



# U.S. NAVAL WAR COLLEGE

## STRATEGIC PLAN 2014–2018

JUNE 2014



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## OVERVIEW

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The United States Naval War College (NWC) holds fast to the vision first articulated by its Founding President, Rear Admiral Stephen B. Luce, USN: *“[The War College] is a place of original research on all questions relating to war and to statesmanship connected with war, or the prevention of war.”* Vice Admiral Stansfield Turner, USN, the College’s thirty-seventh President, added focus and specificity to that depiction of the character of the institution with the following injunction. *“Any new improvement in the College’s courses of instruction must support the objective of the Naval War College, which is to enhance the capability of naval officers to make sound decisions in both command and management positions. To do this the College will emphasize intellectual development and academic excellence.”* These timeless words of Luce and Turner embody the tradition and mission of the College.

Our central focus is to educate leaders—that is an element of all four core NWC missions: educating and developing leaders; helping to define the future Navy and its roles and missions; supporting combat readiness; and strengthening global maritime partnerships. To accomplish these missions, the College must continue to attract and retain talented and expert faculty and staff who are committed to collaborating across organizational lines.

Each of NWC’s core missions is relevant to the future security environment envisioned in the *Quadrennial Defense Review 2014*. Of particular importance will be the College’s continuing ability to infuse a culture of innovation and adaptation into our courses and programs, in order to address the challenges of reshaping and rebalancing the U.S. Navy for an uncertain future. In this climate of fiscal austerity, the College will face hard choices and must continually prioritize and assess its efforts.

The hub of the College remains the educational enterprise built around our professional military education / joint professional military education (PME/JPME) resident core curricula. The expertise required to deliver this core enterprise underpins excellence in other mission endeavors. Sophisticated war gaming, research, and analysis will continue to support the Navy’s senior leaders, who often turn to NWC for the visionary strategic thinking that supports the Navy’s needs. Demands on the operating forces will continue to require expertise at the operational level of war, deeper understanding of joint warfighting, and a more robust contribution to the fleet’s joint/combined command and control in overlapping domains. The ever-increasing role that alliances, coalitions, and partner nations play in global and regional security will require the College to continue to strengthen the Navy’s global maritime partnerships. Because resources will be constrained, the College must be innovative in meeting mission requirements, identifying efficiencies, and controlling costs.

Despite the resource challenges the armed services will face, the Chairman of the Joint Chiefs of Staff has committed to protecting education as the linchpin of strategic thought and innovation. The Chief of Naval Operations (CNO), the Chairman, Joint Chiefs of Staff (CJCS), and the Secretary of Defense have all increased focus on the profession of arms and the need for strong, ethical leaders to respond to future

challenges. The CNO has recently named NWC as the Navy’s executive agent for leadership and ethics, further increasing our responsibility for educational outreach across the Navy’s total force. This is now a key component of our mission to educate leaders.

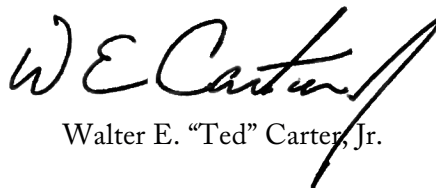
The College’s Mission, Functions and Tasks (MFT) statement serves as a primary guide for the College’s operations. This strategic plan places those requirements in the context of our resourcing priorities. Due to the uncertainty of resourcing in the years ahead, we anticipate annual reviews of our strategic plan to determine program objectives.

The plan’s strategic goals and their related objectives should animate and inform the agendas of the departments within the College. To this end, deans, chairs, directors, faculty, and staff are charged with understanding this plan and implementing its goals by developing supporting objectives and monitoring progress toward their achievement. Annual assessment of our tangible results will play a critical role in prioritizing future endeavors.

In the years covered by this plan, the College must navigate through a web of competing demands, emerging requirements, and uncertain resources. Hard choices and tough decisions lie ahead. To guide our judgment, we will follow these three priorities:

- We will respect the institution, its values, and its unparalleled legacy of excellence—protecting the mission in this era of resource scarcity.
- We will promote the good things that are happening and seek opportunities to communicate them to senior Navy leadership and the naval profession of arms.
- We will maximize NWC value to the Navy and the nation and strive to demonstrate the significant impact of the NWC education on innovation and intellectual agility in the Navy.

NWC again faces a historic opportunity to increase its service to the Navy, the nation, and the international community. Guided by the vision, values, and goals laid out in this plan, the College will work to realize that opportunity.



Walter E. “Ted” Carter, Jr.

## NAVAL WAR COLLEGE VISION

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*An objective and rigorous academic institution that develops strategically minded warfighters and culturally adept, internationally focused, ethical leaders; advances the study of American sea power; and fosters “original research on all questions relating to war and to statesmanship connected with war, or the prevention of war.”*

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NWC leads the Navy and the nation in providing rigorous, top-quality education in security and strategic affairs to America’s current and future military and civilian leaders, and those of our friends and allies. Our graduates will be innovative, ethical leaders who understand the complexities of the contemporary national and international security environments, plan and think strategically, are masters of the operational art, and lead maritime, joint, interagency, and multinational operations confidently to achieve national security objectives. We play an indispensable role in developing professionalism and leadership throughout the Navy and in producing joint warfighters who are adept at crafting campaigns and operational plans. Our programs serve as the foundation of enduring relationships of inestimable value to our nation and the world.







We are the academic center for analysis, research, and gaming that helps define the future of the Navy, and addresses issues and questions regarding the national security of the United States. We will provide the nation's military leaders and senior civilian policy makers with rigorous analysis, independent research, and robust gaming to clarify and resolve critical national security issues, especially those related to maritime security and sea power.

The College's true strength lies in the creativity, energy, and intellectual capital of our people. To realize this vision, we must continue to invest in our staff and faculty members, helping them to reach their full potential. We recruit, retain, and develop the highest-caliber faculty and staff who are experts and professionals in their respective fields. We must establish and maintain a diverse workforce in order to capture the benefits of diverse perspectives. We must ensure fair treatment and respect for all our people, and require accountability at all levels. We must maintain a safe and healthy working environment.

We realize our collective expertise in the operational and strategic levels of war is directly linked to our strategic tradition—"original research on all questions relating to war . . ." We must maintain our academic independence and the faculty's ownership of the curricula. We must respect the Navy's "warfighting first" ethos as foundational to our profession of arms.

We must attract the highest-quality students, across all services, national agencies, and international communities, and educate and develop them in our resident programs. Using educational outreach, we will make a quality education available to as many future leaders as possible. We must increase our focus on developing naval strategists. We must also cultivate strong relationships with our alumni, both U.S. and international, throughout their careers for a lifelong learning experience. We must evaluate and refine

the educational outcomes for each of our programs, and improve our ability to assess student learning outcomes accurately.

Regarding our study of American sea power and our research on war and its prevention, we must keep the research and scholarly activities of the College objective, rigorous, and relevant to the needs of the Navy and the nation. This means strong support and encouragement for both independent and targeted research. We must increase our focus on evolving naval operational and strategic requirements, the Asia-Pacific region, regional threats, irregular challenges, and cyberwarfare. We must increase productive dialogue among those primarily responsible for our academic, warfighting, and international engagement missions. We must continue to strengthen our relationships within the Navy and better communicate our products to senior Navy leadership and others within the national security establishment. We must sustain our efforts to inform and educate the public concerning national security issues and military operations through a robust outreach and publication program.

We must enroll more resident international students and create more opportunities for engagement between our U.S. and international students and their families. We must foster international outreach programs with foreign war colleges, world-class universities, and independent research institutes to improve the College's curricular and research activities. We must promote an open exchange of views between international security professionals. We must provide international military officers with a functional understanding of internationally recognized human rights and the American democratic way of life.

We must strive to be a vanguard institution, producing new ideas but also leading by example in the realm of leadership and ethics. We must encourage and sustain good communications and cooperation among the NWC team and pursue good relations with the local, state, and international communities. We must be responsible stewards of government and donated funds and property. Above all, we must preserve our institutional integrity—seeking truth without bias.



*Honor*  
*Courage*  
*Commitment*  
*Academic Responsibility*  
*Institutional Excellence*  
*Global Perspective*

# NAVAL WAR COLLEGE VALUES

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NWC fully embraces the Navy Core Values of *Honor*, *Courage*, and *Commitment*. These values, placed in our mission context, have a special meaning for us:

*Honor* demands that we act with the utmost integrity and highest ethical standards to maintain our credibility and the respect of the Navy, nation, and partner nations who entrust their future leaders to us.

*Courage* for us means the moral courage to take an independent stance and challenge prevailing or popular views to provide the innovative and creative solutions to the challenges and opportunities inherent in our chaotic global environment.

*Commitment* is the recognition that we serve a higher purpose than individual fortune or fame, a purpose worthy of and demanding our best efforts and personal sacrifice.

The mission and our unique position of trust make the following values essential for our success:

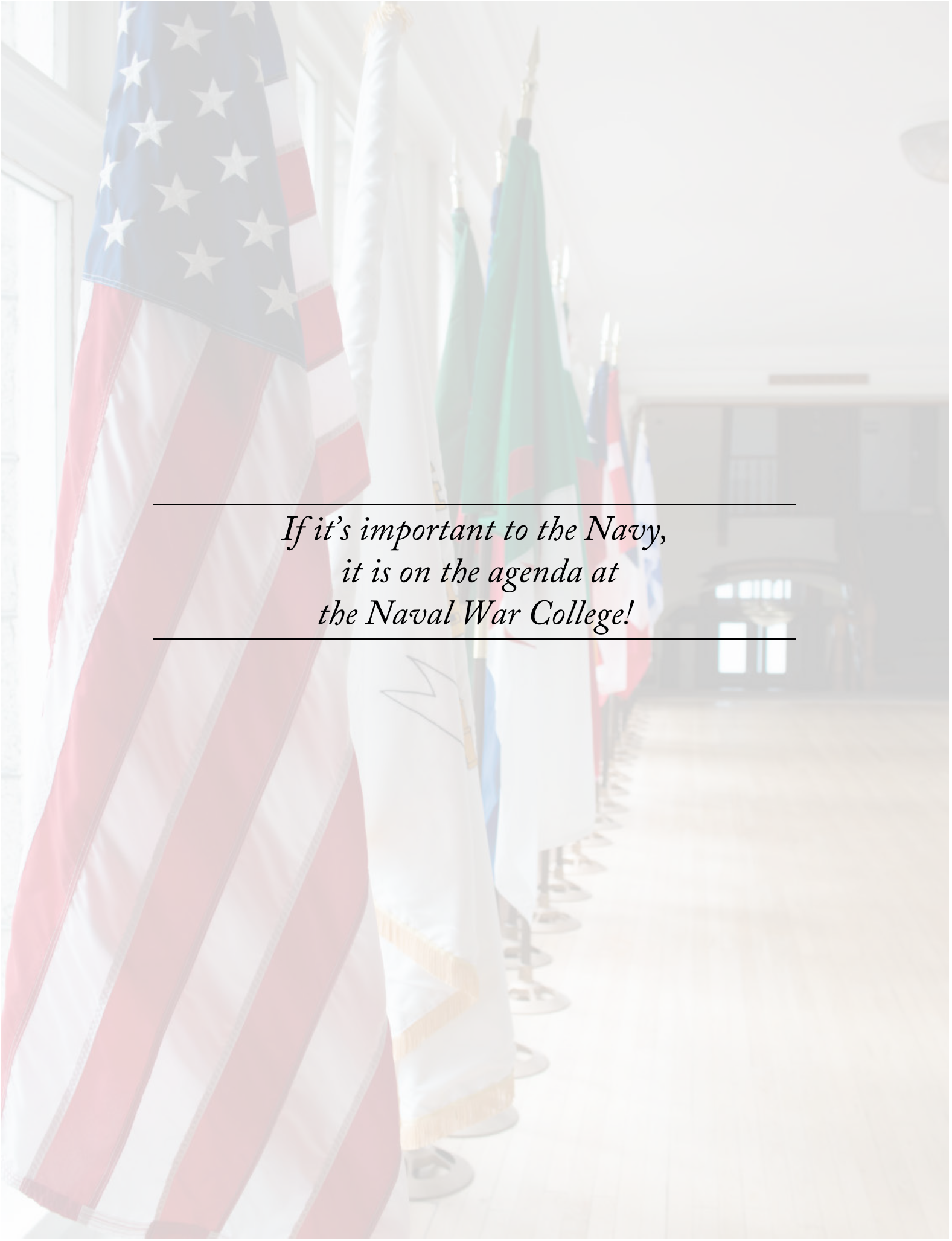
*Academic Responsibility* means that one of our key duties as an academic institution is “to seek and state the truth without bias.” Our faculty has long been guaranteed full academic freedom as defined by the American Association of University Professors and there has never been a case of abrogation of this right. As federal employees we will continue to adhere to the standards that are spelled out in the *NWC Faculty Handbook*. We will continue to ensure academic freedom is protected, as it is a *sine qua non* for recruitment and retention of our faculty. Within this context, faculty members are expected to extend and transmit knowledge to their respective fields of expertise.

*Institutional Excellence* means that our standard must be “best possible” in both the products we produce and the way we interact with each other.

*Global Perspective* implies we understand and value the perspectives and aspirations of our friends and partners, across the globe, in order to work together to create the enduring relationships so essential to our security.

We will pursue our strategic goals and execute our mission tasks in concert with these values and the principles of truthfulness, transparency, and fairness.



A row of flags, including the United States flag and several international flags, stands in a well-lit hall with a wooden floor. The scene is slightly blurred, creating a sense of depth. The text is centered over the flags.

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*If it's important to the Navy,  
it is on the agenda at  
the Naval War College!*

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# NAVAL WAR COLLEGE GOALS

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*Most important among peoples or among navies or among nations are friends.*

Former U.S. CNO Admiral Arleigh Burke

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**Goal 1. Intermediate-Level PME with JPME I.** Educate and develop leaders of character who have trust and confidence in each other and are critical thinkers imbued with knowledge of the operational level of warfare (traditional and irregular) and understanding of strategic theory and practice at the theater level, informed by the challenges of the contemporary security environment, steeped in the maritime dimensions of the international security environment and modern warfare, and proficient in joint matters.

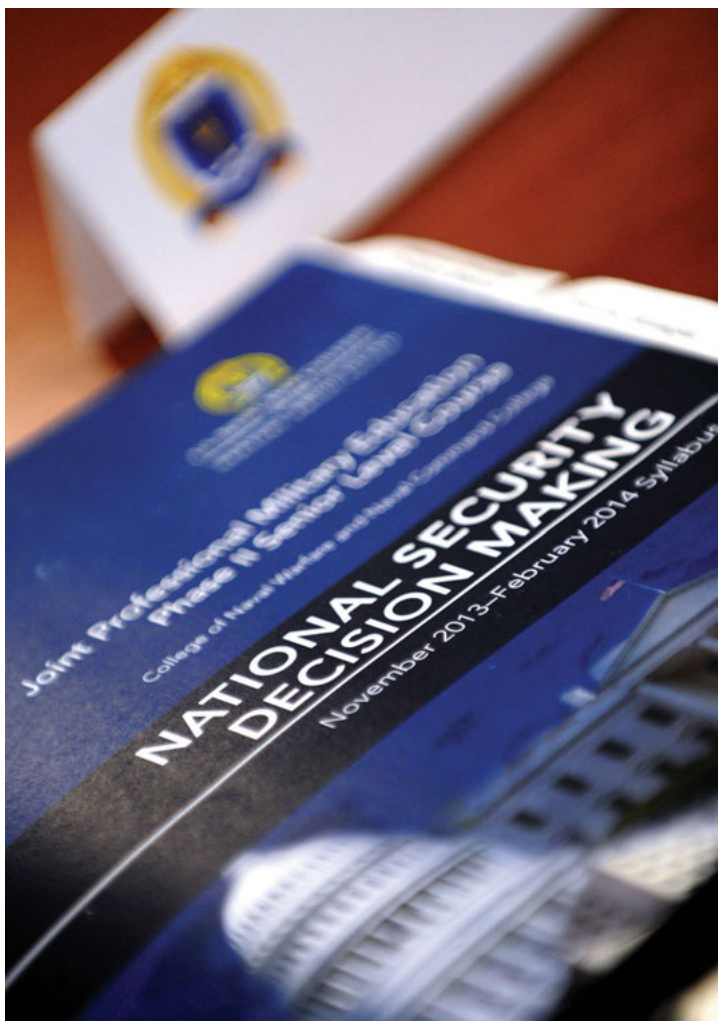
**Goal 2. Senior-Level PME with JPME II.** Educate and develop leaders of character who have trust and confidence in each other, understand grand strategy, and are strategically minded, critically thinking leaders, proficient in joint matters and capable of contributing to national strategic and theater strategic

responsibilities and issues as well as strategic responsibilities and challenges for the Department of the Navy.

**Goal 3.** Sustain capacity for geostrategic and operational research, analysis, and gaming, and expand capacity for examining maritime and Navy elements of strategic issues.

**Goal 4.** Improve the capability of Navy commanders to lead maritime, joint, and combined forces and their staff members to plan, execute and assess, and function cohesively as a maritime headquarters organization. Expand NWC's capacity and improve NWC's ability to communicate timely results and insights from mission activities related to maritime command and control.

**Goal 5.** Through the Naval Leadership and Ethics Center, lead the Navy's effort to develop leaders who personify their moral obligation to the naval profession by upholding the Navy Core Values and Navy Ethos, fulfill their obligations as leaders of character and integrity, and confidently



exercise their authority and responsibility with a strong and abiding sense of accountability for their actions throughout a career of selfless service.

**Goal 6.** Champion the cause of international maritime cooperation by educating the future leaders of our allies and partners alongside their U.S. counterparts, fostering loyalty among our alumni through a commitment to lifelong learning, and building stronger navy-to-navy relationships by participation in international symposia, war games, and war college exchanges.

**Goal 7.** Create a systematic approach for fostering diversity and inclusion throughout the College community and sustain an inclusive College climate.

**Goal 8.** Improve communication and liaison with senior Navy leadership at the OPNAV staff and the fleet headquarters in order to better assist in strategic and operational-level analysis and decision making.

**Goal 9.** Continue to improve the College's vital infrastructure in knowledge and information management; execute, as feasible, the College's elements of Vision 2035: Master Plan Newport Naval Station, March 2008; and invest in the faculty and staff to sustain our intellectual capital.

## APPENDIX A

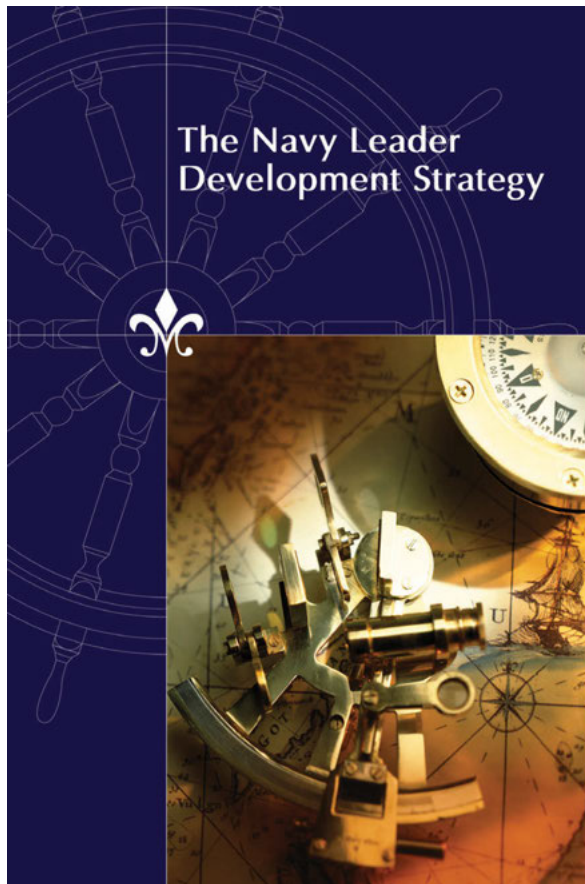
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### THE STRATEGIC PLANNING PROCESS

Strategic planning is an ongoing process at NWC, involving all key elements of the institution. The design process for this strategic plan began in 2011 and involved five purposeful phases.

Phase I consisted of updating the NWC MFT and obtaining approval from the CNO; this effort produced a new Mission, Functions and Tasks statement (OPNAVINST 5450.207D) in May 2012, which served as a source document for the completion of the strategic planning process.

Phase II involved contributions to the development of *The Navy Leader Development Strategy*, the *Navy Education Strategy 2025*, and the CJCS-directed *Joint Education Review*; each had direct implications for the College's mission. This phase, which extended from June 2011 through February 2014, provided keen insights into the challenges facing military leaders in the twenty-first century and the attributes required to successfully lead Navy and joint forces. From those expectations, the NWC faculty can examine the student learning outcomes to ensure they meet these professional requirements.



Phase III produced the NWC funding inputs for three consecutive fiscal years using the Program Objective Memorandums 14 (POM-14), 15 (POM-15), and 16 (POM-16). The goal was to align constrained, future resources to the emerging elements of the draft strategic plan through a deliberate process for balancing enduring and emerging requirements. Phase III took place from October 2011 through February 2014.

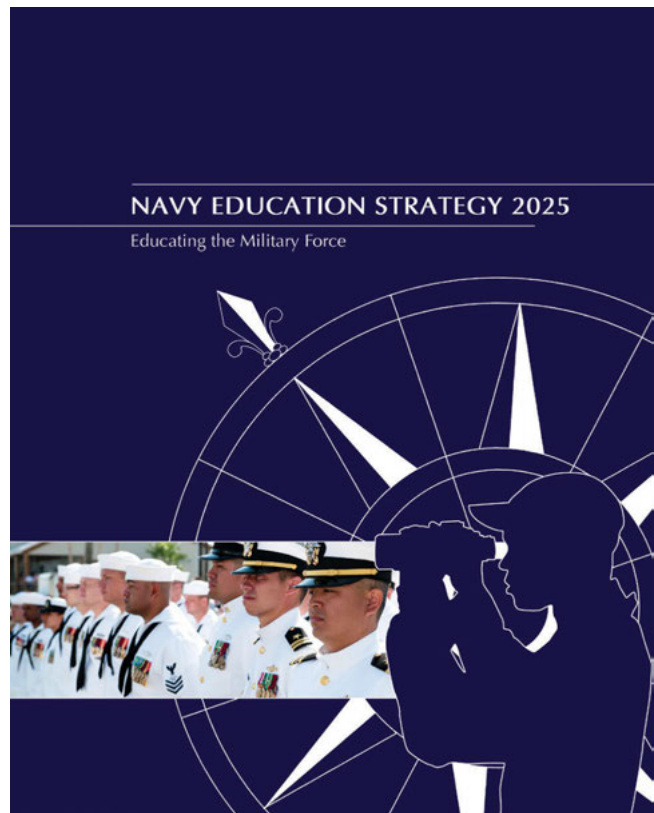
Phase IV was a series of strategic planning meetings of the President, provost, chief of staff / deputy, deans, associate provost, and selected other NWC leaders and the coordination of a number of drafts of the strategic plan normally involving the second tier of leadership of NWC and selected staff and faculty members. During this phase (November 2012–March 2014), we conducted a series of planning sessions with key leaders from NWC to answer the CNO's questions of where we are and where we are going. Fiscal uncertainty, the change of Presidents, and the Department of Defense's ongoing Quadrennial Review extended this phase, but the consensus of the senior leadership on the draft goals and several supporting objectives produced tangible results. This



phase was also influenced by the latest defense strategic guidance, as well as the CNO's *Navigation Plan: 2013–2017*, the CNO's *Sailing Directions*, *The Navy Leader Development Strategy*, and the *Navy Education Strategy 2025*.

Phase V, April–June 2014, involved the broader NWC community, including a week of facilitated meetings in the Decision Support Center to solicit feedback on the draft strategic plan. That feedback was used to complete and refine the plan.

Phase VI includes plan approval, implementation, and assessment. It requires annual assessment of progress during the third quarter of each fiscal year, followed by an annual refinement of the objectives and priorities. Objectives for each goal will be published after assessment and refinement by a Goal Team established in an annual NWC bulletin. The setting of annual objectives will begin in July 2014. The results of this assessment inform the College's submission for the subsequent program objective memorandum defining future resourcing requirements.



## APPENDIX B

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### NAVAL WAR COLLEGE MISSION

The College's mission, as assigned by the Chief of Naval Operations, is expressed in OPNAVINST 5450.207D of 23 May 2012. The mission functions and their multiple, subordinate tasks support the statutory and policy guidance provided by the Congress, the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, and the Chief of Naval Operations. In executing the mission, there is overlap between the functions, and many of the tasks are complex and multidimensional. The full mission instruction is available on the NWC intranet. An extract reads:

**The mission of the [U.S. Naval War College] is to:**

**a. Educate and Develop Leaders.** [The College] shall provide current, rigorous and relevant professional military education (PME) programs supporting the Navy's Professional Military Education Continuum. These PME programs must meet the standards required in law and policy and be accessible to the maximum number of qualified U.S. officers and Navy enlisted personnel, civilian employees of the U.S. Government, and international senior enlisted leaders and officers. The education should foster an active and growing community linked by PME including leadership with professional ethics that furthers global maritime security. The desired effect is a career continuum of PME, including leadership development and professional ethics, which produces a group of leaders of character. These leaders have trust and confidence in each other and are operationally and strategically minded, critical thinkers, proficient in joint matters, and skilled naval and joint warfighters prepared to meet the operational level of war (OLW) and strategic challenges of today and tomorrow.

**b. Support Defining the Future Navy and Associated Roles and Missions.** [The College] shall conduct research, analysis, and gaming to support the requirements of the Secretary of the Navy, the CNO, the combatant commanders, the Navy component commanders, the Navy's numbered fleet commanders, other Navy and Marine Corps commanders, the U.S. intelligence community, and other departments and agencies of the U.S. Government. The desired effect is a program of focused, forward-thinking and timely research, analysis, and gaming that anticipates future operational and strategic challenges; develops and assesses strategic and operational concepts to overcome those challenges; assesses the risk associated with these concepts; provides analytical products that inform the Navy's leadership and help shape key decisions; and contributes effectively to the public discourse on U.S. national security policy.

**c. Support Combat Readiness.** [The College] shall conduct OLW education, leadership and professional ethics training, education, and assessment activities to support the ability of the Navy's joint force maritime component commanders (JFMCCs) and Navy component commanders to function effectively as operational commanders. This effort shall include supporting the needs of joint force commanders, Navy component commanders, and the Navy's numbered fleet commanders for including operational planning, analysis, assessment, and wargaming to respond to emerging

operational requirements. The desired effect is to improve the capability of Navy commanders to lead maritime, joint and combined forces; and their staff members to plan, execute, and assess force employment options in order to function cohesively within the context of an operational level maritime staff.

**d. Strengthen Global Maritime Partnerships.** [The College] shall bring together flag, senior and intermediate level naval leaders from other countries to develop them for high command in their navies; promote an open exchange of views between international security professionals which encourages friendship and cooperation and builds trust and confidence; and study operational planning methods and common maritime security challenges. [The College] shall develop research and gaming collaboration with its sister institutions in other navies and work to improve the general level of maritime research and analysis. The desired effect is to maintain and further strengthen the global maritime partnerships upon which the safety of the U.S. homeland and the secure flow of oceanic commerce depend.

**Mission Support:** The College shall manage and administer its human, physical, and financial resources and public affairs in accordance with Department of the Navy, higher headquarters, and internal guidance, in order to accomplish its mission, functions, and tasks in a secure, equitable, and professional environment. The desired effect is to remain an exemplary steward of the resources entrusted to us and fully accomplish our mission both effectively and efficiently.

## APPENDIX C

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### RESULTS OF THE NAVAL WAR COLLEGE STRATEGIC PLAN 2008–2012

The College's previous strategic plan focused foremost on consolidating our capacity for executing the expanded mission, functions, and tasks assigned to us in prior years. Its other priorities were to solidify our regional studies programs and expand our international outreach; expand our capacity for research, analysis, and gaming; and accelerate the modernization and expansion of the College's infrastructure. Our efforts in those areas yielded significant results. Except for fiscal years 2011 and 2013, when the College's resources shrank significantly, we sustained a mission-capable status in nearly all our mission tasks. Our regional expertise, focus, and outreach improved significantly, as did our educational outreach. Demand for our organizational research, analysis, and gaming increased annually and ultimately required careful prioritization as the requirements outgrew our capacity for support. While exacerbating the shortage of interior space, repair and modernization of the College's buildings occurred at the quickest pace since the 1970s. The College also incorporated several buildings on and off Coasters Harbor Island to rectify in part the space shortage and to permit temporary relocations of personnel during the building modernization. The key project addressing the insufficiency in student study and collaboration space and modernization of our library and other knowledge resources begins in 2014. Our requirement for a new building remained unprogrammed. A summary of the developments during the period of 2008–2014 follows.

The hub of the College remained the educational enterprise built around our PME/JPME resident core curricula. For JPME I and II (officer education) the core program of three multidisciplinary courses was designed to produce graduates with a strategic mind-set and understanding of the instruments of national power and a framework for critical analysis applicable to all types of wars, all types of strategic actors, all phases within the cycle of peace and war, and all types of operations. The core curriculum and electives emphasized the contemporary national security environment, regional and cultural understanding, leadership and ethics, decision making, and force planning. The College also educated planners and effective staff officers schooled in joint and combined military operations. The academic and practitioner expertise required to deliver this core enterprise underpinned excellence in other mission endeavors.

Furthermore, NWC was charged with developing the curricula for enlisted and officer PME courses across a career continuum. NWC now offers nineteen professional military education programs<sup>1</sup> covering the full spectrum of military education, from junior enlisted men and women to senior flag officers. With the advent of a joint officer career development policy and the Navy's alignment of PME requirements with career milestones (*Joint Officer Development*, November 2005; *Path to Jointness*, 31 August 2006; *The Navy Leader Development Strategy*, February 2013), the total throughput requirement for Navy officers to attain JPME

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<sup>1</sup> NWC offers twenty-eight programs: nineteen PME/JPME as included in OPMEP & EPMEP (eight in residence: JFMCC, CNW, NCC, CNC&S, NSC, MAWS, two-week reserve officer courses, and SEA; and eleven nonresident: CFMCC, GDP, Fleet Seminar, NWC@NPS, Web-Enabled, CD-ROM, SEA blended, and NKO courses—Officer Primary, Enlisted Primary, Basic, and Introductory); three Operational Level of War resident courses (MSOC, MOPC, and ELOC); and six Leader & Ethics (NLEC) resident courses (Major Command, PCO, PXO, CMC/COB, PCO Spouse, and CMC/COB Spouse).



has grown significantly. To expand the delivery of this education, the College's distance education programs have dramatically increased enrollment, rising from roughly 3,400 students pursuing intermediate service college education in 2008, to more than 5,000 such students in 2014. With the Navy Knowledge Online–delivered Introductory, Basic, and Primary PME courses, nearly 140,000 additional students were enrolled at the start of 2014, with more than 35,000 graduates. We expect this growth to continue.

In 2007, recognizing the need for a more robust contribution to the fleet's joint/combined command and control in overlapping domains, NWC established the College of Operational and Strategic Leadership (COSL). COSL has designed and stood up three new, practitioner-focused programs to strengthen Navy combat readiness at the OLW through education and training of senior flag officers to senior enlisted Sailors assigned to, or in command of, the Navy's maritime operations centers. These resident programs are reinforced at forward fleet headquarters locations by the College's Assist and Assess Team (AAT), which offers an array of education, training, and exercise support tailored to the specific needs of the fleet commander. COSL faculty members' currency places them on the cutting edge of maritime concept and doctrine development especially in emerging fields such as cyber and fires. Further, COSL activities with navies of our partner nations are major theater security support initiatives that improve our ability to operate together—hereby implementing *A Cooperative Strategy for 21st Century Seapower*.

In 2009 the Navy Senior Enlisted Academy (SEA) became part of NWC. The education and curriculum delivered at the SEA are a key educational opportunity for our senior enlisted leaders and the capstone for the enlisted Sailor PME Continuum. The College's long experience with professional and joint education helped the SEA maintain currency in its Enlisted Joint PME curricula. The SEA's status as part of the College will be particularly important in the near future as the SEA responds to the CNO decision to educate all Navy E-8s.





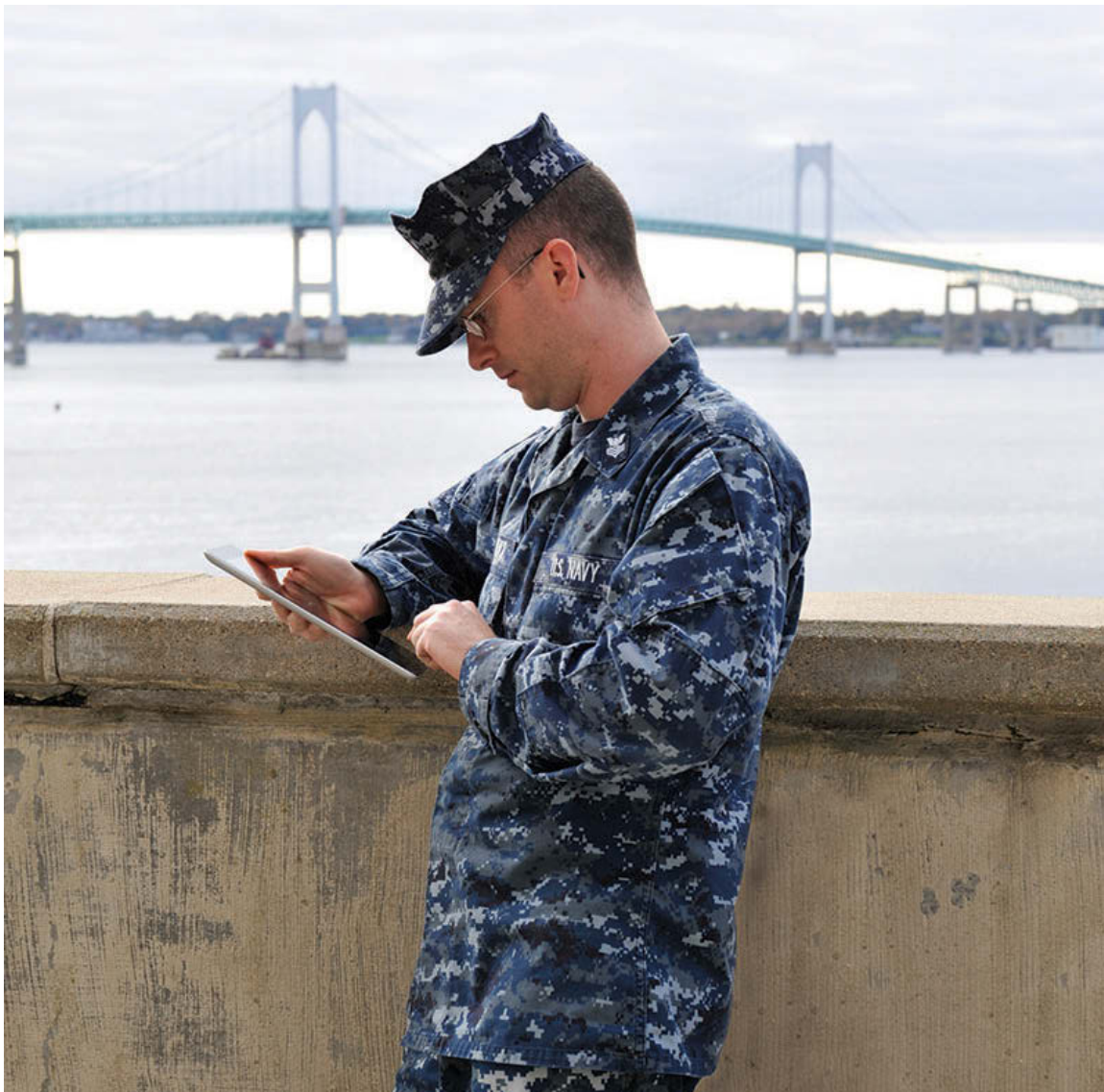
February 2013 marked the release of *The Navy Leader Development Strategy* by the CNO. This strategy, developed with the assistance of NWC, provides a single vision of Navy leader development that integrates professional experience, training, education, and personal development with the goal of strengthening the naval profession as a whole. It is tied to Navy Leader Development Outcomes—expectations of the leader and the led—based on the context of rank, which changes throughout a career progression. This is the first time a leader development strategy has emanated from the CNO, who stated in releasing the strategy that “there is no higher priority than to develop effective Navy leaders.” The *Leader Development Strategy* has significant implications for the College’s missions of educating Navy leaders and supporting combat readiness.

NWC faculty’s ability to conduct strategic and operational-level research, analysis, and gaming continued to help define the future of our Navy. This sophisticated war gaming, research, and analysis ability reflected a renewed and continuing commitment by the Navy’s senior leadership to turn to NWC for the visionary strategic thinking that supports the Navy’s needs. NWC employed various types of war gaming to assist the operating fleets, Navy leadership, and a host of joint, interagency, and international collaborators in developing strategies and solutions to their most complex problems. The College’s Center for Naval Warfare Studies (CNWS) used research, war gaming, and practicums to further explore current and emerging concepts such as future Arctic sea-lanes, mission command, Air-Sea Battle, cyberspace, and a refocus on the Asia-Pacific area in accordance with the defense strategic guidance *Sustaining U.S. Global Leadership: Priorities for 21st Century Defense*, January 2012. Advanced research programs at CNWS permitted students to explore deeply the most difficult, cutting-edge operational challenges for the Navy of today and tomorrow. Its International Law Department (renamed the Stockton Center for the Study of International Law in 2014) was highly influential in the international dialogue on such emergent issues as autonomous weapons and cyberspace.



Recognizing the ever-increasing role that alliances, coalitions, and friendly nations play in U.S. national security, the College has made great strides recently in strengthening the Navy's global maritime partnerships. Although international military officers have attended the College for over fifty years, now they are fully integrated into the classroom alongside their U.S. counterparts, and coalition maritime operations are a new focus of study. Regional studies programs have been better resourced and outreach programs have been expanded to bring regional and global perspective to scholarship. These initiatives, as well as our International Seapower Symposia and Regional Alumni Symposia, support globally integrated operations as discussed in the current *Capstone Concept for Joint Operations: Joint Force 2020*.

Finally, NWC remains the executive agent / program manager for the CNO's Professional Reading Program, which has been significantly revamped to better serve today's Sailors and to reflect the changing world and growing challenges faced by modern mariners. The forty-two books in the program have been selected because of their relevance to the three tenets outlined in the CNO's *Sailing Directions*: (concentrate on) Warfighting First, (prepare to) Operate Forward, and (improve your skills to) Be Ready.



## APPENDIX D

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### THE NAVAL WAR COLLEGE’S STRATEGIC ENVIRONMENT IN 2014

#### National Security and Military Environment

The 2014 *Quadrennial Defense Review* (QDR) “seeks to adapt, reshape, and rebalance our military to prepare for the strategic challenges and opportunities” the nation will confront. It prioritized three strategic pillars developed from the 2012 defense strategic guidance, *Sustaining U.S. Global Leadership: Priorities for 21st Century Defense*, January 2012: “defending the homeland; building security globally by projecting U.S. influence and deterring aggression; and remaining prepared to win decisively against any adversary should deterrence fail.” In the period of fiscal austerity, the Department of Defense (DoD) is making difficult decisions in order to reshape and modernize the force. While innovation must be highlighted as the key line of effort, defense reforms will also be required to reduce unnecessary overhead and streamline activities. This process will incur risk, which will significantly increase if the sequester-level cuts return in fiscal year 2016.

The QDR sustains the priorities expressed in *Sustaining U.S. Global Leadership: Priorities for 21st Century Defense*, January 2012: rebalancing to the Asia-Pacific region; maintaining strong commitments to security and stability in Europe and the Middle East; sustaining a global approach to countering violent extremists and terrorist threats, particularly in the Middle East and Africa; and continuing key investments in technology and building innovative partnerships while strengthening key alliances and partnerships. To accomplish these priorities, the military must rebalance for a broad spectrum of conflict; rebalance and sustain our global posture; and rebalance the joint force’s capability, capacity, and readiness.

The CJCS has published a series of white papers derived from the twenty-first-century defense priorities. The *Mission Command White Paper*, 3 April 2012, describes the basic principles of mission command—commander’s intent, mission-type orders, and decentralized execution—that will shape Joint Force 2020. In *America’s Military—A Profession of Arms: White Paper*, the CJCS makes the key transition task “Strengthening our Profession of Arms.” The *Capstone Concept for Joint Operations: Joint Force 2020*, 10 September 2012, views globally integrated operations principles as critical to addressing security challenges in an era of uncertainty.

The CNO’s *Sailing Directions* establishes three tenets for Navy priorities: “*Warfighting First, Operate Forward, and Be Ready.*” It stresses deterring aggression and warfighting against a full range of threats. The Navy must support joint, allied, and coalition operations—assuring access and projecting persistent combat power through enduring warfighting capabilities, as described in *A Cooperative Strategy for 21st Century Seapower*. The Navy’s expanding mission set also includes maritime security and humanitarian assistance, and foreign disaster relief. These challenges require educated leaders capable of innovative, critical thinking and planning with an expertise in emerging concepts, such as mission command, Air-Sea Battle, and cyberspace.



America's challengers are no longer constrained by geographic boundaries or scale. In response to the increased uncertainty of the globalized world, future force capabilities must be recalibrated to support the ten primary missions in *Sustaining U.S. Global Leadership: Priorities for 21st Century Defense*. That document indicates "overall capacity . . . will be based on [the] requirements" demanded by "counter[ing] terrorism and irregular warfare; deter[ring] and defeat[ing] aggression; maintain[ing] a safe, secure, and effective nuclear deterrent; and defend[ing] the homeland and support[ing] civil authorities." The CJCS approved the findings of the *2013 Joint Education Review*, which lists and describes the attributes the leaders of Joint Force 2020 must have to carry out the primary missions:

- The ability to understand the security environment and the contributions of all the elements of national power;
- The ability to anticipate and deal with surprise and uncertainty;
- The ability to anticipate and recognize change and lead transitions;
- The ability to operate on intent through trust, empowerment, and understanding;
- The ability to make ethical decisions based on the shared values of the profession of arms; and
- The ability to think critically and strategically in applying joint warfighting principles and concepts to joint operations.

The CJCS and the CNO have established expectations for professional knowledge, skills, abilities, and attributes required of future military leaders. In addition to military qualities, our future leaders will need to be more aware of interagency and international perspectives and be confident practitioners in multiservice, multiagency, and multinational operating environments.

### **Joint and Navy Professional Military Education**

Over the last three years, NWC has participated in a series of Navy meetings on education, with the various warfare communities, which formed the basis for much of the *Navy Education Strategy 2025*. To sustain the Navy's legacy of excellence and maritime dominance, the Navy's draft strategy focuses on developing technical experts, joint warfighters, and strategic leaders.

NWC assisted in the development of the recently released *The Navy Leader Development Strategy* and the associated Navy Leader Development Outcomes. The College continues to coordinate Navy efforts in creating the Navy Leader Development Continuum. This strategy provides a single vision of leader development integrating professional experience, training, education, and personal development to strengthen the naval profession. The strategy's foundational elements and leader development outcomes contain requirements for Navy professional military education.

From July of 2012 to its approval in June of 2013, NWC also participated in the CJCS-directed review of joint education. Aimed at developing the leaders for Joint Force 2020, this study refined the CJCS's proposed desired leader attributes and conducted a gap analysis to determine the educational changes required to develop those attributes through the joint education continuum and joint training.

The challenge for NWC will be to align the educational outcomes for the Navy's PME Continuum with the emerging requirements for Navy and joint education and leader development, and then gain approval from the Navy's Advanced Education Review Board (AERB) for the revised outcomes.

### **United States Navy Advanced Education Review Board**

The Navy monitors the practices and operations of its educational institutions—the Naval Academy, the Naval Postgraduate School, and the Naval War College—through the AERB. In this austere fiscal climate, NWC must continue to work closely with OPNAV N1 and OPNAV N4 to preserve mission funding (N1) and installation funding (N4), including military construction, special projects, and base operating support.

The College is responsible for developing and delivering curricula for the Navy PME Continuum aimed at achieving the educational outcomes approved by the AERB's predecessor. Those outcomes will require review for alignment with more recent guidance in the context of emerging policies, practices, and funding allocations resulting from the more austere fiscal environment likely to prevail in the future.





## APPENDIX E

### NAVAL WAR COLLEGE STRENGTHS, WEAKNESSES, OPPORTUNITIES, AND THREATS (SWOT)

#### Strengths

**Governance:** Partly as a result of NWC's reputation and sustained excellence, the institution benefits from, and depends on, a large measure of autonomy and direct access to the CNO. The Navy's AERB, established in 2009, supports the Vice Chief of Naval Operations, the Navy's education executive agent charged with guiding strategic investment in education. The Board provides a superb venue for the College's challenges in resources, policies, and programs as well as supporting accreditation requirements.

**People:** NWC's key strength lies in the creativity, energy, and intellectual capital of its people, including a superb faculty operating in an environment of academic freedom. The agility and ability of faculty and staff have sustained mission success during our decade-long expansion of responsibility and outreach. Our people underpin our success in every mission area: in education and research, strategic and operational-level expertise, international engagement, responsiveness to the fleet, and mission support. Our students are professionals, experienced in their craft and dedicated to improving themselves and their service to the American people.



Quality Educational Practices: Practices that began with the accredited core curricula for the intermediate-level college and the senior service college are being adopted in the execution of the twenty-five nondegree programs. The faculty is responsible for the curricula and ensures they are rigorous, professionally relevant, and current. Courses are enriched by a mix of educational methodologies and academic programs are designed to achieve the respective educational outcomes. Education can imbue our graduates with critical thinking skills, broader perspectives, and strengthened abilities so they can contribute to approaches to and solutions for complex challenges. Graduates and alumni report significant gains from their educational experience and high relevance to their responsibilities. Faculty continue to sustain currency and improve expertise and teaching ability; their scholarly activity and output exceed those of their peers at other PME institutions.

Excellence in Research: Research and education have been entwined at NWC from its founding. The research and scholarly activities of the College remain objective, rigorous, and relevant to the needs of the Navy and the nation. NWC enjoys a worldwide reputation for excellence in war gaming, which continues to provide the Navy and the national security community a unique resource for exploring unstructured and difficult problems. The versatility and capability of the faculty have also led to substantive faculty-student research programs—Halsey Groups, Gravely Group, Stockdale Group, and Mahan Scholars—that leverage fleet and service expertise and explore the Navy’s future. Seven regional study groups, together with centers focused on China, cyberwarfare, and irregular warfare, provide professional forums for faculty to share expertise and to expand professional networks and outreach.

Operational-Level and Strategic Expertise: The intermediate and senior-level courses are focused on developing individuals for roles as joint warfighters or strategic leaders. Another resident course, the Maritime Advanced Warfighting School (MAWS), produces operational-level planners steeped in maritime challenges with a depth of planning expertise and a capacity to lead operational planning groups in the fleet. Three executive-level courses and two staff courses facilitate the education of maritime commanders and their staffs in the processes, procedures, relationships, and authorities necessary to command and control maritime forces in a joint or combined environment operating across multiple domains. A deployable team regularly travels forward to assist commanders and their maritime operational centers in performing more effectively and in developing capabilities and integrating across all domains among all services, supporting agencies, and coalition partners. Navy component and fleet commanders value individual and organizational operational-level education and assistance in support of maritime operations centers.

International Engagement with Global Maritime Partners: For more than five decades, NWC has been educating highly qualified leaders from around the globe. Over the past ten years, the College has redoubled its efforts by offering complementary flag-level courses and war-gaming initiatives to allies and partners. The CNO hosts the world’s chiefs of navy at a biennial International Seapower Symposium at NWC, and the President meets annually with international alumni at the Regional Alumni Symposia held abroad. The CNO has indicated that he views these international programs as a foundation on which to build an even more robust, globally oriented maritime security effort. Faculty members in the various study groups routinely engage internationally through visits and conferences.

International Law Expertise: NWC also has a unique capacity to influence the evolution of international law—especially the law of the sea, law of armed conflict, and rules of engagement—through its scholarly activities, writing, and teaching by faculty of the Stockton Center for the Study of International Law.



## Weaknesses

**Communication:** NWC has numerous partners and customers in accomplishing the four key mission functions and their many tasks. This requires constant outreach and collaboration, sometimes difficult given scarce human resources. The College's high level of talent facilitates a decentralized system of management that empowers its people to accept responsibility and constantly use their own disciplined initiative to achieve mission success. However, the NWC leadership must carefully craft and communicate its intent and strategic context to ensure individual efforts align with mission priorities, especially in this transitional era of finite resources. Additionally, internal communications, collaboration, and cooperation among the various responsibility centers are vital, yet difficult to manage centrally. Improved lateral and horizontal communications are critical to continued success. A more robust and state-of-the-art website, in development, will provide improved capability to address this issue.

**Navy View of Senior Course:** The Navy undervalues the senior service college. The senior-level course is designed to prepare officers for strategic-level responsibilities. Its graduates are assets who can reinforce the Navy's efforts to navigate the strategic challenges ahead. NWC has not focused its efforts on systematically communicating this to senior Navy leaders dealing with strategic issues. Since the Navy officer communities are focused on developing technical leaders and joint warfighters, they highly value the intermediate-level course, with JPME I, and the technical graduate education at the Naval Postgraduate School. The senior-level course is chiefly valued because it meets the statutory JPME II requirement for eligibility for promotion to flag rank. NWC efforts to overcome this cultural obstacle must be more comprehensive and consistent.



Insufficient Space: The College remains challenged with insufficient interior space and the poor condition of some of its buildings. Growing requirements for additional space, to include secure working areas, coupled with the poor condition and possible demolition of certain buildings, will add to these challenges. Expansion into buildings adjacent to the campus has reduced the space deficit; however, a new building and a conversion of the underground parking into interior space are still required. The viability of the physical plant requires continued attention and dedicated sustainment, restoration, and modernization resources. The Library's long-standing space challenge is due to be addressed in the near term with a learning center construction project. The first priority for renovation is the College's main academic structures, Hewitt and Conolly. Mahan and Founders Halls are second-tier priorities. The work schedule has already slipped due to Navy-wide reduction in funding. Advancements in technology and their applicability in higher education may provide some opportunities to mitigate these physical space challenges.

Information Technology (IT): Information resources at the College must continue to improve. With network security accreditations now in place, the challenge is to devise ways to better serve both the on-campus and the off-campus communities within the DoD and U.S. Navy security constraints. The College is seeking to create an integrated, scalable, enterprise-wide, state-of-the-art information-management/knowledge-management environment that supports and showcases the College's research and scholarship activities and its extended communities of interest. Informed by information-management/knowledge-management best practices, elements of this environment will enhance the College's ability to achieve objectives in its core mission areas. The College envisions a redesigned website and information system with an integrated enterprise learning management system that together facilitate education and research activities, collaboration across diverse communities of interest, information sharing, engagement with internal and external customers, and archiving of information with enduring value.

Diversity: The broad range of responsibilities and the wide variety of U.S. and international audiences that we must support require the College to foster and improve diversity in its community, among faculty, staff, and students. In the contemporary environment, our students, faculty, and staff must be culturally adept and internationally focused in order to interact from a joint perspective with a robust variety of U.S. and multinational partners. The College must continue to broaden the diversity of its community in terms of interagency, intergovernmental, and international representation. At the same time, we must attract and retain a more diverse workforce and student body in terms of gender, race, and ethnic background. As the demographic makeup of the nation and the military services evolves, it is imperative that the College focus its efforts on building a culture of diverse backgrounds and perspectives while providing individuals the opportunity to use and develop their talents and capabilities.

## **Opportunities**

CJCS and CNO Attention: The increased emphasis on professional education by the CJCS and the CNO bodes well for the expansion of the educational outreach of the College. CJCS and Navy national security goals align with the College's strengths in developing strategic leaders and joint warfighters while fostering credibility and trust with our international partners.

Role in Leadership and Ethics for Navy: The increased dialogue with the Navy's community leaders in executing and assessing *The Navy Leader Development Strategy* offers an opportunity to improve strategic

communication of the College's other capabilities to the larger Navy audience. In terms of creating more value for professional military education, this dialogue has the potential to be a catalyst for change.

Creating the Navy's Leadership and Ethics Center at NWC provides another means for preparing Navy leaders for twenty-first-century challenges as well as another conduit to the Navy's total force. Initially, this formalizes NWC's close relationship with the former Command Leadership School and its six nondegree programs supporting the leaders (officers, command master chiefs, and chiefs of the boat) selected to command positions at sea and ashore, and their spouses. Ultimately, the Center should be the focus of research, assessment, education, and discussion of the health and nature of the naval profession and the continued growth of Navy leaders.

Lifelong Learning: The CJCS *Joint Education Review* includes a requirement to cultivate and leverage lifelong learning, which is already the goal of our alumni efforts. *The Navy Leader Development Strategy* also establishes personal development as a core element of a career-long continuum for building Navy leaders. The College's faculty has considerable expertise and experience in a variety of educational methodologies used to engage students in nonresident and distance education programs that could assist these professional learners while expanding NWC's educational reach.

Innovations in Distance Education: Academia across the globe is experiencing a transformation brought about by technology to make educational opportunities more accessible to more individuals. Such initiatives as massive open online courses, blended learning programs, and other such efforts are examples of what technology is doing to improve affordability and availability. NWC should keep attuned to such technology-focused educational innovations and look for opportunities to capitalize on them to improve educational opportunities for the naval professionals and alumni while keeping the costs appropriate.



Enhanced Flag Networking: The Combined/Joint Force Maritime Component Commander Courses also expand the College's direct contact with Navy flag leaders. These contacts, along with the College's direct involvement with fleet operations, provide increased opportunities to network with the Navy's senior leaders, to communicate our expertise and insights and learn from theirs, and to improve the curricula for the Navy's professional military education programs.

New Strategy Focus: The College has long been influential in the development of Navy strategy. The increased emphasis on developing naval strategists and strategic leaders offers significant opportunities for NWC expertise to make significant contributions in this important arena.

## **Threats**

Austere Fiscal Climate: Sustaining mission accomplishment across the full range of assigned and implied tasks, in the more austere financial climate, is the immediate challenge. Fiscal restraints and evolving policies are straining the development of professional expertise necessary for curricula that must be current



with respect to the national security environment, priorities, threats, law and policy, and Navy and joint doctrine. Restrictions in fiscal years 2013 and 2014 have already affected mission-related travel, such as outreach, guest lecturers, conferences, and support visits to the fleet. Faculty development shrank as a result of mandated reductions in travel costs and restrictions in recent policies on practices such as conference attendance. Managing resources will require significant attention and a careful prioritization of the College's available assets—human and financial. Furthermore, the College is organizationally and fiscally constrained in its ability to support new programs without more resources. Restricted ability to travel and to conduct games, conferences, and workshops threatens to reduce the College's influence, endangers its ability to attract and retain the highest-quality faculty, and degrades the currency and quality of PME curricula.

Recruitment and Retention: Fiscal uncertainty, especially beyond fiscal year 2015, adversely affects NWC's ability to recruit, retain, and develop a high-quality faculty and staff. Wage freezes, suspension of incentive awards, forced furloughs, and government shutdowns have clearly affected morale and, for some, dimmed prospects for a career at the College. It casts a shadow on current recruiting efforts. The College's mission effectiveness derives from the individual expertise of its staff and faculty in a broad array of diverse areas. Frequently, there is limited depth in this specialized expertise. Its loss is very difficult to reverse and creates gaps that, in the best circumstances, require several years to backfill.

Infrastructure: In the area of infrastructure, the College has not kept pace in its knowledge-management infrastructure, a mission-essential capability. Further, the College has repeatedly identified its challenges with sustaining its current buildings, meeting increasing demands for space created by mission growth, and maintaining currency of its information resources. The steady progress made over the last five years is jeopardized by the change in the fiscal climate. The College's recapitalization plan, which captures both new construction and repairs, will have to be adjusted. Since both accrediting bodies have previously highlighted the College's infrastructure challenges, there is risk to future mission accomplishment and the College's accreditation.

## **SWOT Net Assessment**

The Naval War College again faces a historic opportunity to increase its service to the Navy, the nation, and the international community. The strategic environment has become more complex and unpredictable, increasing the value of education and research, and creating an imperative for developing leaders in addition to assuring responsive maritime command and control and enhanced international cooperation. The College, with its intellectual capital, is well positioned to exploit this opportunity, but must use its resources in the most effective and efficient manner possible. If the College succeeds in that endeavor, it will prove a highly influential institution for Navy and national strategic objectives. If it is unable to meet the challenge, the College's relevance will be undermined.

In terms of alignment with the strategic guidance affecting our mission endeavors, the faculty and staff have already incorporated significant elements of that guidance. The remaining work should not require substantial resources in terms of funding. Sustainment will be the chief challenge. The College's high visibility to the CNO and senior Navy leadership, because of its direct involvement in many of their key issues, provides opportunity for more widespread understanding of the return on investment in the College's operations and the value of the expertise resident in our people. Our opportunities, especially those involving expanded outreach, could enhance the College's reputation across the larger naval

profession. Besides enhancing our reputation, the College's contribution to expanding and deepening global partnerships facilitates the Navy's and the nation's ability to operate cooperatively with allies and friends in issues of mutual interest and to increase efficiency without losing effectiveness.

The uncertainty of resources remains a tough challenge. The College demonstrated in fiscal year 2011 and again in fiscal year 2013 that it can weather sharp reductions for short periods of time. The POM for fiscal years 2016–2020 provides sufficient resources for sustainment of the College's mission activities if executed with careful stewardship and efficiency. However, if sequestration reappears beginning in fiscal year 2016 and continues over the longer term, the College will have to examine carefully its mission and make some tough choices, especially in terms of its human capital. For the time period of this plan, our lines of effort will require close coordination and alignment.

Because the College's principal business is centered on producing and imparting knowledge as well as enhancing the critical and creative thinking skills of its students, the people directly responsible for that activity must remain the institution's first priority. While all mission areas must be accomplished in an excellent manner, developing strategic and operational leaders through a rigorous resident curriculum provides the foundation for nonresident education and plays a major role in supporting combat readiness and strengthening maritime security cooperation. Thus, this mission area must be a major focus of attention, as it is the anchor of the Navy's PME Continuum designed to build joint warfighters and strategic leaders and is a major contributor to the outcomes established for Navy leader development. Programs aimed at improving the Navy's effectiveness at the OLW directly support the development of joint warfighters, another focus of effort. Due to the deeply interconnected nature of the College's complementary mission areas and its impact on the Navy and nation, helping the CNO define the future Navy and its roles and missions must also retain a high priority for effort. Much of our vital engagement with international officers and partner nations is self-sustaining in terms of resources, but continues to require emphasis and effort.



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