



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

J-5
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CJCSI 2320.01A
31 May 2001

GUIDANCE FOR THE IMPLEMENTATION OF THE VIENNA DOCUMENT 1999 AND ASSOCIATED DOCUMENTS

References:

- a. Vienna Document 1999 of the Negotiations on the Confidence and Security Building Measures adopted at the 269th Plenary Meeting of the Organization for Security and Cooperation in Europe (OSCE) Forum for Security Cooperation (FSC) in Istanbul on 16 November 1999
- b. Treaty on Conventional Armed Forces in Europe, 19 November 1990
- c. Istanbul Summit Declaration, 19 November 1999
- d. Department of Defense Directive 2060.1, 9 January 2001, "Implementation of, and Compliance With, Arms Control Agreements"
- e. USD(AT&L) memorandum, 20 June 1991, "Guidance for Department of Defense Compliance with the Vienna Document 1990"

1. Purpose. To provide guidance and establish military policy for the implementation of the Vienna Document 1999 (VDOC 99) (reference a) as agreed to by the Forum for Security Cooperation (FSC) of the Organization for Security and Cooperation (OSCE) and subscribed to by the US Government (USG) in Istanbul on 16 November 1999.

2. Cancellation. CJCSI 2320.01, 9 September 1994, "Guidance for the Implementation of the Vienna Document 1992 and Associated Documents" is cancelled.

3. Applicability. This instruction applies to USCINCEUR, USCINCCENT, USCINCFJCOM, other geographic combatant commands that deploy forces into the European zone of application as defined in Annex I of VDOC 99, the

Services, USDELMC, DTRA, DIA, the Joint Staff, and the JCS Representative to the OSCE.

4. Policy

a. Implementation policy for confidence and security building measures (CSBMs) has been developed within the National Security Council (NSC) interagency process. This process includes the participation of the NSC, the Department of State (DOS), the Office of the Secretary of Defense (OSD), the Director of Central Intelligence (DCI) and the Joint Staff. DTRA and DIA support the Joint Staff and OSD in the interagency process.

b. DOD policy for compliance with reference a is delineated in references d and e. The Chairman of the Joint Chiefs of Staff is responsible for military compliance with the provisions of VDOC 99 to the Secretary of Defense through the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L)). The Chairman has responsibility for the annual exchange of military information, military contacts and cooperation, prior notification of certain military activities, observation of certain military activities, annual calendars, constraining provisions, and compliance and verification. DOS is responsible for risk reduction, regional measures, the Annual Implementation and Assessment Meeting (AIAM) and final provisions. The Office of the Under Secretary of Defense for Policy (OUSD(P)), is responsible for the annual exchange of information on defense budgets and OUSD(AT&L) is responsible for the communications network. DTRA is responsible for carrying out active inspections and evaluations, and will serve as escorts for passive inspections and evaluations.

c. The Conventional Arms Control Division, Strategic Plans and Policy Directorate (J-5), is the Joint Staff office of primary responsibility for all matters involving implementation of, and compliance with, the VDOC 99.

d. To comply with the provisions of reference a, all military activities associated with VDOC 99 should reflect openness and transparency, keeping in mind operations security measures to protect classified or sensitive information and force protection. Detailed policies are in Appendices A through K to Enclosure C.

5. Responsibilities. Detailed responsibilities are in Appendices A through K of Enclosure C.

6. Procedures: Detailed procedures are in Appendixes A through K of Enclosure C.

31 May 2001

7. Summary of Changes. This instruction incorporates changes in policy, procedures, and responsibilities resulting from the USG subscribing to VDOC 99 and the subsequent entry into force of the CSBMs contained therein on 1 January 2000. Enclosures C & D of the previous instruction have been combined into a new Enclosure C that delineates overall responsibilities for implementation of, and compliance with, VDOC 99. Enclosure C contains 11 appendices that are aligned with, and delineate specific policy, procedures, and responsibilities for, each chapter of the VDOC 99.

8. Releasability. This instruction is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--
<http://www.dtic.mil/doctrine>. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

9. Effective Date. This Instruction is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:



GARRY R. TREXLER

Major General, U. S. Air Force
Vice Director, Joint Staff

Enclosures:

- A -- List of Participating States of the Organization for Security and Cooperation in Europe (OSCE)
- B -- Interpretation of the Vienna Document 1999
- C -- Policy, Procedures, and Responsibilities for Implementation of, and Compliance with, Vienna Document 1999
 - Appendix A -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter I, Annual Exchange of Military Information
 - Appendix B -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter II, Defense Planning
 - Appendix C -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter III, Risk Reduction
 - Appendix D -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter IV, Contacts
 - Appendix E -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter V, Prior Notification of Certain Military Activities
 - Appendix F -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter VI, Observation of Certain Military Activities
 - Appendix G -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter VII, Annual Calendars and Chapter VIII, Constraining Provisions
 - Appendix H -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter IX, Compliance and Verification
 - Appendix I -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter X, Regional Measures
 - Appendix J -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter XI, Annual Implementation and Assessment Meeting
 - Appendix K -- Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter XII, Final Provisions
- GL -- Glossary

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ENCLOSURE A

LIST OF PARTICIPATING STATES OF THE ORGANIZATION FOR SECURITY
AND COOPERATION IN EUROPE (OSCE)

| | |
|--------------------------------|---------------------------------------|
| Albania | Andorra |
| Armenia | Austria |
| Azerbaijan | Belarus |
| Belgium | Bosnia-Herzegovina |
| Bulgaria | Canada |
| Croatia | Cyprus |
| Czech Republic | Denmark |
| Estonia | Finland |
| France | Georgia |
| Germany | Greece |
| The Holy See | Hungary |
| Iceland | Ireland |
| Italy | Kazakhstan |
| Kyrgyzstan | Latvia |
| Liechtenstein | Lithuania |
| Luxembourg | Malta |
| Moldova | Monaco |
| The Netherlands | Norway |
| Poland | Portugal |
| Romania | Russian Federation |
| San Marino | Slovak Republic |
| Slovenia | Spain |
| Sweden | Switzerland |
| Tajikistan | Former Yugoslav Republic of Macedonia |
| Turkey | Turkmenistan |
| Ukraine | The United Kingdom |
| The United States of America | Uzbekistan |
| Federal Republic of Yugoslavia | |

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ENCLOSURE B

INTERPRETATION OF THE VIENNA DOCUMENT 1999

1. General. Explanations are addressed in sequence by Chapter (I-XII) of the Vienna Document 99 (VDOC 99). The paragraph numbering system is identical to the system used within the text of VDOC 99.

2. Explanation by Paragraph

a. Chapter I, Annual Exchange of Military Information, Information on Military Forces.

(1) Paragraph 9. An annual exchange of information is required for military forces "in the zone of application." This exchange of information is on the military forces, which are permanently assigned in the zone of application.¹

(2) Paragraph 10. The information exchange will be conducted NLT 15 December of each year and will be valid as of 1 January of the following year.

(3) Subparagraph 10.1. The term equivalents (with due consideration of VDOC 99 footnotes * and **) are defined as:

(a) Land -- army, corps, division, brigade, and regiment

(b) Air -- major command, numbered air force, and wing

(4) Subparagraph 10.1.1. Requires the provision of the number of units (as defined in paragraph 10.1) listed in Chart 1 of the information exchange. The resultant annual evaluation quota is one evaluation visit per calendar year for every 60 units, but not to exceed more than 15 evaluation visits annually.

(5) Subparagraph 10.2. Combat units are infantry, armored, mechanized, motorized rifle, artillery, combat engineer, army aviation, airmobile, and airborne. Information will indicate the following.

(6) Subparagraph 10.2.1. Designation, which equates to unit designation or title, and subordination to their immediate higher headquarters.

¹ The zone of application for these confidence and security building measures will cover the whole of Europe as well as the adjoining sea area and air space. See Annex I of VDOC 99 for a further explanation.

(7) Subparagraph 10.2.2. Authorized combat strength (cited in VDOC 99 footnote ****) is a unit's wartime authorized personnel strength.

(8) Subparagraph 10.2.3. Exact normal location of the headquarters during peacetime in geographic terms and/or coordinates.

(9) Subparagraph 10.2.4. Peacetime authorized personnel strength is a unit's authorized strength.

(10) Subparagraphs 10.2.5, 10.2.5.1-10.2.5.4, 10.2.5.6, 10.2.5.7. Major organic weapon and equipment systems will be reported consistent with Article II and the Protocol on Existing Types of the Conventional Armed Forces in Europe (CFE) Treaty. These land systems are battle tanks; helicopters; armored combat vehicles (ACVs), armored infantry fighting vehicles (AIFVs) and heavy armored combat vehicles (HACVs); armored personnel carriers (APC) and AIFV look-alike vehicles; artillery pieces, which include self-propelled and towed artillery pieces, mortars and multiple rocket launchers (100 mm caliber and above); and armored vehicle launched bridges (AVLBs). Formations will report their total holdings of reportable equipment, not just equipment held by subordinate units.

(11) Subparagraph 10.2.5.5. Antitank guided missile (ATGM) launchers are limited to vehicles not reported as ACVs, such as the US M901, improved T.O.W. vehicle (ITV).

(12) Subparagraph 10.3. Increases in active units of 1,000 troops and formations of 3,000 troops must be over the peacetime authorized personnel strength as listed in the information exchange. The increase must be for more than 21 days. The threshold of 3,000 personnel does not include subordinate formations and units reporting separately. A corps would count only increases in its directly subordinate combat support and service support units and not its divisions, corps artillery brigade, or cavalry regiment, which are subject to their own reporting requirements.

(13) Subparagraph 10.3.1. Nonactive formations and nonactive combat units are considered active when more than 2,000 troops are present for more than 21 days.

(14) Subparagraphs 10.3.2, 10.3.2.1-10.3.2.6. This information will be provided in the annual exchange of military information for nonactive formations and nonactive combat units activated with more than 2,000 troops for longer than 21 days.

(15) Subparagraph 10.3.3. The goal is to report increases or temporary activations of formations and units in the annual calendar. If activations occur after submission of the annual calendar, notification will be made 42 days in advance of the increase or activation. In the case of no advance notice of an increase in personnel, the notification, at the latest, will be at the time of increase or activation.

(16) Subparagraph 10.4. Amphibious formations and amphibious combat units permanently located in the zone of application are subject to the same reporting requirements as directed in paragraphs 10.3.2 - 10.3.2.6.

(17) Subparagraph 10.5. Land-based naval air (LBNA) means combat aircraft as defined in Article II of the CFE Treaty that are subordinate to naval forces, but are not based aboard ship. Airborne early warning and control aircraft, airborne ground surveillance and battle management aircraft, and airborne electronic warfare aircraft subordinate to naval forces are not combat aircraft; thus, even if not based aboard ship, they are excluded.

(18) Subparagraphs 10.5.1-10.5.3, 10.5.3.1, 10.5.3.2, 10.5.4, 10.5.5, 10.5.5.1, 10.5.5.2. This information is required for each air formation and air combat unit, air defense, aviation, and LBNA. Air defense aviation unit's peacetime authorized personnel strength is excepted and need not be provided. An air unit's normal peacetime location airbase or military airfield may be the same location and should be reported as such.

b. Data Relating to Major Weapon and Equipment Systems

(1) Paragraph 11. Data exchanged as specified in the provisions on the Information on Military Forces pertains only to major weapon and equipment systems permanently assigned with forces in the zone of application.

(2) Subparagraph 11.1. Data and photos were provided on 15 December 1992.

(3) Subparagraph 11.2. The definition of a "new type or version" is left to the individual State Party. A new type or version deployed to the zone of application but not listed in the CFE provisions of Chapter IV of the Protocol on Existing Types (POET) or notified for inclusion into the POET is considered a new type for this measure unless it has been introduced into the zone of application by another participating State. When a new type or version is deployed for the first time in the zone of application, all data are required. If any other State has provided data prior to the United States, the United States

can, if applicable, certify that the data provided by the first State is correct for our weapons system. The national nomenclature must be indicated if different.

(4) Subparagraph 11.3. States will inform each other when a type or version is removed from service.

(5) Paragraph 12. Annex III is the format required for reporting major weapons and equipment.

c. Information on Plans for the Deployment of Major Weapons and Equipment Systems

(1) Paragraph 13. Report systems specified in subparagraph 10.2.5 that the United States plans to deploy within the zone of application the following year.

(2) Subparagraphs 14-14.4. The information is to be provided NLT 15 December of each year.

d. Chapter II Defense Planning, Exchange of Information

(1) Paragraph 15. The information requested in this chapter will be used by other participating States to determine the mid to long-term intent of the US military. The information relating to defense planning is not limited to the zone of application. This information will be distributed on an annual basis NLT 3 months after the defense budget has been approved. The date of the forthcoming fiscal year's military budget and the identification of the competent authorities who approved the budget will also be provided. Information on US military budgets will be provided annually to all other participating States no later than 3 months after the budget has been approved. OUSD(P), in coordination with OUSD(AT&L) and OUSD(Comptroller), plans and prepares the annual exchange of military budgets. The Joint Staff and Services will support as required.

(2) Subparagraphs 15.1-15.1.3. Defense policy and doctrine changes (down to and including Joint and Service doctrine) changes will be provided in a written statement to participating States.

(3) Subparagraphs 15.2 - 15.2.7. A general description of force planning will be provided to participating States. The use of illustrative charts and maps to facilitate understanding is encouraged. Paragraph 15.2.2 is a new information requirement that requests information on "the deployment of their

armed forces and the envisaged changes thereto," where deployment means military forces permanently assigned within the zone of application.

(4) Subparagraph 15.3. Report defense expenditures from the most recent fiscal year. A new requirement in VDOC 99 is that the information must be provided in relation to the gross national product (GNP) as a percentage.

(5) Subparagraph 15.4-15.4.4.2. Required information on defense budgets will consist of relevant and releasable (not classified) facts, figures, and/or estimates under consideration for defense planning. If inflation is factored in for outyears, then clarification regarding the figures used must be provided.

e. Clarification Review and Dialogue

(1) Subparagraph 15.5. Requests for clarification should be submitted within a period of 2 months following receipt of a participating State's information.

(2) Subparagraph 15.6. The Annual Implementation Assessment Meeting (AIAM) can be used for discussions on matters relating to defense planning.

(3) Subparagraph 15.7, 15.8. The OSCE will conduct military doctrine seminars and arrange study visits of individuals from appropriate bodies involved in defense planning.

f. Possible Additional Information. Subparagraphs 15.9, 15.10. Participating States are encouraged to provide unclassified information on defense planning to the OSCE Conflict Prevention Center (CPC).

g. Chapter III, Risk Reduction, Mechanisms for Consultations and Cooperation as Regards Unusual Military Activities

(1) Paragraph 16. Information will be provided to host States about any unusual and unscheduled activities involving US forces outside normal peacetime locations, but within the zone of application, that are militarily significant and are a concern to a participating State.

(2) Subparagraphs 16.1-16.1.4. A participating State that has concerns about military activities may ask for an explanation from a State where the activity is taking place. An explanation of the activity in question will be

transmitted within not more than 48 hours. This requires US forces to provide information that enables host States to respond to such requests.

(3) Subparagraphs 16.2-16.2.1.5. The requesting State may ask for a meeting with the responding State. This meeting will be convened within not more than 48 hours and may include other interested participating States.

(4) Subparagraphs 16.3-16.3.1.2. The requesting or responding State may ask for a meeting of all participating States. The Permanent Council and the Forum for Security Cooperation will jointly assess the situation and may recommend appropriate stabilizing measures.

h. Cooperation as Regards Hazardous Incidents of a Military Nature.
Paragraphs 17-17.4. Participating States will report hazardous incidents of a military nature within the zone of application to prevent misunderstandings and mitigate effects on another participating State. USCENTCOM, USEUCOM and USJFCOM will provide the in-theater military point of contact for all hazardous incidents of a military nature. Reports of potential hazardous incidents of a military nature will be made to the Joint Staff through the NMCC. VDOC 99 Treaty managers will provide amplifying information on such incidents.

i. Voluntary Hosting of Visits to Dispel Concerns about Military Activities.
Paragraphs 18-18.2. In order to dispel concerns about military activities in the zone of application, States are encouraged to invite other participating States to visit areas on the territory of the host State in which there may be cause for concern. When US forces are a subject of concern, the geographic CINC will ensure the host nation is supported with a liaison team commensurate with the scale of US involvement. When the United States participates in an observation of another participating State's military activity, representatives will generally be military personnel drawn from the appropriate US embassy or geographic CINC.

j. Chapter IV Contacts, Visits to Air Bases

(1) Paragraph 19. An airbase visit is not linked to any air activity. The purpose of the visit is to observe the normal activity of an airbase and permit visitors to gain an impression of the approximate number of sorties and types of missions flown. There should be no discussions of air operations that may be taking place outside the zone of application.

(2) Paragraph 20. The United States has an obligation to host a visit to an airbase once every 5 years, even though it has no territory in the zone of

application. In order to maintain relevance to VDOC 99, US air base visits will be conducted in the zone of application.

(3) Paragraphs 21, 23, 24. Up to two visitors from each participating State may attend the airbase visit. Annex IV outlines modalities for visits to airbases.

(4) Paragraph 22. Negative replies to invitations should be provided (if applicable) to hosting participating States.

(5) Paragraph 25. When selecting individuals to represent the United States on visits to other nation's airbases, consideration should be given to selecting personnel with a military aviation background. For protocol purposes, one individual should be, if possible, in the grade of O-5 or above. The following information must be provided on all personnel selected to participate in an airbase visit: name, rank, date of birth, place of birth, passport number, place of issue and expiration date, and travel arrangements, including flight number and arrival place and time. Information on travel arrangements is not required in the initial message and may be provided outside the 21-day response time. The remainder of the data on personnel selected must be submitted promptly to meet the 21-day response time.

(6) Paragraphs 26, 27. The briefings provided during the airbase visit (which last for a minimum of 24 hours) will be unclassified and confined to questions that are applicable to the airbase, including appropriate information on the air force structure and operations, and the zone of application.

(7) Paragraph 28. Visitors to airbases will have the opportunity to speak with troops from various units and view aircraft located at the base.

(8) Paragraph 29. The opportunity for an out brief should be provided for the visitors to discuss the visit.

k. Program of Military Contacts and Cooperation, Military Contacts. Paragraphs 30-30.1.9. An important aspect of confidence building is the voluntary exchange of personnel and visits, which foster an open exchange of views. Military contacts are an important component of these measures. Voluntary contacts are encouraged and may consist of contacts between personnel from military institutions, naval vessels, air force units, and military education facilities, and will include cultural events, and seminars.

1. Military Cooperation

(1) Subparagraphs 30.2-30.15. Participating States, on a voluntary basis, may participate in visits to military facilities and formations and observations of certain military activities, provide experts on defense and security, conduct seminars on military cooperation, and exchange information on agreements on military contacts and cooperation.

(2) Subparagraph 30.16. The OSCE Programme of Military Contact and Cooperation is open to all OSCE participating States.

m. Demonstration of New Types of Major Weapon and Equipment Systems

(1) Paragraphs 31-34. Demonstrations are required for new types of major weapon or equipment systems within 1 year of deployment into the zone of application. The demonstrations may be done in isolation or in conjunction with another CSBM activity such as a visit to an airbase, observation, or exercise. The demonstration may also be done outside a CSBM event, such as during an air or trade show. There is no requirement for a demonstration if another participating State has already given a demonstration of the same weapon system.

(2) Paragraph 35. All invitations require a response. Information from Annex IV should be provided for personnel attending the demonstration. Individuals should be selected based on their expertise and knowledge of the particular or similar weapon systems.

n. Provision of Information on Contacts. Paragraphs 36, 37. Information on multinational contact events will be provided annually no later than 15 November to the OSCE CPC.

o. Chapter V, Prior Notification of Certain Military Activities.

(1) Paragraph 38. Participating States will give notification of notifiable military activities 42 days or more in advance of the start of the activity.

(2) Paragraph 39. Although the United States does not have territory in the zone of application, notification by the United States is required if a planned military activity reaches the notifiable level. Thus two notifications are required for the same event, one from the United States, and one from the host State.

(3) Paragraph 40. The focus for all notifications is on land forces in the field. This notification excludes, among other things, independent naval and air maneuvers and land force activity that takes place in garrison, but includes amphibious landings, airmobile, or parachute assaults in the zone of application.

(a) The phrase “in the field” is synonymous with the phrase “out of garrison.” Only activities occurring outside of garrisons are notifiable. This requirement protects USG capability to use its bases in Europe as a staging area in responding to other worldwide contingencies. A civilian airfield or seaport used temporarily by the military is considered to be in the field.

(b) There are three categories of military activities that require notification. They are engagement of formations in the same field exercises under a single operational command, either independent of, or in combination with, air or naval components; engagement in an amphibious assault landing or a airmobile or parachute assault; and arrival or concentration of formations resulting from a transfer of troops, either from outside the zone of application to arrival points inside the zone or from inside the zone to points of concentration in the zone, to participate in a notifiable activity or to be concentrated.² Forces of other participating States participating in a military activity will count toward the thresholds of the military activity.

(4) Subparagraph 40.1. A single activity refers to a self-contained military activity. Individual exercises within a series may be notifiable if they breach the thresholds outlined in this paragraph. A single operational commander must also control land forces participating in a single activity. This single operational command refers to the controlling headquarters for the activity that has the authority to assign operational missions to the forces in the field. This single operational command headquarters is not required to be located in the field, but troops who are controlled by this headquarters located in the field will be counted toward notifiable thresholds.

(5) Subparagraph 40.1.1. The structural threshold of a division or two or more brigades or regiments, not necessarily subordinate to the same division, must be met prior to applying the numerical thresholds. Structure exists if the command post is in the field. Elements of the division or brigades or regiments represent that unit in determining structure; i.e., brigade command post in the field represents that brigade. Once the structural threshold is met, a count is done of troops or tanks or ACVs or artillery participating in the single activity, which is conducted in the field, and

² Land force exercises are normally divided into three phases. These phases consist of preparation/deployment, exercise, and redeployment/recovery.

responding to the same operational commander. The thresholds of 9,000 troops or 250 tanks or 500 ACVs or 250 artillery pieces 100 mm caliber or above accounts for the troops or tanks or ACVs or artillery that are assigned to the military activity and also includes support units. Personnel from units and units deployed in the field conducting combat support or combat service support functions within the same military activity and responding to the same single operational command are counted with the brigades or regiments when determining if an activity meets the threshold for notification. Troops, tanks, ACVs, and artillery, which are permanently assigned to the zone of application and engaged in the activity from a garrison location, are not counted toward the threshold determination.

(6) Subparagraph 40.1.2. Aircraft sorties (excluding helicopters) are those conducted in support of the notified ground force activity described in subparagraph (40.1). Independent air operations will not be reported. For air operations supporting more than one activity, report the number of sorties flown in support of the notifiable activity. Naval air sorties flown from outside the zone of application will not be counted toward the 200-sortie total.

(7) Subparagraph 40.2. A notification is also required if 3,000 troops conduct an amphibious landing, heliborne landing, or parachute assault in the zone of application. Notification is required without regard to structure.

(8) Subparagraph 40.2.1. Cumulative troop strength is used in determining if the activity is notified. In determining troop strength for an amphibious landing, include only those troops that come ashore in the zone of application. If the exercise is notifiable, personnel pre-positioned ashore who are or will be involved in the amphibious landing as support or safety personnel will be included in the cumulative troop strength. If at any time during the amphibious landing or parachute drop the cumulative strength reaches the threshold of 3,000 troops, the activity is notifiable. The start date and time of the notifiable activity is the date the first troops land ashore or in the drop zone. At the conclusion of the amphibious landing or parachute drop, the activity becomes a traditional land force activity subject to the notification thresholds of 9,000 troops or 250 tanks or 500 ACVs or 250 artillery pieces 100 mm caliber or above.

(9) Subparagraphs 40.3, 40.3.1. Transfers or movements from outside the zone of application to the zone of application are not notifiable or observable. However, the military activity becomes notifiable if it meets the following three criteria when transferred forces meet at points of concentration: (1) the military activity is located within the zone of application, (2) is located at a field location, e.g., at a civil arrival point (civilian airfield or seaport) or

outside a military garrison, and (3) meets the notifiable threshold, structure, and single activity criteria at any time.

(10) Subparagraph 40.3.2. Arrivals at military airbases or military seaports are not subject to notification; however, should the troops involved in the transfer leave the military base at the notifiable level and conduct an otherwise notifiable activity (exercise, concentration), that activity is notifiable. Once the forces are in the CSBM zone of application, their subsequent military transfers are treated as movements within the zone of application. When US forces depart their military arrival points in Europe, (which are not notifiable) or civil arrival points, (which may be if the criteria in paragraph 40.3.2 is met) to concentrate in the field to train, prepare for future military activities, or for any purpose, then that concentration is notifiable if it satisfies the notification criteria (paragraph 40 of VDOC 99). The United States will provide information on notifiable exercise activities in three separate notifications: (1) deployment concentration, (2) active exercises in which deployed troops and forces stationed in Europe participate, and, 3) redeployment concentration. The United States will provide a single notification depending on the relationship of the phases to the overall exercise.

(11) Paragraphs 41, 41.1. Alerts (when troops have no advance notification of the activity) are an exception to the 42-day notification. Alerts will not be forecasted in the annual calendar, even if higher headquarters preplans them. Notification will be given at the time the military activity begins. The notification thresholds for notification and observation of a military activity apply. The duration of the alert must, however, exceed 72 hours for it to be observable. Even then, only that portion of the alert extending beyond 72 hours is observable. Invitation to observe an alert activity must be sent concurrently with the notification of that activity.

(12) Paragraph 42. Written notification of notifiable military activities is required. The appropriate CINC will generate notifications via CMTS.

(13) Paragraphs 43-43.2. Information identified in subparagraph 43.1 through 43.5 is included in notifications of military activities.

(14) Subparagraph 43.3. In reporting multinational exercise activities, US policy is to include in notifications all participating States, number of troops by State, designation, subordination, number and type of formations and units by State, and the total number of tanks or ACVs or artillery pieces 100 mm caliber and above disaggregated by State. Participating States have agreed to notify military activities when they contribute forces above threshold level, or when they serve as host State for an activity. Germany will always

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notify a notifiable US activity that takes place in Germany, whether or not Germany contributes forces, because it is hosting the US military activity.

(15) Subparagraph 43.4. Use the generic level of command; e.g., brigade/regiment, division, corps, or army.

(16) Subparagraph 43.5. For land force exercises, the 42-day prior notification is counted from the first day of the activity's first phase, regardless of whether the troop strength has breached the notification thresholds on that day. This is typically the first day of the activity's deployment phase. The end date will be the last day of the redeployment or recovery phase. These dates must be coordinated with the exercise participants. For amphibious landings and parachute drops, the 42-day prior notification is counted from the first day of the activity's entry into the CSBM zone of application, regardless of whether the troop strength has breached the notification thresholds of 3,000 troops on that day. The end date for an independent amphibious landing or parachute drop exercise is the completion of the redeployment or recovery. For an amphibious landing or parachute drop exercise that becomes part of a land force exercise, the end date is the date the land force exercise begins. For concentrations, the 42-day prior notification is counted from the first day that the notification threshold is breached. There is not a concentration or an arrival by definition until the thresholds are breached.

(17) Paragraphs 44-44.1.2. Include all personnel pre-positioned ashore in the amphibious landing area. This requirement should include troops pre-positioned ashore as well as support and safety personnel ashore supporting the amphibious landing. For example, if 3,500 troops came across the beach in the amphibious landing and another 3,000 were pre-positioned ashore in the amphibious landing area to participate in or support the landing, a total of 6,500 troops would be reported. However, in subparagraph 44.2.1, 3,500 would be reported because that is the number involved in the amphibious landing; i.e., came across the beach.

(18) Subparagraphs 44.1.3-44.1.6. The total number of tanks, ACVs, ATGMs mounted on armored vehicles, artillery pieces and multiple rocket launchers (100 mm caliber and above), helicopters (by category) and number, purpose, and missions of aircraft sorties (excluding helicopters) by each participating State will be notified in writing.

(19) Subparagraph 44.1.7. Sorties by aircraft (if notifiable) include sorties by naval aircraft in support of the notifiable ground activity. Helicopters are not included in this category; they are reported in subparagraph 44.1.6.

(20) Subparagraph 44.1.8. Use generic purposes for air missions (e.g., close air support or reconnaissance). The class or air mission termed as “battlefield air interdiction” will not be listed as such. The term “air to ground” will be used instead.

(21) Subparagraph 44.1.9. Use generic categories of aircraft (e.g., bomber, reconnaissance, or fighter).

(22) Subparagraph 44.1.10. Use the generic level of command; e.g., squadron, wing, or allied tactical air force.

(23) Subparagraph 44.1.11. Any naval ship-to-shore gunfire should be so noted. A yes or no response indicates this notation. There is no requirement to notify simulated ship-to-shore gunfire.

(24) Subparagraph 44.1.12. A yes or no response is all that is required to indicate naval ship-to-shore support.

(25) Subparagraph 44.1.13. Use the generic level of command (e.g., fleet, flotilla, and squadron). There is no requirement to provide the numbered fleet (e.g., 2d fleet) or a more precise level of command (e.g., Commander, Naval Forces Atlantic).

(26) Subparagraph 44.2. Parachute assaults, heliborne landings and amphibious landings have lower notification thresholds due to their offensive potential. Once the landing and/or assault is complete, the threshold reverts to that for a normal military activity. The troops that arrived via assault and/or landing would be then included into the totals for any activity in which they are subsequently engaged.

(27) Subparagraph 44.2.1. Applies only to the troops who actually participate in a ground force activity resulting from an amphibious landing or a parachute assault (only those troops that ultimately become land forces once they land on the beach or drop zone). Aviation sections that come ashore will be included in troop totals. Air sections that do not come ashore and sea components of these activities are not notifiable.

(28) Subparagraph 44.2.2. Points of embarkation refer only to those start points in the CSBM zone of application. Do not report embarkation points outside the CSBM zone of application.

(29) Subparagraphs 44.3 - 44.3.4. Apply only to military activities notifiable under paragraph 40.3.

(30) Subparagraph 44.3. Normally the United States will not notify an arrival of troops from the continental United States because arrival points are usually military garrisons. The United States will notify subsequent concentrations or activities if it breaches thresholds and meets notification criteria for military activities.

(31) Subparagraph 44.3.1. Troops who are not present in the CSBM zone of application are excluded from the reporting requirement.

(32) Subparagraph 44.3.2. Use generic types of divisions (e.g., one mechanized division).

(33) Subparagraphs 44.3.3-44.3.5. A breakout of tanks, ACVs, artillery pieces, and multiple rocket launchers (100 mm caliber and above) by each participating State is to be provided in US channels to assist in identifying total participation.

(34) Subparagraph 44.3.6. Define a box delimited by geographic coordinates (with names of corresponding towns) that will cover the activity's area while not providing the specific locations of garrisons, ports, and points of arrival. USEUCOM input to the Joint Staff should include the actual arrival points, concentration area(s), and Combat Equipment Group Europe sites being used.

(35) Paragraphs 45, 45.1. A box delimited by geographic coordinates (with names of corresponding towns) that will cover the activity's area, as appropriate.

(36) Subparagraphs 45.2-45.4. Pertains to all types of notifications and require the activity to be subdivided into principal phases of the activity, including a brief description of the activity and its corresponding dates.

(37) Paragraphs 46-46.2. Refers to other information in addition to that described in subparagraphs 45.2-45.4 and changes to the information provided in the annual calendar regarding the activity.

p. Chapter VI, Observation of Certain Military Activities.

(1) Paragraph 47. This provision has two parts, active and passive observations. In the case of passive observations, coordination is required in

the event of simultaneous passive observations and inspections of the same notifiable military activity. In the event of an observation of a notifiable military activity in Iceland, USJFCOM will be responsible.

(2) Subparagraphs 47.1-47.3. In addition to field exercises, concentrations with 13,000 or more troops or 300 or more battle tanks are observable (only during the period that the 13,000 troops or 300-tank threshold is breached). Arrivals are not normally notified or observed because the arrival points are usually at military garrisons or airfields (which are not in the field). When these forces depart their garrisons and concentrate in the field or participate in an otherwise observable activity, an observation invitation is required.

(3) Subparagraph 47.4. If a transfer of troops into or within the CSBM zone of application equals or exceeds 13,000 troops or 300 battle tanks or 500 ACVs, or 250 artillery pieces 100 mm and above, or 3,500 troops are involved in an amphibious landing, heliborne landing, or parachute assault, it becomes an observable activity. If practicable, an observation program covering all phases of an exercise being conducted within the zone of application may be conducted.

(4) Paragraph 48. The United States, having no territory in the CSBM zone of application, will coordinate closely with host States on whose territory notifiable military activities will take place.

(5) Paragraph 49. In most cases, the United States will coordinate closely with the allies in allocating responsibilities for a joint observation program. Should matters needing interpretation arise, the host State will decide the matter.

(6) Paragraph 50. Observers sent to view a military activity, ideally, will have a high level of knowledge associated with the military activity taking place.

(7) Paragraph 51. Annex IV outlines modalities for personnel selected to observe military activities.

(8) Paragraph 52. The observation of the military activities will take place during the time the thresholds equal or exceed 13,000 troops or 300 battle tanks or 500 ACVs or 250 pieces of artillery or 3500 troops engaged in an amphibious landing, heliborne landing, or parachute assault (paragraph 47.4) and will terminate when the thresholds fall below the accountable numbers reflected above.

(9) Paragraphs 54-55. Observers will be granted diplomatic status. Participating States will ensure that official personnel and troops taking part in an observed military activity, as well as other armed personnel located in the area of military activity, are informed of their presence and status as observers.

(10) Paragraph 56. There is no requirement to permit observation of locations that may be sensitive or restricted and cannot support a notifiable military activity.

(11) Paragraphs 57-57.9. Observers will be provided a preliminary information briefing, which will allow them to confirm the notifiable activity is nonthreatening, followed by daily briefings on all forces involved in the military activity. Observers will be provided with maps and observation equipment, and an aerial survey, preferably by helicopter, is encouraged when feasible.

(12) Paragraph 58. There is no need to invite observers unless activities, which are not previously notified, exceed notifiable thresholds for a period of more than 72 hours.

(13) Paragraphs 59, 59.1. Media representation during observations of notifiable military activities is encouraged.

(14) Paragraph 60. The host or delegated State will provide suitable transportation for observers for the duration of the observation.

q. Chapter VII, Annual Calendars

(1) Paragraph 61. Participating States will provide by 15 November an annual calendar of its military activities subject to prior notification for forces in the zone of application for the subsequent calendar year.

(2) Paragraph 62. If no military activities subject to prior notification are scheduled, this information will be transmitted to participating States.

(3) Paragraphs 63 - 63.2.11. These paragraphs outline the specific information requirements to be provided regarding military activities subject to prior notification, which are provided in annual calendars.

(4) Paragraph 64. Changes to planned activities should be provided in accordance with the notification requirements for the military activity subject to prior notification.

(5) Paragraph 65. A cancellation of a military activity subject to prior notification or reduction of the exercise below notifiable thresholds will be reported as soon as possible.

(6) Paragraph 66. Additional information on a military activity subject to prior notification will be provided in accordance with the model provided in the annual calendar.

r. Chapter VIII, Constraining Provisions

(1) Paragraphs 67, 67.1. Only one military activity subject to prior notification involving more than 40,000 troops or 900 battle tanks or 2,000 ACVs, or 900 self-propelled and towed artillery pieces, mortars, and multiple rocket launchers (100 mm caliber and above) can be carried out every 3 years by each participating State.

(2) Subparagraphs 67.2, 67.2.1. Each participating State is allowed up to six military activities subject to prior notification per calendar year with more than 13,000 troops or more than 300 battle tanks or 500 ACVs or 300 self-propelled and towed artillery pieces, mortars, and multiple rocket launchers (100 mm caliber and above). Of these six military activities subject to prior notification, only three may be carried out each calendar year in excess of 25,000 troops or more than 400 battle tanks or 800 ACVs or 400 self-propelled and towed artillery pieces, mortars, and multiple rocket launchers (100 mm caliber and above). None of these military activities subject to prior notification may have more than 40,000 troops or more than 900 battle tanks or 2,000 ACVs or 900 self-propelled and towed artillery pieces, mortars, and multiple rocket launchers (100 mm caliber and above). There is no numerical restriction on military activities subject to prior notification below 13,000 troops or involving less than 300 tanks.

(3) Subparagraph 67.3. No participating State may have more than three military activities subject to prior notification going on at the same time if they each involve more than 13,000 troops or 300 battle tanks or 500 ACVs or 300 self-propelled and towed artillery pieces, mortars, and multiple rocket launchers (100mm caliber and above).

(4) Paragraphs 68-69. Military activities subject to prior notification involving over 40,000 troops or 900 battle tanks or 2,000 ACVs or 900 self-propelled and towed artillery pieces, mortars, and rocket launchers (100 mm caliber and above) will be communicated to other participating States by 15 November, more than a year in advance. If a State does not schedule this type

of exercise, it should inform other participating States. No unnotified exercises should take place.

(5) Paragraph 70. Military activities subject to prior notification involving over 40,000 troops or 900 battle tanks or 2,000 ACVs or 900 self-propelled and towed artillery pieces, mortars, and rocket launchers (100 mm caliber and above) will not be conducted unless they have been communicated and placed on the annual calendar.

(6) Paragraph 71. Attempts should be made to limit military activities subject to prior notification that have not been notified on the annual calendar.

s. Chapter IX, Compliance and Verification. Paragraphs 72, 73. Specific modalities on forms of verification for confidence and security building measures are amplified in this chapter.

t. Inspection

(1) Paragraph 74. Inviting inspectors from other participating States is voluntary. The inspecting State will determine whether or not inspectors from other participating States should be invited to participate in an inspection and, if so, which States are to be invited to be part of the multinational team.

(2) Paragraphs 75-77. USG policy is to cite "Paragraph 75 of the Vienna Document 1999" as the reason for requesting an inspection. No State is required to accept more than three inspections per calendar year or more than one from the same participating State. Participating States will inform other participating States when three inspections have been accepted.

(3) Paragraph 78. The term "force majeure" relates to causes which are outside the control of the receiving State and could not be avoided by exercise of due care. They are normally synonymous with natural disaster (e.g., earthquake, flood), extreme weather (e.g., hurricane), or manmade disaster (e.g., Chernobyl nuclear accident). Any decision involving force majeure during an on-site inspection of US troops will be made in consultation with the OSCE ad hoc working group. In declaring force majeure, the receiving State will, without delay, provide a full explanation through diplomatic or official channels.

(4) Paragraph 79. The participating State receiving the request for inspection is obligated to affirmatively respond within the agreed timeframe, subject to limitations of paragraphs 76 and 77.

(5) Paragraphs 80-84. The participating State requesting the inspection will designate a specified area. This area will comprise terrain where notifiable military activities are conducted or where it is believed that a notifiable military activity is taking place. The purpose of a specified area inspection is to confirm or deny the presence of notifiable military activities. Military installations, naval vessels, military vehicles, and aircraft are excluded from inspection, access, or entry. Restricted areas may be designated, but in no case will the restricted areas be areas where notifiable military activities can take place (except for identified permanent or temporary military installations).

(6) Paragraphs 85-85.11. The host State (receiving the inspection) may request that the United States provide two operational helicopters and two ground vehicles for the inspection team during the entire time that US troops are being inspected. Since the United States cannot be a host State for an inspection, it is not obligated to provide such equipment.

(7) Paragraphs 86-87. A reply must be provided not more than 24 hours after receiving the request for inspection.

(8) Paragraph 91. If another participating State has been invited, the number of inspectors from that State cannot exceed the number from the inviting or inspecting State. Up to three participating States may be represented on the inspection team.

(9) Paragraph 95. Providing a map of the specified area is voluntary. Equipment should not be taken from the inspectors for examination out of their sight or dismantled in any way. Should an objection be raised regarding a particular device, the inspectors should agree to not employ it during the inspection, on the understanding that the incident would likely be pursued through diplomatic channels.

(10) Paragraph 98. A briefing is not intended to be used to delay the inspection. Inspectors are only required to take into consideration host-country suggestions as to the advisability of a preinspection briefing. However, there is no requirement on inspectors to receive a briefing, even when offered, if that is not their wish. When requested, US commanders of units in the specified area must provide briefings concerning their unit and a general discussion of unclassified aspects of their mission.

(11) Paragraph 106. Responsibility for travel expenses to and from the point of entry does not mean the United States must pay for the invited guests. Prior agreement with the invited State may be required.

u. Evaluation

(1) Paragraph 109. Actual quotas for the following year will not be known until after the information exchange on 15 December, valid as of 1 January. Paragraph 10.1.1 requires each State to include a statement indicating the total number of units contained in the information exchange and the resultant annual evaluation quota.

(2) Paragraph 118. Annual evaluations of US forces generated by current force levels could be conducted in any country in the zone where there are US combat forces; i.e., not just in Germany. Nonacceptance of an evaluation visit means that the unit is in its normal peacetime location, but the host State (or stationing State through the host State) has elected to use one of its entitlements to not accept the visit. Nonacceptance is ultimately an option to postpone. In the case of US-stationed forces, a nonacceptance decision would be communicated to the host State during consultations before the reply. The US is entitled to invoke this provision five times for an aggregate of no more than 30 days per calendar year.

(3) Paragraphs 119-120.2.3. Describe the nature of the request. Unlike inspections, no reason for the evaluation request is required. If a unit is out of garrison during the period of a proposed evaluation, the requesting State may still insist and be granted a visit to the empty normal peacetime location of the requested formation or unit, or the requested State may grant a visit to the unit in the field.

(4) Paragraph 121. "Place of assembly of the team" in the discussion of points of entry provides the possibility of using an in-country attaché or embassy officer dealing with military matters as an evaluator.

(5) Paragraph 123. It is important that coordination and consultation between the host and stationing States precede the issuance of the reply. Subject to agreements with States in which US forces are stationed, the United States will be in charge during the actual evaluation visit to US forces. The host State has responsibility for the evaluation team before the start of the evaluation and immediately following the conclusion of the evaluation visit.

(6) Paragraph 127. The visit begins with the briefing, not with the arrival of the team in country. This procedure allows the option of a team arriving on one day and conducting the evaluation on the next. Auxiliary personnel should always be identified as interpreters on the request

message. The only requirement on a receiving State during the evaluation of a formation is to provide a briefing. Beyond that, the receiving State may provide the possibility to see (and by implication, evaluators may ask to see) any of the formation's immediate subordinate elements that were not reported separately (e.g., noncombat units and other subordinate elements).

(7) Subparagraphs 127.2, 128, 132. With the exception of sensitive points and sub-elements that are not in their normal peacetime locations, personnel, weapons, and equipment should be available for evaluation. Commanders are not required to disrupt training or stage special training exercises for the evaluators.

(8) Paragraph 128. Participating States have a right to restrict access to sensitive points, facilities, and equipment. However, participating States are under an obligation to keep the number to a minimum.

v. Chapter XI, Annual Implementation Assessment Meeting. Paragraphs 148-150.4. The Forum for Security Cooperation is the OSCE NATO forum for exchanging information on Vienna Document 1999 activities conducted by participating States. Particular attention is given issues about inspections, evaluation visits, airbase visits, visits to military facilities and military formations, demonstrations of new types of major weapon and equipment systems, and observations of specific military activities. The AIAM is a forum to discuss these issues. The meeting is conducted annually at OSCE. Representatives from the Joint Staff, OUSD(AT&L), and USEUCOM will attend.

w. Chapter XII, Final Provisions

(1) OSCE Communications Network. Paragraphs 151, 152. The CSBM communications network establishes direct communications between participating States' capitols. This network compliments existing diplomatic channels and is used for all CSBM-related matters. OUSD(AT&L), in cooperation with the Joint Staff and DTRA have developed a data management system called the Compliance Monitoring and Tracking System (CMTS) to accomplish required notification and accounting.

(2) Implementation. Paragraphs 155-158. The CPC will be the repository for all CSBM notifications and exchanged information. Vienna Document 1999 is a politically binding document and entered into force on 1 January 2000.

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ENCLOSURE C

RESPONSIBILITIES FOR IMPLEMENTATION OF, AND COMPLIANCE WITH
VIENNA DOCUMENT 1999

1. Joint Staff

a. Unless otherwise indicated in this instruction, J-5, Conventional Arms Control (CAC) Division is the Joint Staff office of primary responsibility for all matters pertaining to the implementation of, and compliance with, reference a.

b. Represents the US military in the US National Security Council interagency national security coordination process on all matters pertaining to reference a and additional CSBMs that may be approved and promulgated by the FSC of the OSCE.

c. Provides military advice and assistance to DOD and DOS on all matters pertaining to reference a and additional CSBMs that may be approved and promulgated by the FSC.

d. Coordinates with the Services, USCENTCOM, USEUCOM, and USJFCOM to establish US military policy and procedures for implementation of, and compliance with, the provisions of reference a and additional CSBMs that may be approved and promulgated by the FSC.

e. Provides military policy guidance pertaining to reference a and additional CSBMs that may be approved and promulgated by the FSC to USCENTCOM, USEUCOM, and USJFCOM as required.

f. Exercises oversight of US military implementation of, and compliance with, the provisions of reference a based on the Joint Staff interpretation of these provisions contained in Enclosure B. Specific policy, procedures, and responsibilities concerning implementation of, and compliance with, Vienna Document 1999 are contained in the Appendixes to this Enclosure as follows:

(1) Appendix A, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter I, Annual Exchange of Military Information.

(2) Appendix D, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter IV, Contacts.

(3) Appendix E, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter V, Prior Notification of Certain Military Activities.

(4) Appendix F, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter VI, Observation of Certain Military Activities.

(5) Appendix G, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter VII, Annual Calendars and Chapter VIII, Constraining Provisions.

(6) Appendix H, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter IX, Compliance and Verification.

g. Coordinates with and assists OUSD(AT&L) in implementation of, and compliance with, the provisions contained in Appendix B, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter II, Defense Planning.

h. Coordinates with and assists DOS in implementation of, and compliance with, the provisions contained in the following appendices:

(1) Appendix C, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter III, Risk Reduction.

(2) Appendix I, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter X, Regional Measures.

(3) Appendix J, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter XI, Annual Implementation Assessment Meeting.

(4) Appendix K, Policy, Procedures, and Responsibilities Concerning Vienna Document 1999, Chapter XII, Final Provisions.

i. Participates as permanent member of the DOD Compliance Review Group (CRG).

j. Raises to the CRG for resolution any US military compliance issue not covered by existing policy or any ambiguity related to the provisions of reference a or other CSBMs that may be approved and promulgated by the FSC.

k. Operates a Compliance Monitoring and Tracking System (CMTS) station and coordinates notifications.

2. USCENTCOM, USEUCOM, and USJFCOM

a. Coordinate and establish for their respective commands, policy and procedures for implementation of, and compliance with, reference a and additional CSBMs that may be approved and promulgated by the FSC.

b. Coordinate with DTRA (lead) for the development of necessary memorandums of understanding (MOUs) among respective commands defining the functions, responsibilities, duties, and organizational relationships for US forces implementation of, and compliance with, the provisions of Chapter IX of reference a, applying the guidance in this instruction.

c. USEUCOM

(1) Compiles and verifies, with input from USCENTCOM and USJFCOM, data and information on equipment, troops, and activities in the VDOC 99 zone of application as required by Chapters I, IV, V, VI, and VII of reference a (see Appendixes A, D, E, F, and G to this Enclosure), taking into account the provisions of Chapter VIII (see Appendix G to this Enclosure).

(2) Operates a CMTS station and uses it to compile and transmit notifications, invitations, and other messages required by reference a.

d. USCENTCOM and USJFCOM. Execute the responsibilities required by Chapters I, IV, V, VI, and VII of reference a as delineated in Appendixes A, D, E, F, G, and H to this Enclosure, taking into account the provisions of Chapter VIII (see Appendix G to this Enclosure).

3. DIA. Provide support to the Joint Staff, OUSD(P), and OUSD(AT&L) as required on all matters related to reference a and additional CSBMs that may be approved and promulgated by the FSC.

4. USDELTC NATO

a. Facilitates coordination of all reference a information and additional CSBMs that may be approved and promulgated by the FSC between the USG and its allies as directed.

b. Coordinates evaluation and inspection visits with the NATO Verification Coordination Committee(VCC).

c. Ensures all information provided by other NATO participating States to the International Military Staff regarding reference a, and additional CSBMs that may be approved and promulgated by the FSC, is distributed to the Joint Staff, USCENTCOM, USEUCOM, USJFCOM, the JCS Representative for European Security Issues, and DTRA, as appropriate.

5. JCS Representative for European Security Issues (OSCE in Vienna, Austria)

a. Facilitates coordination of all reference a information and additional CSBMs that may be negotiated, approved, and promulgated by the FSC, between the USG and its allies, as directed.

b. Represents the Joint Staff on the US OSCE Delegation and attends all meetings and sessions of the FSC and its related working groups regarding reference a and additional CSBMs that may be negotiated, approved, and promulgated by the FSC.

c. Maintains formal coordination with the Joint Staff, and routinely coordinates with USCENTCOM, USEUCOM, USJFCOM, USDELMC NATO, and DTRA, to ensure currency in all matters relating to reference a, and additional CSBMs that may be negotiated, approved, and promulgated by the FSC.

d. Ensures all information provided by the other participating States to the US OSCE Delegation regarding reference a and additional CSBMs that may be negotiated, approved, and promulgated by the FSC, is distributed to the Joint Staff, USCENTCOM, USEUCOM, USJFCOM, USDELMC NATO, and DTRA, as appropriate.

6. DTRA

a. Conducts active inspections, active evaluations, escort and liaison provisions, and functions contained in or derived from Chapter IX of reference a (see Appendix I).

b. Develops, operates and maintains the CMTS as directed by OUSD (AT&L).

c. Coordinates with the Joint Staff, USCENTCOM, USEUCOM, and USJFCOM for all planning and other activities associated with implementation of, and compliance with, the passive obligations of Chapter IX of reference a.

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d. In coordination with USCENTCOM, USEUCOM, and USJFCOM, develops, and maintains current, MOUs defining the functions, responsibilities, duties and organizational relationships for US forces implementation of, and compliance with, the passive obligations of Chapter IX of reference a, applying the guidance contained in this instruction.

e. In coordination with USCENTCOM, USEUCOM, and USJFCOM, develops and maintains current, an operations plan for implementation of the passive obligations of Chapter IX of reference a, applying the guidance contained in this instruction.

f. Provides advisors to support the Joint Staff, OUSD(P) and OUSD(AT&L) as requested or required in interagency, CRG, FSC, and VCC meetings, sessions, or conferences. These advisors should possess expertise in the areas of inspections, evaluations, escorting, and liaison functions, or other matters regarding reference a and any additional CSBMs that may be promulgated by the FSC.

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APPENDIX A TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING VIENNA
DOCUMENT 1999, CHAPTER I, ANNUAL EXCHANGE OF MILITARY
INFORMATION

1. Policy

a. Annual Exchange of Military Information. The annual exchange of information on military forces must be provided to all other participating States no later than 15 December of each year, valid as of 1 January of the following year. The DOD-validated annual exchange of military information must be presented to DOS for interagency review no later than 5 working days prior to 15 December of each year.

b. Data and Information on Major Weapon or Equipment Systems. VDOC 99 permits the exchange of data on new types or versions of major weapon or equipment systems coincident with the first deployment of such systems in the zone of application or coincident with the annual exchange of military information. The USG prefers to provide both the data relating to major weapon and equipment systems and information on plans for the deployment of such systems in the zone of application, coincident with the annual exchange of military information in the year during which the system will be deployed and not coincident with deployment.

2. Procedures

a. Providing Information on Military Forces. The US annual exchange of military information is distributed by the USG in paperback-book form in mid-December to all participating States at an OSCE FSC Plenary session held for that purpose in Vienna. USEUCOM, with input from USCENTCOM and USJFCOM, prepares and transmits the required data in accordance with the requirements of Chapter 1 of VDOC 99 to the Joint Staff electronically via CMTS. The Joint Staff, in coordination with the Services, OUSD(P), and OUSD(AT&L), validates the accuracy and completeness of the data and presents it to the Interagency. The data is then finalized and sent to Vienna for distribution to OSCE participating States.

b. Providing Data on Major Weapon and Equipment Systems and Information on Plans for the Deployment of such System. US data on existing major weapon and equipment systems deployed in the zone of application that was provided prior to the adoption of VDOC 99 remain valid. Information on the plans for deployment of a major weapon and equipment system not

previously deployed in the zone of application must be provided to all participating States coincident with the annual exchange of military information or coincident with deployment. USEUCOM provides the data and information to the Joint Staff. The Joint Staff, in coordination with the Services and OSD, validates and approves the data and information package and forwards it to DOS for presentation to all OSCE participating States.

3. Responsibilities

a. Joint Staff

(1) Notifies USCENTCOM, USEUCOM, USJFCOM, the Services, OUSD(P) and OUSD(AT&L) on or about 15 September (90 days prior to 15 December) of the specific timelines for the collection and coordination of the data required for submitting the annual exchange of military information.

(2) Ensures that the US VDOC 99 annual exchange of information uses the same database and correlates with CFE Treaty data.

(3) Ensures that the definitions contained in the CFE Treaty and the equipment listed in the Protocol on Existing Types of Conventional Armaments and Equipment of the CFE Treaty are used in the annual exchange of military information.

(4) Coordinates and schedules on or about 1 December a DOD Data Validation Conference to review the annual exchange of military information.

(5) Circulates a Joint Staff action package for formal coordination and approval of the validated data to other elements of the Joint Staff, USEUCOM, the Services, OUSD(P), and OUSD (AT&L), with information copies to USCENTCOM and USJFCOM.

(6) Presents the DOD-approved annual exchange of military information NLT 5 working days prior to 15 December for interagency review. DOS provides all OSCE participating States the US annual exchange of military information NLT 15 December.

(7) Ensures distribution of official copies of the US annual exchange of military information and data and information packages for deployment of major weapon and equipment systems to USCENTCOM, USEUCOM, USJFCOM, the Services, OUSD(P), OUSD(AT&L), DTRA, DIA, USDELMC NATO, and the JCS OSCE representative.

(8) Validates plans for deployment of a major weapon and equipment system submitted by USEUCOM with the Services, OUSD(P), and OUSD (AT&L) and forwards the appropriate data package to DOS for presentation to OSCE participating States.

b. USEUCOM

(1) Initiates annual coordination with USCENTCOM and USJFCOM as required by the timelines contained in the Joint Staff notification issued in accordance with paragraph 2.a (1) of this appendix.

(2) Applies the definitions contained in the CFE Treaty and the equipment listed in the Protocol on Existing Types of Conventional Armaments and Equipment of the CFE Treaty in the compilation of the annual exchange of military information.

(3) Collects and validates the annual exchange of military information and submits to the Joint Staff NLT 2 working days before the start of the DOD Data Validation Conference, the date of which will be announced in the Joint Staff notification (see paragraph 3.a (1) of this Appendix).

(4) Provides representation at the DOD Data Validation Conference and provides formal clearance to the Joint Staff action package for final coordination and approval of the annual exchange of military information.

(5) Compiles data and information pertaining to the deployment of a major weapon and equipment system not previously deployed in the zone of application and forwards the data and information package to the Joint Staff via facsimile or US mail to arrive NLT the annual DOD Data Validation Conference. Such packets should contain the information required by VDOC 99 Chapter I, paragraph 14, and technical data, information, and photographs similar to those required by the Protocol on Existing Types of Conventional Armaments and Equipment of the CFE Treaty.

c. USCENTCOM and USJFCOM

(1) Provide USEUCOM the required data for the annual exchange of military information as required.

(2) Provide a representative, if requested by USEUCOM, to attend the annual DOD Data Validation Conference.

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(3) Coordinate with and assist USEUCOM in meeting the Joint Staff timeline requirements for compiling and submitting the annual exchange of military information required by VDOC 99, Chapter I.

(4) If planning to deploy a major weapon or equipment system in the zone of application not previously deployed, provide USEUCOM the required data and information necessary to develop a data and information package as set forth in paragraph 2.b(5) of this appendix.

d. Services

(1) Provide a representative to participate in the annual DOD Data Validation Conference and provide formal clearance to the Joint Staff action package for final coordination and approval of the annual exchange of military information.

(2) Maintain a means of tracking force and equipment deployments into and out of the zone of application as necessary to provide requisite data and information to the Joint Staff, facilitate the annual exchange of military information, and provide information necessary to develop a data package as set forth in paragraph 2.b(5) of this appendix.

e. USDELMC NATO

(1) Represents the Joint Staff at NATO Military Committee meetings concerning the annual exchange of military information.

(2) Facilitates the flow of information between the Joint Staff and the NATO International Military Staff on matters concerning the deployment of a major weapon and equipment system not previously deployed in the zone of application and other matters pertaining to VDOC 99 or other CSBMs.

APPENDIX B TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER II, DEFENSE PLANNING

1. Policy

a. Exchange of Information. Participating States annually exchange, defense planning information on defense policy and doctrine, force planning, previous-year military expenditures, and the military budget for the year being considered. Defense planning information is exchanged annually NLT 3 months after the competent national authority approves the military budget for the forthcoming fiscal year.

b. Clarification, Review and Dialogue, and Possible Additional Information. The United States will respond to requests for clarification of defense planning information, participate in annual discussions on information and clarification provided under this provision, participate in OSCE military doctrine seminars and study visits, and provide additional information as deemed appropriate.

2. Procedures

a. Exchange of Information. The US DOD budget approval cycle usually occurs in February or March, and the requisite defense planning information is exchanged on or about 1 June. DOD uses the Secretary of Defense's Annual Report, with military budget information appended thereto, to satisfy requirements of Chapter II of reference a for policy, doctrine, force planning, and military budget information. DOD provides annual defense planning information to DOS for distribution to all participating States.

b. Clarification, Review and Dialogue, and Possible Additional Information. DOD provides information to DOS (interagency) to support requests for clarification; participates as appropriate in annual discussions, seminars, and study visits; and provides additional documentary information as deemed appropriate, taking cognizance of the respective US geographic combatant command operational security and force protection requirements.

c. Possible Additional Information. DOD routinely provides to DOS (interagency) other factual and documentary information pertaining to US defense planning.

3. Responsibilities

a. Exchange of Information

(1) In accordance with reference e, OUSD(AT&L), in coordination with OUSD(P), OUSD(Comptroller), and the Joint Staff prepares and coordinates the defense planning information required by paragraphs 15-15.4, Chapter II, of reference a. OUSD(P) provides the information to DOS (interagency) for distribution to all participating States.

(2) Mandatory defense planning information includes defense policy and doctrine, force planning, and budget projections.

(a) OUSD(P) will annually prepare a written statement that addresses US defense policy, including national military strategy and doctrine, national procedures for defense planning, and current personnel policy. OUSD(P) additionally provides information on the planned procurement of major equipment and major military construction programs based on the categories used in the United Nations "Instrument for Standardized International Reporting of Military Expenditures." Also, the previous fiscal year's defense expenditures will be provided in accordance with the UN Instrument.

(b) OUSD(AT&L), in coordination with OUSD(Comptroller), plans and prepares information and data for the annual exchange of military budgets for the forthcoming fiscal year and, where possible, on the 2 fiscal years following the forthcoming fiscal year, and on previous expenditures.

(c) The Joint Staff provides an annual statement on behalf of the Chairman regarding force planning which includes size, structure, deployment of major weapon and equipment systems, force deployment, training, and future changes and/or trends.

b. Clarification, Review and Dialogue, and Possible Additional Information.

(1) The Joint Staff, the responsible US geographic combatant command, and the Services, in coordination with OUSD(P), OUSD(AT&L), and OUSD(Comptroller), provide information to DOS (interagency) to support requests for clarification to increase transparency of activities that cause a participating State to request clarification, taking cognizance of US geographic combatant command operational security and force protection requirements.

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(2) The Joint Staff, the respective US geographic combatant command, and the Services, in coordination with OUSD(P), OUSD(AT&L), and OUSD (Comptroller), participate in annual discussions, seminars, and study visits resulting from requests for additional review and dialogue of activities, taking cognizance of US geographic combatant command operational security and force protection requirements.

(3) The Joint Staff, the responsible US geographic combatant command, and the Services, in coordination with OUSD(P), OUSD(AT&L), and OUSD (Comptroller), provide additional documentary information to DOS to satisfy requests for increased transparency of activities that cause a participating State to request clarification, taking cognizance of the US geographic combatant command operational security and force protection requirements.

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APPENDIX C TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER III, RISK REDUCTION

1. Policy

a. Mechanism for Consultation and Cooperation as Regards Military Activities. DOS implements and complies with the mechanism for consultation and cooperation with regard to unusual military activities. The Joint Staff, respective US geographic combatant command, and Services, in coordination with OSD, provide information and support to DOS regarding these activities.

b. Cooperation as Regards Hazardous Incidents of a Military Nature. The DOS notifies participating States of hazardous incidents involving US Forces in the zone of application. The Joint Staff, respective US geographic combatant command and Services, in coordination with OSD provide information and support to DOS regarding these activities.

c. Voluntary Hosting of Visits to Dispel Concerns about Military Activities. DOS coordinates the USG decision on whether to host voluntary visits to dispel concerns about unusual military activities. The Joint Staff, OSD, and DOS participate in the decision on hosting voluntary visits, and if approved, the Joint Staff, respective US geographic combatant command, and Services will provide the necessary support to host these visits. The United States only executes visits that involve the area of its military installations and training areas within the zone of application. Host States for US-stationed forces have responsibility for all other host-State territory. Coordination between host State and US-stationed forces will be necessary when a US-hosted visit to dispel concerns about a military activity is being executed.

2. Procedures

a. Mechanism for Consultation and Cooperation as Regards Unusual Military Activities.

(1) The Interagency considers all requests from a participating State for an explanation regarding unusual military activities that US forces are conducting or participating in and prepares and coordinates the US response. The Joint Staff, respective US geographic combatant command, and Services, in coordination with OSD, provide support to DOS for interagency

consideration regarding these activities. This support is expected to be in the form of information and data concerning the military activity.

(2) If the participating State, after considering the explanation, requests a meeting, the DOS (interagency) considers the request and subsequent invitation to the participating State and others. The Joint Staff, in coordination with the respective US geographic combatant command, Services, and OSD, provides military advice to DOS. The Joint Staff provides a representative on the US Delegation for all such meetings.

(3) DOS represents the USG at meetings held under the auspices of OSCE to address unusual military activities. The Joint Staff provides a representative on the US Delegation for all such meetings.

b. Cooperation Regarding Hazardous Incidents of a Military Nature. The US force causing or involved in hazardous incidents of a military nature notifies, through channels and systems specified in its standard operating procedures, the US NMCC and the US Embassy located in the host country. The US Embassy and the NMCC, in turn, notify DOS. The final decision as to what constitutes a hazardous incident of a military nature will be made by the Interagency. DOS consults with the host government as required. The Joint Staff, respective US geographic combatant command, and Services, in coordination with OSD, provide clarifying information and military advice as required.

c. Voluntary Hosting of Visits to Dispel Concerns about Military Activities.

(1) To help alleviate possible concerns about a US military activity in the zone of application, the United States, in coordination with the host State, may invite other participating States to visit the area or activity in which the concern may exist. States hosting such a visit will decide which participating States to invite, but it is understood that any participating State that has a concern will receive an invitation. While the arrangements and conduct of such visits are at the discretion of DOS, it was envisaged by the participating States that the Defense Attaché or a similar accredited military person would be invited to participate in such visits. If the Defense Attaché is not available, the Joint Staff, in coordination with the respective US geographic combatant command and OSD, will recommend an alternate military representative.

(2) The Joint Staff, in coordination with the respective US geographic combatant command, the Services, and OSD, will provide information and advice to DOS and the Interagency to dispel concerns about a military activity being conducted by or involving US forces. DOS will transmit US

information through diplomatic channels or the OSCE communications net as appropriate.

3. Responsibilities

a. Joint Staff

(1) Coordinates the collection of information and data concerning unusual military activities for which a participating State has requested an explanation.

(2) Prepares and validates the information and data package to explain the unusual military activity; circulates it as a Joint Staff action package; coordinates it with the respective US geographic combatant command, the Services and OUSD(P); and provides the approved information and data package to DOS for interagency consideration.

(3) Takes cognizance of the operational security and force protection requirements of the geographic combatant command responsible for the unusual military activity and ensures such requirements are vetted in interagency deliberations.

(4) Represents the US military in the interagency deliberation process when evaluating and formulating a US report on a hazardous incident involving US forces in the zone of application.

(5) Assists the Interagency in determining whether the United States will execute a visit to dispel concerns about a US military activity and, if so, determines the modalities for such a visit. Coordinates with the respective US geographic combatant command, the Services, and OUSD(P) on all aspects of such visits.

b. USCENTCOM, USEUCOM, and USJFCOM

(1) Provide information and data to the Joint Staff on which to base a response to a participating State's request for an explanation of an unusual military activity occurring in the respective area of responsibility. Ensure operational security and force protection requirements are clearly articulated.

(2) Promptly report hazardous military incidents involving US forces that occur in the respective areas of responsibility, provide in-theater points of contact, and provide clarification of incidents to the Joint Staff as required.

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(3) During the conduct of visits to dispel concerns about military activities, the responsible US geographic combatant command serves as the official US representative for interpretation of the VDOC 99 in accordance with this instruction and other guidance from the Joint Staff, plans and executes the visit, coordinates with the country on whose territory the visit will take place (host State), and ensures the safety and security of the visitors. These visits should explain the nature and purpose of the military activity and alleviate concerns or unresolved issues surrounding the activity, being cognizant of operational security and force protection requirements.

APPENDIX D TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER IV, CONTACTS

1. Policy

a. Visits to Airbases. Participating States with air combat units reported in their annual exchange of information are obligated to arrange at least one visit in each 5-year period to an airbase located in the zone of application. The United States will never be the host State for an airbase visit in Europe. The host State, in coordination with the United States, is responsible for extending airbase visit invitations to the other participating States. The United States, in coordination with the participating State on whose territory the US airbase is located (host State), will arrange a visit at least once each 5-year period. For visits to airbases of other participating States, the United States will always attempt to send two visitors, the maximum allowable number, to each notified airbase visit.

b. Program of Military Contacts and Cooperation. The Secretary of Defense and Chairman encourage military contacts and cooperation to enhance confidence and security building. Among these should be exchange visits of naval vessels and air combat units, joint exercises of land forces, and a full spectrum of military schooling, training, seminar, symposia, and expert visits and exchanges. The Joint Staff, in coordination with respective geographic combatant commands, the Services, and OUSD(P), plan for and conduct a full and versatile, worldwide program. This program supports OSCE and VDOC 99 goals and objectives, but is a distinct entity based on separate bilateral agreements or understandings between the United States and individual nations, and in some cases, with groups of allies. As a matter of policy, the United States will not sponsor any OSCE-wide military contact or cooperation activity on its territory.

c. Demonstration of New Types of Major Weapon and Equipment Systems. New types of major weapon and equipment systems are required to be the subject of a demonstration by the first participating State to deploy such systems. The first US geographic combatant command or Service to deploy a new type of major weapon or equipment system in the zone of application will conduct such demonstrations.

d. Provision of Information on Contacts. Information on plans for US military-to-military contacts for which all participating States will be invited will be provided to all other participating States annually, no later than 15

November. In this regard, the United States does not conduct additional visits to which observers from other participating States are invited, except for the once-every-5-years requirement for a visit to a US airbase, military facility, formation or activity, or a demonstration of a new type of major weapon or equipment system.

2. Procedures

a. Visits to Airbases

(1) The Joint Staff, in coordination with USEUCOM, the Services, and OUSD(P), plans for a visit to a US airbase (passive visit) in the zone of application at least once every 5 years. DOS, based on information provided by the Joint Staff and originated by USEUCOM, transmits information pertaining to a visit to a US airbase to other participating States via the OSCE communications network. The Joint Staff will task a geographic CINC to arrange a visit to an airbase within the zone of application and to provide required information and applicable CMTS notifications.

(2) For a visit to an airbase of another participating State (active visit), geographic CINCs will identify two US observers and provide the required information to the Joint Staff via CMTS. If practicable, the US Defense Attaché Office in the host State should provide one observer and the other observer should be a representative of the geographic CINC. Observers should have the requisite expertise associated with the type of equipment to be observed.

b. Program of Military Contacts and Cooperation. The Joint Staff, in coordination with the respective geographic combatant command, the Services, and OUSD(P), plans for a full range of military contacts and cooperation to strengthen the process of confidence and security building among OSCE participating States (as well as worldwide). All types of contacts and cooperative measures set forth in paragraph 30, Chapter IV, of VDOC 99 are considered and incorporated into the US program as deemed appropriate.

c. Demonstration of New Types of Major Weapon and Equipment Systems

(1) The Joint Staff, in coordination with the respective geographic combatant command, the Services, OUSD(P), and OUSD(AT&L) determine the date, location, program content, and modalities of a US demonstration of a new type of major weapon or equipment system that will be deployed in the zone of application (passive demonstration).

(2) The Joint Staff provides the information to DOS (interagency), which, in turn, provides the invitation for the demonstration to all participating States through the OSCE communications network.

(3) In this regard, only new types of major weapon and equipment systems required to be included in the annual exchange of information (see Annex III to reference a) will be considered as requiring a demonstration. Any plans for development and deployment of a new type of weapon or equipment system based on new technology that may replace or be employed to achieve the same results as any of the types of weapon or equipment systems listed in Annex III to reference a should be reported to the Joint Staff by the responsible Service for consideration by the DOD CRG.

d. Provision of Information on Contacts. The Joint Staff, in coordination with the geographic combatant commands, the Services, and OUSD(P), annually provides, 3 working days prior to 15 November, to DOS via the CMTS, information concerning plans for visits to airbases, military facilities, formations, or activities; observation visits; or demonstrations of new types of major weapon or equipment systems. USEUCOM, with input from USCENTCOM and USJFCOM, provides the Joint Staff input via the CMTS 10 working days prior to 15 November. The United States does not conduct additional visits to which observers from other participating States are invited, except for the once-every-5-years requirement for a visit to a US airbase, military facility, formation, or activity, or a demonstration of a new type of major weapon or equipment system. Negative (Nil) reports are required.

3. Responsibilities

a. Visits to Airbases

(1) Joint Staff

(a) Annually, on or about 15 October, coordinates with DOS, USEUCOM, the Services, and OUSD(P) in determining the timeframe and airbase to be visited when the United States fulfills its obligation to arrange a VDOC 99 visit within each 5-year period.

(b) Coordinates with the geographic combatant commands, the Services, and OUSD(P) on all matters pertaining to airbase visits, both active and passive.

(c) Coordinates and directs, through the appropriate geographic CINC, the military effort in planning, organizing, and executing the US airbase visit program.

(d) Ensures that the appropriate geographic CINC coordinates with the participating State on whose territory the US airbase is located to reach agreement on delegation of responsibilities for hosting modalities.

(e) Ensures that the appropriate geographic CINC, in coordination with the participating State on whose territory the US airbase is located, generates the invitation to the visit NLT 42 days prior to the date of the visit.

(f) For all visits to other participating States' airbases (active visits), coordinate with the appropriate geographic CINC to provide, via the CMTS, the names of the two US observers who will participate in the visit and other required information NLT 28 days prior to the start date of the activity. DOS must respond NLT 21 days before the date of the visit via the OSCE communications network.

(2) Geographic CINCs

(a) Visits to Participating States Airbases (Active Visits)

1. Acts on behalf of the Joint Staff in organizing, planning, and conducting visits to other participating States' airbases.

2. Designates the airbase visit team, in response to an invitation to visit an airbase of another participating State, and provides, on a workday, the required notification through the CMTS NLT 24 days before the event.

3. Ensures that the visit team possesses the requisite language, country skills, and military expertise to successfully carry out the airbase visit. For a visit to an airbase of another participating State (active visit), geographic CINCs will identify two US observers and provide the required information to the Joint Staff via CMTS. If practicable, the US Defense Attaché Office in the host State should provide one observer and the other observer should be a representative of the geographic CINC. Observers should have the requisite expertise associated with the type of equipment to be observed.

4. Coordinates the link up of visiting team members before arrival at the program rendezvous point and provides instructions/briefings as appropriate.

5. Obtains, as required, clearance for use of US military aircraft for transporting the US airbase visit team to the host State. Use of commercial air transportation is preferred.

6. Coordinates the preparation of a written airbase visit report and transmits via AUTODIN message to the Joint Staff, DOS(EUR), DOS(AC), OUSD(P), OUSD (AT&L), the Services, DTRA(OS), USDELMC NATO, US Mission Vienna, and DIA NLT 10 working days after completing the airbase visit.

(b) Visits to US Airbases (Passive Visits)

1. Serves as the official US representative for interpretation of VDOC 99, in accordance with this instruction and other guidance from the Joint Staff, during visits to US airbases.

2. Acts on behalf of the Joint Staff in coordinating with the host State for receiving observers.

3. Coordinates with the host State to ensure that host responsibilities delegated in the invitation are properly carried out.

4. Coordinates the program for the visit and visitor access with the host State.

5. Coordinates with the host State to ensure that board, lodging, and transportation are provided for the visiting observers.

6. Coordinates with the host State to ensure the visiting observers are provided the opportunity to meet at the close of the visit with host-State officials and senior airbase personnel to discuss the course of the visit.

7. Provides, as delegated, a briefing on the purpose and functions of the airbase and on current activity at the airbase.

8. Provides qualified escorts and liaison officers to the host State escort teams. Escort and liaison officers should serve as the interface between US forces and host-State escorts.

9. Ensures escorts and liaison officers assigned to assist the host-State escorts are familiar with restricted/sensitive locations, installations, and defense sites (not accessible to observers).

10. Ensures visitors are given the opportunity to view airbase activities, including preparations to carry out base functions, to gain an impression of the approximate number of sorties and types of missions flown.

(3) DTRA. Provides assistance and expertise to USEUCOM concerning escort activities for visits to US airbases (passive visits).

(4) USDELMC NATO. Facilitates the sharing of reports on visits to other participating States airbases (active visits).

(5) JCS Representative for European Security Issues (OSCE in Vienna, Austria). Facilitates the sharing of information pertaining to visits to US airbases (passive visits) with the military representatives of other OSCE participating States, as required.

b. Program of Military Contacts and Cooperation (MCC)

(1) Joint Staff

(a) Maintains overall responsibilities for the MCC measure.

(b) Coordinates with the appropriate unified commands the development of a program of military contacts within the scope of the MCC measure.

(c) Coordinates with the Services to encourage participation by OSCE participating States in Service formal courses of instruction.

(d) Coordinates with USCENTCOM, USEUCOM and USJFCOM on joint military training programs with OSCE participating States.

(e) Coordinates with USCENTCOM, USEUCOM, and USJFCOM and the Services on visits to military facilities and formations and observations of certain military activities. Coordinates with DTRA to ensure proposed dates do not conflict with other projected inspections/evaluations of US facilities.

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(f) J-5, Deputy Directors for Politico-Military Affairs (DDPMA), will coordinate with USCENTCOM, USEUCOM, USJFCOM, the Services, and DOD agencies to initiate the collection of data required for the timely submission of information regarding agreements on MCC. Data will be provided to J-5 DDPMA's NLT 15 October each year. J-5, DDPMA's will validate the accuracy of this data and consolidate input by 30 October each year.

(g) Coordinates with DOS to ensure that the official exchange of information on agreements is transmitted to the other participating States.

(h) Coordinates with USCENTCOM, USEUCOM, USJFCOM, and DOS on the timely response to invitations to participate in visits to military formations and facilities or observations.

(2) USCENTCOM, USEUCOM, and USJFCOM

(a) Execute the military contact program within respective areas of responsibility on behalf of the Joint Staff.

(b) Coordinate with the Services to ensure sufficient utilization of Service schools and training courses by OSCE participating States.

(c) Coordinate with other US geographic combatant commands, as necessary, to develop joint military training programs and port visits of USN vessels with other OSCE participating States.

(d) Provide Joint Staff (J-5, DDPMA's) with necessary data and information NLT 15 October annually to comply with the provisions of the MCC measure.

c. Demonstration of New Types of Major Weapon and Equipment Systems

(1) Joint Staff

(a) Coordinates with DOS, the respective US geographic combatant command, the respective Service, and the participating State on whose territory the demonstration will be conducted (host State) in determining the date, location, program content, and modalities when the United States conducts a demonstration of a new type of major weapon or equipment system.

(b) Coordinates, through USDELMC NATO, with the International Military Staff and US representative to OSCE to verify that no other State has already demonstrated the major weapon or equipment system.

(c) Ensures a valid requirement exists for conducting a demonstration.

(d) Determines if the demonstration will be executed as a separate event or conducted in conjunction with another activity or CSBM event.

(e) Provides information to DOS for use in preparing invitations to US-hosted demonstrations.

(f) Coordinates with the respective US geographic combatant command and the Services on all matters pertaining to demonstrations.

(g) Coordinates and directs, through the respective US geographic combatant command, the military effort in planning, organizing, and executing the demonstration of new types of major weapon or equipment systems.

(h) Assists the respective US geographic combatant command by serving as a liaison in coordinating US participation in a multi-State demonstration (air show or trade show).

(2) USCENTCOM, USEUCOM, USJFCOM

(a) Demonstrations by Other Participating States. Geographic CINCs are responsible for:

1. Organizing and executing US attendance at demonstrations by other participating States.

2. Providing the demonstration visit team as directed by the Joint Staff in response to an invitation to attend a demonstration. Geographic CINCs will identify two US observers and provide the required information to the Joint Staff via CMTS. If practicable, the US Defense Attaché Office in the host State should provide one observer and the other observer should be a representative of the geographic CINC. Observers should have the requisite expertise associated with the type of equipment being demonstrated. On an exceptional basis, the Joint Staff may elect to fill one of the two observer positions.

3. Submitting the names via CMTS of the visiting team members to the Joint Staff NLT 14 days after issue of the invitation to the demonstration. For protocol reasons, one individual should be, if possible, an O-5 or above. In providing the team members' names, include their rank, date of birth, place of birth, passport number, place of issue, and expiration date.

4. Ensuring that the visiting team possesses the requisite language, country skills, and military expertise to successfully observe the demonstration.

5. Coordinating with USDAO and the Joint Staff to ensure link-up of visiting team members before arrival at the demonstration place of assembly.

6. Obtaining, as required, clearance for use of US military aircraft in transporting the US demonstration visiting team to the host State.

7. Assisting the team in preparing its written after-action report on the demonstration. Transmit, via AUTODIN message, the report to the Joint Staff, DOS(EUR), DOS(AC), OUSD(P), OUSD(AT&L), the Services, DTRA(OS), USDELMC NATO, US Mission Vienna, and DIA NLT 10 working days after returning from the demonstration.

(b) Demonstrations by the United States. The responsible geographic combatant command will:

1. Serve as the official USG representative for interpretation of VDOC 99, in accordance with this instruction and other guidance from the Joint Staff, during demonstrations by the United States.

2. Plan, organize, and execute demonstrations as recommended by the Joint Staff.

3. Coordinate with the country on whose territory the US demonstration will take place:

a. To ensure there are no conflicts or restrictions on conducting the demonstration.

b. To receive and host representatives of other participating States.

c. To develop a demonstration program consistent with the laws and regulations of the country on whose territory the demonstration will take place.

4. Arrange for appropriate transportation of observers during the conduct of the demonstration. Transportation support should begin and conclude at a place of assembly specified in the invitation to the demonstration. States invited to the demonstration are responsible for travel expenses to and from the place of assembly for the demonstration and, if applicable, costs for accommodations during the visit.

5. Ensure observers have the opportunity to meet at the close of the demonstration and discuss the event with the senior officials responsible for the demonstration. It may also be appropriate to have selected technical experts on the system available to talk with observers.

6. Provide a briefing on the purpose and agenda of the demonstration.

7. Provide qualified escorts to facilitate the conduct of the demonstration and to serve as moderators during the demonstration. There may be a requirement to include a liaison officer from the country on whose territory the demonstration is taking place.

8. Ensure escorts and liaison officers are familiar with sensitive points and restricted locations not accessible to observers.

9. Establish a demonstration program that includes the following:

a. A demonstration of the new weapon or equipment system. An operational demonstration is permissible, but is not required for a demonstration.

b. An opportunity for observers to physically view the weapon or equipment system. An unclassified viewing of its internal configuration is acceptable.

c. An opportunity to meet and speak with qualified equipment crewmembers.

d. Appropriate safety briefing and gear for observers.

e. Transportation to and from demonstration sites and appropriate viewing facilities and devices (i.e., binoculars).

10. In the event of a multi-State demonstration, air show, or trade show event, coordinate and delineate responsibilities among the participants for the conduct of the equipment demonstrations. This coordination may include:

- a. An agreed order or agenda for the demonstration.
- b. Transportation requirements (if applicable).
- c. Briefing and host responsibilities.
- d. Timing and location.
- e. Invitations.

(3) DTRA. Provides assistance and expertise to USEUCOM concerning escort and liaison activities for demonstrations by the United States.

(4) USDELMC NATO. Facilitates the sharing of demonstration information and reports between the United States and its allies.

(5) JCS Representative for European Security Issues (OSCE in Vienna, Austria). Coordinates and shares information with allied OSCE military representatives of participating States as required. Interfaces and shares information with the OSCE military representatives of all participating States as directed.

d. Provision of Information on Contacts. The United States does not conduct additional visits to which observers from other participating States are invited, except for the once-each-5-years requirement for a visit to a US airbase, military facility, formation, or activity, or a demonstration of a new type of major weapon or equipment system. Five-year visits to US airbases may include a military facility, formation, or activity.

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APPENDIX E TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER V, PRIOR NOTIFICATION
OF CERTAIN MILITARY ACTIVITIES

1. Policy

a. Prior notification of certain military activities (see Chapter V of reference a and Enclosure B to this instruction) is required 42 days in advance of the start of the notifiable military activity. Notification is given by the participating State on whose territory the activity is planned to take place (host State). The United States also must notify all activities that meet the requirements of a notifiable military activity whether participating in an activity with other participating States or acting alone. This requirement is in addition to the notification requirements of the host State.

b. NATO members are required to coordinate draft notifications 60 days in advance of the start of the notifiable military activity with other NATO members.

c. Alerts are exceptions to the requirement for notification of certain military activities 42 days in advance. Notification of an alert that will exceed a notifiable threshold is coincident with the start of the alert activity.

2. Procedures. All inputs required for prior notification of certain military activities and alerts are transmitted by DOS via the OSCE communications network based on information provided by the Joint Staff. Geographic CINCs, in coordination, provide the Joint Staff, via the CMTS, the required information and data for individual activity notifications. The Joint Staff validates the accuracy and completeness of the input by coordinating with the NATO International Military Staff, the Services, OUSD(P), OUSD(AT&L), and DTRA.

2. Responsibilities

a. Individual Activity Notifications

(1) Joint Staff

(a) Conducts preliminary coordination with USCENTCOM, USEUCOM, USJFCOM, and the Joint Staff, J-7, 90 days before the start of a notifiable activity to facilitate accurate and complete input to DOS on individual activity notifications.

(b) For multinational activities, coordinates with the appropriate allies as necessary to facilitate accurate and complete information.

(c) Obtains geographic CINC input to the draft activity notification NLT 70 days before the start of the activity.

(d) Submits the US draft activity notification to US Mission NATO and the USDELMC NATO for review by the International Military Staff NLT 60 days in advance of the start of the activity.

(e) Obtains USDELMC NATO comments or concurrence NLT 50 days in advance of the activity's commencement and incorporates it in the notification as appropriate.

(f) Provides DOS the draft activity notification NLT 49 days in advance of the start of the notifiable activity. DOS (interagency) will review the draft notification before DOS transmits the official notification to all participating States via the OSCE communications network approximately 45 days before the start of the activity.

(g) Ensures that USCENTCOM, USEUCOM; USJFCOM; USDELMC NATO, the NMCC, DTRA, and the Joint Staff, receive copies of the official notification.

(2) Geographic CINCs

(a) Collect and validate data from USCENTCOM and USJFCOM concerning individual activity notifications.

(b) Provide the Joint Staff with individual activity notifications NLT 70 days before the start of the activity.

(c) Provide the Joint Staff comprehensive notification information regarding exercise-related activities 80 days in advance of the start date. Include air and sea arrival and/or redeployment points and, if applicable, military storage sites to be used.

(d) Provide the Joint Staff a draft copy of the host-State notification of exercise-related activities 60 days in advance of the start date.

(e) Coordinate with the host-State Ministry of Defense as required on notifiable activities. Coordination will not involve policy matters.

(3) USDELMC NATO

(a) Obtains US draft activity notifications NLT 60 days before the start of the notifiable activity and coordinates the US draft notification within NATO for concurrence or comment.

(b) Provides comments and/or concurrence on activity notifications to the Joint Staff NLT 50 days before the start of the activity.

(c) Provides the Joint Staff with draft allied activity notifications NLT 55 days before the start of the activity.

(d) Obtains Joint Staff comments and/or concurrence on allied draft activity notifications NLT 50 days before the start of the activity.

(4) USCENTCOM and USJFCOM

(a) Review forecast of annual training exercises for activities and identifies those activities meeting notification levels.

(b) Provide input, where appropriate, to USEUCOM regarding individual activity notifications NLT 70 days in advance of the start date of that activity.

b. Activities With No Prior Notification (Alerts). Activities conducted without prior notification to the troops involved (i.e., alerts) are exempt from the 42-day prior notification provision of reference a. Notification will be given at the time the troops involved commence such activities. USEUCOM will be required to coordinate with the host State, draft the notification, clear it with USDELMC NATO, and provide it to DOS for transmission via the OSCE communication network to all other participating States.

(1) USEUCOM will notify the Joint Staff (J-5) as soon as a notifiable alert activity is planned (a minimum of 7 days before the start of the activity).

(2) All coordination required for individual activity notifications will apply to alerts, but the timeline will be accelerated to "as soon as possible" so that the activity can be notified simultaneously with the start of the alert.

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APPENDIX F TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING VIENNA
DOCUMENT 1999, CHAPTER VI, OBSERVATION OF CERTAIN MILITARY
ACTIVITIES

1. Policy. Participating States are required to invite observers from all other participating States to observe certain military activities of their land forces above established thresholds (see Chapter VI of reference a and Enclosure B to this document). In this regard, the term land forces includes amphibious, airmobile, heliborne, and airborne forces.

2. Procedures. Invitations to observe US military activities in the zone of application are transmitted by DOS via the OSCE communications network based on information provided by the Joint Staff. USEUCOM, in coordination with USCENTCOM and USJFCOM, provides the Joint Staff, via the CMTS, with the required information and data for individual observations.

3. Responsibilities

a. Joint Staff

(1) Coordinates the military effort in planning, organizing, and executing the US observation program.

(2) Assesses all participating States' annual calendars for potential observable exercises and provides this assessment to USEUCOM.

(3) Coordinates with USEUCOM, the organization, training, and conduct of the US observation effort.

(4) Coordinates with USEUCOM to obtain via the CMTS the names of the two members of the observation team and forwards this information via the CMTS to DOS NLT 28 days before the activity start date specified in the invitation. (DOS must respond to the host State NLT 21 days prior to the start date of the activity.)

b. USEUCOM (in coordination with USCENTCOM and USJFCOM)

(1) Active Observation Program

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- (a) Acts on behalf of the Joint Staff in organizing, planning, and conducting the observation program.
- (b) Coordinates the selection of the observation team, as directed by the Joint Staff, for observable military activities when the United States is invited by another participating State.
- (c) Coordinates with the DAO in the host State to obtain the name of its representative. For host States in the USCENTCOM area of responsibility, USEUCOM coordination will be through USCENTCOM. If the DAO declines to provide an observer, USEUCOM, in coordination with the Joint Staff, will fill the DAO allocation with a suitable representative.
- (d) Provides names of two observers via the CMTS to the Joint Staff 30 days before the start date specified in the invitation or as directed by the Joint Staff.
- (e) Ensures that the observation team possesses the requisite language, country skills, and military expertise to successfully carry out the observation.
- (f) Ensures that potential observers remain current in their training and preparation and that each member possesses a current passport.
- (g) Coordinates with USDAO to ensure link-up of observers before arrival at the observer program rendezvous point.
- (h) Arranges a briefing of the observation team before its departure for observer duty, if possible.
- (i) Obtains, as required, clearance for the use of US military aircraft in transporting the US observation team to the host State.
- (j) Arranges a debriefing of the observation team upon completion of the observation, if possible.
- (k) Assists the team in preparing a written observation report for transmission via AUTODIN message to DOS(EUR), DOS(AC), the Joint Staff, OUSD(P), OUSD(AT&L), USCENTCOM, USJFCOM, DTRA, USDELMEC NATO, US Mission Vienna, and DIA NLT 10 working days after completing the observation program.

(2) Passive Observation Program. The United States will never be the host State for an observable activity in Europe under VDOC 99. The host State is responsible for extending invitations for activities conducted on its territory.

(a) Acts on behalf of the Joint Staff in coordinating with the host State for the conduct of the observation program.

(b) Provides to the Joint Staff a draft of all observation programs 70 days in advance of each program's start date.

(c) Provides information on any observable US activity announced in the annual calendar that is to be reduced below the required threshold or canceled.

(d) Ensures that the observation program clearly establishes the nonthreatening nature of the activity and satisfies the reasonable requests of the observers.

(e) Ensures that personnel and troops taking part in the observed exercise are adequately informed as to the presence, status, and functions of the observers.

(f) Coordinates with the host State when US troops are involved to ensure that observer transportation, a commencement briefing, and observation equipment are provided.

(g) Provides qualified escorts and liaison officers to the host State's escort team when US troops are involved. Escort and liaison officers should provide the interface between the US forces and the host-State's escorts.

(h) Ensures escorts and liaison officers assigned to assist the host State escorts are familiar with restricted locations, installations, and defense sites (not accessible to observers).

(i) Provides escort teams during exercise-related exercises as delegated by the host State.

c. USDELMC NATO. Facilitates the sharing of observation visit reports between the United States and its allies.

d. JCS Representative for European Security Issues (OSCE in Vienna, Austria). Shares information with, and facilitates response to questions from,

military OSCE representatives concerning US observation reports and activities.

APPENDIX G TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER VII, ANNUAL CALENDARS
AND CHAPTER VIII, CONSTRAINING PROVISIONS

1. Policy. Annual calendars of military activities subject to prior notification and to constraining provisions must be compiled and validated by the Department of Defense and submitted to DOS (interagency) to meet the VDOC 99 requirement to exchange such information and data with all other participating States annually by 15 November.

2. Procedures. USEUCOM, in coordination with USCENTCOM and USJFCOM, provides the Joint Staff via the CMTS with the information and data required in Chapter VII of VDOC 99, subject to the constraining provisions in Chapter VIII of VDOC 99. The Joint Staff validates the accuracy and completeness of the input by coordinating with USDELMC NATO, the Services, OUSD(P), OUSD(AT&L), and appropriate DOD agencies. The Joint Staff transmits the annual calendar to DOS (interagency) for review and transmission over the OSCE Communications Network to the other OSCE participating States.

3. Responsibilities

a. Joint Staff

(1) Conducts preliminary coordination with J-7 (Joint Exercise Division), USEUCOM, USCENTCOM, USJFCOM, the Services, OUSD(P), OUSD(AT&L), and USDELMC NATO during June of each year to facilitate compilation of the required information and data for the annual calendar for the upcoming year by USEUCOM.

(2) Coordinates with and obtains USEUCOM draft annual calendar NLT 1 October of each year.

(3) Submits NLT 15 October of each year the draft annual calendar and constraining provisions to USDELMC NATO for review by the International Military Staff.

(4) Obtains draft allied annual calendars from USDELMC NATO NLT 15 October of each year and provides comments or concurrence on these calendars NLT 31 October of each year.

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(5) Obtains NATO International Military Staff comments or concurrence on the US draft annual calendar from USDELMC NATO NLT 31 October of each year.

(6) Provides DOS the annual calendar NLT 1 November of each year. DOS transmits the annual calendar via the OSCE Communications Network to other participating States on or before 15 November of each year.

(7) Ensures information on activities forecast in the annual calendar and subsequently canceled or reduced below notifiable thresholds and information on military activities subject to prior notification not included in the annual calendar are provided to DOS for transmission to the other participating States.

(8) Ensures that DOS is informed if no military activity subject to prior notification is forecast for the calendar year and that a nil message is initiated by USEUCOM via the CMTS.

(9) Ensures that USEUCOM, USCENTCOM, USJFCOM, USDELMC NATO, the Services, DTRA, the Joint Staff (NMCC and J-7), receive official US calendars as well as changes and/or cancellations to the calendar.

b. USEUCOM in Coordination with USCENTCOM and USJFCOM

(1) In coordination with USCENTCOM and USJFCOM, collects, validates, and compiles the information and data required for the annual calendar, subject to constraining provisions, from the appropriate sources.

(2) Provides the Joint Staff via the CMTS the draft annual calendar NLT 1 October of each year.

(3) Ensures information on activities reported in the annual calendar and subsequently cancelled or reduced below notifiable thresholds and information on military activities subject to prior notification not included in the annual calendar are provided to the Joint Staff in a timely manner.

(4) Ensures that the Joint Staff is informed if no military activity subject to prior notification is forecasted for the calendar year.

c. USDELMC NATO

(1) Coordinates the US draft annual calendar (to be received by 15 October) with the NATO International Military Staff and provides comments or concurrence to the Joint Staff NLT 31 October of each year.

(2) Provides the Joint Staff with draft allied annual calendars NLT 15 October of each year so that the Joint Staff can provide comments or concurrence NLT 1 November of each year.

(3) Facilitates the flow of information between the Joint Staff and NATO International Military Staff.

d. USCENTCOM and USJFCOM

(1) Collect, validate, and compile information and data required by Chapter VII of VDOC 99, subject to the constraining provisions of Chapter VIII of VDOC 99, for the annual calendar.

(2) Coordinate with and provide USEUCOM with the required information and data for the annual calendar NLT 22 September of each year.

(3) Inform USEUCOM if no military activity subject to prior notification is forecast for the calendar year and if a planned activity included in the annual calendar is canceled or changed.

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APPENDIX H TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING VIENNA DOCUMENT 1999, CHAPTER IX, COMPLIANCE AND VERIFICATION

1. Policy

a. Inspections. VDOC 99 inspections are designed to produce increased transparency and confidence regarding the nature and intent of military activities of participating States. VDOC 99 inspections are directed against a geographic area referred to as a "specified area" and defined as "...terrain where notifiable military activities are conducted or where another participating State believes a notifiable military activity is taking place." Within the specified area for inspection, sensitive areas or points, military installations, naval vessels, military vehicles, and aircraft located within the specified area are not subject to inspection.

b. Evaluations. Access will be provided to evaluated units by evaluators of other participating States in the most open, forthright, and unrestricted way possible, with due consideration given to US force protection, operations security, and safety of the evaluators. The declaration of sensitive areas and points should be kept to a minimum, subject to US force protection and operations security requirements. The US intent is to provide a positive impression of US forces and our way of life to representatives from other participating States, particularly those from Central and Eastern Europe and the former USSR.

2. Procedures

a. Inspections

(1) US territory is not in the VDOC 99 zone of application. Accordingly, US territory is not subject to inspection and the United States does not act as the host State (receiving State) to inspections conducted under the provisions of Chapter IX of VDOC 99. The US role during a passive inspection of US military activities in a specified area under the provisions of Chapter IX of reference a is defined and delineated in separate bilateral agreements with respective host States on whose territory US Forces are either temporarily or permanently located. In general terms, the US role is to advise US forces inside the inspection area and assist the host State.

(2) DTRA, with policy guidance from the Chairman of the Joint Chiefs of Staff and OUSD(P), is responsible for the conduct of active inspections of

other participating States' military activities. Support requirements for active inspections will be delineated in the MOU established and maintained between DTRA, USEUCOM, USCENTCOM, and USJFCOM (see paragraphs 2.d. and 6.d in Enclosure C to this instruction).

(3) USCENTCOM, USEUCOM, and USJFCOM, with policy guidance from the Chairman and OUSD(P), are responsible for the conduct of passive inspections of US military activity in the VDOC 99 zone of application and for balancing transparency with force protection and operations security requirements.

b. Evaluations

(1) Although generally clear in their requirements, the provisions for evaluations in Chapter IX of reference a do not articulate well the concept under which the evaluation provisions were negotiated and agreed. The concept is to give participating States an opportunity to gain an impression of the general validity of the information and data provided by other participating States.

(2) Chapter IX provisions for evaluations are intended as a vehicle for openness and transparency and not, as in the case of CFE inspections, a program of strict accounting. Evaluation visits should contribute to the process of openness and transparency while simultaneously limiting the rigor of the accounting required under CFE.

(3) Evaluation visits last up to 12 hours and are not permitted to interfere with the normal activities of the unit or formation visited. Based on current US force structure deployed in the VDOC 99 zone of application, the United States is liable to receive only one evaluation visit per year.

(4) DTRA, with policy guidance from the Chairman of the Joint Chiefs of Staff and OUSD(P), conducts active evaluations. Support requirements for passive evaluations of US forces will be delineated in the MOU established and maintained between DTRA, USEUCOM, USCENTCOM, and USJFCOM (see paragraphs 2.d. and 6.d in Enclosure C to this instruction).

(5) USCENTCOM, USEUCOM, and USJFCOM, with policy guidance from the Chairman and OUSD(P), are responsible for balancing transparency with force protection and operations security requirements.

3. Responsibilities

a. Inspections

(1) Joint Staff

(a) Coordinates with USCENTCOM, USEUCOM, USJFCOM, OUSD (P), the Services, and DTRA on all matters pertaining to inspections.

(b) Coordinates with USCENTCOM, USEUCOM, USJFCOM, and DIA for selection of other participating States for the conduct of US active inspections. Participates in all interagency activities that lead to guidance for US participation in Verification Coordination Center activities related to inspections.

(2) USEUCOM, in Coordination with USCENTCOM and USJFCOM (Passive Inspection Program)

(a) Coordinates planning with DTRA to ensure compliance with the inspection provisions of reference a.

(b) Ensures commanders of units and formations present within the specified area are kept fully advised of all information pertaining to a requested inspection and that appropriate measures are taken with respect to force protection and operations security.

(c) Informs DTRA of all military activities, operations, and exercises within the area specified in an inspection request.

(d) Provides requested data on US forces participating in activities within the specified area of the inspection to DTRA and the host-State point of contact.

(e) Ensures commanders retain overall responsibility for compliance with the requirements or reference a.

(f) Provides the DTRA team chief information on areas or sensitive points to which access is normally denied or restricted during inspections and other force protection and operations security measures that will be enforced.

(g) Provides DTRA with liaison officer(s) from the appropriate exercise-directing headquarters for any exercise occurring within the specified

area to interface among the escort officers of DTRA, US forces, and the host State.

h) Ensures US liaison officer(s) are knowledgeable of the nature and scope of the activities taking place within the specified area.

(i) If US Forces participating in an activity in the specified area, ensures the commander or the deputy commander of the US contingent in the exercise and/or activity is available to brief the inspectors on the nature and scope of US participation in the activity.

(j) Ensures the liaison team size is kept to the absolute minimum required. Higher headquarters should have no more than one member per agency.

(k) Ensures, in coordination with DTRA and the host State, that no actions are taken that could endanger the inspection team. Commanders must ensure their personnel are briefed on the upcoming inspection, particularly the presence, status, and functions of the inspection team.

(l) Forwards inspection after-action reports to DTRA and the Joint Staff and disseminate lessons learned.

(m) Provides, in coordination with DTRA and the host State, theater public affairs guidance concerning inspection visits.

(3) DTRA

(a) Formulates, trains, and leads inspection teams for conducting active inspections on the territory of other participating States.

(b) Develops plans and, in close coordination with USCENCOM, USEUCOM, and USJFCOM, prepares to assist the host State in the escort of inspectors from other participating States.

(c) Formulates, trains, and leads the escort/liaison teams for passive inspections.

(d) Directs and supervises US escorts and performs liaison functions with host-State representatives.

- (e) Serves as the senior USG representative during passive inspections.
- (f) Provides official US interpretation for reference a issues during the course of the inspection and resolves all document-related issues between site personnel, inspection teams, and the host-State representatives.
- (g) Provides advice and assistance to US commanders as requested and ensures its presence during all contacts between US forces and inspectors.
- (h) Notifies inspectors of sensitive points and restricted areas as necessary.
- (i) Notifies the NMCC, USEUCOM, USCENCOM, USJFCOM, and Service Operations Centers of requested inspections. Passes host-State information to the respective geographic combatant command center at the earliest possible moment.
- (j) Ensures USEUCOM, USCENCOM, and USJFCOM receive inspection reports, active and passive.

b. Evaluations

(1) Joint Staff

- (a) Ensures requests for evaluation visits to US forces by other participating States have been received by DTRA, USEUCOM, USCENCOM, and USJFCOM as applicable.
- (b) Coordinates with USEUCOM, USCENCOM, and USJFCOM (as applicable), the Services, OUSD(P), OUSD(AT&L), and DTRA on all matters pertaining to requests for evaluation visits, to include obtaining the responsible geographic combatant command 's recommendation/ coordinating a DOD position on whether to accept or refuse the request.
- (c) Forwards the DOD-recommended response to an evaluation request to DOS (interagency) for formulating the US response to the evaluation request (accept or refuse).

(2) USEUCOM in Coordination with USCENCOM and USACOM

- (a) Coordinates planning with DTRA and ensures compliance with reference a.

(b) Develops plans for implementation of the evaluation provisions of reference a.

(c) Provides a recommended response to an evaluation request to the Joint Staff. Ensures recommendation for refusal includes reasons and number of days the formation or unit will not be available. If the formation or unit is outside its normal peacetime location, include the reasons for, and the duration of, the absence.

(d) Informs DTRA of all military activities, operations, and scheduled exercises that may have an impact on the requested evaluation visit.

(e) Provides, in coordination with DTRA and the host State, public affairs guidance concerning evaluation visits.

(f) Ensures the commander, or deputy commander if the commander is not available, of the evaluated formation or unit provides a briefing on personnel and the major weapon and equipment systems of the formation or unit reported in the information exchange. The evaluation begins with a briefing that includes:

1. Information provided in the last information exchange, the current status of that information, and the reasons, if any, for differences.

2. A map depicting the location of command subelements and a schematic of the locations subject to evaluation.

3. Information on the location of unit facilities, including flight lines and vehicle parks.

4. Information on the units missions, location, activities, and training.

(g) Ensures outside participants of the briefing, especially individuals from higher headquarters, refrain from providing information during the briefing. (Does not preclude questions being answered by members of the formation or unit.)

(h) Ensures commanders of evaluated formations or units:

1. Recommend to the evaluation team a route that provides the best opportunity to see formation or unit personnel and equipment.

The evaluation team is not obligated to accept the recommendation and may dictate its own route.

2. Retain overall responsibility for compliance by the formation or unit with the requirements of reference a.
3. Provide the DTRA escort team chief information on sensitive points, facilities, and equipment.
4. Provide key personnel for the duration of the evaluation to facilitate access to buildings or areas where personnel or major weapon and equipment systems of the evaluated formation or unit are located.
5. For unit evaluations, provide the evaluators the possibility to see the personnel and equipment reported in the information exchange (a visit to the unit's areas, barracks, mess halls, a drive-through of the on-base housing areas, and the motor pool area or flight line).
6. For formation evaluations, provide a briefing. This briefing is all that is required. However, to further openness and transparency, the commander should make every effort to provide the opportunity to see personnel and some of the major weapon systems reported for the formation.

NOTE: Commanders may show any of the formation's subordinate units that were not reported separately in the annual information exchange. Units that have been reported separately in the information exchange will not be shown.

- (i) Encourage s commanders to allow evaluators to observe ongoing unit training on the facility or nearby training areas (not to include locations that require the unit to depart the local training area). However, commanders are not required to disrupt training or stage special training exercises for the evaluators' benefit.
- (j) Ensures evaluators are provided the opportunity to talk with formation or unit personnel.
- (k) Commanders may informally arrange to take photographs for publicity and goodwill purposes. Ensure teams use only the type of equipment specified in paragraph 131, Chapter IX, of VDOC 99.
- (l) Ensures the liaison team size is kept to the absolute minimum required. Higher headquarters should have no more than one member per

agency. Personnel above this guideline will be coordinated and agreed between DTRA and USEUCOM before the evaluation visit. The commander of the evaluated formation or unit may choose an appropriate number from his or her staff.

(m) Ensures no actions are taken that could endanger the evaluation team. Commanders must ensure their personnel are briefed on the upcoming evaluation, particularly the presence, status, and functions of the evaluation team.

(3) DTRA

(a) Formulates, trains, and leads evaluation teams to conduct active evaluations on the territory of other participating States.

(b) Formulates, trains, and leads the escort teams for passive evaluations. Provides, under normal circumstances, one escort for every evaluator. Personnel above the limit of one escort for every evaluator will be coordinated between DTRA and USEUCOM -- and USCENTCOM AND USJFCOM as applicable -- before the evaluation visit. Higher headquarters and local personnel composing the liaison team will report to the DTRA team chief during the evaluation.

(c) Performs US escort and liaison functions in the reception of passive evaluation visits.

(d) Notifies the NMCC and Service Operations Centers of notifications of evaluation requests by other participating States.

(e) Develops plans and, in close coordination with USEUCOM, USCENTCOM, and USJFCOM, as applicable, prepares to assist the host State in the escort of the evaluation team.

(f) Controls US escorts and performs liaison functions with the host-State representatives.

(g) Serves as the senior US representative during passive evaluations.

(h) Provides official US on-site interpretation of reference a to commanders during passive evaluations and resolves all document-related issues among site personnel, evaluation teams, and host-State representatives.

(i) Ensures evaluation teams use only the type of equipment specified in paragraph 131, Chapter IX, of VDOC 99 (maps and charts, photo and video cameras, personal binoculars, and Dictaphones). No other equipment is allowed.

(j) Declares sensitive points, equipment, and facilities (provided by the formation or unit commander) to the evaluation team when necessary. CFE restrictions on access, operations security, and force protection will be the basis for the declaration of sensitive points during VDOC 99 evaluation visits.

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APPENDIX I TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER X, REGIONAL MEASURES

1. Policy. The United States supports the concept of regional measures to complement OSCE-wide CSBMs and other cooperative measures on a voluntary basis. Under the current environment in the OSCE zone of application, the United States does not foresee the need for direct involvement in regional measures.

2. Procedures. The US OSCE Delegation monitors and provides reports to DOS on activities of the FSC associated with regional measures and seeks guidance as appropriate. DOS leads interagency review and evaluation of the reported activities as appropriate.

3. Responsibilities

a. Joint Staff. In coordination with USCENTCOM, USEUCOM, USJFCOM, the Services, OUSD(P), and OUSD(AT&L), provide military advice to the interagency in all matters pertaining to regional measures.

b. USCENTCOM, USEUCOM, and USJFCOM.

(1) Monitor activities associated with regional measures in respective areas of responsibility and report to the Joint Staff as appropriate.

(2) Provide command assessments and host-State military perspectives on matters related to regional measures as requested.

c. USDELMC NATO. Provides information and Allies' views in matters pertaining to regional measures being considered by other NATO members.

d. JCS Representative for European Security Issues (OSCE in Vienna, Austria)

(1) Monitors OSCE and FSC activities associated with regional measures and reports to the Joint Staff as appropriate.

(2) Provides assessments and military perspective of OSCE participating States' military representatives who may be considering regional measures.

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APPENDIX J TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER XI,
ANNUAL IMPLEMENTATION ASSESSMENT MEETING

1. Policy. The United States participates fully in all AIAM and reviews and responds, as appropriate, to all surveys, agenda items, or other AIAM papers promulgated by the FSC.

2. Procedure. The FSC conducts AIAM to clarify questions arising from implementation, the operation of agreed measures, and the implications of information gained from implementation of VDOC 99. DOS (interagency) coordinates and formulates US positions on all matters pertaining to AIAMs.

3. Responsibilities

a. Joint Staff. In coordination with USCENTCOM, USEUCOM, USJFCOM, the Services, OUSD(P), and OUSD(AT&L), provide military advice to the Interagency in all matters pertaining to AIAMs.

b. USCENTCOM, USEUCOM, and USJFCOM

(1) Review and provide comments and/or concurrence in AIAM agenda items, surveys, or other papers as requested by the Joint Staff.

(2) Report and make recommendations to the Joint Staff concerning the clarification of questions, operation, and implications that may arise from the implementation of VDOC 99, as appropriate.

c. USDELMC NATO

(1) Facilitates the exchange of information with NATO allies on all matters pertaining to AIAM agenda items, surveys, or other papers as requested by the Joint Staff.

(2) Provides allies' perspectives on matters pertaining to AIAM initiatives related to the clarification of questions, operation, and implications that may arise from the implementation of VDOC 99.

d. JCS Representative for European Security Issues (OSCE in Vienna Austria)

(1) Monitors OSCE and FSC activities associated with the AIAM and reports to the Joint Staff as appropriate.

(2) Provides assessments and US military perspective to OSCE participating States' military representatives who may be considering AIAM issues or initiatives related to the clarification of questions, operation, and implications that may arise from the implementation of VDOC 99.

APPENDIX K TO ENCLOSURE C

POLICY, PROCEDURES, AND RESPONSIBILITIES CONCERNING
VIENNA DOCUMENT 1999, CHAPTER XII, FINAL PROVISIONS

1. Policy

a. OSCE Communications Network. DOS operates the US communications node in the OSCE Communications Network and transmits official US notifications required by VDOC 99. Within DOD, VDOC 99 information and data requirements are incorporated and applied to the extent possible to the CFE Data Management and Notification System (DMNS), a component of the CMTS.

b. Implementation. The United States subscribes to VDOC 99, recognizing the measures adopted therein as politically binding. By this endorsement, the United States commits to full implementation and compliance with all provisions contained in VDOC 99, which entered into force on 1 January 2000.

2. Procedure

a. OSCE Communications Network. VDOC 99 notifications requiring military information and data are generated and transmitted to DOS via the DOD Compliance Monitoring and Tracking System. OUSD(AT&L), the Joint Staff, USEUCOM, and DTRA operate CMTS computer consuls and interface with DOS.

b. Implementation. The United States implements the provisions of VDOC 99 for the mutual benefit of all participating States and with the common goals of promoting security cooperation and reducing the risk of military conflict.

3. Responsibilities

a. OSCE Communications Network

(1) Joint Staff

(a) Operates a CMTS computer console.

(b) Reviews, approves, and forwards to DOS all notification messages generated and transmitted by USEUCOM.

(2) USEUCOM

(a) Operates a CMTS computer console.

(b) Collects, generates, and transmits information and data related to active and passive inspections, evaluations, observations, and visits required by VDOC 99.

(c) Receives information and data from USCENTCOM and USJFCOM pertaining to their respective military activities that require notification under VDOC 99. USEUCOM formats this information and data and transmits it via the CMTS to the Joint Staff.

(d) In coordination with USCENTCOM and USJFCOM, develops procedures for the submission of information and data concerning military activities that require notification under VDOC 99.

(3) USCENTCOM and USJFCOM. Submit required information and data to USEUCOM for formatting, generating, and transmitting VDOC 99 notifications via the CMTS.

(4) DTRA

(a) Develops, operates, and maintains the CMTS, to include operation of a computer console.

(b) Generates and transmits to DOS all notifications required by VDOC 99 relating to the conduct of active inspections and evaluations.

(c) Maintains the capability to communicate with the Joint Staff, OUSD(AT&L), the NMCC, USCENTCOM, USEUCOM, and USJFCOM to pass information and data related to the conduct of active and receipt of passive inspections and evaluations.

b. Implementation. OUSD(P) is responsible for overall coordination of policy for DOD's involvement in the OSCE process. Each DOD Service component and agency ensures compliance with the provisions of VDOC 99 within their organization and implements these provisions in accordance with references d and e to this instruction and other guidance provided by the Joint Staff.

GLOSSARY

A

| | |
|------|----------------------------------------------|
| ACV | armored combat vehicle |
| AIAM | Annual Implementation and Assessment Meeting |
| AIFV | armored infantry-fighting vehicle |
| APC | armored personnel carrier |
| ATGM | antitank guided missile |
| AVLB | Armored vehicle launched bridge |

C

| | |
|---------|---------------------------------------------|
| CAC | Conventional Arms Control |
| CFE | Conventional Armed Forces in Europe |
| CINC | commanders in chief of unified commands |
| CMTS | Compliance Monitoring and Tracking System |
| CPC | Conflict Prevention Center |
| CRG | Compliance Review Group |
| CSBM(s) | Confidence-and-Security-Building Measure(s) |

D

| | |
|--------------|----------------------------------------|
| DAO | Defense Attaché Office |
| DCI | Director of Central Intelligence |
| DIA | Defense Intelligence Agency |
| DMNS | Defense Management Notification System |
| DOS | Department of State |
| DOS, EUR/RPM | Department of State, European Division |
| DTRA | Defense Threat Reduction Agency |

E

| | |
|------|-------------|
| ECJ5 | USEUCOM J-5 |
|------|-------------|

F

| | |
|-----|--------------------------------|
| FSC | Forum for Security Cooperation |
|-----|--------------------------------|

G

| | |
|-----|------------------------|
| GNP | gross national product |
|-----|------------------------|

H

| | |
|------|-------------------------------|
| HACV | heavy armament combat vehicle |
|------|-------------------------------|

I

| | |
|-----|-------------------------|
| IAW | in accordance with |
| IC | Intelligence Community |
| ITV | Improved T.O.W. vehicle |

J

| | |
|-------------|-----------------------------------------------------|
| J5 | Strategic Plans and Policy Directorate, Joint Staff |
| J5 DDPMA | Deputy Director for Political-Military Affairs |
| J53 USJFCOM | J53 United States Joint Forces Command |
| JCS | Joint Chiefs of Staff |

| | |
|--------------|----------------------------------------------------------|
| | L |
| LBNA | land based naval air |
| | M |
| MCC | military contacts and cooperation |
| MOU | memorandum of understanding |
| MPA | maritime patrol aircraft |
| | N |
| NATO | North Atlantic Treaty Organization |
| NLT | not later than |
| NMCC | National Military Command Center |
| NSC | National Security Council |
| | O |
| OSCE | Organization for Security and Cooperation in Europe |
| OUSD(P) | Office of the Under Secretary of Defense for Policy |
| OUSD(AT&L) | Office of the Under Secretary of Defense for Acquisition |
| | P |
| POET | Protocol on Existing Types |
| | S |
| SOP | standard operating procedure |
| | U |
| USAMC LOGSA | US Army Material Command, Logistics Support Agency |
| USAREUR | US Army, Europe |
| USCENTCOM | US Central Command |
| USCINCEUR | US Commander in Chief, Europe |
| USCINCFJCOM | Commander in Chief, US Joint Forces Command |
| USDAO | US Defense Attaché Office |
| USDELMC NATO | US Delegation, Military Committee, NATO |
| USEUCOM | US European Command |
| USG | US Government |
| | V |
| VCC | Verification Coordinating Committee |
| VDOC 99 | Vienna Document 1999 |