation
  - unknown national positions

- **High number of responses “ratifying, future implementation”**
  - unclear national position

- **Missing implementation reports**
  - unknown national status
  - unknown level of interoperability
Remedial Actions

- Briefings to TAs/DTAs on ratification response status
- Briefings to national standardization managers on ratification response status
- More detailed guidance for setting promulgation criteria [AAP-03(K)]
- E-Feedback Reporting
- More detailed guidance for drafting implementation paragraphs [AAP-03(K)]
- Complementary methods to assess implementation / level of interoperability (exercises reports, evaluations, NATO Defence Planning Process – NDPP)
- Briefings to the Committee for Standardization on available implementation information
Take-Aways

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
Time for your questions…
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