STRATEGY RESEARCH PROJECT

THEATER ENGAGEMENT PLAN
(STRATEGIC TOOL FOR NATIONAL SECURITY)

BY

LIEUTENANT COLONEL JOHN D. POUCHER II
United States Air Force

USAWC CLASS OF 2000

U.S. ARMY WAR COLLEGE, CARLISLE BARRACKS, PA 17013-5050

DTIC QUALITY INSPECTED 4

20000607 119

USAWC STRATEGY RESEARCH PROJECT

THEATER ENGAGEMENT PLAN
(STRATEGIC TOOL FOR NATIONAL SECURITY)

by

LtCol John D. Poucher II
United States Air Force

Col. Paul F. Guzowski
Project Advisor

The views expressed in this academic research paper are those of the author and do not necessarily reflect the official policy or position of the U.S. Government, the Department of Defense, or any of its agencies.

U.S. Army War College
CARLISLE BARRACKS, PENNSYLVANIA 17013

ABSTRACT

AUTHOR: LtCol John D. Poucher II

TITLE: Theater Engagement Plan (Strategic Tool for National Security)

FORMAT: Strategy Research Project

DATE: 10 April 2000   PAGES: 28   CLASSIFICATION: Unclassified

Shrinking resources and declining confidence in government have spawned legislative mandates for increased accountability and improved performance by Federal agencies. This reform movement has had an impact on the military and resulted in initiatives designed to refocus strategic military leaders on results rather than merely on process and output. To that end the Secretary of Defense through the Chairman Joint Chiefs of Staff mandated each geographic Commander-in-Chief (CINC) submit an annual Theater Engagement Plan. This Theater Engagement Plan sets forth the Commander-in-Chief's overall theater strategy and details the type and scope of activities to be conducted in support of the National Military Strategy. This provides the National Command Authority a venue to assess how the geographic Commanders-in-Chiefs are implementing the United States National Security Strategy and validate resource expenditures.

This paper examines Theater Engagement Plans to see if they are in fact a valuable tool for the National Command Authority in determining if the goals of the National Security Strategy are being translated into executable programs at the operational level. Additionally this paper will, using the United States European Command Theater Engagement Plan, show how appropriate measures of effectiveness are used to validate the Command's programs. To accomplish this, strategic planning and the key elements of effective strategic planning will be used as a framework. Additionally, the United States European Command Theater Engagement Plan will be highlighted, in regards to the strategic planning model and the theory of metrics, to show how its programs (means) supports the theater objectives (ways) which support the goals of the National Security Strategy (ends).

TABLE OF CONTENTS

LIST OF ILLUSTRATIONS

Theater Engagement Plan (Strategic Tool for National Security)

Shrinking resources and declining confidence in government have spawned legislative mandates for increased accountability and improved performance by Federal agencies. This reform movement has had an impact on the military and resulted in initiatives designed to refocus strategic military leaders on results rather than merely on process and output. An integral part of the National Military Strategy in support of the National Security Strategy is to shape the international environment and create conditions favorable to United States interests and global security. To that end the Secretary of Defense through the Chairman Joint Chiefs of Staff, mandated each geographic Commander-in-Chief (CINC) submit an annual Theater Engagement Plan. This Theater Engagement Plan sets forth the Commander-in-Chief's overall theater strategy and details the type and scope of activities to be conducted in support of the National Military Strategy. Each Commander-in-Chief's Theater Engagement Plan is forwarded to the Chairman Joint Chiefs of Staff, for review and integration into a "global family of engagement plans" which is approved by the Secretary of Defense. This process provides the National Command Authority a venue to assess how the geographic Commander-in-Chiefs are implementing the United States National Security Strategy and to validate resource expenditures.

With the tremendous drawdown of U.S. military forces in Europe and an increase in mission requirements, United States European Command had already developed the Theater Security Planning System to manage its military-to-military contacts. The Theater Security Planning System was adopted by the Chairman Joint Chiefs of Staff and became the foundation of Chairman Joint Chief of Staff Manual 3113.01 (CJCSM 3113.01) Theater Engagement Planning. CJCSM 3113.01 sets forth guidelines and procedures for the geographic Commander-in-Chiefs to develop their Theater Engagement Plans.

This paper examines Theater Engagement Plans to see if they are in fact a valuable tool for the National Command Authority and to determine if the goals of the National Security Strategy are being translated into executable programs at the operational level. Additionally this paper will, using the United States European Command Theater Engagement Plan, show how appropriate measures of effectiveness are used to validate the Command's programs. To accomplish this, strategic planning and the key elements of effective strategic planning will be used as a framework. Additionally, the United States European Command Theater Engagement Plan will be highlighted, in regards to the strategic planning model and the theory of metrics, to show how its programs (means) supports the theater objectives (ways) which support the goals of the National Security Strategy (ends). The paper will attempt to demonstrate how the products produced from the Theater Engagement Plan, as prescribed by CJCSM 3113.01, are a valuable strategic tool not only for the geographic Commander-in-Chief but also the National Command Authority.

BACKGROUND

STRATEGIC PLANNING DEFINED

The vagueness of the term strategic planning reflects the relative lack of consensus on the subject. It is not defined in any joint or service publication, nor is there a single accepted meaning in the academic world. Some definitions are as follows:

A discipline or management function involving the allocation of resources to programmed activities to achieve a set of goals in a dynamic, competitive environment.[1]

A disciplined effort to produce fundamental decisions and actions that define what an organization is, what it does, and why it does it.[2]

A pattern or plan that integrates an organization's major goals, policies, and action sequence into a cohesive whole.[3]

There are subtle but significant variations in the definitions listed above. Fortunately, this confusion can be simplified somewhat for national security planning in general and national military security strategy in particular. National security policies and overall guidance are provided from the President and the Secretary of Defense. The theater Commander-in-Chief meets this guidance by integrating his subordinate organizations to meet the assigned objectives. Therefore, this paper will define strategic planning as: *A disciplined effort involving the allocation of resources to programmed activities aimed at achieving a set of objectives by integrating major goals into a cohesive whole*. This emphasizes strategic planning as a process that integrates present and future concepts in support of an overall national security strategy.

Strategic planning for a military organization is the matching of military programs (means) to military objectives (ways) to support assigned national goals (ends). It strives to make military plans congruent with the overall national security strategy, bring coherence between operational concepts and varied options while constantly balancing risks against benefits.

Now that strategic planning has been defined, the process must be identified. There are numerous planning models available in the business world, however for this paper the strategic planning model will be used.

PROCESS

STRATEGIC PLANNING MODEL
Basic Planning Structure

The basic strategic planning process is fairly simple. One reviews the interests of the organization being planned for, examines them in light of the context or environment they will operate in, and

generates a strategy to achieve the interests within that context.[4] More recent articles have expanded this basic planning structure into six steps:[5]

> STEP 1: Conduct an **environmental scan** (situational analysis; strengths, weakness, opportunities, threats analysis, or size-up) including an examination of both external and internal factors.

> STEP 2: Develop a **mission statement** which defines the fundamental purpose of the organization and its boundaries. Every organization needs a strong mission statement because it ensures consistency and clarity of purpose, encourages commitment within the organization, and stimulates support from outside the organization.[6]

> STEP 3: Develop a **set of strategies** indicating what will be done to carry out the mission. Strategies are the specific directional actions that define how the organizational mission is to be achieved. Strategies should capitalize on the most important external opportunities and internal strengths.[7]

> STEP 4: **Identify the Objectives** of each strategy. Ideally, objectives should be identified very early in the planning process.

> STEP 5: Develop **Tactics** or short term operating plans for meeting the objectives. Strategic planning is not effective until it is tied into an operational plan.

> STEP 6: Establish **measures of effectiveness**, and evaluation steps to determine how well the strategic plan is progressing.

However, this seemingly simple structure conceals a myriad of different factors affecting the strategic planning process. How strategic planners react to these factors determine how a strategic planning process plays out.

Complicating Factors in Strategic Military Planning

Unfortunately for strategic military planners, the following factors render this apparently simple process into a very complex reality:[8]

Interactions with other actors. Military planners must operate within an environment where state and non-state actors are actively trying to achieve their own goals and objectives. These goals may at times be in conflict with the goals of the United States. Planners must understand these strategies and how they interact with US strategies.

Interagency and interpersonal dynamics. Policy decisions in an organization as complex as the Department of Defense often involve policy conflicts which stem from the diverse interests of constituent organizations and/or other government agencies.

Long range forecasting. A strategic plan aimed at the future will be operating in an environment that becomes less predictable the further into the future it attempts to forecast. The large number of actors and the interaction of technology, culture, and other factors make predictions of future environments very difficult. The easiest way to minimize these factors is to conduct adequate evaluation of the plan.

Evaluation Tools

Evaluation tools, associated with strategic planning, have seen considerable change over the last several decades. This has led to a new set of choices for strategic planners. Different evaluation tools carry their own strengths and weaknesses that may influence the way a strategic process plays out. Some of the options available include:[9]

Intuition. Intuition involves having a decision-maker learn everything he/she can about the problem and allow his/her subconscious to arrive at the solution. Obviously, this is not systematic and is not easily reproduced. Few organizations can plan on being led by intuitive geniuses.

Expert opinion. This is a step up from intuition. The expert will be able to use his/her experience to improve his/her judgement. The challenge is finding an expert whose opinion is unbiased and accepted by all concerned parties.

System analysis. System analysis establishes a process from formulating a problem to verifying the conclusions by experiments. While ultimately reliant on subjective judgement, system analysis makes the reasoning process more analytical and quantifiable.

Whichever option is employed, appropriate measures of effectiveness must be used. The proper choice of measures of effectiveness may be difficult, but decision-makers must mandate their use.

MEASURES OF EFFECTIVENESS

Before developing measures of effectiveness for selection, a definition and some cautionary notes on their indiscriminate use is required. The term measures of effectiveness connotes different meanings dependent on usage, context, and audience. Generally, a measure of effectiveness can be defined as a quantitative expression that compares the effectiveness of alternatives or the effectiveness of continued operations.[10] Measures of effectiveness measure how well an alternative meets an operational objective or need. In the Department of Defense, there are military objectives and other agency objectives, all which must complement the national objective. Measures of effectiveness should be developed to correlate with all of these objectives.

Good measures of effectiveness provide the mechanisms to continually reassess the "ends, ways and means" of the engagement plan, in order to reprioritize efforts to "focus" scarce resources. As such, it is important that measure of effectiveness be related to and measure specifically the effects of engagement activities on achieving the strategic goals with in the theater. Measure of effectiveness must provide a quantitative indication as to whether campaign activities are providing "progress" in accomplishing strategic and regional goals.[11] In other words, appropriate measures of effectiveness must be "performance oriented." Measures of effectiveness must avoid merely counting the number and periodicity of engagement activities, since such "bean counting" has little relationship to measuring the effectiveness of such activities. To guard against "bean counting" an organization must identify and use

4

proper metrics in its assessments. To ensure everyone understands metrics, a short discussion will follow.

THEORY OF METRICS

Metrics are nothing more than meaningful measures. For a measure to be meaningful it must present data in a way that allows the organization to take action. The metric must support the meeting of the organization goals and objectives. Metrics foster process understanding and motivate action to continually improve the way an organization conducts its business. Metrics play an integral role in linking organizational processes to the achievements of the organization's strategic plan. Metrics are the diagnostics which show progress in meeting an organizations goals and objectives. Metrics can apply to any ongoing or recurring task activity, system, or process. Metrics are most meaningful if those who understand the process best develop them. [12]

Ultimately, two criteria must be satisfied for a measurement to be an effective metric. First a metric must present useful data that shows a status over time. Only trend data can be evaluated to the degree needed in order to take action. Second, the metric must directly support the achievement of the organization's goals and objectives. All efforts to evaluate one's current situation and take steps to reverse unwanted trends will be in vain unless the end result is the advancement of the organization toward meeting its strategic goals.

NATIONAL MILITARY PLANNING

Armed with the proper definition of strategic planning and an understanding of the strategic planning model, an in depth examination of national strategic military planning is warranted. This section will review the National Security Strategy, the National Military Strategy, and CJCSM 3113.01 Theater Engagement Planning, to highlight the national strategic military planning process.

AN OVERVIEW OF THE NATIONAL SECURITY STRATEGY

The National Command Authority (NCA) through the National Security Council (NSC) establishes the National Security Strategy and appropriates strategic end states. The National Security Strategy announces United States interests and goals. This strategy is the art and science of developing, applying, and coordinating the instruments of national power to achieve objectives that contribute the national security. These instruments include diplomatic, economic, informational, and military elements of power. The interests and goals of the United States as presented in President Clinton's 1998 National Security Strategy for a New Century include:[13]

> Create a stable, peaceful international security environment in which our nation, citizens and interests are not threatened.
>
> Seek a world in which democratic values and respect for human rights and the rule of law are increasingly accepted.

Seek continued American prosperity through increasingly open international trade and sustainable growth in the global economy.

Seek a cleaner global environment to protect the health and well-being of our citizens.

Once the National Security Strategy is published, each instrument of national power should develop a strategy to support this strategy. The Department of Defense develops the National Military Strategy to support the National Security Strategy.

AN OVERVIEW OF THE NATIONAL MILITARY STRATEGY

The Goldwater Nichols DOD Reorganization Act of 1986 requires the Chairman of the Joint Chiefs of Staff to assist the National Command Authority in providing strategic direction for the U.S. military forces. The National Military Strategy and the Joint Strategic Planning System are the methods the Chairman of the Joint Chiefs uses for providing the required assistance. The National Military Strategy provides the advice of the Chairman of the Joint Chiefs of Staff in consultation with the Joint Chiefs and the Combatant Commanders on the strategic direction of the Armed Forces. The 1997 National Military Strategy describes three fundamental strategic military concepts derived from the National Security Strategy. It builds on the premise that the United States will remain globally engaged to shape the international environment and create conditions favorable to United States interests and global security. It emphasizes that our Armed Forces must respond to the full spectrum of crisis in order to protect our national interests. It further states that as we pursue shaping and responding activities, we must also take steps to prepare now for an uncertain future.[14]

The overlapping and interrelated strategic concepts that allow the military to shape the international environment and thus execute the National Military Strategy are power projection and overseas presence. The geographic combatant commanders are the vital link in the United States military overseas presence. It was the May 1997 Quadrennial Defense Review (QDR) that stated " the U.S. military must be able to help shape the international security environment...".[15] Following the QDR, Contingency Planning Guidance 97 and the Unified Command Plan tasked the development of Theater Engagement Plans. The Contingency Planning Guidance defined theater engagement as " all military activities involving other nations that are intended to shape the regional security environment in peacetime."[16] The Contingency Planning Guidance contains prioritized regional objectives to be used in the development of Theater Engagement Plans. Objectives are prioritized by the national interest they seek to advance. Prioritized regional objectives are categorized as VITAL, IMPORTANT, or LESSER.[17] From these prioritized regional objectives the geographic Commanders-in-Chief derive their engagement objectives relating specifically to the countries within their areas of responsibility and then its Theater Engagement Plan. CJCSM 3113.01 sets forth guidelines and procedures for the geographic Commanders in Chief to develop their Theater Engagement Plans.

CJCSM 3113.01 requires Geographic Commanders-in-Chief to develop Theater Engagement Plans for their assigned theaters for the ensuing five fiscal years. The plan development process, as set forth in CJCSM 3110.01, is conducted in five phases. The first phase provides planning guidance via the Joint Strategic Capabilities Plan; the second phase results in a Theater Engagement Strategic Concept; the third phase results in a Commander-in-Chief-approved Theater Engagement Plan; the fourth phase is the national level review and integration; and the fifth phase is the preparation of supporting plans.[18] (See Figure 1)

THEATER ENGAGEMENT PLANNING PROCESS	
STAGE 1	
PHASE I	**INITIATION**
	CJCS/CINCs receive planning guidance from Secretary of Defense in Contingency Planning Guidance (CPG)
	CINCs receive planning tasks and guidance from CJCS in the Joint Strategic Capabilities Plan (JSCP)
PHASE II	**STRATEGIC CONCEPT DEVELOPMENT**
	CINCs prioritized theater, regional, and country objectives are derived.
	Strategic Concept is developed.
	Resources required to execute the strategy are identified at macro-level.
	Strategic concepts are reviewed and integrated, then collectively approved by CJCS
	This produces a completed Strategic Concept
STAGE 2	
PHASE III	**ACTIVITY ANNEX DEVELOPMENT**
	Specific engagement activities identified
	Forces and resources are identified at macro-level
	Forces and resource requirements analyzed
	Shortfalls identified
	Theater Engagement Plans are complete
	This produces a completed Theater Engagement Plan
PHASE IV	**PLAN REVIEW**
	TEPs reviewed by the Joint Staff, Services, supporting CINCs, USD(P)
	TEPs are integrated into a "family of plans"
	"Family of plans" approved by the CJCS
	TEPs forwarded as a "family of plans" for USD(P) review
Phase V	**SUPPORTING PLANS**
	Supporting plans prepared as required

FIGURE 1: CJCSM 3113.01: THEATER ENGAGEMENT PLANNING PROCESS

Theater Engagement Plans are published annually and provide a plan detailing the type and scope of engagement activities to be conducted in support of the geographic Commander-in-Chief's theater strategy. The Theater Engagement Plan is the linkage between strategic objectives and

engagement activities. Theater Engagement Plan Engagement Activity categories are operational activities, combined exercises, and other foreign, military interaction which includes combined training, combined education, military contacts, security assistance, humanitarian assistance, and any other activity the geographic Commander-in-Chief designates. The Theater Engagement Plan also provides the geographic Commander-in-Chief's estimate of the resources required to conduct these engagement activities.

All Theater Engagement Plans are forwarded to the Chairman of the Joint Chiefs of Staff for review and integration into a "global family of engagement plans." This global family of engagement plans is forwarded to Under Secretary of Defense for Policy (USDP) for review to ensure they conform to the established U.S. priorities and are sustainable from a global perspective. The Services, Defense agencies, and other government agencies use this global family of engagement plans to develop programs and budgets.[19] Therefore it could be said that Theater Engagement Plans are an important lynch pin in the planning portion of the Planning Programming and Budgeting System (PPBS).

CJCSM 3113.01 considers a Theater Engagement Plan to be another type of deliberate plan. Therefore, the two Theater Engagement Plan deliverables echo the familiar deliberate planning process: The Strategic Concept begins a planning phase, which ends with the Activity Annexes.

1) The Strategic Concept explains the theater and regional objectives and links them to the appropriate JSCP Prioritized Regional Objectives. The Strategic Concept describes, in general terms, the approach the command will take to achieve the objectives and identifies macro-level resources required to execute the strategy.

2) The Activity Annexes list the specific, detailed, engagement activities, force and resource requirements planned for five fiscal years in the future. Annex activities are listed in three broad categories: Operations, Exercises, and other Foreign Military Interaction (FMI).

AN EXAMPLE (U.S. EUCOM THEATER ENGAGEMENT PLAN)

To this point, strategic planning has been defined, details of the strategic planning model have been highlighted, and an overview of national strategic military planning has been presented. This section will, utilizing the six steps of the strategic planning model discussed earlier, highlight U.S. European Command's Theater Engagement Plan as an excellent example of the final product in this process. This Theater Engagement Plan was selected because it is viewed as the maturest Theater Engagement Plan at this time.

OVERVIEW

Historically, United States European Command has been committed to peaceful interaction with the friendly nations of the theater through engagement activities. However, since the end of the cold war, United States European Command has been forced to apply limited resources in a greatly enlarged

community of friendly nations. United States European Command's Strategy of Readiness and Engagement translates U.S. European Command direction and philosophy into measurable objectives and strategic elements and activities that guide the allocation of resources to achieve those objectives (Figure 2). *Engagement* shapes the security environment. *Readiness* maintains forces and infrastructure for crisis response and warfighting. Given the limited resources available, the Theater Engagement Plan is the linkage that ensures the balance between Engagement and Readiness is maintained.
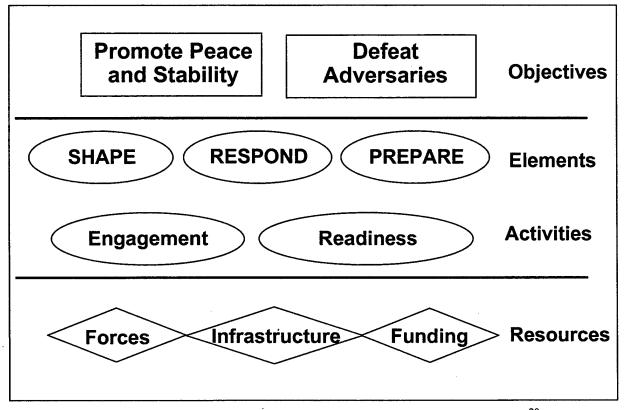
FIGURE 2: THE USEUCOM STRATEGY OF READINESS AND ENGAGEMENT[20]

The United States European Command Theater Engagement Plan has two parts, the Strategic Concept and the Engagement Activity Annexes. The Strategic Concept sets the stage for the overall plan and connects the engagement elements of the theater strategy to the more detailed regional and country campaign plans. The supporting Engagement Activity Annexes outline theater engagement operations, exercises, and other foreign military interaction for the next seven years.

The United States European Command's Strategic Concept focuses on the "SHAPE" portion of the National Military Strategy and satisfies expanded Joint Strategic Capabilities Plan direction to plan engagement at theater, regional, and country levels.[21] It describes U.S. military actions in the European Command area of responsibility and area of interest during peacetime. It provides an overview of the theater environment, theater engagement objectives, concept of operations, and activities planned to favorably shape the strategic environment. The six steps of the strategic planning model shall now be discussed.

STEP ONE: (CONDUCT ENVIRONMENTAL SCAN)

The first step in the strategic planning model is to conduct an environmental scan. The environmental scan is a thorough situational assessment focused on the threat analysis. U.S. European Command provides its environmental scan in Part I of the Strategic Concept. This section identifies the area of responsibility and possible threats.

The United States European Command Area of Responsibility (AOR) includes Europe and portions of the New Independent States (NIS), the Middle East, and Sub-Saharan Africa. The AOR has an area of approximately 13 million square miles and one billion inhabitants. It encompasses most of Europe, the majority of the Mediterranean littoral, and the bulk of Sub-Saharan Africa. Additionally, the Area of Interest (AOI) for United States European Command includes Russia and the NIS and Middle East/African countries assigned to United States Central Command's AOR.

United States European Command is a theater in conflict stabilized in many areas by American presence and leadership. It is also a theater in transition where the conversion to free market democracies must be fostered whenever possible. The CLASSIFIED Regional Campaign Plans address in more detail the security situation within the individual countries. Following is an UNCLASSIFIED overview of the security environment and threats which constitutes the environment which U.S. European Command operates.

Many destabilizing national and regional conflicts are occurring throughout the AOR, usually along one of the many ethnic, religious and environmental scarcities fault lines. At any one time, USEUCOM forces are typically involved in three to five Small Scale Contingencies (SSC) in addition to conflicts in which the United States is diplomatically engaged and others for which contingency planning is ongoing. The key threats/challenges to American interests in the USEUCOM AOR are summarized below using categories from the National Security Strategy and the National Military Strategy.

Regional Dangers: Regional conflict remains a serious security challenge. Regional powers have significant military capability and influence because of increasing access to wealth, technology, information, and the full spectrum of weapons left over from the Cold War. Conflicts not directed against the United States from failed and failing states still threaten national and allied interests.

Asymmetric Threats: Some states have the ability to employ asymmetric threats against the U.S. and its allies. The greatest concerns are terrorism, the use or threatened use of weapons of mass destruction (WMD), and information warfare.

Transnational Dangers: Dramatic population increases in underdeveloped areas decrease the standard of living, tax social services, and create economically motivated migrations which undermine regional stability and economic growth. Organized crime continues to undermine political stability and economic opportunity, while weakening the perceived attractiveness of democracy. Illegal drugs tear at the fabric of society in both drug-producing and drug-consuming regions. Wanton ecological destruction often threatens the long-term health of regional ecosystems for short-term gains. The spread of AIDS, particularly in Africa, poses a health risk to the global population.

Wild Cards: The unsettled political situation in several parts of the AOR, combined with a full-spectrum of regional, asymmetric, and transnational dangers, makes the USEUCOM AOR particularly fertile for the emergence of wild card threats. Wild card threats are extremely difficult to predict, but engagement is vital to diffuse the individual conditions necessary for threat combinations to reach the critical strength necessary to challenge American interests in new and unpredictable ways.

STEP TWO: (DEVELOP MISSION STATEMENT)

The next step in the strategic planning model is to develop a mission statement. As stated previously the mission statement is most important for effective operations. The mission statement below reflects elements of the National Security Strategy and National Military Strategy.

> United States European Command is a Unified Combatant Command whose mission is to maintain ready forces to conduct the full spectrum of military operations unilaterally or in concert with coalition partners; to enhance transatlantic security through support of NATO; to promote regional stability; and to advance U.S. interests in Europe, the New Independent States, Africa, and the Middle East.[22]

From the mission statement the CINC's vision is derived. A vision focuses all efforts of the command and allows all members of the command to understand what they are working toward. CINC U.S. European Command's vision statement is:

> A community of free, stable, and prosperous nations acting together while respecting the dignity and rights of the individual and adhering to the principles of national sovereignty and international law.[23]

STEP THREE: (DEVELOP STRATEGY)

The third step in the strategic planning model is to develop the strategy to accomplish the mission. Part III of the Strategic Concept sets forth the strategy required to execute the Commander-in-Chief's vision. Additionally, it sets forth the priorities should resources become limited and decisions between regional programs become necessary. USEUCOM derives the end states from the Contingency Planning Guidance. Regional priorities describe the importance of a region to U.S. national interests and do not necessarily indicate the level of engagement activity which takes place in that region.

The strategy of the U.S. European Command, which synchronizes U.S. policy from the National Security Strategy of the President and the National Military Strategy of the Chairman, Joint Chiefs of Staff, is one of Readiness and Engagement. Readiness is the ability to defeat any adversary who challenges the United States militarily and that our forces can respond quickly to control crises. Most importantly, Engagement activities provide the foundation for U.S. European Command's Readiness. Essential to the success of any strategy is identifying clear, measurable objectives.

STEP FOUR: (IDENTIFY OBJECTIVES)

Clear, measurable objectives are essential for the successful execution any theater engagement strategy. The first nine of the eleven objectives listed below most directly support Shaping.[24]

Objective 1: Protect and Take Care of the Force. In order to promote peace and stability and, when necessary, defeat adversaries, USCINCEUR must maintain a force ready to meet all strategic objectives.

Objective 2: Maintain, support, and contribute to the integrity and adaptation of NATO

Objective 3: Help prepare the militaries of invited nations to integrate into NATO.

Objective 4: Promote stability, democratization, military professionalism, and closer NATO relationships with the nations of Central Europe and Newly Independent States.

Objective 5: Support NATO efforts to ensure self-sustaining progress from the Dayton process; develop military institutions in former Yugoslavia adapted to democratic civilian control.

Objective 6: Support peace initiatives in the Middle East and maintain the U.S.-Israeli strategic relationship.

Objective 7: Ensure freedom of maritime and aeronautic lines of communication.

Objective 8: Promote stability, democratization, and military professionalism in Africa.

Objective 9: Provide prompt response to humanitarian crisis.

Objective 10: Maintain a high state of readiness in USEUCOM forces.

Objective 11: Implement *Joint Vision 2010*.

U.S. European Command's regions reflect a similarity of both geopolitical characteristics and U.S. objectives. Regional Campaign Plans further refine the USEUCOM Theater Campaign Plan for both Readiness and Engagement objectives.

STEP FIVE: (DEVELOP TACTICS/OPERATING PLANS)

The fifth step of the strategic planning model is the development of tactics or plans for meeting the objectives. Using the objectives derived from the Joint Strategic Capability Plan (JSCP) Prioritized Regional Objectives and Commander-in-Chief goals, U.S. European Command develops Regional Campaign Plans and supporting Country Campaign Plans. The Regional Campaign Plans and Country Campaign Plans provide the detail that supports each objective.

U.S. European Command employs an array of programs and activities to implement the plans. As stated earlier, CJCSM 3113.01 identifies three categories of engagement activities—Operations, Exercises, and Foreign Military Interaction (FMI). Engagement operations include Peace Operations, Humanitarian Relief Operations (HUMRO), Counterdrug Operations, and Sanction Enforcement.

Combined Exercises are one of U.S. European Command's key tools to expand U.S. influence. U.S. European Command exercise program includes Bilateral and NATO Partnership-for-Peace (PfP) Exercises. The final engagement activity category is other Foreign Military Interaction (FMI). Examples of FMI activities are: Military Contacts, CINC Visits, Security Assistance, and Humanitarian Assistance (HA) programs. In terms of sheer numbers, FMI events constitute the magnitude of engagement activities although they use a minority of resources.[25] All activities are important to theater engagement.

STEP SIX: (ESTABLISH MEASURES OF EFFECTIVENESS)

The final step of the strategic planning model is the establishment of measures of effectiveness to determine how well the strategic plan is progressing. In our time of limited resources, this has become an important step.

Clearly identified measurable objectives are essential for the successful execution of a theater engagement plan. U.S. European Command's Theater Engagement Plan strives to achieve measurable goals tailored to U.S. National Security interest and each country's situation.

The Measures of Effectiveness for identifying the degree of success in achieving the theater objectives are defined in Regional Campaign Plans and individual country engagement plans. These measures are used to assess U.S. European Command's progress toward achieving its objectives. U.S. European Command measures progress toward achieving theater objectives as quantitatively and precisely as possible. Selection of measures of effectiveness for the nine supporting objectives is critical for long term success. Programs can be modified as clarity is achieved on the degree of success in achieving theater objectives. As was mentioned in an earlier section of this paper, quantitative measures can sometimes be misleading. However, since qualitative and anecdotal measurements may be the only metrics available in some areas, U.S. European Command uses trend analysis and expert opinion to assess progress.

As mentioned earlier, measures of effectiveness must avoid merely counting the number and periodicity of engagement activities, since such "bean counting" has little relationship to measuring the effectiveness of activities. The difficulty of devising measure of effectiveness system rests in the nature of the goals to be measured. Strategic goals of "Defeating Adversaries" and "Promoting Peace and Stability" are very general in nature and apply to a region that is very diverse in composition. Because of the difficulty of measuring success, any attempt to relate engagement activities directly to these strategic goals would be anecdotal at best. U.S. European Command's solution to this problem is to break down strategic goals into integral objectives, which can be quantitatively measured and linked to the performance criteria of various engagement activities. This allows factual events and other quantitative factors to be aggregated into meaningful "measures" of performance.

In order to provide meaningful measurements of performance, the U.S. European Command measure of effectiveness structure is broken down into four levels: (1) Strategic Goals, (2) Regional Goals, (3) Criteria, and (4) Factors/Events.[26]

(1) Strategic goals provide the broadest description of the U.S. European Command objectives throughout the theater. These strategic goals include "Defeat Adversaries" and "Promote Peace and Stability". When applied geographically, these goals can be broken down into specific regional goals.

(2) Regional goals are derived from the strategic goals, but are specific to one of the five geographic areas within the U.S. European Command AOR (Western Europe/NATO, Central Europe, Newly Independent States, Middle East/North Africa, and Sub-Sahara Africa). Regional goals include those identified by or derived from the Joint Strategic Capability Plan's Prioritized Regional Objectives and Commander-in-Chief guidance.

(3) Criteria derived for each regional goal must be achieved to realize the regional goal. Criteria provide a degree of specificity, which can be linked to specific events in order to measure progress in achieving regional goals. Criteria are applied country by country, and are quantified by supporting facts that occur within that country.

(4) Events/Factors are actual events that occur in each country. Country Desk Officers and other regional experts track events within each country and relate these to criteria required to accomplish regional goals. These events/factors may be the direct result of specific engagement activities or may be more generic in nature.

Utilizing this system, progress (or lack thereof) can be documented under each criterion which, when aggregated under appropriate regional goals, provides a positive (or negative) indication if U.S. European Command is realizing its regional and strategic goals. An example of how such an event would be rated follows:

(1) Strategic Goal: Promote Peace and Stability

(2) Regional Goal for Central Europe: Maintain Military Stability

(3) Criterion: Maintain Military with Democratic Institutions

(4) Events/Factors for Country X: Adopted the UCMJ as model for their military justice system (product of Joint Contact Team Program)

Each country desk officer accomplishes annual measures of effectiveness evaluations, the results of which are included in the Country Campaign Plan. The first evaluation establishes a "base line" for that country. Subsequent annual evaluations will compare measure of effectiveness ratings to the previous year in order to establish a "trend analysis." The following procedure is followed:[27]

STEP 1. Subordinate Criteria Rating: Country desk officers collect all historical events/factors and then apply one of the following ratings:

+ (Plus) -- Indicates that the majority of events/factors point to substantive progress.

/ (Slash) -- Indicates a neutral position; the country is neither progressing nor regressing.

- (Minus) -- Indicates that the majority of events/factors point to substantive regression.

STEP 2. Establish Regional Goal Ratings: Once all criteria ratings are finished, country desk officers will collect all criteria under the appropriate regional goal and then apply one of the following ratings:

A-- Indicates the country has accomplished, or is making strong progress toward accomplishing this regional goal. The majority of the subordinate criteria ratings received a + (Plus) rating.

B -- Indicates the country is making progress towards accomplishing this regional goal. Subordinate criteria ratings indicate more pluses than minuses.

C -- This rating indicates that the country is maintaining the status quo with regard to this regional objective.

D -- This rating indicates that the country has actually regressed in accomplishing this goal. Subordinate criteria ratings indicate more minuses than pluses.

F -- This rating indicates that the country is strongly regressing in accomplishing this regional goal. The majority of subordinate criteria received a -(minus) rating.

STEP 3: Develop Evaluation Matrices. Once all criteria and regional goal ratings are applied, country desk officers organize the ratings into evaluation matrices. These matrices provide an overall look at the measure of effectiveness evaluation for that country. Information from country matrices is aggregated into the Regional Matrix. The Regional matrix provides a "macro" look at the effectiveness of the U.S. European Command engagement campaign on the entire region.

The measure of effectiveness system outlined above calculates "base line" values for measuring progress in accomplishing engagement goals. Of equal importance is the ability to identify trends so planners can ensure the engagement strategy is effective in promoting continued progress. Trend analysis is equally as important to the planner as base line ratings. A negative trend, even in a country with high base line ratings, is an indication that the engagement strategy is not working and may need to be modified. Conversely a positive trend, even in a country with low base line ratings, is an indication that the strategy is effective and should be continued (or even strengthened). Thus trend analysis provides a good barometer of how well the campaign strategy is performing over the long run. As with base line ratings, trend ratings are aggregated and displayed in the Evaluation Matrices. Two "trend ratings" are possible:

+ (Plus) - Indicates the country shows improvement in accomplishing this goal since last year.

- (Minus) - Indicates the country shows regression in accomplishing this goal since last year.

The purpose of measures of effectiveness in a Theater Engagement Plan is to provide a systemic method of gauging progress towards achieving the strategic goals within the theater. The Geographic Commander-in-Chief identified his strategic and major regional goals within his Area of Responsibility, thereby defining the "ends" to be accomplished. The Theater Engagement Plan recommends concepts (the "ways") by which to accomplish those objectives, and allocates engagement activities and other resources (the "means") to be applied in achieving those goals. As part of this process, it is necessary to

prioritize the application of those resources, and finally to periodically measure the effectiveness of the engagement.

The ultimate accomplishment of Theater Engagement Plans is the ability to ensure resources for engagement programs are effectively utilized. The United States European Command's Theater Engagement Plan is an outstanding example. It links and synchronizes planned engagement activity to national, theater, and regional objectives across Department of Defense to better match engagement resources to engagement requirements.

CONCLUSION

Any planning process aimed at creating an integrated plan, designed to effectively accomplish broad national strategic goals is difficult to imagine. However, the need for a strategic planning tool that can facilitate the coordination and planning necessary to compare, evaluate, and prioritize competing needs between the U.S. military, our allies and other U.S. government agencies is very important. The call for increased accountability and improved performance from all federal agencies has stressed and will continue to stress the need for an effective strategic planning system. This paper sought to illuminate how the Department of Defense, through the Theater Engagement Planning process centralizes the visibility of engagement activity planning and execution through out Department of Defense.

First this paper defined strategic planning, introduced the strategic planning process, measures of effectiveness, and Theory of Metrics to provide the framework for analysis. Armed with this framework, this paper next provided an overview of the National Security Strategy and National Military Strategy to highlight the ultimate goals and also the beginning of the strategic planning process. Finally the U.S. European Command Theater Engagement Plan was discussed within the framework of the strategic planning model.

As this paper showed, United States European Command's Theater Engagement Plan takes the strategic objectives provided in the National Security Strategy *(ends)*, identifies strategic elements to use to achieve those objectives *(ways)*, and allocates the resources required to implement those strategic elements *(means)*. This is a classic example of strategic planning. However, the most important element of United States European Command's Theater Engagement Plan is the process used to measure the effectiveness of engagement programs. The measures of effectiveness system developed allow theater decision-makers to determine if resources are being expended properly.

Therefore, the ultimate conclusion is that the Theater Engagement Planning process is not only a valuable shaping tool for geographic Commander-in-Chiefs, but equally valuable to the National Command Authority for national strategic planning.

Word Count = 7,317

ENDNOTES

[1] Daniel H. Gray, "Uses and Misuses of Strategic Planning." Harvard Business Review, Vol. 64, (1986), 89

[2] John M. Bryson, "Initiation of Strategic Planning by Governments." Public Administration Review, Vol. 48 (1988) 995

[3] Henry Mintzberg and J.B. Quinn, The Strategic Process: Concepts, Context, and Cases (Englewood Cliffs: Prentice-Hall Inc., 1991), 5

[4] William Ascher and William H. Overholt, Strategic Planning and Forecasting: Political Risk and Economic Opportunity (New York: John Wiley & Sons, 1983), 21-41

[5] James L. Mercer, Strategic Planning for Public Managers (New York: Quorum Books, 1991), 21

[6] ibid., 65

[7] ibid., 73

[8] William Ascher and William H. Overholt, Strategic Planning and Forecasting: Political Risk and Economic Opportunity (New York: John Wiley & Sons, 1983), 42-55

[9] Edward S. Quade and Hugh J. Miser, Handbook of Systems Analysis (New York: North-Holland, 1985) 5-30

[10] ibid., 22

[11] Thomas H. Athey, Systematic System Approach (Englewood Cliffs: Prentice-Hall Inc., 1982), 12-14

[12] United States Air Force Systems Command. The Metric Handbook (Draft). Andrews AFB: 23 April 1991

[13] William J. Clinton, A National Security Strategy for A New Century (Washington D.C.: The White House, October 1998), 5.

[14] Chairman of the Joint Chiefs of Staff, National Military Strategy of the United States of America (Washington D.C.: Joint Staff, 1997), 1

[15] Quadrennial Defense Review

[16] ibid.

[17] Joint Staff, Theater Engagement Planning CJCSM 3113.01 (Washington D.C.: Joint Staff, 1998), GL-4

[18] ibid., A-1

[19] ibid., A-3

[20] Headquarters U.S. European Command. <u>USCINCEUR THEATER ENGAGEMENT PLAN:</u> <u>Engagement for the USEUCOM Theater</u> (APO AE 09128, October 1998), 2

[21] ibid., 1

[22] ibid., 11

[23] ibid., 11

[24] ibid., 11-12

[25] ibid., 39

[26] Lt Col Gary Rogers, "Regional Working Groups: The Process," briefing slides with scripted commentary, USEUCOM ECJ5-E, January 2000.

[27] ibid.

BIBLIOGRAPHY

Ascher, William and William H. Overholt. <u>Strategic Planning & Forecasting: Political Risk and Economic Opportunity</u>. New York: John Wily and Sons, 1983

Athey, Thomas H. <u>Systematic Systems Approach</u>. Englewood Cliffs: Prentice-Hall Inc., 1982.

Bracken, Paul. <u>Strategic Planning for National Security: Lessons from Business Experience</u>. Santa Monica: The RAND Corporation, February 1990.

Chairman of the Joint Chiefs of Staff. <u>National Military Strategy of the United States of America</u>. Washington, D.C.: 1997.

Clinton, William Jefferson. <u>A National Security Strategy for a New Century</u>. Washington, D.C.: The White House, October 1998.

Cohen, William S. <u>Report of the Quadrennial Defense Review</u>. Washington, D.C.: US Department of Defense, May 1997.

Department of the Army. <u>Field Manual 100-7 Decisive Force: The Army in Theater Operations</u>, Washington D.C.: Headquarters Department of the Army, May 1995

Gerber, David. "Theater Security Planning System (TSPS)" Briefing Slides with Script Commentary. USEUCOM: ECJ5-S, Strategy, Resources, and Congressional Affairs, March 1998.

Goodwin, William P. <u>Measures of Effectiveness: The Transition from Peace-enforcement to Peacekeeping</u>. Newport: Naval War College, 16 Jun 1995.

Joint Staff. <u>Theater Engagement Planning</u>. CJCSM 3113.01. Washington, D.C.: 1 February 1998.

Koteen, Jack. <u>Strategic Management in Public and Nonprofit Organizations</u>. Westport: Praeger Publishers, 1997.

Kreighbaum, Jay M. "Theater Engagement Planning". Briefing Slides with Script Commentary. USEUCOM: J5 Plans & Policy Directorate, Strategy Division, Theater Engagement Branch, October 1999

Mercer, James L. <u>Strategic Planning for Public Managers</u>. Westport: Quorum Books, 1991.

Mintzberg, Henry and James B. Quinn. <u>The Strategy Process: Concepts, Contexts, and Cases</u>. Englewood Cliffs: Prentices Hall Inc., 1991

Miser, Hugh J. and Edward S Quade. <u>Handbook of Systems Analysis: Overview of Uses, Procedures, Applications, and Practice</u>. New York: North-Holland, 1985

National Defense Panel. <u>Transforming Defense: National Security in the 21st Century</u>. Arlington: December 1997.

Pfeiffer, William J., Leonard D. Goodstein, and Timothy M. Nolan. <u>Shaping Strategic Planning</u>. San Diego: University Associates, Inc., 1989.

Rogers, Gary Lt Col. "Regional Working Groups: The Process." Briefing slides with scripted commentary. USEUCOM ECJ5-E, January 2000.

United States Air Force Systems Command. The Metric Handbook (Draft). Andrews AFB: 23 April 1991.

United States European Command. Strategy of Readiness and Engagement. HQ United States
  European Command: 1998.