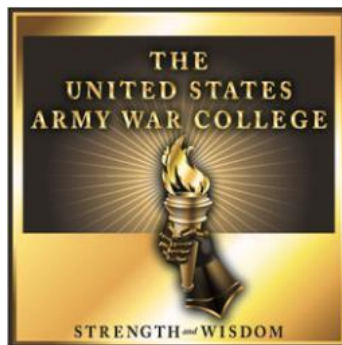Department of Distance Education

Effective Communication Directive

Second Edition

Carlisle Barracks, PA 17013-5216

Promoting Excellence in Strategic Leader
Writing, Research, and Oral Communication

Middle States Accreditation

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Overview

The Communicative Arts are concerned with the exchange of messages and the impact of those messages on human beings operating within specific circumstances constrained by powerful social, cultural, and political influences. A pivotal skill for strategic leaders, communicative competence entails the analysis and creation of thoughtful messages and the understanding of how a message is best communicated, interpreted, and understood.

Fundamental communication competencies include (a) *reading* diverse texts and information sources, (b) *listening* effectively and efficiently to voluminous information flows, (c) *speaking* with substance, clarity, and confidence to diverse audiences, and (d) *writing* economically, articulately, and persuasively using compelling arguments built on solid evidence. Operating in conjunction with the USAWC Applied Communication and Learning Lab (ACL-Lab), the Communicative Arts Program facilitates student ability to:
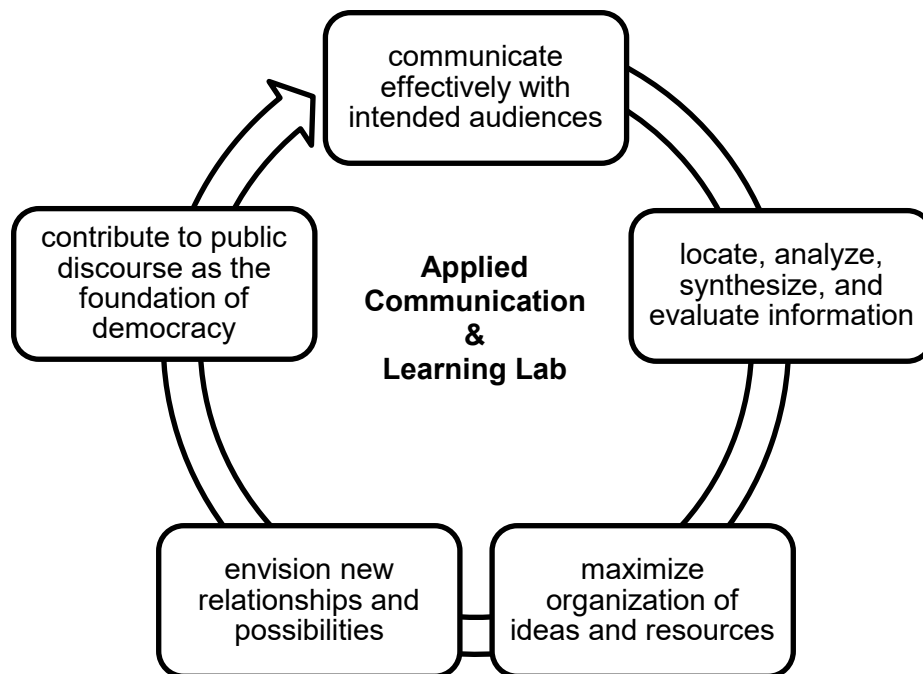
This resource offers information and guidance for negotiating the Distance Education Program. All USAWC curricular programs—the Distance and Resident Education Programs (DEP and REP) and the USAWC Fellowship Program—share a common mission: to prepare the next generation of strategic leaders to[1]:

- Think strategically and skillfully develop strategies to achieve national security objectives

- Provide strategic context and perspective to inform and advise national level leaders; providing sound, nuanced and thoughtful military advice

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[1] From the AY20 USAWC Institutional Learning Outcome Statement

- Apply intellectual rigor and adaptive problem solving to multi-domain, joint warfighting, and enterprise level challenges

- Lead teams with expert knowledge and collaborate with others to provide innovative solutions to complex, unstructured problems

- Exercise moral judgement, and promote the values and ethics of the profession of arms

- Convey complex information and communicate effectively and persuasively to any audience

The ACL-Lab's unique approach to integrating the communicative arts within the larger picture of student and faculty development enables facilitation of these outcomes through focus on (a) information *acquisition* and *analysis* through critical reading and effective listening, and (b) information *distribution* and *analysis* through public speaking and professional writing. Significantly, *analysis*—the consideration of how messages are constructed and likely to be understood—is key to acquisition and distribution.

A resource for all USAWC students and faculty, the ACL-Lab advances the education and development of strategic leaders through the fusion of educational methodologies with communicative arts. The ACL-Lab promotes excellence in strategic leader writing, research, and oral communication by offering instruction, coaching, publication support, and collaborative educational opportunities for students and faculty charged with conveying complex information. The intended outcome for students is the ability to communicate effectively and persuasively to any audience at any time. The intended outcome for faculty is to enhance ability to communicate effectively and advance student learning. The ACL-Lab is a unique collaborative educational initiative founded on relational learning and communicative excellence.

Essential Competencies

Listening

Listening—the process of selecting, attending to, and constructing meaning from oral messages and nonverbal signals—is a fundamental information acquisition process. Strategic leaders can enhance professional effectiveness and personal credibility by avoiding unproductive listening habits while maximizing listening capabilities. Enhance listening competency by actively engaging in face-to-face and on-line lectures and presentations. The effective strategic leader is poised to attend and focus at the right time. Practice listening as a leader, refining skills as needed. For those near Carlisle Barracks, the Commandant's Lecture Series provides an opportunity to engage listening skills. Effective leaders employ active listening strategies to:

- Appreciate cultural and experiential differences
- Avoid pre-judgment and pretense
- Paraphrase accurately and seek confirmation of understanding
- Ask open-ended questions respectfully
- Genuinely connect with the speaker
- Respond with both cognitive and emotional intelligence

Reading

Strategic leaders are always pressed for time. Finding time to carefully read and process information requires skill, practice, and sustained commitment. Reading well—with efficiency,

exceptional comprehension, and a critical eye—is an essential and necessary competency for those who make decisions and offer informed recommendations to others. Many opportunities exist to identify coherent bodies of knowledge, initiate systematic reading programs, and independently explore materials to help maximize subject matter expertise as well as reading effectiveness and efficiency. Practice reading for leadership, refining skills as needed. Effective leaders employ critical reading strategies to access diverse texts with confidence and:

- Recognize underlying and stated claims
- Analyze argument content and structure
- Locate assumptions within the text
- Evaluate evidence quality and pertinence
- Identify strengths and weaknesses
- Draw conclusions about argument veracity

Research

Research and strategic leadership are inexorably intertwined. Through research, strategic leaders find information and perspectives essential to effective decision-making. Leader decisions are often a product of what the leader knows (or believes) and the ability to acquire information and resources. Research is central to inquiry, evaluation, and action. Practice thoughtful research strategies, refining skills as needed. Engage the research process to:

- Gain perspective
- Evaluate information
- Build knowledge
- Develop conclusions
- Advance recommendations
- Share findings

Speaking

Public speaking is a fundamental leadership competency. The ability to lead is rooted in the ability to speak clearly, thoughtfully, and persuasively in multiple contexts. Effective public speaking facilitates the exchange of ideas, the building of community and consensus, and helps to identify best courses of action. Members of the USAWC community often have the knowledge, experience, and communication skills necessary to speak publicly about a wide range of topics within their areas of expertise. For those near Carlisle Barracks, the USAWC Speakers Bureau helps facilitate connection between speakers and audiences. Contact the PAO to complete the Speakers Bureau Topic Preference Sheet. Those who speak help to increase public understanding of national defense topics and further develop the ability to:

- Speak confidently in interpersonal, group, and public venues
- Advance articulate arguments informed by research
- Understand and connect with a variety of audiences
- Recruit and evidence effective body language
- Maintain interest value through succinct presentation of complex ideas
- Effectively challenge perceptions while offering new insights

Writing

Facility with the written word is arguably the most fundamental and enduring competency of any strategic leader. The ability to write with purpose, clarity, and precision reflects the quality of a leader's mind. Strategic leaders must be able to advance well-reasoned arguments that are sustained by evidence and that warrant particular courses of action. Consider participating in the optional Effective Writing Lab Online (EWLO), a self-paced course designed to help motivated learners gain familiarity and facility with the type of writing required of strategic leaders and for USAWC courses and writing tasks. Effective leaders consistently employ professional writing skills to communicate important ideas. They:

- Write with economy, clarity, precision, and style
- Develop coherent, convincing, evidence-based arguments
- Advance arguments of strategic importance
- Select appropriate forms/formats for intended audiences
- Employ comprehensive source documentation techniques
- Contribute to strategic discourse and understanding

Visualizing

Visualizing is the process of using visual media to help communicate complex ideas to identified audiences. Visual media can facilitate audience understanding by:

- Cultivating audience engagement
- Demonstrating core concepts succinctly
- Providing space for multiple voices
- Facilitating interaction and response
- Promoting audience identification
- Merging communicative arts capabilities

Assessment Criteria

USAWC students and Fellows are assessed on the ability to think strategically and to translate strategic thoughts into effective communication practices. Strategic thinkers employ ethical reasoning, evaluate contrasting viewpoints, aptly apply historical insights, draw valid conclusions, and clearly present their ideas to a wide variety of audiences in both oral and written form. USAWC Memorandum 623-1 requires assessment of student work to be centered on Content, Organization, and Delivery (oral presentations) or Style (written work) with Content being paramount. Work that receives a Content assessment of Needs Improvement or Fails to Meet Standards cannot receive an <u>overall</u> assessment of Meets Standards—even if both Organization and Delivery/Style were Outstanding. The Overall assessment cannot be higher than the Content assessment. Overall assessment equals Content assessment when both Organization and Delivery/Style are assessed at the minimal level of Needs Improvement.

Strive to exceed minimal standards and not settle for an assessment profile in which two of three areas of competence need improvement. Only work that earn assessments of Exceeds Standards or Outstanding in all three areas may be nominated for an award.

Oral and Written

Effective oral presentations (a) reflect appropriate analysis, research, and thought, (b) are carefully tailored to the intended audience, and (c) achieve maximum impact through clear organization and delivery. Of paramount importance are the quality and clarity of ideas, the analysis and arguments advanced, and the strength of evidence offered. PowerPoint slides, briefing aids, charts, and other supporting materials can help maximize impact, but "glitz, shine, and glitter" will never substitute for clear thinking, solid research, and effective speaking.

The ability to write and the ability to think are directly related. Strong writing skills demonstrate intellectual competence and acumen as well as critical thinking facility. Students should clearly emphasize analysis, synthesis, and evaluation in written compositions. Thoughtful exposition moves beyond simple description. Professional writers avoid substituting personal opinion for insightful ideas. To be effective, knowledge claims, arguments, contentions, and insights must be supported with clearly presented and sensibly organized evidence.

USAWC papers require a clear thesis that is well-supported, properly documented, concise, and logically organized. Papers must adhere to conventional rules of English grammar and syntax, using a professional/academic style. Written work must represent individual effort, analysis, and reasoning. "Double-dipping" is not allowed. A paper may not be used to fulfill requirements for more than one course or assignment (although its ideas may be used as building blocks).

Faculty assessment is largely holistic and subjective, but remains focused on the message trilogy: Content, Organization, and Delivery. Content carries the most weight as it privileges assessment of idea quality and argument strength. Thus, although each major presentational aspect is important, the overall assessment cannot be rated higher than the Content assessment. A speech might be well organized and expertly delivered, but if the speaker has nothing worthwhile to say, an important opportunity is lost. Similarly, a paper might be well organized and stylistically interesting, but if the writer fails to communicate worthwhile ideas to the reader, an important opportunity is lost. Strategic leaders cannot afford to miss such opportunities. Assessment criteria are the same for both the Distance and Resident Education Programs. Each element of the message trilogy receives a letter assessment that *may* include a plus or minus (+/–) to indicate relative strength within most rating categories.

A+ (97-100) - Exceptional. In all cases, individual work meets the highest standards for the assignment or course. Work represents the complete integration of strategic thinking competencies as the student surpasses all course learning outcomes. The student has demonstrated a mastery of course content. There is abundant evidence of this integration in both individual and group activities and products. Contributions in seminar are highlighted by insightful thought, understanding, and original interpretation of complex concepts; the student typically leads and facilitates group discussions. Student demonstrates exceptional ability to clearly and effectively communicate complex ideas and information through written, oral, and visual means.

A (94-96.99) - Outstanding. In nearly all cases, individual work meets the highest standards for the assignment or course. Work represents the good integration of strategic thinking skills as the student strongly achieves course learning out comes. The student has demonstrated a mastery of course content. There is abundant evidence of this integration in both individual and group activities and products. Contributions in seminar reflect an outstanding understanding of the material, and are highlighted by insightful thought and original interpretation of complex concepts. Student is fully engaged in discussions. Student demonstrates outstanding ability to clearly and effectively communicate complex ideas and information through written, oral, and visual means

A- (90-93.99) - Excellent. In the majority of cases, individual work represents the complete integration of strategic thinking skills as the student clearly achieves course learning outcomes. There is significant evidence of this integration in both individual and group activities and products. Contributions in seminar reflect an excellent understanding of the material, and have an insightful quality; student is fully engaged in discussions; student demonstrates excellent ability to clearly and effectively communicate complex ideas through written, oral, and visual means

B+ (87-89.99) - Very Good. Meets the standards for the assignment or course. Work represents consistency in the application of strategic thinking skills as the student achieves course learning outcomes. The student is competent in the application of course content. There is frequent evidence of this application in both individual and group activities and products. Contributions in seminar reflect a good understanding of material; student joins in most discussions. Student demonstrates very good ability to clearly and effectively communicate ideas and information through written, oral, and visual means.

B (84-86.99) - Satisfactory. Meets most of the standards for the assignment or course. Work represents some consistency in the application of strategic thinking skills as the student achieves course learning outcomes. The student is competent in the application of course content. There is frequent evidence of this application in both individual and group activities and products. Contributions in seminar reflect a good understanding of material; involvement in discussions is satisfactory. Student demonstrates satisfactory ability to clearly and effectively communicate ideas and information through written, oral, and visual means.

B- (80-83.99) - Marginal. Meets some of the basic standards for the assignment or course. Work represents some comprehension of course content and is inconsistent in its application of strategic thinking skills. Contributions in seminar reflect a marginal understanding of material and show some preparation; involvement in discussions is limited; sometimes needs to be encouraged. Student demonstrates marginal ability to clearly and effectively communicate ideas and Information through written, oral, and visual means.

C+ (77-79.99) - Marginal. Meets some of the basic standards for the assignment or course. Work represents some comprehension of course content and is inconsistent in its application of strategic thinking skills. Contributions in seminar reflect a marginal understanding of material and show some preparation; involvement in discussions is limited; sometimes needs to be encouraged. Student demonstrates marginal ability to clearly and effectively communicate ideas and Information through written, oral, and visual means.

C (74-76.99) - Marginal. Meets some of the basic standards for the assignment or course. Work represents some comprehension of course content and is inconsistent in its application of strategic thinking skills. Contributions in seminar reflect a marginal understanding of material and show some preparation; involvement in discussions is limited; sometimes needs to be encouraged. Student demonstrates marginal ability to clearly and effectively communicate ideas and Information through written, oral, and visual means.

C- (70-73.99) - Minimal. Shows little command of the material for the assignment or course; work represents a limited consistency in the application of strategic thinking skills as the student achieves course learning outcomes. Contributions in seminar reflect a below average understanding of material; involvement in discussions is very limited. Student demonstrates slight ability to clearly and effectively communicate ideas and information through written, oral, and visual means.

D (60-69.99) - Unsatisfactory. Failed to achieve the basic standards in most or all areas for the assignment or course. Work represents a consistent failure to achieve course learning outcomes and lack of strategic thinking. Contributions in seminar reflect substandard preparation; limited participation even when called upon or encouraged. The student rarely, *or* minimally, demonstrates comprehension of course content. Student fails to demonstrate the ability to clearly and effectively communicate ideas and Information through written, oral, and visual means.

F (<60) - Unsatisfactory. Failed to achieve the basic standards in most or all areas for the assignment or course. Work represents a consistent failure to achieve course learning outcomes and lack of strategic thinking. Contributions in seminar reflect substandard preparation; limited participation even when called upon or encouraged. The student rarely, *or* minimally, demonstrates comprehension of course content. Student fails to demonstrate the ability to clearly and effectively communicate ideas and Information through written, oral, and visual means.

Requirements and Expectations: Oral

Oral presentation is a fundamental competency for strategic leaders that facilitates effective communication of ideas across multiple audiences. Strategic leaders enhance essential skills by speaking to citizens about significant issues and sharing experiences as defenders of freedom. They also help increase public awareness of US military and government agencies and provide an opportunity for the public to meet those who undertake command responsibilities. Take full advantage of opportunities to attend and participate in public forums, to speak at public events, and to develop effective oral communication skills as time, technology, and opportunity allow. Information presented orally must be accurate and unclassified.

DEP students are required to create one or more video presentations for faculty review. Follow specific content and technology guidance for announced opportunities. Some forums will facilitate a video response in lieu of a written one. When available, engage the discussion in a short video post that evidences communicative excellence.

Requirements and Expectations: Written

The program is academically rigorous; write with economy, clarity, and precision. Successful leadership at the strategic level requires a combination of effective writing skills, judicious time management, and an ability to adapt to work-product expectations—all skills required for completion of USAWC programs. Complete all assignments honestly, ethically, on-time, and in the required form; consult course directives for assignment specifics. ALL oral and written submissions – whether in a forum, essay, or research paper should be of a high standard. You should write or speak as if you are communicating to a senior leader. Unless otherwise directed, all projects and papers must utilize only Distribution A materials and be positioned for unlimited public release (even if no expectation for release exists). All papers to be released to the public must be cleared by the USAWC prior to release and/or submission to a publication outlet. Seek faculty guidance and feedback (project advisers, faculty advisors, faculty mentors) to produce the best document possible. See also: "Communicative Arts Terms and Concepts" in this resource (ordered alphabetically) for more information.

DEP students are:
  ☐ Required to write numerous course papers and forum posts

  ☐ Encouraged to write a Strategy Article for possible awards competition submission and/or publication.

  ☐ Encouraged to write a longer research project by participating in a DEP writing elective: Directed Study and/or Program Research Project (PRP)

<u>Preparation Opportunities</u>

Research and writing are forms of intellectual weightlifting and, while initially somewhat uncomfortable, the effort is usually worthwhile. If writing is difficult for you, or you have not written an academic paper in some time, consider participating in the Effective Writing Lab Online (EWLO) and program-specific options for skill development.

Effective Writing Lab Online (EWLO)

- A non-credit, self-paced course open to all USAWC students and Fellows that reviews and explicates of professional/academic writing conventions. The EWLO provides information and resources to help facilitate development of effective graduate level writing. Structured in three parts—Approach, Engage, and Extend—the course positions purposive graduate level writing at the edge of creativity and knowledge advancement. The EWLO incorporates selected media enhancements and draws upon the resources, insights, and expertise of world-class authorities and prestigious institutions. The course helps strengthen ability to critically examine strategic thought and craft thoughtful, well-written arguments in response to strategic challenges.

Effective Writing Seminar (EWS)

- The Effective Writing Seminar (EWS) uses a combination of synchronous (real time) and asynchronous (time independent) instruction to provide guidance on basic writing skills required to complete the degree program. The EWS has four objectives, to increase student ability to (1) organize, draft, and revise graduate level essays, (2) distinguish between active and passive voice, (3) edit written materials, and (4) write effectively as required for strategic leadership. Faculty recommend students for participation in the EWS based upon a 500-word essay written during the voluntary DE2300 Orientation Course. Students who receive an evaluation of "needs improvement" or "fails to meet standards" are highly encouraged to enroll in the EWS. Faculty evaluate the DE2300 essays with the same assessment protocol used throughout the DEP. At the end of the seminar students may resubmit the essay for additional feedback. This process helps students prepare to successfully negotiate future writing requirements.

<u>Best Practices</u>

The USAWC pursues an inquiry-driven model of graduate education that seeks to prepare selected individuals for strategic leadership responsibilities. Through research and writing, vision, insight, and mental acuity expand, and human struggles at the strategic level are better understood. Writing assignments and opportunities help students and Fellows develop writing skills, demonstrate reasoning abilities, and join the strategic conversation.

Groundwork:

- Establish a file-protection system and stick to it. Ensure anti-virus software is current, up-to-date, and enabled throughout the program. Save your work often and in multiple

locations. Routinely back-up all documents. Cloud users should retain a local copy. Save everything in at least two places to protect against loss due to computer crash.

- Plan ahead. Read course directives and assignment expectations in full prior to each course or activity. Writing nearly always takes more focused time and attention than expected. Do not fall behind. Allocate ample time to read, analyze, write, and revise prior to requirement submission. Develop your writing/thinking skills throughout the program.

- Identify assignment expectations up front; ask questions as needed. Short writing assignments are designed not only to demonstrate your understanding and application of concepts, but also to facilitate ability to write clearly and succinctly.

- Connect with faculty. Ask for clarification and seek recommendations when needed especially regarding assignment parameters and source documentation practices. Remember, the faculty want you to succeed by bringing your words, thoughts, ideas, and analyses to each assignment, exam, and forum. Share your ideas and insights.

- Download required paper templates early and familiarize yourself with them; use the template designated for a particular assignment/requirement. Do so unless otherwise directed or dictated by specific course project. The template formats documents according to USAWC specifications—page layout, font, font size, line spacing, margins, identification, page numbering, etc. Available templates include Point Paper and Position Paper templates as well as the following program-specific templates:

  o AWC Fellows: Strategy Paper, Fellows Strategy Research Project (FSRP)

  o DEP Students: Course Paper, Directed Study (DS), Program Research Project (PRP)

  o REP Students: Seminar Paper, Directed Study (DS), Strategy Research Project (SRP)

  Note: International Fellows must use an IF-specific template for the DS, PRP, and SRP.

Approach:

- Focus on the assignment-specific question or identified parameters. Each question-part or assignment component must be addressed by responding directly to both specified and implied tasks. Do not deviate. Do not provide background or description unless specifically requested.

- Outline responses before writing. Select the best organization to support your thesis, answer each part of the assignment question, and fulfill length requirements. Plan for an introduction (10-12% of the word count), main body (80% or more of the word count), and conclusion (7-10% of the word count).

- Organize your work around a clear thesis statement that demonstrates your analysis. Each paper/essay should include both (a) an overall thesis statement identifying the primary argument(s) presented in your paper as a whole, and (b) paragraph or section-specific assertion statements that support the overall thesis while establishing your argument for that paragraph (these assertion statements should ideally lead each paragraph).

- Plan or a Bottom Line Up Front (BLUF) approach that identifies the key assertions (arguments) to be discussed in the subsequent main body paragraphs. This alerts the reader as to essay organization. The Assertion-Support-Analysis (A-S-A) Model employs BLUF to efficiently communicate ideas to senior leadership. Use the A-S-A model for short papers and essay responses unless otherwise directed.

Engage:

- Use words judiciously to maximize impact. All assignments have strict length parameters designed to facilitate clear, succinct responses. Do not deviate from length requirements. If properly organized/focused, a question can be answered within the word limit. Text length should be within ten percent (10%) of the stated word limit.

- Make it easy for readers to follow your argument. Senior leaders may only have time to read the introduction and possibly the conclusion and lead sentences of body paragraphs. For the majority of short essays (500-700 words), the reader should be able to identify the paper's key points from the opening paragraph. Focus on delivering one main idea (the assertion at the start) per body paragraph; keep sentences to fewer than 25 words; do not wait until the conclusion to unveil key points for dramatic effect.

- Ensure that you provide support for thesis and assertion statements. Use source material as dictated by the assignment. Avoid long quotes; paraphrasing is highly preferred. Judicious use of quotations can help support your work, but quotations themselves—no matter how compelling—can never substitute for original thinking and genuine analysis presented in your own words. Demonstrate your own thoughtful evidence-based analysis; avoid personal embellishments, superficial judgments, and non-essential description.

- Always cite your sources; failure to do so is plagiarism. Provide complete reference information for all source materials consulted or used in your work. Never incorporate another's words into your own work without documenting the source, making proper use of paraphrase and/or quotation, and giving credit via reference citation to the original author. This rule is inviolable. Copying, pasting, and "borrowing" from authors in the digital (or printed) domain is intellectual theft or plagiarism. Use citations clearly to ensure readers can identify which ideas are yours and which are derived (or quoted) from others. If you do not understand source citation protocol or what constitutes plagiarism: ask before you write.

- Unless otherwise directed, format reference citations as footnotes and in accord with the Chicago Manual of Style/Turabian guide. Exception: DEP Course Forums use in-text citations (see "Forum Response"). Note: Place source citation numbers/information at the end of the sentence or paragraph in which the material is quoted or paraphrased. (Only place citations in the middle of a sentence if absolutely necessary for clarity.)

Submit:

- All materials in accord with faculty and program expectations.

- Submit papers electronically as directed. Do _not_ fax or email completed work being submitted for assessment/evaluation.

- Requirement(s): Each course has a specific number of requirements. Save and submit all written requirements for each course into one document (e.g., a course may have four separate essays associated with its written requirement: submit all four essays as one document). Carefully review content and format before submission.

- Document Filename: Save documents with the filename format of: Last name, first initial, course number, requirement number; i.e., Doej2301-1, Doej2301-2, Doej2301-3. Also use this format to title documents in the upload area.

Communication Options

DEP writing electives facilitate development of communicative competence for strategic leaders. Both the Directed Study (DS) and the Program Research Project (PRP) involve students in a targeted reading, research, and writing process designed to improve communication skills and subject matter expertise. Select a topic that is strategic in character, personally and professionally interesting, and doable within time and assignment limitations; topics from the Key Strategic Issues List (KSIL) may be particularly appropriate. Papers must be designed and written during the USAWC degree program and may not be simultaneously submitted elsewhere (no "double-dipping"). Exceptional papers may be nominated for award competition and/or recommended for publication. Those that win awards are retained by the institution and may become available to researchers and assorted agencies and publics worldwide.

Suspense*	DS/PRP Milestone
TBA	Topic Approval by Project Adviser (PA)
TBA	Thesis Statement Approval by PA
TBA	Outline to PA
TBA	First Draft with Abstract to PA
TBA	Final Project Delivered to PA
*Second year faculty will announce exact dates as they become available.	

Writing

- *Program Research Project (PRP).* Elective DE2344 is a two credit hour opportunity to develop research and writing skills by exploring a specific strategic-level research question or challenge. Students work with a Project Adviser (PA) to conduct research, generate a research-based thesis, and write a carefully documented paper (5,000 word minimum) explicating the thesis and exploring its implications. Ideally, papers will advance fresh insights with the potential to impact the larger community of strategic leaders by making a contribution to what is known about a topic and how it is understood. Requires use of the PRP Template.

- *Directed Study (DS).* Elective DE2346 is a two credit hour opportunity to enhance subject matter expertise and refine communication skills specific to strategic leadership. Students work with faculty to acquire in-depth knowledge of a particular content area (e.g., specific figures, issues, events, campaigns, history, and trends of strategic interest), engage critical reading practices, and further develop writing and research talent. Proposals must indicate how the directed study moves beyond regularly offered courses. Requires use of the Directed Study Template.

Communicative Arts Terms and Concepts

This section outlines (alphabetically) definitions, concepts, and rules required for successful negotiation of USAWC programs/requirements and strategic level communication practices.

Abstract

An abstract is a short, present tense description of a document that includes the thesis, main points, overall conclusion, and recommendations. Researchers use abstracts to help determine the utility of the work for a particular project. A good abstract can make the difference between a paper that is read and one that is dismissed. Abstract are written after the paper is complete and should be approximately 150 words (no more than 200).

Abstract Examples

Senior Service Colleges (SSC) and institutions of Joint Professional Military Education (JPME) need a fresh approach to the role of research and writing in preparing senior officers for strategic responsibility. SSC students have the insights and abilities to become some of the most important contributors to ideas on national security, yet they are often hampered both by lack of preparation and the assumption that they cannot write, nor learn to write, in ways that could affect the strategic landscape. Changing the culture of JPME to prioritize the transformation of SSC students from warriors to "warrior-scholars" will help JPME to better serve students, the Services, and the nation. Though JPME is often criticized for shortcomings, actionable guidance for meaningful change is seldom offered. Four considerations are recommended in support of a culture in which SSC student scholarship is valued, encouraged, and nurtured to produce well-informed strategic leaders who can think and are capable of writing effectively at will.[1]

    [1]Abstract for Larry D. Miller and Laura A. Wackwitz, "Strategic Leader Research: Answering the Call," *Joint Force Quarterly*, (forthcoming).

<div align="center">***</div>

Public disclosure websites (PDWs) constitute a serious security challenge to the United States and other nations. PDW activists are dedicated to exposing sensitive government and commercial information in the belief that they are acting in the public good. As a result, PDWs have revealed previously hard-to-find, strategic and tactical level information that benefits the resiliency and operations of insurgent, terrorist, and criminal groups. To date, no evidence links PDWs to an attack by a violent nonstate group, but the threat exists and is almost certain to grow as Internet access expands globally. Given the high likelihood that unauthorized disclosures of sensitive information will continue, the US Government should adopt stronger controls to safeguard information, including new legislation to address leaking and a review of information sharing policies and practices. Left unchallenged, PDWs imperil the ability of the United States to protect its citizens, work effectively with allies around the world, and counter violent nonstate groups.[2]

    [2]Abstract for Nathan T. Ray, "Public Disclosure Websites and Extremist Threats," *The Army War College Review*, 2, no. 1, (February, 2016), 26-39.

Academic Misconduct and Plagiarism

Academic misconduct is any activity that compromises the academic integrity of the institution and/or subverts the educational process. Academic misconduct includes:

1. *Cheating*: intentionally using unauthorized information or inappropriate assistance.

2. *Plagiarism:* taking another's words or ideas and passing them off as one's own.

3. *Misrepresentation*: submitting for USAWC credit work that was previously prepared outside the USAWC or submitting the same work for more than one USAWC course.

4. *Fabrication*: intentional falsification/invention of bogus information or references.

Dishonesty harms individuals, institutions, and even the profession of arms. Examples:

- Eric T. Poehlman, a medical professor at the University of Vermont, pled guilty to fabricating data on a half million dollar NIH grant application. He was sentenced to 366 days in prison, fined $180,000, and barred for life from receiving federal grant money (See J. Gravois, *Chronicle of Higher Education*, March 18, 2005).

- In 2012, Karl-Theodor zu Guttenburg resigned from his position as German Defense Minister after it became known that he had plagiarized portions of his 2007 doctoral dissertation. His degree from The University of Bayreuth was rescinded. No longer a popular political figure in the midst of enacting major political reforms, he is now a symbol of malfeasance and dishonor (See J. Dempsey, "Plagiarism in Dissertation Costs German Defense Minister His Job," *New York Times*, March 1, 2011).

- Tim Goeglein, an assistant to President George W. Bush, presented another person's work as his own in a guest column for the *Fort Wayne News-Sentinel*. Goeglein was discovered to have willfully deceived readers by making a habit of lifting words from other writers. He resigned in disgrace (See M. Abramowitz & W. Branigin, "Bush Aide Resigns Over Plagiarism," *Washington Post*, Saturday, March 1 2008, A03).

- USAWC student plagiarists risk program expulsion and degree revocation (USAWC Memorandum No. 350-7). Plagiarism by former Senator John Walsh and former Lieutenant General Aundre Piggee was discovered many years post-graduation. Both degrees were rescinded and accompanied by highly publicized career consequences (see Johnathan Martin, "Plagiarism Costs Degree for Senator John Walsh," *New York Times*, October 10, 2014; Hope Hodge Seck, "Army 3-Star General Loses Rank after War College Plagiarism Revealed," *Military.com*, December 11, 2019).

Plagiarism is the most common form of academic misconduct at the graduate level. The term "is derived from the Latin *plagiarius,* a word suggesting kidnapping. Thus, to plagiarize is to kidnap another's creation (ideas, words, thoughts, etc.) and pass it off as your own. At the USAWC, "Substantiated charges of plagiarism will result in a 'Fails to Meet Standards' grade for the course, disenrollment from the USAWC, and potentially other forms of administrative action" [USAWC Memo 350-7, 4(2)(b)]. The primary faculty member associated with the project/course bears first line responsibility for examining the work/issue and initiating corrective action.

Types of Plagiarism

- Paraphrasing another author's work without giving proper credit to the author (e.g., incorporating the other author's ideas into your paper in any manner that suggests that the ideas are your own when they are, in fact, derived from another source).

- Directly quoting another author's work without giving proper credit to the author (e.g., incorporating the other author's words into your paper in any manner that suggests that those words are your own and not a quotation from the original source).

- Copying a segment of another's work word for word without quotation marks or block quotation formatting. Failure to properly acknowledge quoted material constitutes plagiarism regardless of whether a source citation accompanies the material.

- Using another author's work in its entirety and presenting it as your own work (e.g., submitting another's work—purchased or preexisting—under your own name).

- Translating an author's work into another language and submitting the work as your own (e.g., taking a document written in Portuguese, translating it into English, and putting your name on it as if the original words/ideas—not just the translation—are your own).

- Patchwriting: Taking bits and pieces from a variety of sources, combining them through partial paraphrase or direct quotation, and claiming the ideas/words as your own (e.g., weaving together information from several different documents, adding some of your own words and ideas, shifting word order, and claiming the patchwork as your own).

- Repackaging, in part or in full, your own previously published or circulated work and presenting it as a newly authored piece without complete reference to the original. If, for example, you wrote or contributed to a government project or conducted a professional presentation, reference your work as you would any other work, including giving proper credit to co-authors. Failure to do so is self-plagiarism.

Plagiarism Example

The following passage exemplifies plagiarism and misconduct. A student submitted the passage, claiming all the words as original work with a citation, but no quotation marks indicating incorporation of other's words. Once confronted, the student apologized, suggesting that quotations marks were inadvertently omitted. The student then amended the submission by inserting quotation marks to indicate that the cited material was from the original (see circles):

> During this time thousands of people, mainly civilians, were either maimed or killed by anti-personnel landmines and the United States, as the only superpower, took this issue on as the global leader. The key elements of the PDD are the "United States will pursue an international agreement to ban the use, stockpiling, production and transfer of anti-personnel landmines, the United States will continue to use anti-personnel landmines on the Korean Peninsula, the United States will not use and demilitarize all non-self-destructing anti-personnel landmines by the end of 1999, and the United States will continue to use self-destructing/self-deactivating anti-personnel landmines."[1]
>
> [1]William J. Clinton, *Presidential Decision Directive/NSC-48: Anti-Personnel Landmines (APL)* (Washington, DC: The White House, June 26, 1996), 2.

This repair was merely obfuscation: The student actually had rearranged and recast words from the original, neither directly quoting nor accurately paraphrasing. Resubmitting the paper with the addition of inaccurately placed quotation marks was simply further demonstration of plagiarism. In the following text box, underlined words are not the student's own words as originally claimed, nor a direct quote as secondarily claimed. Comparison of underlined words to the original source reveals a misleading patchwork.

> Student submission reads: <u>thousands of people, mainly civilians, were either maimed or killed by anti-personnel landmines</u> [Original reads: "Thousands of people each year are maimed or killed by these weapons, most of them civilians"] and the United States, as the only superpower, took this issue on as the global leader.
>
> The key elements of the PDD are <u>the "United States will pursue an international agreement to ban the use, stockpiling, production and transfer of anti-personnel landmines</u>, [Original reads: "The United States views the security situation on the Korean Peninsula as a unique case and . . . will protect our right to use APL there until . . ."],
>
> <u>the United States will not use</u> and <u>demilitarize all non-self-destructing anti-personnel landmines by the end of 1999</u>, [Original reads: ". . . the United States will unilaterally undertake not to use and to place in inactive stockpile status with intent to demilitarize by the end of 1999, 1 non-self destructing APL . . ."]
>
> and the United States will continue to <u>use self-destructing/self-deactivating anti-personnel landmines</u> [Original reads: "the United States will reserve the option to use selfdestructing/self-deactivating APL"].[1]
>
> ---
> [1]William J. Clinton, *Presidential Decision Directive/NSC-48: Anti-Personnel Landmines (APL)* (Washington, DC: The White House, June 26, 1996), 2.
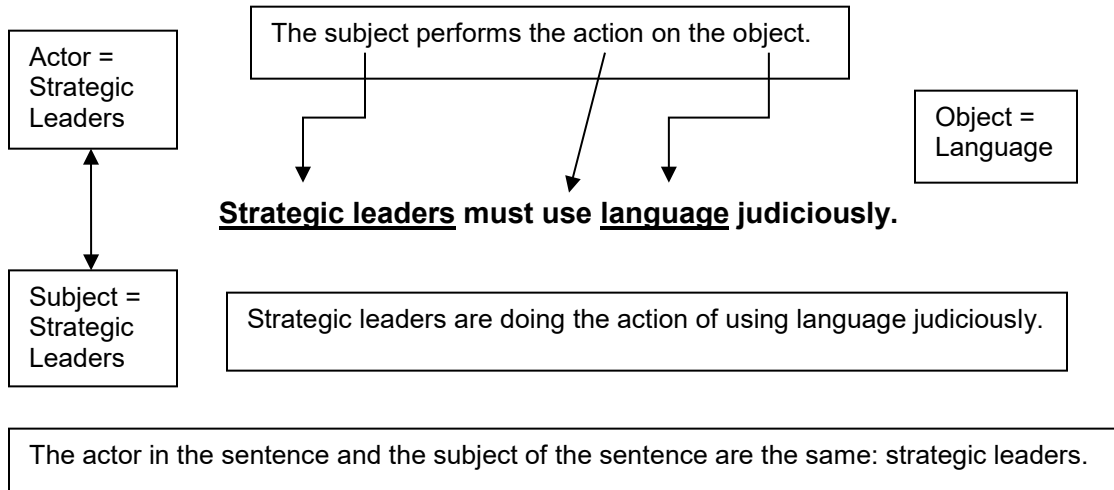
This example illustrates outright intent to deceive—twice—in a document slated for potentially worldwide dissemination. Strategic leaders must help guide policy, not undercut national security and public confidence. See also: Larry D. Miller and Laura A. Wackwitz, "Writing, Integrity, and National Security," *Joint Force Quarterly*, 79 (4th Quarter, 2015), 57-62.

<u>Avoiding Plagiarism</u>

Avoiding plagiarism is not difficult. When in doubt about source documentation, seek guidance. Always document when quoting materials from another; always quote when lifting five or more consecutive words from a source; always provide a citation when rephrasing the ideas/material through paraphrase. Cite all sources, including those that have been published, those that have not, those that you have translated, and those that you may have previously written yourself. Remember that the purpose of strategic leader writing is to create an original work that contributes to understanding about a topic of strategic importance. Original writing is not just a box to check on the way someplace else. Original writing is the primary means by which individuals develop ideas for themselves and others—for themselves as a means of thinking through arguments and perspectives, for others as a vehicle for communicating important information and ideas. Anything less is not only dishonest, but wasted opportunity.

Active and Passive Voice

Writing by strategic leaders frequently requires a greater level of economy, precision, and directness than many other forms of writing. For that reason, USAWC faculty may insist upon nearly exclusive use of the active voice (as opposed to passive voice) in student papers. If the subject of the sentence is doing something (e.g., "I am writing this sentence"), the sentence is written in active voice. If the subject of the sentence is having something done to it (e.g., "This sentence is being written by me."), then the passive voice is in play. In active voice, the form of the verb used places the subject of the sentence in the active position: the subject performs the action rather than being acted upon. As in: "Strategic leaders must use language judiciously."

```
Actor =          The subject performs the action on the object.
Strategic
Leaders                                                              Object =
                                                                     Language

              Strategic leaders must use language judiciously.

Subject =
Strategic     Strategic leaders are doing the action of using language judiciously.
Leaders


     The actor in the sentence and the subject of the sentence are the same: strategic leaders.
```

A passive construction of the sentence reads: "Language must be used judiciously by strategic leaders." In passive voice, the subject receives the action of the object.

```
                    The subject is acted upon by the object.        Actor =
                                                                     Strategic
                                                                     Leaders
Subject =
Language
              Language must be used judiciously by strategic leaders.

                                                                     Object =
              Language is acted upon by strategic leaders.           Strategic
                                                                     Leaders

     The actor in the sentence is the object of the sentence, not the subject of it.
```
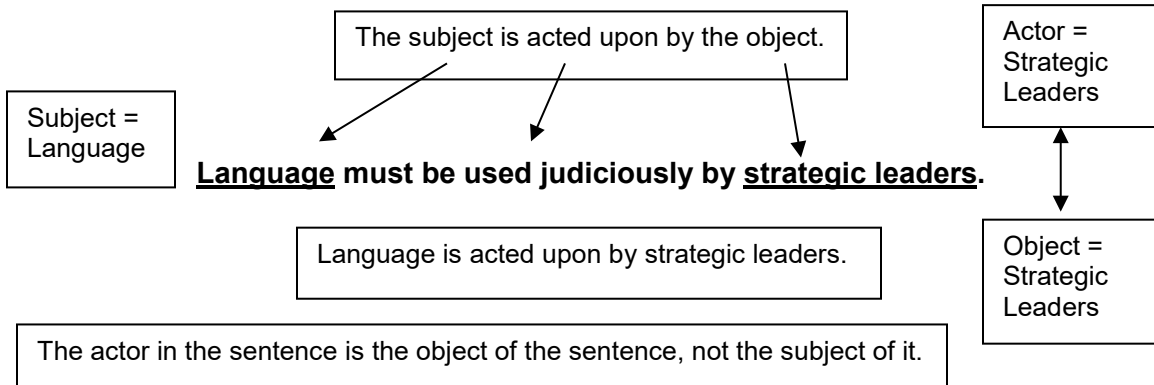
The active voice form of the above sentence is far superior to the passive voice form. Active voice is frequently stronger, clearer, and more economical. Use active voice whenever it helps facilitate clarity and concision. The choice of active vs. passive voice focuses attention on particular elements of a sentence and should be based on purpose and intended impact. Embrace of a purposive shift between active and passive voice enables more effective communication. When in doubt, opt for the active voice.

Effective Use of Active Voice

Effective Use of Active Voice (Focus on actor doing the action.)	Ineffective Use of Passive Voice (Focus removed from the actor.)
I shot the sheriff.	The sheriff was shot (by me).
I am shooting the sheriff.	The sheriff is being shot (by me).
I will shoot the sheriff at noon.	The sheriff will be shot at noon (by me).
The sheriff refuses to surrender.	Surrender is refused by the sheriff.
I killed the sheriff.	The sheriff was killed (by me).

Using passive voice to purposefully obfuscate serious events can be insidious. Just as the sentence, "The Sherriff was killed" hides the perpetrator of the crime, so too does the all too common: "Mistakes were made and lives were lost." Who made the mistakes that resulted in loss of life? Whose life was lost? This use of passive voice attempts to avoid accepting responsibility for the mistakes and the deaths. While obfuscation may be an appealing move, it is, in general, the antithesis of responsible research and quality writing.

<u>Effective Use of Passive Voice</u>

Absolute avoidance of the passive voice is unnecessary, unproductive, and counter intuitive. No edict exists requiring exclusive use of active voice. Passive voice, used appropriately, can add to sentence strength, increase understanding, and direct reader attention to important elements that might be overlooked in active voice constructions. Both voices should be used to direct attention to the part of the sentence that is most important. Some examples:

Ineffective Use of Active Voice (Focus on Unimportant Actor.)	**Effective Use of Passive Voice** (Focus on Important Element.)
Unknown forces destroyed the weapon.	The weapon was destroyed.
Officials at West Point buried General Custer.	General Custer was buried at West Point.
The UPS driver delivered the supplies on time.	The supplies were delivered on time.
The river flooded 17,000 homes yesterday.	17,000 homes were flooded yesterday.

Argument

Well-reasoned arguments elevate expectations for communication. The term "argument" in an academic context is much different than in a relationship context (i.e., "fight"). All good papers advance a defensible position or "argument" that must be supported by well documented and articulated evidence. Authors must (a) clearly articulate the arguments advanced, (b) identify the intellectual roots of their work, (c) ground declarative statements in appropriate evidence, (d) organize arguments in a fashion conducive to deductive reasoning and enhanced reader understanding, and, in the process (e) acknowledge and address counter arguments.

Bibliography

A bibliography is an alphabetically ordered comprehensive listing of references that facilitates quick identification of sources used in a document. Bibliographies are normally preceded by footnotes, endnotes, or parenthetical citations in the body of the manuscript text. Many students prepare a preliminary bibliography of relevant materials to help guide the research process. Annotated bibliographies include a brief description of each source following the citation, usually one or two sentences. Unless directed, USAWC papers typically do not include a bibliography. Formatting Course Papers:

Font: Arial, 12 pt.

Justification: Left

Margins: 1 inch on all sides

Spacing-Line: 2.0 (Double spaced)

Paper Length: Dictated by Course Directive

Capitalization and Identification

Capitalization

- Use title case for all headings in a document (e.g., The Art of Command)
- Capitalize all names and nouns that function as proper names. As in: General Ulysses S. Grant was a military general while President Abraham Lincoln was the president.

Identification

- Identify military units by official designation/titles only.
- Identify individuals/units first by their full titles and then with an abbreviated form. As in: Steven K. Metz is a professor in the Strategic Studies Institute (SSI). Metz works well with SSI colleagues.

Copyright

Works produced at the USAWC are funded by the US Federal Government. As such, they are not protected by copyright (17 USC § 105). If students write papers on their own time, completely of their own volition, and do not use them to fulfill any USAWC or other obligations associated with being employees of the US Federal Government, then copyright of those works normally falls to the authors. Those seeking to use information gained from student papers (or the papers in their entirety) may do so, provided they follow proper reference citation procedures. Lack of copyright protection is not license for academic thievery in the form of plagiarism. Note: Some US government documents contain copyrighted materials included with permission, therefore, not all government documents are free from copyright restrictions.

Strictly avoid reproducing copyrighted materials: "Unauthorized duplication, public performance, or public display of protected materials in any format, including electronic, is prohibited" (CBks Reg 25-96 *Copyright Permissions Policy*, Paragraph 4.b.). Copyright clearance is required whenever an author wants to reproduce the central or primary component of a work, a substantial portion of a work, or an entire work. Common examples of materials requiring copyright clearance include (a) the reproduction of text covering more than an extended quotation, and (b) maps, charts, statistical tables, diagrams, photographs, Internet files, digital images, slides, and other illustrative materials used in original or altered forms. Rather than reproducing copyrighted materials, paraphrase and provide complete source documentation.

Distribution Statements

A paper's distribution statement determines the manner in which it is stored/referenced, and the audience to which it is made available. Unless otherwise directed, all USAWC student papers must be written using only Distribution A materials and positioned for unlimited release (even if they are not, in fact, retained, released, or otherwise made available to the public).

Distribution A: Approved for public release; distribution is unlimited; available to the public, foreign nationals, companies, and governments worldwide.

Distribution B: Authorized for release to US Government agencies only. Distribution B documents contain sensitive information that, if released to the public, might have the potential to compromise some aspect of national security, personnel safety, and/or ongoing operations. Unless specifically directed or granted special permission by the Dean, students must not utilize Distribution B documents or other sensitive materials for their USAWC Research Projects.

Epigraph

An epigraph is a single introductory quote which frames the context for the paper that follows. Use epigraphs sparingly and never in brief course papers or forum responses. If used in professional and academic writing, the epigraph should be exceedingly short—no more than one to three lines of text. Only include an epigraph when it has substantial relevancy to the paper's argument in a way that would not be possible in the body of the text. Use no more than one epigraph per research paper (e.g., DS or PRP), placed after the paper's title (not elsewhere in the text). Overuse of epigraphs detracts from the impact of a writer's own words.

Although shorter than a standard block quote, the text of the epigraph is formatted in accord with block quotation style (indented and not quotation marks). On the next line, place the author's name preceded by a long dash and followed by a citation number. To format the long dash, hold down Ctrl+Alt+Minus or Alt+0151.

Epigraph Example

Formatting an Epigraph

We must all hang together, or assuredly we shall all hang separately.

—Benjamin Franklin[1]

Paper text starts here.

1 Benjamin Franklin*, Declaration of Independence*, Philadelphia, PA. Statement attributed as Franklin signed the United States Declaration of Independence from Great Britain, July 4, 1776, linked from the *Historic Valley Forge Website* http://www.ushistory.org/valleyforge/history/franklin.html.

Evidence

A well written paper or speech advances an argument firmly grounded in evidence—facts, examples, data, and literature—that can be used in support of a claim or argument. Good evidence is (a) grounded in valid, reliable and properly referenced data, (b) supported by additional evidence, (c) assumed to be false prior to its incorporation as evidence—by looking at the negative, authors can find flaws in their own reasoning and develop arguments to refute counterclaims, (d) clearly and logically connected to the thesis or claim, and (e) placed in context within the larger professional and academic discussion.

All main points and supporting evidence should help develop the paper's overall thesis. Evidence must be connected to arguments, counter-arguments, and claims through interpretation. Usually, evidence will have more than one possible interpretation. Each author develops the rationale for the interpretation of evidence in support of the thesis, but should not bend the facts to fit the case. Instead, authors should advocate a reasonable interpretation of the evidence and clearly articulate reasons why that evidence is appropriately interpreted as suggested. Support each main point with high quality evidence derived from credible sources. The strength of a paper is directly dependent upon the strength of the evidence used to support its arguments. Generally speaking, the most credible publications are verifiable, well documented, grounded in current and historical research, peer-reviewed, and refereed (e.g., University Press books, scholarly journal articles). Many internet sources do not satisfy rigorous criteria and are not appropriate evidence for graduate-level scholarly and professional writing.

In evaluating the strength and appropriateness of a source, consider the relationship of the source to the time period or event being studied. A source is considered "primary" if it was created as events were unfolding and/or if it presents new information or ideas based upon original research (e.g., a study that reports new findings about a particular event or phenomenon). Primary sources often become the data for later observation or the basis for developing ideas. A source is considered "secondary" if it is one or more steps removed from the time period or event being studied. Secondary sources are dependent upon primary sources—their function is to analyze or interpret information from primary sources. Most good research contains a combination of primary and secondary sources as evidence. Both need to be evaluated carefully for issues of accuracy and credibility. To evaluate a Soldier's first-hand account (primary source) of a 1968 battlefield conflict, for example, one might compare that Soldier's account with other information available about the event/time in question—a high level of fidelity among the sources would serve to increase the level of confidence in the source, although too high a level of fidelity could potentially serve to either (a) call into question whether the Soldier was reporting his/her own observations or simply going with the group, or (b) render the Soldier's observation largely mundane. To evaluate a book about the experiences of Soldiers during the Vietnam War era (secondary source), one might seek information about the author of the book, the quality and integrity of the publisher, the strength of evidence upon which the author bases his/her conclusions, the effective development of those conclusions through reasoned analysis, and the author's use and interpretation of documents and artifacts (primary sources) from the era. Scholars must carefully investigate and evaluate both primary and secondary sources to ensure false information is not perpetuated. When possible, return to the primary sources upon which secondary information is based to confirm source validity.

Formatting Course Papers

Custom MS Word templates for USAWC papers (course papers and elective writing projects) are available electronically from the DEP. These required templates employ MS Word to format documents according to the precise specifications prescribed by the USAWC—page layout, font, font size, line spacing, margins, identification and page numbering, title page, abstract, if any, footnote format, etc. When a template is used properly, MS Word automatically performs many formatting functions for the writer, saving time, energy, and frustration by allowing writers to focus on thinking and writing.

For best results, begin writing using the template. Attempts to "cut and paste" documents into the template may produce unwanted format changes that conflict with requirements. *Templates incorporate much of the following requirements automatically*. All student papers should be written in English using MS Word and must conform to the following:

☐ Font: Arial, 12 pt.
☐ Justification: Left
☐ Identification: As specified in each template
☐ Margins: 1 inch on all sides.

☐ Page Numbers: As specified in each template
☐ Paragraphs: First line should be indented by 0.5 inch
☐ Paper Length: Dictated by Course Directive.

Pay careful attention to stated length parameters. They are designed to facilitate clear, succinct responses. If properly organized/focused, a question can be answered within the word limit. Paper length should be within ten percent (10%) of the stated word limit. Footnotes are excluded from the word count.

☐ References: Footnotes, properly formatted
☐ Spacing—Line: 2.0 (Double spaced)
☐ Spacing—Terminal: One space after punctuation at the end of a sentence.

Forum Response

Best practices in online education include participation in online discussion boards or forums. Forum responses are an opportunity to demonstrate critical thinking, astute analysis, content mastery, and writing skill. Cite and quote carefully: rules regarding plagiarism and academic integrity apply to all work product. Place complete references to outside materials at the end of each post. Simplify references for assigned course readings by placing in-text, parenthetical citations just after the cited material. Include author last name, publication date, and location information (e.g., page number, URL, or video timecode), as in:

1. Source that includes page numbers: (Wong and Gerras, 2015, 24).

2. Online source with URL and no page numbers, include date accessed, and relevant web address. (Zakaria, 2011, http://transcripts.cnn.com/TRANSCRIPTS/1101/02/fzgps.01.html).

3. Video or audio excerpt, include relevant time location within the source: (Snider, 1:34:30) or (CSIS Panel, 2018, 30:45).

Only use parenthetical citations for course forums. Use standard notes for all other written work.

Forum Response Example

> General Petraeus excelled at the decisional leadership role as outlined in the Mintzberg framework. Frame of reference and problem management are two strategic competencies that illuminate the essence of his leadership at the strategic level.
>
> General Petraeus developed a frame of reference allowing him to envision and execute the surge in Iraq. A frame of reference is a knowledge structure learned over a lifetime using education, experience, and study (Gerras, p. 28). His assignments in Bosnia, OIF, MNSTC-I, Salvador, and Haiti provided him invaluable experience few officers had (Knowlton, p. 10). This experience allowed General Petraeus to acquire a unique understanding of the strategic environment in Iraq leading to effective and timely solutions to a plethora of issues. Furthermore, his frame of reference was instrumental in the publication of a new COIN Manual.
>
> General Petraeus was an expert in problem management. Dr. Gerras defines problem management as dealing with issues in opposition to each other that often have multiple implications which are difficult to predict and carry disastrous consequences for failure (Gerras, p. 30). By taking into consideration the equities of a diverse set of actors in Iraq, he was able to implement viable and enduring solutions. By flattening command organizations, subordinates also acquired increased freedom of action to solve problems at their level (Knowlton, p. 14). His problem management enabled a rebound from record high levels of sectarian violence, a failing government, and widespread public that Iraq was lost.
>
> In line with Mintzberg's framework, General Petraeus was highly competent in his decisional leadership role. His frame of reference and problem management skills were instrumental in allowing him to effectively lead at the strategic level in Iraq and across the CENTCOM AOR.

Freedom of Information Act (FOIA)

All student research papers archived or retained by the USAWC are subject to the provisions of the Freedom of Information Act. Through FOIA requests, all student work retained by the institution is easily accessed by any interested party. Be advised that even papers not intended for distribution may become public under certain circumstances.

Graduate Skills Diagnostic (GSD)

The GSD is an opportunity for incoming students and Fellows to demonstrate facility with the English language, fundamental grammar skills, introductory research protocol, and writing skill. Crafted in accord with standard educational testing and evaluation protocol, GSD scores consistently help identify those likely to benefit from additional encouragement and assistance with negotiating graduate level writing expectations and opportunities.

Headings

Choose the best internal document organization to fit the needs of a particular project or thesis being addressed. Short papers require no headings. Longer papers employ consistent level headings that logically follow a paper's organization and signal important transitions for the reader. Use the USAWC Template Styles menu (Home tab) to format student research papers:

Place the cursor in the location you want to format, then select the appropriate heading style. Descriptions for each are as follows:

Paper Title

The paper title is preformatted on the First Page of text following the Template front matter. Never include an unnecessary heading labeled "Introduction" at the start of the paper. Use headings judiciously as a means of clearly demarcating paper sections to facilitate reader understanding. Always include text between headings; no two headings should appear together.

Heading Style One

Heading style one is the first level heading below the title. Use this level heading to indicate primary paper sections.

<u>Heading Style Two</u>

Heading style two is the second level heading below the title. It should be used to demarcate ideas/information subordinate to those presented under a heading style one.

Heading Style Three

Heading style three is the third level heading below the title. It should be used to identify ideas/information subordinate to the ideas and information presented under a heading style two.

Human Subjects Research

The USAWC Human Research Protection Program (HRPP) operates in accord with DoD Instruction 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research.* The Deputy Commandant serves as the USAWC Institutional Official (IO) who works with the Human Protections Administrator (HPA) and Exempt Determination Officers (EDOs, one per department plus SSI). All USAWC researchers must obtain EDO review before interviewing human beings or obtaining identifiable private information. Faculty intending to interview or survey human subjects for research must contact an EDO prior to the research effort. Students intending to interview or survey human beings for research must first discuss the intent with the Project Adviser (PA), regardless of the reason for the interview/survey or the format (face to face, telephone, email, print, etc.). The PA determines if the project intent requires further HRPP evaluation. If it does, the project is forwarded for USAWC EDO review/guidance. The following three USAWC HRPP Screening Questions must be answered in COMPASS to determine whether the project must undergo further review:

1. Does your project involve testing a generalizable theory or principle? (Can it be replicated and apply to other populations?)

2. Is the activity a systematic investigation? (Does it involve a scientific, methodical, and thorough approach?)

3. Is the information collected from a living individual ABOUT that person? (Is it personal, invasive, or otherwise identifying details or opinions about specific individuals?)

If the answer to all three questions is "yes," a USAWC Human Research Protection Exception Determination Form must be completed. A "No" answer to any of the questions indicates that the project does not meet the legal definition of human subject research; unless the nature of the project changes, no further action is required. Categories of review are: Not Research, Exempt, Expedited, and Full Board Review. Expedited and Full Board Review categories must be forwarded by an EDO to the HPA. The HPA will forward the research proposal to the Army's Consolidated Academic Review Board. Serious or continuing non-compliance with this program by USAWC personnel will be reported directly to the USAWC HPA via phone or in person. The USAWC HPA will inform the IO in accordance with the IRB policies and procedures as well as the Surgeon General through the Army Human Research Protections Office (AHRPO) as required by 32 CFR 219.103(b)(5) and DoD Directive 3216.02. The USAWC HPA will also inform any agencies that may be sponsoring the related research work. Contact information is found on the USAWC HRPP website.

- The USAWC HPA will gather information in its investigation and deliberations. After completing the investigation, the HPA conveys a recommendation to the USAWC IO. The IO adjudicates whether an investigator has committed serious or continuing non-compliance. Investigators who commit serious or continuing non-compliance will not be allowed to conduct human subject research at USAWC and may be subject to other disciplinary action as determined by the IO.

- Serious or continuing non-compliance with this program that is attributed to systemic factors may lead to the cessation of all human subject research at USAWC until appropriate corrective measures are taken.

Information Paper

An information or "info" paper is a brief document (one, possibly two pages) that normally contains the following elements: (1) statement of purpose, (2) issue or topic being addressed, (3) discussion of the facts or main points being advanced, sometimes as bulleted elements, (4) action or desired outcome, and (5) conclusion with a brief reinforcement of the purpose and recommended outcome. Because an info paper can take a variety of forms, check with the assigning authority as to specific format required. (note, however, that most USAWC DEP written requirements are argumentative or position papers rather than straight information papers)

Information Paper Format

Information Paper

17 June 2020

SUBJECT: Use of an Information Paper

1. Purpose: To give the reader easy access to act in a clear and concise format (e.g., for use in a discussion or trip book). The format may be altered to meet a specific need. Paragraphs will contain only essential facts concerning the subject.

2. Facts:

     a. Papers will be self-explanatory and will not refer to enclosures except for tabular data, charts, or photographs.

     b. Prepare on plain bond paper with one-inch margins all around.

     c. Papers should not exceed one page in length. They need not be signed, but must include the action officer's name and telephone number in the lower right-hand corner.

     d. Avoid using acronyms and abbreviations, except for those that are familiar outside the Army (e.g., DoD).

     e. Avoid using classified information when it does not contribute to understanding the issue at hand.

     f. The format may be altered to meet a specific need (e.g., the paragraphs may be numbered or unnumbered; it may be constructed to serve as a talking paper).

Prepared by: POC's Name, 245-XXXX

Information Paper Example

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                              Information Paper

                                                            7 July 2020

SUBJECT:  Communicative Arts

1. Communicative Arts consists of one Title 10 (Director), one Editorial Assistant, and one part-
time Title 10 Writing Coach. Duties include creation and annual enhancement of resources that
support faculty and detail academic standards and expectations for student work, format
specifications for terminal student research projects as per the Resident Education Program
(REP) or Distance Education Programs (DEP) respectively, and provide writing support to
varied programs and constituencies.

2. In cooperation with the faculty, assess student facility with academic/professional writing;
design and administer an Effective Writing Program and Effective Writing Lab Online (EWLO).

3. Adjudicate the Student Awards Program. Encourage and promote student efforts to advance
strategic knowledge through publication, preferably in refereed outlets.

4. Course Author for two Electives: REP SI2202 (Public Speaking for Strategic Leaders) and
DEP DE2344 (Program Research Project).

5. Course Administrator for five electives (2 credit hour), including: REP AA2201 (Reading),
REP AA2203 (Writing), REP SI2202 (Public Speaking for Strategic Leaders), DEP DE2344
(Program Research Project), and DEP DE2346 (Directed Study).

6. Provide writing support and guidance for BSAP/ASEP. Support DEP annual orientation.

7. Provide writing support and assistance to the Writing Instructor, International Fellows Office.

8. Superintend the formatting and administrative processing of selected student research
papers in preparation for archiving and public release.


Prepared by:                                       Larry D. Miller,   245-3358
```

Key Strategic Issues List (KSIL)

The Key Strategic Issues List (KSIL) provides students with a comprehensive set of strategic
topics deemed most important to the Chief of Staff of the Army and top strategic leaders. Most
students can easily align their research project subjects of interest with a KSIL topic. Student
research on KSIL topics helps fulfill known Army needs and helps the student make the
transition to being a strategic leader who must take on and help manage, if not solve, these
difficult strategic challenges. Whenever feasible, US Army military and civilian students should
choose a topic from the list for major research projects. Other services and International fellows
are encouraged to write from their perspective and for their own service or country on a KSIL
topic or service equivalent listing.

Non-Attribution Policy

The USAWC's non-attribution policy guarantees that remarks and opinions expressed in privileged forums will not be publicized, quoted, or discussed outside the USAWC without the *express written permission* of the speaker. The library maintains a file identifying restrictions each speaker placed on his or her remarks. Consult the file prior to citing a potentially privileged source. Do not cite privileged speakers or information without obtaining written permission.

Numbering

Write out words for zero through nine and all numbers that appear as the first or last word in a sentence. Within sentences, use numeric digits for numbers 10 and higher. As in:

> Twelve Army officers each walked one mile on 25 different occasions. The total number of miles for each officer was twenty five.

Organization

Effective organization maximizes argument development, message impact, and reader understanding. War College graduates will commonly be writing for busy senior leaders stretched a mile wide and an inch deep who don't have time to search through your paper for your arguments. They rely on you to present information in a rapidly digestible format that can be easily processed. Accordingly, it is important to try and adhere to the following format, which is common for most professional and academic papers.

Introduction

The introduction provides the setup for the paper, orients the reader to the [paper's thesis](#), includes a specific thesis statement, and establishes the paper's structure by briefly previewing main points and organization. This preview is commonly known as an *essay map*—or "road map." It lets the reader know what to expect as the author identifies and develops points to advance the thesis. The introduction should be written with a Bottom Line Up Front (BLUF) approach that includes the key assertions (arguments) that will be discussed in the subsequent main body paragraphs. This makes it easy for readers to follow an argument. BLUF writing is especially important when presenting ideas to time-challenged audiences.

For the majority of War College short essays (500-700 words), your reader should be able to read the opening paragraph and understand all the key points of your argument. Most senior leaders may only have time to read your introductory paragraph or your introduction, conclusion, and the lead sentences of your body paragraphs. Make it easy for them to follow your argument.

<u>Introduction Example</u>

> The tenets of realism inform the 2017 National Security Strategy (NSS). The document lays out a strategy of "principled realism," framing the United States as a self-interested actor seeking power to secure its interests in an anarchic world. According to liberal international relations theory, this "America First" approach risks unwinding US alliances and undervaluing the cooperative benefits of multilateral institutions.

<u>Paper Body</u>

Following the introduction, the paper flows from the thesis and essay map to present evidence in support of the [thesis](). In short essays, the body is generally organized around two or three more main points (one per paragraph or section). If the word count allows, try to provide effective transitions between each paragraph.

<u>Assertion-Support-Analysis (A-S-A)</u>

Students should use an Assertion-Support-Analysis (A-S-A) model for *main body paragraph construction of the written requirements* and the formulation of written responses to online asynchronous *forums.* The A-S-A model dictates that each paragraph or section include:

- Assertion of the main point, including relationship to the paper's thesis; serves as a topic sentence/sub-thesis and clearly reflects the student's own thinking—typically one sentence and usually the first sentence. (e.g., "Eisenhower was largely ineffective as a strategic leader in 1942-43.").

- Supporting evidence for the main point: Use evidence from the literature to support the assertion—typically two or three sentences. These specific examples should relate directly to the initial assertion and should demonstrate how that assertion is accurate or worth considering. Cite your sources.

- Analysis of the main point in relation to the paper's thesis: Reaffirm the initial assertion by expanding upon the evidence; directly tie the evidence to the thesis; include what you think about the evidence; demonstrate evidence validity in support of the argument. Advance a clear conclusion, addressing takeaway implications of the supporting evidence. *The key is for students to show what YOU think about the evidence.* This is one of the most critical parts of any submission that USAWC graders are looking for.

Note: While students will generally find that combining all A-S-A elements into one paragraph is the most expedient way of answering the question, a separate paragraph with analysis is often a good technique for long essays and research papers.

<u>A-S-A Example</u>

The realist view that self-interested states compete in an anarchic world informs the NSS. Realists believe that international affairs is a Hobbesian struggle between states in an anarchic world.[1] There is no global governance body to hold state actors accountable, so they must fend for themselves. The NSS's theme of great-power competition echoes this element of realist theory. The document states that "there are growing political, economic, and military competitions we face around the world."[2] Authoritarian powers, such as China and Russia, seek to "erode American security and prosperity."[3] Facing this threatening environment, the United States must compete with other state actors to secure its vital interests. The NSS adopts the tone of realist theory by positioning America as a self-interested state seeking security in a threatening world.

> **Assertion.** Serves as the topic sentence and clearly reflects author's own thinking.

> **Evidence** supporting the assertion. Examples relate directly to the initial assertion and demonstrate how that assertion is accurate or worth considering.

> **Analysis** linking evidence to the assertion and overall thesis. Analysis addresses the "so what" or takeaway implications of the supporting evidence.

[1] Richard K. Betts, "International Realism: Anarchy and Power," in *Conflict After the Cold War: Arguments on Causes of War and Peace* (New York: Routledge, 2016), ed. Richard K. Betts, 66.
[2] Donald J. Trump, *National Security Strategy of the United States of America* (Washington, DC: The White House, December 2017), 2, https://www.whitehouse.gov/wp-content/uploads/2017/12/NSS-Final-12-18-2017-0905.pdf.
[3] Trump, *National Security Strategy*.

<u>Discussion</u>

Longer student research papers and some position papers may include separate "discussion" sections Discussion flows from development of the body, covers arguments and literature presented, addresses potential counter arguments, and may incorporate considerations of method—all in relation to the paper's main thesis. In short essays, this is generally interwoven into the analysis of each paragraph.

<u>Conclusion</u>

The final section drives home the importance for current/future thought and research, suggests areas for further investigation, and calls the reader to action when appropriate. The conclusion does not introduce new evidence and strictly avoids simple restatement of the paper's thesis or main points.

<u>Conclusion Example</u>

> The NSS lays out a realist approach to regain relative military and economic power as adversaries seek to erode existing American advantages. In doing so, the strategy risks undervaluing the benefits Washington accrues from working with allies and through multilateral institutions. Clearly, international relations theory provides a useful analytical framework for examining these critical issues of national security.

> Briefly summarizes the key arguments of the essay; provides key takeaways for strategic leaders.

Originality Requirement

Work submitted to satisfy USAWC requirements must be designed and produced during the student or Fellow's time at the USAWC (i.e., while enrolled in the degree/diploma program or the USAWC Fellowship Program) and may not be submitted to satisfy multiple requirements or to satisfy requirements at multiple institutions or agencies.

Outline

Most well-written papers flow from an outline. Many writers outline papers prior to writing. Paper outlines should flow from the thesis statement and provide a preliminary sketch of the paper's organization, including the main points and supporting evidence. and types of evidence that will be used to support the thesis. To address an assignment using a question outline:

- For each paragraph, choose a question to answer (this should be one of the subordinate elements of the overall question that you were assigned). Lay these out in the order they will appear in the paper to form the question outline.

- Answer each question in one declarative sentence. This sentence will become the topic or assertion sentence that will lead off each paragraph. Then follow with analysis.

- Follow your assertion with strong declarative sentences presenting evidence in support of each topic sentence. Then follow with your analysis. (ie the "so what" that your reader should take away from this paragraph).

- Write a transition sentence for each topic sentence, linking it to the next topic/assertion sentence. This will help you write a logical and coherent paper.After you have addressed each of the subordinate questions go back and write your introduction and your conclusion.

Paper Thesis

The thesis is the primary argument or overarching position advanced in a paper. The thesis must be carefully articulated near the beginning of the paper. All other information and arguments presented in a paper stem from the thesis. Compelling papers invariably have a strong thesis that advances a particular position on a given topic. The best theses are (a) interesting—they capture attention by addressing an important issue, (b) arguable—they address a topic worthy of interrogation and debate, (c) defensible—they are supported throughout the paper by grounded evidence, and (d) clear—they are carefully written, including enough specificity to avoid over-generalizations and vague propositions.

A "thesis statement" is a one or two sentence articulation of the thesis. *The statement of the thesis must come at the beginning of the paper as it is written, but it is* <u>*not*</u> *known to the author at the beginning of the research process.* The thesis is a well-considered argument developed in response to a systematic and reasonably comprehensive inquiry into a particular topic area.

<u>As mentioned above, an essay map or "road map" should follow the thesis statement, providing readers with a clear indication of the main points in the paper (and the order in which they are presented). It provides the reader with a map of the route the essay will travel.</u> Thesis Example

Economic sanctions are ineffective vehicles for achieving political objectives at ← → [Thesis] the international level for three reasons. First, sanctions are typically too modest. Second, severe sanctions unduly impact the civilian populace and, third, when sanctions are severe, opportunistic others will exploit the economic void. [Essay Map]

Paraphrase and Quotation

Authors who paraphrase use their own words to express another's ideas. The art is important to master: it enables writers to incorporate other's ideas while giving the original source proper credit. Good writers rely upon paraphrase to strengthen their claims by (a) providing supporting evidence, (b) grounding arguments in intellectual history, (c) exploring issues raised in prior research, and (d) briefly identifying issues that are being supported or refuted. Effective use of paraphrase prevents authors from overuse of direct quotations, a practice which detracts from an author's argument and is associated with weak writing. Quotations are best used when the original author has written or said something in such a way that to paraphrase would weaken the quality of the author's words or when the specific words used by the original author are of such a unique character that the words themselves provide flavor and context for the information presented. For both paraphrase and quotation, carefully provide complete source documentation information. Including an author's words verbatim without quotation marks (or block quote indentation) is plagiarism even if accompanied by a source citation.

Block Quotation

Block quotes should be used for quotations greater than four lines of text. No quotation marks are used. Inexperienced authors frequently equate the presence of block quotations with the presence of authority. Even the most astute observation included in a quotation, however, is limited by the original material that surrounds it and incorporates the quote into overall thesis

development. Position a citation number at the end of the last line quoted; single space, left justify, and indent on both left and right as in the following example:

As Ike Skelton observed:

> The constancy with which the United States carried out its global responsibilities over the long course of the Cold War is a great testimony to the character of the American people and to the quality of the leaders who guided the Nation through often trying times. In spite of the cost, in the face of great uncertainties and despite grave distractions, our nation showed the ability to persevere. In doing so, we answered the great question that Winston Churchill once famously posed: "Will America stay the course?" The answer is, we did.[1]

[1] Ike Skelton, *Whispers of Warriors: Essays on the New Joint Era* (Washington, DC: National Defense University Press, 2004), 79.

Brief Quotation

Brief quotations are enclosed in quotation marks and accompanied by a citation number positioned after the closing mark, as in the following example:

Ike Skelton observed that "our nation showed the ability to persevere."[2]

[2] Skelton, *Whispers of Warriors*, 79.

Short Paraphrase

The absence of quotation marks signals a paraphrase or the author's own words. Paraphrase requires a full re-stating of another author's position in new words; words cannot simply be rearranged to new order or replaced with synonyms in the original order. Example paraphrase:

During the Cold War era, government officials and the American public demonstrated a sustained and impressive commitment in the face of numerous obstacles and fears.[3]

[3] Skelton, *Whispers of Warriors*, 79.

Paraphrase with Quotation

To capture the meaning and spirit of a source, often involves paraphrase to capture the main ideas accompanied by a quotation to portray the character of the original text, as in:

During the Cold War era, government officials and the American public demonstrated a sustained and impressive commitment in the face of numerous obstacles and fears. This commitment is, as Ike Skelton observed, "a great testimony to the character of the American People and the quality of the leaders who guided the Nation through often trying times."[4]

[4] Skelton, *Whispers of Warriors*, 79.

Point of View

Professional/academic papers are most commonly written in the third person point of view. The most effective also minimize use of personal pronouns. When personal pronouns are used, papers written in third person include the pronouns *he*, *she*, or *it* (third person singular) and *they* (third person plural) while avoiding avoid the use of *I* (first person singular), *we* (first person plural) and *you* (second person). Many who write in the first person (a) fail to advance intellectual arguments grounded in reason and research, (b) over estimate the importance of personal experience/opinion to a writing task, and/or (c) mistakenly equate unsupported opinion with reasoned argument. If handled appropriately, writing in the third person point of view is often supplemented by occasional first person point of view statements. The first person statement "I propose," for example, is often preferable to the equivalent third person statement of "The writer of this essay proposes" (an awkward construction) or even "This paper proposes," as papers are inanimate and cannot propose anything. The contrast between first and third person points of view is illustrated in the following examples from the Effective Writing Lab Online (EWLO):

First Person (Informal)

> Late in 2014, I observed chaos in the American media following the Sony Pictures Hack. My colleagues and I argued about what we should do to deter cyber espionage. As it now stands, companies and private citizens can do little to protect themselves beyond tightening their own cyber security. I have never seen a hacker deterred by such measures, however. I think hacking back would be the best approach, but it is illegal under current US law.

Third Person (Formal)

> The Sony Pictures Hack brought cyber espionage to the forefront of the American media consciousness late in 2014, sparking debate over appropriate responses to and effective means of deterring cyber espionage. As it now stands, companies and private citizens can do little to protect themselves beyond tightening their own cyber security. Hackers, however, are seldom deterred by such measures. Active cyber defense—hacking back—may be the most effective, if not only, recourse. Unfortunately, hacking back is illegal under current US law.[1]

> [1]Thomas H. Mancino, "Hacking Back: Active Cyber Defense," *The Army War College Review*, May 2015.

Policy Paper

A policy paper provides analysis of a specific national security issue, evaluates alternative policy/strategy options, and makes a specific and supported recommendation—typically to a cabinet-level official. Brevity within a context of comprehensive analysis is essential. The purpose is to frame an existing problem in a manner that will allow a policymaker to find the best solution. The ends-ways-means model is an effective structure. Although the final paper may not include every element, consider the following prior to writing: (a) scope of the problem, (b) differing ways the problem could be defined or perceived, (c) likely outcomes if the problem is not addressed, (d) current action regarding the problem, (e) several options for solving/addressing the problem, and (f) identification of the resolution that best aligns with the policy maker's objectives. Provide a succinct recommendation, identify a suggested course of

action, and use the format dictated by the organization's Standard Operating Procedure (SOP). Some formats require source documentation; some do not.

Point Paper

Point papers are useful for developing talking points and/or communicating information about which the audience already has a basic understanding. A preformatted Point Paper Template is available.

<u>Point Paper Format</u>

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18 July 2020

POINT PAPER

Subject: Subject Line Clearly Conveys Issue under Discussion

1. <u>Problem</u>: State the issue under consideration or the problem to be addressed. The problem statement should provide significantly more detail that the subject line (above) and is frequently presented as or with a question or series of questions defining the issue(s).

2. <u>Background</u>: (1-2 brief paragraphs) Provide essential background necessary to understanding the problem or issue under consideration. Omit both common knowledge and esoteric or overly detailed background information. This section should frame the discussion to come to enable the reader to understand the discussion without becoming burdened by the totality of background information presented in a larger, more detailed document.

3. <u>Discussion</u>: (The bulk of the point paper) Present major points of the larger study/issue. Develop your position through active voice, logical organization (such that each point flows from the one prior), and consideration of the reader's perspective. Each point should be developed in one to three sentences as needed for clear, precise communication of each idea. The use of active voice and a direct, conversational (but formal) style will help the reader understand the issue accurately, follow your logic, and arrive at your recommendation. Avoid jargon.

4. <u>Recommendation</u>: Must flow logically from Discussion, introduce no new arguments, and be as specific as possible. Recommendations may include courses of action (including specifics as to who should implement the recommendations and how), suggest further areas of inquiry, or emphasize the logical conclusion developed in the discussion section.

Prepared by: Thomas L. Smith, COL, USA
                                                                         G-8; 204-697-1111

Point Paper Example

27 February 2020

POINT PAPER

Subject: United States – Peoples Republic of China (PRC) Competition over Taiwan

1. Problem: The PRC is leveraging their burgeoning military and economic power to achieve hegemony in the Indo-Pacific region particularly regarding Taiwan. They are utilizing coercive techniques, short of war, to undermine the agreed upon foundations of the US-PRC One China policy. Over the next decade, the PRC will increase the strategic costs for the US to sustain the status quo of an autonomous Taiwan.

2. Background: Taiwan, also referred to as the Republic of China (ROC), has played a critical role in Sino-American foreign relations since 1947 when the Nationalist forces of Chiang Kai-shek, defeated by Mao's Communist forces on the Chinese mainland, retreated to the island. Still a politically separate government, the ROC has evolved from an autocratic style government into a democratic entity whose prosperity is underpinned by a free and open capitalistic economy. The US has underwritten ROC security requirements since their defeat by PRC forces. This policy has led to increasing competition with the PRC as they attempt to challenge and eventually replace US preeminence in the Pacific.

3. Discussion:

    a. PRC views Taiwan as sovereign Chinese territory and integral to their regional security strategy. Reunification of Taiwan with the PRC is a core issue (non-negotiable) and deemed inevitable. Reunification will enable the PRC to rectify one of their remaining sovereign territorial disputes. Additionally, the PRC views Taiwan as key to their security, whereby reunification would link the South China Sea (SCS) and East China Sea (ECS) allowing them to solidify their First Island Chain strategy.

    b. PRC is utilizing an increasingly aggressive all-of-nation strategy, short of war, to coerce ROC towards reunification. Militarily, the PRC leverages their growing capabilities to execute aggressive military posturing towards Taiwan. They also work to isolate the ROC on the international stage by enticing states, both within and outside the Indo-Pacific, to sever diplomatic ties with the ROC and prevent their inclusion in international institutions. Despite these measures, the ROC continues to utilize its Democratic status and economic stature to establish trade (Southbound Policy) and sustain official and unofficial diplomatic ties.

    c. US policies (1979 Taiwan Relations Act [TRA], 2018 Taiwan Travel Act [TTA], and 2019 National Defense Authorization Act [NDAA]) towards the ROC are aimed at sustaining the status quo of political separation from the PRC, while buttressing ROC defensive military capabilities and diplomatic standing to withstand PRC malign actions. While espousing the One

China concept, the US is determined to uphold the ROC's right to self-determination, thus any reunification must be mutually agreed to by ROC and PRC.

d.   PRC negatively perceives US policies as attempts to prevent resolution of their internal sovereign matters and elements of a PRC containment strategy. All are viewed as contrary to the One China policy espoused in the 2017 US NSS.

e.   US-ROC-PRC security situation is at a tipping point. PRC's military modernization and expansion strategy will shape the East Asia regional security environment in their favor within the next decade. Their strategy will raise US costs, in terms of economic and military means, to sustain the status quo of ROC autonomy.

f.   US possesses three potential options to address the PRC's malign intentions towards the ROC: sustain the current status quo whereby Taiwan remains an autonomous international entity with the US acting as the strategic guarantor of their security; negotiate a strategic Grand Deal with the PRC where the US no longer guarantees ROC autonomy in exchange for strategic concessions from China; or maneuver to immediately recognize the ROC as an independent sovereign state buttressed by a US-ROC security treaty.

4.   Recommendation: The US should discard the antiquated One China policy mentioned in the 2017 NSS in favor of immediate recognition of the ROC as an independent sovereign state. The regional balance of power between the US and PRC in East Asia is at a tipping point. The military advantages the US enjoys will be degraded over the next 5-10 years as the PRC executes its military modernization strategy. The US must leverage all elements of its national power to garner international support for the ROC. Through a whole of government approach the US can expand the competitive space with the PRC in favor of the ROC.

Prepared by: Jane Student, LTC, USA

Position Paper

The type of position paper commonly prepared for DoD audiences is a specifically formatted document used to advance arguments and recommendations for a particular reader or set of readers. Though position papers and academic essays have similar characteristics, the position paper differs in both format and communicative content/style. Essays are designed to be read and carefully analyzed. Position papers, although they may be read and analyzed carefully, are designed to present information and analysis in easily identified chunks for audiences with limited processing time. A pre-formatted Position Paper Template is available.

Position Paper Format

28 January 2020

POSITION PAPER

Subject: Subject Line Clearly Conveys Issue under Discussion

1. Purpose. To whom (must be a specific person or duty position) and for what reason.

2. Position. In one sentence or short paragraph, state your position on the issue.

3. Key Points. Briefly summarize section four, using a minimum of key points.

    a. Key points should be one sentence each and provide structure for the argument.

    b. Key points should stand alone and not require subordinate points.

4. Discussion.

    a. Use this type of paper to provide rationale to support a decision or position that the reader should take. Discussion para "a" should map directly back to Key Point "a," etc.

    b. Use active voice and a direct, conversational style to help the reader understand the issue accurately, follow your logic, and arrive at your recommendation; avoid jargon.

    c. Tailor discussion to the needs and knowledge of the reader. Sub-paragraph headers (e.g., Participants, Issues, Facts, Assumptions, Joint Staff Position, Fallback Position) may be appropriate. Try to limit sub-paragraph length to six lines or less.

    d. Do not include background information that the reader already knows. The exception is to shape/critically integrate information into your logic flow.

    e. Do not exceed two pages. The paper should stand on its own.

    f. Argue against the position in the second-to-last sub-paragraph. Present opposing arguments accurately, without bias. Cover at least the primary opposing argument.

    g. Summarize rebuttals to opposing arguments in the last sub-paragraph. Rebuttals should be well-balanced, emotion-free, and reinforce the position.

5. Recommendation. Must flow logically from Key Points and Discussion, introduce no new arguments, and be specific as to "who" should implement and "how" they should do it.

Prepared by: Thomas L. Smith, COL, USA
                                               (contact information goes here)

Position Paper Example

6 Dec 2018

POSITION PAPER

Subject: Relationship with Allies in Preparation for Operation Overlord

1. <u>Purpose</u>. To provide US leaders with recommendations on Allied Operations during the preparation for Operation Overlord, specifically on relationships with the French, British, and in reference to the bombing campaign.

2. <u>Position</u>. The US should recognize the French National Committee and General Charles de Gaulle's political authority to administer French territory once liberated from the Germans. Second, the Allied Expeditionary Air Force (AEAF) must prioritize cooperation between the American and British bombing forces, and subordinate elements must strictly adhere to that prioritization.

3. <u>Key Points</u>.

    a. Intelligence leaders report the French population writ large supports General Charles De Gaulle and the National Committee that he leads. The National Committee represents the idea of a fighting France and can unite post-war France until elections are held. Further, Allied Supreme Command's imposition of an Anglo-American military government immediately after liberation would likely insult much of the French population and potentially contribute to greater instability.

    b. Fears of civil war between the supporters of de Gaulle and the Vichy regime are largely unfounded and de Gaulle's prestige in France has grown enormously in the last few months. Despite his difficult personality and overt arrogance, he is the obvious choice and delays in supporting de Gaulle could strengthen the pro-Russian sentiments among the French.

    c. The headquarters of the Supreme Commander in Europe is an integrated command with high-ranking British officers in each of the major staff elements. The cooperation between Allied officers, particularly the British senior officers serving on the SHAEF staff, has been excellent and serves as a model of how an Allied command should function. The loyalty of these British officers is clearly to the Allied cause without prioritization of their own country's military desires.

    d. There is confusion and inconsistency in the bombing campaign. Strict prioritization of air efforts by the AEAF is essential. Operational efficiency testing indicates that Operation CROSSBOW targets (V1 and V2 launch sites) are more effectively targeted by minimum-altitude fighters dropping greater than 1000-pound bombs. Heavy bombers should primarily support Operation POINTBLANK.

4. <u>Discussion</u>.

     a. While the leaders of the French National Committee are often arrogant and offensive in their supposition of equality in political and military affairs to the Americans and British, the National Committee has the support of the French people and are the best hope for a stable, democratic government in France after the German occupation.

     b. The Headquarters of the Supreme Commander is a high performing organization because of the seamless integration of British and American officers. Despite regular pleas from subordinate commanders for favoritism to proposals that benefit their own country's forces, officers remain impartial and committed foremost to the Allied cause.

     c. The AEAF must issue clear guidance on priorities for the bombing campaign between major operations: POINTBLANK (Combined Bomber Offensive (CBO), CROSSBOW (V1 and V2 launch sites), and support to the ground invasion force. The AEAF should also direct utilization of the best aircraft for each mission based upon lessons learned in testing and combat operations.

5. <u>Recommendation</u>.

     a. The US leadership (military and political) should recognize the French National Committee and General Charles de Gaulle's political authority to administer French territory once liberated from the Germans.

     b. Priority for the air campaign during Preliminary (I) and Preparatory (II) phases will be Operation POINTBLANK, Operation CROSSBOW, and then interdiction support for the Operation OVERLORD landings. During the Assault (III) phase priority will shift to interdiction and close air support for ground forces. During the Build-up (IV) priority will shift back to Operation POINTBLANK with the interdiction campaign also receiving a generous allotment of sorties to protect the Allied lodgment from counterattacking formations. Subordinate commanders will focus heavy bombers on Operation POINTBLANK, while minimum-altitude fighters will focus efforts on Operation Crossbow.

6. <u>References</u>.

     a. Malcolm Pill, "Montgomery and Eisenhower's British Officers," *British Journal for Military History*, 4 (July 2018), 81-106.
     b. Mario Rossi, "United States Military Authorities and Free France, 1942-1944," *Journal of Military History*, 61 (January 1997), 49-64.
     c. Wesley Frank Craven and James Lea Cate, eds., *The Army Air Forces in World War II Vol. 3, Europe: Argument to V-E Day* (Washington, DC: Office of Air Force History, 1983), 84-106.

Prepared by: Thomas W. Spahr, LTC, US Army
                                 (contact information goes here)

Research

"Research" is a curious word because it moves investigators in two directions simultaneously. In a literal sense, "research" requires strategic leaders to go back and secure grounding before moving forward. What do extant records reveal that can inform or help with analysis? Strategic leaders must cultivate an acute sensitivity to the past because the historical record frequently provides a viable foundation from which to identify possible courses of action. Research also requires investigators to move into relatively uncharted territory or to venture a strategic change in light of some new circumstance or development. Consequently, strategic leaders who seek to maximize success and minimize failure must access and assess the information and materials which inform and help guide their thinking and decisions. Effective researchers adopt a posture of inquiry—seeking to find out what is known and then move forward. All good research is grounded in the historical and/or theoretical context that surrounds and permeates the issue being investigated. The development of a credible and persuasive argument requires three elements: (a) a good idea persuasively argued, (b) high quality evidence derived from credible source material, and (c) detailed and accurate source documentation. By integrating ideas from multiple sources, authors bring significant ideas to the forefront of a research project and generate evidence or "good reasons" in support of a thesis, argument, or position. Those reading a work must be able to verify the evidence offered while tracking the ideas presented.

Security Classification

USAWC students and Fellows must write unclassified papers unless specifically directed or granted an exception to policy. Classified information may not, under any circumstances, be used in the production of unclassified research. Classified research requires strict observation of all physical and automation security procedures of Army regulations. Students who conduct classified research bear sole responsibility for understanding the process required to produce classified work, obtaining permission to pursue a classified project, securing a PA who is willing and able to work on the classified material and to review the final document, complying with all aspects of security management, ensuring that the paper receives and displays the necessary security classification and appropriate downgrading and declassification markings, and identifying the project with an unclassified title/abstract for institutional tracking. Contact the USAWC Security Manager (SB 17 Root Hall, 5-4188) *before* beginning research to obtain specific guidance, procedures, and equipment. Classified research may be posted to SIPRNET and must adhere to the same style and academic guidelines required for all student projects.

Source Documentation

Reference citations are essential to strategic leaders, serving a dual purpose:

1. To document the chain of ideas/words utilized in the creation of a paper.
2. To provide readers with the information necessary to locate the cited source.

Responsibility for constructing accurate source citations falls to the student as part of the larger educational mission. *Include a precise citation for all material used that is neither your own idea nor common knowledge*. Do not recruit others to format sources; the work must be your own.

All student work must adhere to source documentation protocol, including reference to all:

- information that did not originate inside the author's own mind
- materials used in the development of a paper

- previously circulated self-authored works

- translations of other's works

Generally speaking, one need not document information that is considered common knowledge. For example, to write that US involvement in WW II began in late 1941 and continued until well into 1945 would not need to be documented even if consulting a source regarding the dates. That kind of information is common knowledge. If, however, a writer is directly quoting, word for word "that US involvement in WW II began in late 1941 and continued well into 1945" the quote must be accompanied by citation information. Those not well versed in source documentation risk exposure to charges of sloppy research, bad judgment, poor information, and even plagiarism. Properly document all sources used in every paper or assignment.

Citation Procedure

The Chicago Manual of Style (CMOS) 17th Edition is the official style guide of the USAWC. Use the Turabian Manual or CMOS online to properly format footnote citations. Although Turabian/Chicago contains many other citation types (e.g., author-date, endnote), unless otherwise directed by faculty, student papers require source documentation via footnotes utilizing the Notes and Bibliography system.

- Step 1: Collect Source Specifics

  Though many researchers still collect information "by hand," gathering reference material during the research process is facilitated by online/software resources. Simply locate the specific resource or citation generator, open the citation, select the desired format (Chicago note style), and copy/paste the preformatted citation into a document.

  For both Google Scholar and USAWC Library database searches, select the citation button (🙶) to access citation options before copying the citation in Chicago footnote style.

  Citation management software is not necessary (nor necessarily helpful) for single projects under 10,000 words. Software such as Mendeley, Zotero, and EndNote, can be extremely helpful, however, for those collecting large volumes of sources and/or conducting research over a significant time period/multiple projects. Most citation generators facilitate direct entry to citation management software.

  If pre-formatted citations are not available while you are writing, enter source-specific placeholders as footnotes to return to once you are at a creative or intellectual stopping place. Include enough information so as to be able to easily return to the notes at that time to fully construct incomplete citations. Content notes are the exception: often they are best constructed during the writing phase.

- Step 2: Determine Type of Note Needed

  To facilitate source documentation clarity, choose from among the four types of footnotes available: Single Source, Multiple Source, Repeated Source, and Content.

  o Single Source Notes: Use when you consulted one source to help make a point.

  o Multiple Source Notes: If you consulted more than one source to help make a single point, reference them together in one footnote, listing each completely in the standard format separated by semicolons.

- o Repeated Source Notes: If you reference a source more than once, follow the standard format for the first use and an abbreviated form thereafter. *Consecutive References*: Immediately follow another reference to the same source; include author last name and page number(s) (as applicable). *Non-Consecutive References*: Are separated from the full citation by other references; include author last name, a shortened title, and page number(s) (as applicable).

- o Content Notes: Use for explanatory material that, although essential, would disrupt reading flow were it included in the main text—as when more clarification is needed for a footnote, figure, table, data, comment, or specific argument. Employ sparingly, content notes are seldom appreciated outside legal scholarship. Document properly, content notes are held to the same exacting reference standards.

- Step 3: Construct Complete Citations

  Citing references properly requires precision and, sometimes, a bit of creativity. In all cases, the goal should be clarity for retrieving and accessing the information and sources referenced. For source citations not pre-formatted via Google Scholar, databases, or other means:

  - o Determine the type of citation being referenced.
  - o Locate the citation format within Turabian/CMOS guides.
  - o Fit source specific information into the format identified.

    Use your best judgment when unusual sources are encountered. Not every type of source will be identified in CMOS/Turabian. USAWC researchers will inevitably encounter sources for which no specific citation style is identified. Do not panic. If the source being cited does not have a specific correlate within Turabian/CMO, use your best judgment to select the closest matching source-type to emulate, then provide sufficient source documentation as close to the format as possible to locate the source.

    Questions to Ask

    - ➢ Is the source most like an article, book, internet-only source, military publication, public document, recorded media, or unpublished source?

    - ➢ What information needs to be provided for the type of source identified?

    - ➢ Is additional information needed for readers to locate the specific source being cited?

    Once the similar source-type is identified and additional information procured, follow the citation format for that source-type as closely as possible, making adjustments as necessary. Remember: The most important element of source citation is accurately crediting the source being referenced and providing readers with enough information to be able to locate the source on their own.

- Step 4: Review Notes throughout the Document

  Once the document is complete and all citations have been added. Re-examine it for accuracy and format consistency. Minor differences to form invariably occur for citations auto-formatted by citation generators; not all software is perfectly aligned with CMOS specifics nor adapted to the latest CMOS edition. Adjust as needed to maintain as much consistency across footnotes as possible.

Questions to Ask

- o Are my citation notes clear, complete, and precise?

- o Have I accurately represented all sources utilized in the creation of my document?

- o Have I included all relevant, available information for each source?

- o Could an engaged reader use the information provided to locate each of my sources easily and to find the specifics referenced within those sources?

Source Quality

Use sources of the highest quality and integrity possible by evaluating them carefully prior to their use. Learn about the author, the quality of the publication outlet, the review process prior to publication, and the value of the sources referenced. Particular care should be taken in the evaluation of on-line content. Prior to citing an on-line source, evaluate (a) authority (Who wrote the material?), (b) accuracy (Is this fact or opinion?), (c) currency (Does this material capture contemporary thinking?) and (d) scope (Does the site include references to detailed materials that can be verified?). Avoid quotidian sources such as dictionaries, encyclopedias, non-academic/non-professional web pages, or open source information databases (e.g., Wikis). They should not be relied upon as either (a) entirely accurate, or (b) worthy of supporting a substantial argument. Wikipedia, for example, may be helpful as an introductory overview of a topic or issue, but cannot provide the foundation for professional or graduate level research. One should "never cite it as an authoritative source" (Turabian, 2007, 27).

Strategy Article

Strategy articles are brief, formal, evidence-based essays written to persuade an audience about a strategic issue, concern, or practice. The goal is to write a compelling document that stimulates thinking about the topic addressed and encourages rejoinder. Readers should be able to both follow the argument presented and to engage it intellectually and emotionally. Exceptionally well-written strategy articles make excellent candidates for publication submission and/or award competition.

Strategy Research Projects

Strategy research projects—known as DDE Program Research Projects (PRPs), REP Strategy Research Projects (SRPs), or AWC Fellows Strategy Research Projects (FSRPs)—are extended research projects that facilitate exploration of a specific strategic-level research question or challenge. Students and Fellows work closely with faculty to conduct research, generate a research-based thesis, and write a carefully documented paper explicating the thesis and exploring its implications. Ideally, papers advance fresh insights with the potential to impact the larger community of strategic leaders by making a contribution to what is known about a topic and how it is understood. This targeted reading, research, and writing process improves both communication skills and subject matter expertise. Exceptionally well-written strategy articles make excellent candidates for publication submission and/or award competition.

Student Publication

Students are encouraged to publish papers with the potential to make a meaningful contribution. Only well-polished, well-constructed papers should be advanced for publication consideration. Consult with the PA and Second Reader (if any) for revision suggestions and guidance

identifying an appropriate outlet. Communicative Arts maintains a list of Publication Outlets that may be of assistance in identifying target publications. Articles must be cleared prior to submission. The purpose of the clearance process is to ensure accuracy while protecting classified or sensitive defense information from unauthorized, perhaps inadvertent, release. The primary faculty member bears responsibility for clearing print and electronic information for public release. For Program and Strategy Research Projects, both the author and the PA certify the document as part of the final process. No additional clearance review is necessary for finalized, accepted SRPs/FSRPs/PRPs. When *significant* revision or augmentation involving the PA has been undertaken to prepare the manuscript for publication, the PA may be invited to become the second author on the revised document. Note: To be eligible or award consideration, papers must not have been previously published; students may wish to wait until after graduation to submit papers for publication review.

Tables and Figures

Tables and figures can be used to provide visual context for interpretation of data and ideas. Use tables and figures sparingly and always in support of the overall thesis or purpose of a document. The formatting for each is somewhat different, but both tables and figures require source documentation. If the table or figure is your own creation, has been altered from the original, or incorporates information from multiple sources, include that information in the reference citation. Whenever possible, limit table and figure captions to one line. In the USAWC Templates, the Caption Style button on the Office ribbon helps with formatting format.

Tables

Center sequentially numbered table titles immediately above the table to which they refer preceded by the word "Table" and the table number, as in:

Table 1. USAWC Assessment Profile[4]

Message Component	Assessment		Percentage
Content	3	Meets Standards	50%
Organization	3	Meets Standards	25%
Style (Written Work) Delivery (Oral Presentations)	3	Meets Standards	25%
Overall	3	Meets standards	100%

<u>Figures</u>

Center sequentially numbered figure captions directly under the object to which they refer preceded by the word "Figure" and the figure number.
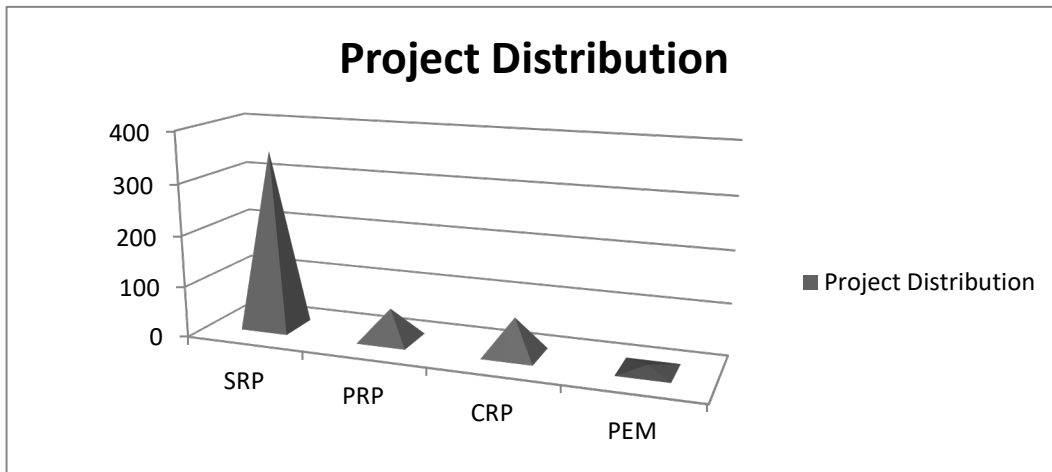

Figure 1. Historic Distribution of USAWC Student Projects by Type[3]

Templates

Unless otherwise directed, use a custom paper Template for all USAWC student papers. Each type of paper/project has its own specified Template. Exception: Integrated Research Projects.

Paper templates, customized by Communicative Arts, automatically format documents in accord with USAWC standards. Access the required template <u>prior to</u> beginning work on a project. To access a Communicative Arts Template, navigate to the Communicative Arts Blackboard page, select the template appropriate to the task at hand, download it to the desktop, and open it from there (not from the cloud). Once open, immediately save the document by selecting SAVE AS. Give it a file name specific to the project, select "Save As Type: Word Document" (not "Word Template" and not "Word 97-2003 Document"), and save. The newly saved document now has all of the front-matter, font, font size, spacing, and other information required for document formatting.

Each custom template contains visible instructions directing information input. These appear in red and are placed in each area requiring specific content. Follow instructions at the data entry point to enter all required information (Title, Author Name, etc.). Changes to front matter entries can only be made at the data entry point. Upon first keystroke, the instructions will disappear, but the entry field will remain to allow changes prior to final submission. To begin writing, navigate to the First Text Page and enter text in the box below the title. Once you begin writing, the template functions as a standard Word document with the added benefit of performing vital formatting functions for the user (e.g., page number position, margins). Additional template instructions are available in Blackboard. The process is easiest if the template is utilized from the start. (Front matter can be completed at any time.) Although one *can* copy and paste a completed paper into the template, unwanted format changes invariably result. If necessary to paste a paper into a template, REMOVE the paper text instruction box (by clicking in it and

hitting the delete key) PRIOR to pasting the text. Then, examine the paper in its entirety, adjusting format/citations as necessary.

Each element internal to papers slated for archiving or external distribution must be precisely formatted. These may include level (section) headings, block quotes, epigraphs, figures, and tables. Unless directed, do not include tables of content, lists of illustrations, or appendices. Use preformatted Styles within the required USAWC Template (under the home-tab) to format headings, block quotes, etc. and assist with conformity to requirements.

Word Count

Carefully follow word count guidelines for all USAWC assignments, projects, and papers. Generally speaking, work submitted for review will be considered if the document is within 10 percent of the stated word length. The number of words in a document is also important for submission of articles for publication consideration. An author's own words should constitute the majority of the word count in any document. Word count does not include footnotes, endnotes, or front matter (e.g., titles, abstracts, forms). To determine word count, place the cursor just before the first character of text on the first line of the paper. Hold down the following keys together and in this order: Ctrl Shift End to select/highlight the text from start to finish. Check the Word Count on the lower left side of the screen. The smaller number is the total number of words in the selected text.

Chicago Manual of Style Citation (17th Ed.) Examples

Include a citation for all material used that is neither your own idea nor common knowledge.

Follow the basic forms provided by the Chicago Manual of Style (CMOS)/Turabian Notes and Bibliography system, adjusting for source irregularities as needed. Examples of citation types commonly encountered by USAWC students are included here.
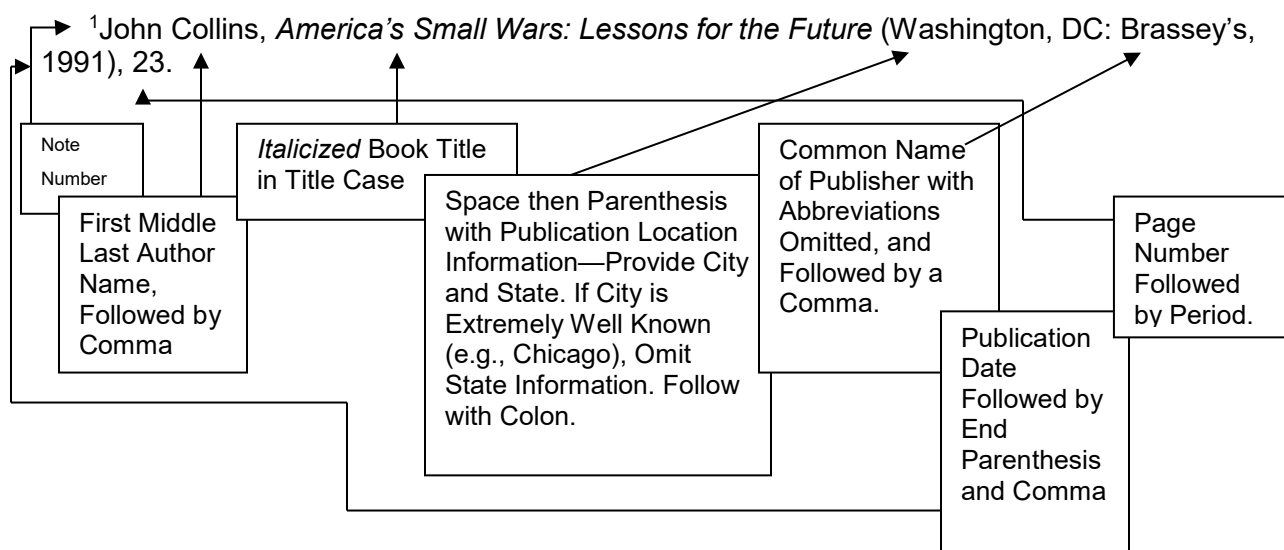
Author information:
- List author names exactly as they appear in the source.
- If no author is given, omit author name and list the title immediately following the note number, all other elements of the citation remain the same.
- For two authors, list each in name order (First Middle Last) connected by the word and. As in: James A. Author and Joan B. Author. For three authors, the proper form would be: James A. Author, Joan B. Author, and Joseph C. Author. For four or more authors, cite only the first author, then et al. As in: Joan B. Author et al.
- If author is an institution, list name (e.g., American Library Association) as author followed by a comma.
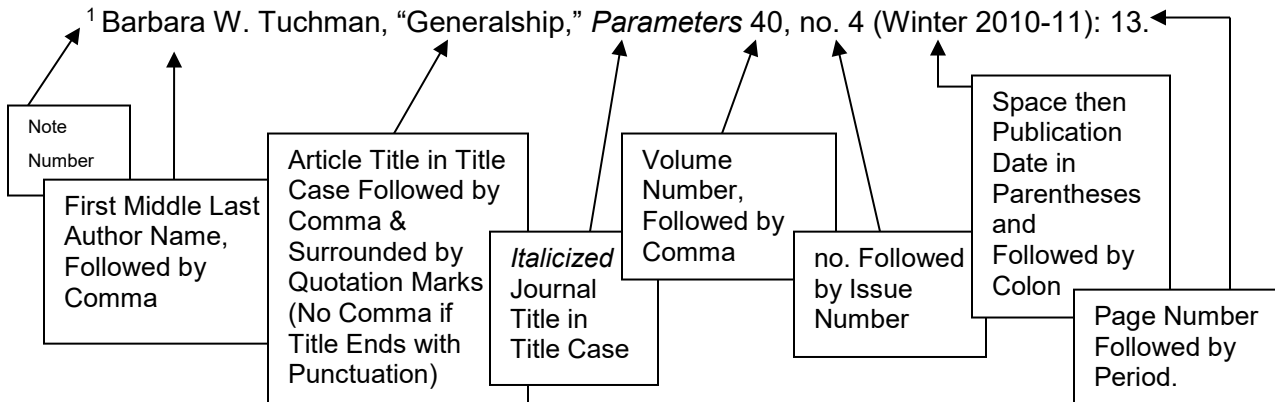
Publication Information:
- List publication information and dates as they appear in the source. Not all publishers will include the same information. If elements of the publication information are not included in the source being referenced, they are not required for citation. Simply omit missing information and continue following the citation format, including appropriate (but not extra) punctuation.
- If the name of an American newspaper does not include the name of the city, add the city before the newspaper title and italicize both (i.e., *Harrisburg Patriot*). If the city is not well known, give the name of the state in parentheses (i.e., *Carlisle (PA) Sentinel*).
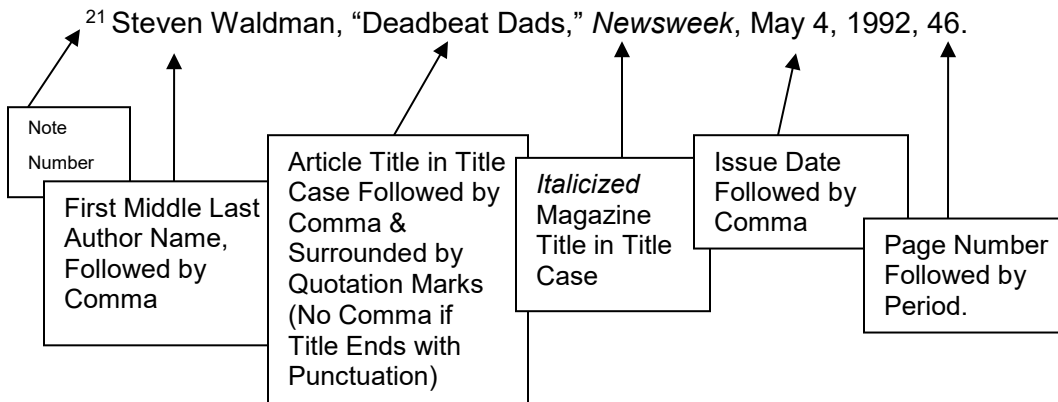
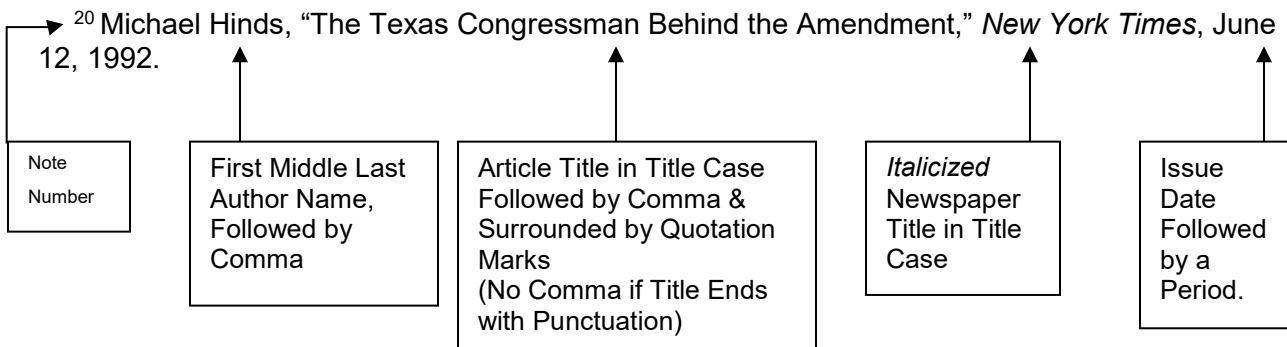Basic Citation Formats Explained

Books

¹John Collins, *America's Small Wars: Lessons for the Future* (Washington, DC: Brassey's, 1991), 23.

Note Number	
First Middle Last Author Name, Followed by Comma	
Italicized Book Title in Title Case	
Space then Parenthesis with Publication Location Information—Provide City and State. If City is Extremely Well Known (e.g., Chicago), Omit State Information. Follow with Colon.	
Common Name of Publisher with Abbreviations Omitted, and Followed by a Comma.	
Publication Date Followed by End Parenthesis and Comma	
Page Number Followed by Period.	

Journal Articles

[1] Barbara W. Tuchman, "Generalship," *Parameters* 40, no. 4 (Winter 2010-11): 13.

Note Number

First Middle Last Author Name, Followed by Comma

Article Title in Title Case Followed by Comma & Surrounded by Quotation Marks (No Comma if Title Ends with Punctuation)

Italicized Journal Title in Title Case

Volume Number, Followed by Comma

no. Followed by Issue Number

Space then Publication Date in Parentheses and Followed by Colon

Page Number Followed by Period.

Magazine Articles

[21] Steven Waldman, "Deadbeat Dads," *Newsweek*, May 4, 1992, 46.

Note Number

First Middle Last Author Name, Followed by Comma

Article Title in Title Case Followed by Comma & Surrounded by Quotation Marks (No Comma if Title Ends with Punctuation)

Italicized Magazine Title in Title Case

Issue Date Followed by Comma

Page Number Followed by Period.

Newspaper Articles

[20] Michael Hinds, "The Texas Congressman Behind the Amendment," *New York Times*, June 12, 1992.

Note Number

First Middle Last Author Name, Followed by Comma

Article Title in Title Case Followed by Comma & Surrounded by Quotation Marks (No Comma if Title Ends with Punctuation)

Italicized Newspaper Title in Title Case

Issue Date Followed by a Period.

48

Articles

Journal

[1] Barbara W. Tuchman, "Generalship," *Parameters* 40, no. 4 (Winter 2010-11): 13.

Magazine

[21] Steven Waldman, "Deadbeat Dads," *Newsweek*, May 4, 1992, 46.

Newspaper

[20] Michael Hinds, "The Texas Congressman Behind the Amendment," *New York Times*, June 12, 1992.

Periodical Interview

[31] Yasir Arafat, "Arafat Talks: Marriage, Peace and the Plane Crash: An Exclusive Interview with the PLO Leader," interview by Tony Clifton, *Newsweek*, May 4, 1992, 41.

For interviews published in magazines and other periodicals, the basic citation information and style is the same as for all articles from that type of periodical. For interviews, include details about the interviewer between the article title and the publication title, separated by commas.

Books and Media Hardcopies

Book

[1] John Collins, *America's Small Wars: Lessons for the Future* (Washington, DC: Brassey's, 1991), 23.

Book in Series

[8] Thomas L. Pangle, *The Ennobling of Democracy: The Challenge of the Postmodern Age*, Johns Hopkins Series in Constitutional Thought (Baltimore: Johns Hopkins University Press, 1992), 225.

Edition other than First

[9] Samuel Noory, *Dictionary of Pronunciation: Guide to English Spelling and Speech*, 4th ed. (New York: Cornwall Books, 1981), 10.

Edited or Compiled Book

[6] Robert L. Pfaltzgraff, Jr. and Richard H. Shultz, Jr., eds., *The United States Army: Challenges and Missions for the 1990s* (Lexington, MA: Lexington Books, 1991), 30.

<u>Non-English Sources</u>

[26] Mauritania Government, Strategie Nationale de lute contre le terrorisme et la criminalite transnationale [Mauritania Strategy on Terrorism and Transnational Criminality] (Nouakchott, Mauritania: Ministery of Foreign Affairs and Cooperation, April 2012), 13.

When incorporating material from a non-English source, provide the citation in the language of origin accompanied by an English translation in brackets. Do this only if you read the source in its original language. When using an English translation, use the "Translated Book" style.

<u>Translated Book</u>

[7] Wolfgang Leonhard, *Betrayal: The Hitler-Stalin Pact of 1939,* trans. Richard D. Bosley (New York: St. Martin's Press, 1989), 211.

<u>Video or Audio Hardcopy (DVD, CD)</u>

[13] *Bat 21*, directed Peter Markle (Culver City, CA: Media Home Entertainment, 1989), VHS.

List the title of the movie (in italics) first. Then follow with the director, production company, and year if possible. Last, list the type of format of the media (DVD, Blu-ray, etc.).

<div align="center">Book Sections</div>

<u>Book Chapter by Book Author</u>

[10] Kenneth R. Young, "Into the Wilderness," in *The General's General: The Life and Times of Arthur MacArthur* (Boulder: Westview Press, 1994), 119.

<u>Book Chapter in Edited Work</u>

[11] Max G. Manwaring, "Limited War and Conflict Control," in *Conflict Termination and Military Strategy: Coercion Persuasion, and War*, ed. Steven J. Cimbala and Keith A. Dunn (Boulder: Westview Press, 1987), 59.

<u>Quotation in Book—Secondary Source</u>

[12] J. F. C. Fuller, *Grant and Lee* (Bloomington: Indiana University Press, 1957), 82, quoted in Roger H. Nye, *The Challenge of Command* (Wayne, NJ: Avery, 1986), 28.

<div align="center">Military and Government Publications</div>

<u>Congressional Hearing</u>

[22]*Hearing before the Select Special Subcommittee on War Powers, Committee on Foreign Relations,* 100th Cong., 2nd sess., July 13, 1988, 11.

<u>Congressional Debate/Testimony</u>

[23] Senator Edward M. Kennedy, speaking on National Intelligence Estimate–Iraq, September 29, 2006, to the Committee on Foreign Affairs, Congressional Record, S10523.

Congressional Research Service (CRS) Report

[27] Ronald O'Rourke, *China Naval Modernization: Implications for US Naval Capabilities—Background and Issues for Congress* (Washington, DC: US Library of Congress, Congressional Research Service, July 17, 2009), 20.

[28] Marshall C. Erwin, *Intelligence Issues for Congress,* CRS Report No. RL33539 (Washington, DC: Congressional Research Service, 2013), 49, https://fas.org/sgp/crs/intel/RL33539.pdf.

Directive

[23] Department of Defense, *Information Assurance Training, Certification, and Workforce Management,* DoD Directive 8570.01-M (Washington, DC: Department of Defense, 2005), http://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/857001m.pdf.

Doctrine

[24] Joint Chiefs of Staff, *Doctrine for the Armed Forces of the United States,* JP 1 (Washington, DC: Joint Chiefs of Staff, 2017), https://fas.org/irp/doddir/dod/jp1.pdf.

Executive Order

[22] Exec. Order No. 13655, 3 C.F.R. 339 (2014), https://www.govinfo.gov/content/pkg/CFR-2014-title3-vol1/pdf/CFR-2014-title3-vol1.pdf.

Federal Budget

[28] US Office of Management and Budget, *Budget of the United States Government, Fiscal Year 1998* (Washington, DC: US Government Printing Office, 1997), 4.

Field Manual or Military Regulation

[24] Department of the Army, *Sniper Training,* FM 23-10 (Washington, DC: Department of the Army, 1995), http://www.bits.de/NRANEU/others/amd-us-archive/fm_23-10%2894%29.pdf.

Foreign Relations of the United States

[24] "Memorandum from the Deputy Assistant Secretary of Defense for International Security Affairs (Schwartz) to the Assistant Secretary of Defense for International Security Affairs (Warnke), April 22, 1968," *Foreign Relations of the United States* (hereafter *FRUS*), 1964–1968, vol. XXI, Near East Region; Arabian Peninsula (Washington, DC, 2000), doc. 143.

Fragmentary Order (FRAGO)

[24] Eric B. Schoomaker, US Army Surgeon General, "Fragmentary Order 6 to Operation Order 09-75 (Novel a(H1N1) Influenza Vaccine Immunization Program)," Fort Sam Houston, TX, US Army Medical Command, March 17, 2010.

Government Accountability Office (GAO) Report

[29] US Government Accountability Office, *Special Operations Forces: Report to Congressional Committees* (Washington, DC: US Government Accountability Office, September 2007), 3.

[25]Cathleen A. Berrick, *Homeland Security: DHS's Progress and Challenges in Key Areas of Maritime, Aviation, and Cybersecurity,* GAO-10-106 (Washington, DC: Government Accountability Office, 2009), 7–9.

Instruction

[22]Department of Defense, *Identification (ID) Cards Required by the Geneva Convention,* DoD Instruction 1000.01 (Washington, DC: Department of Defense, 2012), 36.

Joint Publications

[44]Joint Chiefs of Staff, *National Military Strategy of the United States of America* (Washington, DC: Joint Chiefs of Staff, 2015), https://www.jcs.mil/Portals/36/Documents/Publications/National_Military_Strategy_2015.pdf.

National Defense Strategy

[22]Department of Defense, *Summary of the 2018 National Defense Strategy of the United States of America* (Washington, DC: Department of Defense, 2018), https://dod.defense.gov/Portals/1/Documents/pubs/2018-National-Defense-Strategy-Summary.pdf.

National Security Strategy

[30] William J. Clinton, *A National Security Strategy for a New Century* (Washington, DC: The White House, October 1998), 46.

[11]White House, *National Security Strategy* (Washington, DC: White House, 2015), http://nssarchive.us/wp-content/uploads/2015/02/2015.pdf.

Posture Statement

[31] Michael P. W. Stone and Gordon R. Sullivan, *Strategic Force, Strategic Vision for the 1990s and Beyond: A Statement on the Posture of the United States Army, Fiscal Year 1993*, Posture Statement presented to the 102nd Cong., 2nd sess. (Washington, DC: US Department of the Army, 1992), 3.

Public Law

[32] Atomic Energy Act of 1946, Public Law 585, 79th Cong., 2nd sess. (August 1, 1946), 19.

Quadrennial Defense Review (QDR)

[33] Robert M. Gates, *Quadrennial Defense Review* (Washington, DC: US Department of Defense, February 2010), 19.

United States Constitution

[35] US Constitution, art. 2, sec. 1.

Online Sources and Electronic Media

Blog Entry

[17] Thomas E. Ricks, "FDR as a Strategic Analyst of the Balkans," *The Best Defense: Tom Ricks's Daily Take on National Security*, blog, February 5, 2013, http://ricks.foreignpolicy.com/posts/2013/02/05/fdr_as_a_strategic_analyst_of_the_Balkans.

Include author name, title of post, blog title or description, whether the item is an entry (posted by the author of the site) or a comment (posted by someone else), date of posting, URL. Cite author name as given (even if incomplete or a pseudonym).

Media Files

Author.

[14] Joe Mantegna and Gary Sinise, "PBS's National Memorial Day Concert," May 4, 2007, *YouTube*, video file, http://www.youtube.com/watch?v=AJAj84RUlEs.

Institutional Author.

[15] US Army War College, "Army War College History," December 7, 2010, *US Army War College YouTube Channel*, video file, http://www.youtube.com/profile?user=USArmyWarCollege#p/a/u/2/cflH8i1YomM.

No Author Given.

[16] "Asymmetric Warfare: People's Tactics and Sun Tzu's 'Art of War'," December 1, 2008, *YouTube*, video file, http://www.youtube.com/watch?v=nSmwaLrFgqc.

Use these forms for all web-based media files. Include web location and type of media accessed (audio, video, live video stream, etc.). Information about media file types (.wmp, .mp3, .mp4, etc.) may be included if particularly relevant to the citation information.

Twitter Post

[22]Sarah Palin (@SarahPalin), "I can see Russia from my house," Twitter, August 25, 2011, 10:23 p.m., http://twitter.com/sarahpalinusa.

Include the writer and/or the screen name as the author, the post as the title, the format, the time of the post, and the URL.

Website

[20] Michael Schrage, "Information-Age Have-Nots? Let Them Read Books," January 9, 1994, http://www.cadsim2.gmu.edu/mon/Academia/ShragueLetThemReadBooks.html.

[18] *The Official Home Page of the United States Army*, accessed June 19, 2005, http://www.army.mil.

Website—Linked from Home Page

[19] Joe Smith, "Soldier Awarded Purple Heart," Soldier Stories, United States Army Home Page, May 23, 2005, http://www4.army.mil/ocpa/soldierstories.

Internet documents are often revised, altered, or moved. Include the last date that it was modified, or the date it was accessed (need not include both).

Unpublished Sources

Briefings

[36] Dylan V. Shope, "Peace Forces," briefing slides with scripted commentary, Carlisle Barracks, PA, US Army War College, July 23, 2001.

Electronic Mail and Social Networking Communications

[37] Robert F. Parkison, e-mail message to author, May 2, 2002.

Indicate the type of medium used to communicate the message. Electronic mail, on-line chats, Facebook, and other electronic communications are generally not considered academic or professional sources. Use sparingly and only when essential.

Memoranda

[38] Teresa M. Takai, "Adoption of the National Information Exchange Model within the Department of Defense" (official memorandum, Washington, DC: Department of Defense, 2013), http://dodcio.defense.gov/Portals/0/Documents/2013-03-28%20Adoption%20of%20the%20NIEM%20within%20the%20DoD.pdf.

Personal Interviews

If person interviewed is a member of the Armed Forces, show rank and branch of service. List military rank in standard abbreviated form appropriate to the specific service.

On location.

[39] Governor Kirk Fordice of Mississippi, interview by author, Jackson, MS, July 23, 1996.

Telephone or Electronic Source.

[40] John Abizaid, US Army, Commander, US Central Command, telephone interview by author, March 19, 2005.

Indicate whether the interview was via telephone (as above) or via another medium.

Unattributed Interview.

[41] Interview with confidential source, February 17, 2009.

Explain the absence of a source's identity briefly in an endnote. Unattributed interview data should be used very sparingly and only when complete confidentiality is absolutely essential. A source must grant the author permission to quote even if confidentiality is being honored.

Speech to an Immediate (Unmediated) Audience

[42] Douglas G. Vincent, "US Strategy in the Afghanistan Draw Down" (public speech, University of Mount Union, Alliance, OH, March 25, 2013).

United States Army War College Speakers

[43] Sam Mosely, "Foreign Policy" (lecture, US Army War College, Carlisle Barracks, PA, May 19, 1997), cited with permission of Mr. Mosely.

Statement regarding special permission is mandatory. The non-attribution policy requires specific written approval from a speaker whenever citing potentially identifying information.

United States Army War College Student Writing Projects

[34] Bertram B. Armstrong, "The Army Image" (Strategy Research Project, Carlisle Barracks, PA, US Army War College, April 10, 2000), 15.

SRPs, FSRPs, and PRPs may be available through the USAWC database, via online access, or DTIC. Other student papers, such as unpublished course papers, are generally not considered appropriate sources for inclusion in professional and academic documents.

Student Awards Program for Excellence in the Communicative Arts

The Student Awards Program recognizes excellence in communication by USAWC students and Fellows (see USAWC Memorandum 672-6). Focus must be at or about strategic level issues. Presented at graduation, some awards include a monetary honorarium, engraved memento, and/or journal publication. Some carry award-specific restrictions (e.g., length, format, subject, number of authors, and/or author background); not all are bestowed annually.

Award Procedure

Faculty nominate exceptional student work to Communicative Arts for award consideration. Once nominated, works are prepared for blind review, evaluated for eligibility—especially with regard to meticulous source documentation—and distributed for departmental level review. The very best are returned to Communicative Arts and subsequently distributed for institutional level review by the Distinguished Academic Chairs (DACs). Communicative Arts compiles DAC data and advances the recommendations to the Commandant for review and final approval. Note: AWC Fellows papers may be nominated for consideration by the host institution or USAWC Faculty Mentor.

Award Eligibility

To be eligible for award nomination, student work must:

- Have earned "Outstanding" or "Exceeds Standards" in all assessment areas.

- Be cleared for worldwide distribution (Distribution A). Two readers must certify that, to the best of their knowledge, the document accurately depicts USG/DoD policy (though it may disagree with that policy) and contains no classified information or aggregation of information that poses an operations security risk.

- Evidence meticulous documentation: all sources used must be properly attributed; direct quotes must be properly formatted and acknowledged; plagiarism must be strictly avoided. Papers containing plagiarized material of any kind or amount—whether through sloppy scholarship or outright intent to deceive—are not eligible for awards and will be withdrawn from the competition (or the award rescinded if discovered after bestowal).

- Be properly formatted and editable prior to award review. Once slated for an award, works enter the public domain and are available worldwide. Papers must be formatted properly in the USAWC Template and submitted as a password-free Word document.

Award Categories

Public Speech

Parameters:	7 – 10 minute speech to a live audience and judges
Venue:	USAWC Public Speaking Competition, Carlisle Barracks (theme varies)
Criteria:	Superior presentation; compelling argument; excellent organization
	Skillfully employs high-quality evidence; thoughtful, insightful, and persuasive
USAWC Award:	*The Carlisle Barracks and Cumberland Valley Chapter of the Association of the US Army (AUSA) Award for Excellence in Public Speaking*
	One award with up to four places; First place is recognized at graduation.

Strategy Article

Parameters: Solo-authored, 1400 - 1650 word essay
Must stand alone as a single essay (but may be part of a larger project);
May not be previously published or under publication consideration.

Criteria: Superior writing; compelling argument; excellent organization

National Awards: *Chairman of the Joint Chiefs of Staff National Defense and Military Strategy Essay Competition*, 1500 word Strategy Article (1st – 3rd)
Nomination Suspense: 1 April

Strategic Research Paper

Parameters: Solo or multi-authored, 5000 word (minimum) essay
Typically does not exceed 6,000 words, but may be longer if necessary.
Must stand alone as a single essay (may be part of a larger project)
May not be previously published or under publication consideration

Criteria: Superior writing; compelling argument; excellent organization
Skillfully employs high-quality evidence; thoughtful, insightful, and persuasive
DAC reviewers may recommend special distinction for award-winning papers that make a significant contribution to knowledge.

National Awards: Nomination suspense: 1 April (Submit final papers with nominations)
Secretary of Defense National Strategy Essay Competition, 8,000 word (maximum) National Security Research Essay (1st – 3rd)

Chairman of the Joint Chiefs of Staff National Defense and Military Strategy Essay Competition, 5,000 word essay (1st – 3rd)

USAWC Awards: Numerous awards are available. Most award winning papers originate as Directed Studies (DS), Strategy Research Projects (SRPs), Fellows Strategy Research Projects (FSRPs), and Program Research Projects (PRPs).

Knowledge Contribution: *The Commandant's Award for Distinction in Research*

Strategic Research: *AWC Foundation Award for Outstanding Strategic Research Paper*

AWC Foundation Colonel Jerry D. Cashion Memorial Award

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Military Officers Association of America (MOAA) Award
Coordinated through the AWC Foundation.

Focused Topic: *AWC Foundation LTG (Ret) Eugene J. D'Ambrosio Logistics Award*

AWC Foundation MG Harold J. Greene Memorial Award
Focus: science/technology, acquisition, logistics, surveillance.

AWC Foundation Colonel Don & Mrs. Anne Bussey Military Intelligence Award

AWC Foundation Colonel Francis J. Kelly Memorial Award

Focus: special operations, special warfare, counterinsurgency

AWC Foundation Daniel M. Lewin Cyber-Terrorism Technology Award
Focus: cyber-terrorism, cyber-warfare, or technology

Armed Forces Communications-Electronics Association (AFCEA) and CSM William and Mrs. Rosa Barrineau Award
Focus: signal, information technology, cyber operations, or C4I

Association of the United States Army (AUSA) Award
Focus: national security and defense Landpower

Colonel and Mrs. T. Bristol Military History Award
Sponsored by the United States Army Heritage and Education Center.

Excellence in Logistics Award
Sponsored by the Defense Logistics Agency.

Foreign Area Officer Association Award
Focus: international affairs

454[th] Bombardment Group Award
Focus: aviation and/or WWII history
Sponsored by the Army Heritage Center Foundation.

General Matthew B. Ridgway Award
Focus: issues pertaining to the US Army

Military Order of the World Wars Award
Focus: leaders or campaigns

Red River Valley Fighter Pilots Association Award
Focus: joint employment of air power

US Military Academy's Simon Center for the Professional Military Ethic Award
Focus: impact of officership and/or the officer's role

Specific
Focus:

Marine Corps Association and Foundation General Thomas Holcomb Award
Limited to US Marine Officers.

Thomas J. Plewes Reserve Component Research or Writing Award
Limited to US Reserve Officers.
Sponsored by the Reserve Officers Association.

Sample USAWC Papers

This section contains model papers written to satisfy various USAWC options and requirements. Each is exemplary with regard to content, organization, and style. Formatting is not exact as sample documents were modified to include commentary (as appropriate) and remove title pages/front matter. Papers include:
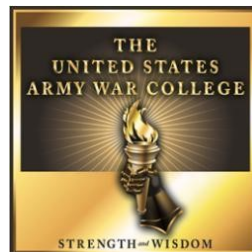
- Brief Course Paper (600 words)

  Question: "Based on the 2017 National Security Strategy (NSS), address the following questions in a single essay: Which IR theory informs the 2017 NSS? How so? Use one of the other IR theories to discuss the risks of this approach."

- Longer Course Paper (2000 words)

  Prompt: "Evaluate US military campaign planning for OIF from 2002 to 2007 using operational design as a framework for your analysis."

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Brief Course Paper Example

The tenets of realism inform the 2017 National Security Strategy (NSS). The document lays out a strategy of "principled realism," framing the United States as a self-interested actor seeking power to secure its interests in an anarchic world. According to liberal international relations theory, this "America First" approach risks unwinding U.S. alliances and undervaluing the cooperative benefits of multilateral institutions.

Short introduction containing all theses; provides an essay map; about 10% of total word count.

The realist view that self-interested states compete in an anarchic world informs the NSS. Realists believe that international affairs is a Hobbesian struggle between states in an anarchic world.[2] There is no global governance body to hold state actors accountable, so they must fend for themselves. The NSS's theme of great-power competition echoes this element of realist theory. The document states that "there are growing political, economic, and military competitions we face around the world."[3] Authoritarian powers, such as China and Russia, seek to "erode American security and prosperity."[4] Facing this threatening environment, the United States must compete with other state actors to secure its vital interests. The NSS adopts the

Assertion. Serves as your topic sentence and clearly reflects your own thinking; usually the first sentence in a main body paragraph. It directly answers a portion of the question asked.

Evidence supporting the assertion. Examples relate directly to the initial assertion and demonstrate how that assertion is accurate or worth considering.

Analysis linking evidence to the assertion and overall thesis. Analysis addresses the "so what" or takeaway implications of the supporting evidence.

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[2] Richard K. Betts, "International Realism: Anarchy and Power," in *Conflict after the Cold War: Arguments on Causes of War and Peace,* ed. Richard K. Betts (New York: Routledge, 2016), 66.

[3] Donald J. Trump, *National Security Strategy of the United States of America* (Washington, DC: The White House, December 2017), 2, https://www.whitehouse.gov/wp-content/uploads/2017/12/NSS-Final-12-18-2017-0905.pdf.

[4] Trump, *National Security Strategy*, 2.

tone of realist theory by positioning America as a self-interested state seeking security in a threatening world.

The NSS also highlights the vital role that power plays in securing U.S. interests. Realist theorists emphasize power—in particular military power—as the determining factor in global affairs.[5] As the Athenians stated in Thucydides' Melian Dialogue, in the international arena "the strong do what they can and the weak suffer what they must."[6] Power is a relative phenomenon in international relations. As the NSS describes, Washington's competitors are rapidly making up ground on the United States.[7] As such, the United States seeks to "preserve peace through strength"—a phrase that implies that power is necessary to secure U.S. interests. The administration intends to rebuild the American military and revise economic agreements that erode U.S. economic might. The NSS directly links the concept of power to America's ability to secure its interests.

A risk of the NSS's realist approach is that the administration overlooks the role democratic alliances play in countering authoritarian states. Liberal theorists argue that democracies do not go to war with one another.[8] Democracies have a track record of fighting authoritarian states in defense of other liberal states.[9] The authors of the NSS pay lip

Assertion.

Evidence supporting the assertion.

Analysis.

Assertion.

Evidence supporting the assertion.

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[5] Jack Snyder, "One World, Rival Theories," *Foreign Policy*, no. 145 (November/December 2004), 55.
[6] Thucydides, "Melian Dialogue," in *Conflict after the Cold War: Arguments on Causes of War and Peace*, ed. Richard K. Betts (New York: Routledge, 2016), 70.
[7] Trump, *National Security Strategy*, 3.
[8] Michael W. Doyle, "Liberalism and World Politics," in *Conflict after the Cold War: Arguments on Causes of War and Peace*, ed. Richard K. Betts (New York: Routledge, 2016), 154.
[9] Doyle, "Liberalism and World Politics," 157.

service to the benefits of alliances by stating that allies "magnify our power;" however, the predominant theme of the strategy is that Washington's cooperation with allies will be conditional.[10] The strategy states that the United States will pursue "cooperation with reciprocity."[11]

More evidence.

In his introductory letter, President Trump highlights his displeasure with U.S. allies' "unfair" burden-sharing and "unfair" trade practices.[12] The NSS sends mixed signals to U.S. allies. If the administration views competition with authoritarian states as a strategic priority, it should consider the liberal internationalist view that democratic allies are a source of strength, rather than a liability. The United States risks losing opportunities to advance its interests by antagonizing its allies in the NSS.

Analysis.

The administration also risks undervaluing the cooperative benefits of multilateral institutions. Liberal theorist Robert Keohane argues that multilateral organizations provide states with the opportunity to cooperate in areas of mutual interest.[13] The Trump administration rejects this view of the world. The NSS states that the United States will "compete and lead" in multilateral organizations.[14] It frames these institutions as theaters for competition rather than forums for

Assertion.

Evidence supporting the assertion.

Analysis.

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[10] Trump, *National Security Strategy*, 4.
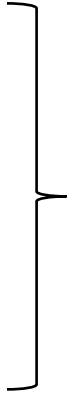[11] Trump, *National Security Strategy*.
[12] Trump, *National Security Strategy*, ii.
[13] Robert O. Keohane, "International Institutions: Can Interdependence Work?" *Foreign Policy*, no. 110 (Spring 1998), 82.
[14] Trump, *National Security Strategy*, 4.

cooperation. In doing so, the administration may foreclose opportunities to cooperate with allies and competitors alike.

The NSS lays out a realist approach to regain relative military and economic power as adversaries seek to erode existing American advantages. In doing so, the strategy risks undervaluing the benefits Washington accrues from working with allies and through multilateral institutions. International relations theory provides a useful analytical framework for examining these critical issues of national security.

Short conclusion that briefly summarizes the key arguments of the essay. It also provides key takeaways for strategic leaders. About 10% of total word count.

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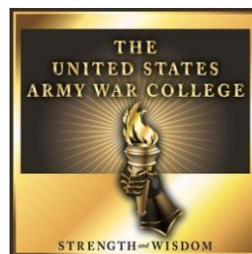
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Longer Course Paper Example

The application of operational design (OD) as an analytical framework illustrates Operation IRAQI FREEDOM's (OIF) initial presumptive insufficient planning and the Surge-period's reframing and effective adaptation.

OD is the "conception and construction" of a framework, that underpins a campaign.[1] The four components of OD (Understand Strategic Guidance, Understand the Operational Environment (OE), Define the Problem, and Develop an Operational Approach (OA)) adapt and interact with one another. The 13 elements of OD help leaders formulate, understand, and assess operations amidst the complexities of a surrounding OE. This essay judges two distinct periods of OIF, the initial OIF planning and execution period and the Surge.

Background

To evaluate the first period, the OD elements of termination criteria, center of gravity (COG), anticipation, arranging operations and effects will serve as criteria. Next, the Surge-period evaluation will show the value of assessment, reframing, and OA adaptation. After both evaluations, the discussion will conclude by exposing and describing the doctrinal changes driven by OIF lessons.

Essay Map

Civilian guidance constrained OIF planning and the plausibility of its termination criteria.

Assertion- Serves as your topic sentence and clearly reflects your own thinking. usually the first sentence in a main body paragraph.

In late September 2001, General Tommy Franks received instructions to formulate plans to invade Iraq. However, unlike the 1991 Gulf War planning environment in which debate and guidance

Support that provides evidence for the assertion. Examples relate directly to the assertion and demonstrate how that assertion is accurate or worth considering.

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[1] U.S. Joint Chiefs of Staff, *Joint Planning*, Joint Publication 5-0 (Washington, DC: U.S. Joint Chiefs of Staff, June 16, 2017), IV-1.

regarding strategy enjoyed independent-minded leaders, Secretary of Defense Donald Rumsfeld and a compliant GEN Franks dominated OIF's initial planning.[2] Rumsfeld's confidence in technology and Special Operations, disdain for Balkan-like nation building, and his desire to deliver a "revolution in military affairs" (RMA) influenced his guidance for OIF planning.[3] In November 2001, Rumsfeld outlined OIF's termination criteria as Iraq's regime destroyed, weapons of mass destruction (WMDs) eliminated, Iraq's Security Forces (ISF) retain capacity but no longer pose a threat, a new Government of Iraq that is stable and acceptable, and Iraq's territorial integrity remains intact.[4] These criteria reflected the President George W. Bush's intent but subsequent guidance from Rumsfeld limited planning and resourcing to where the termination criteria became unrealistic.

Initial OIF strategic guidance and planning incorrectly excluded the Joint Chiefs, State Department (DOS) and many others. Instead, Rumsfeld's agenda and his tendency to micro-manage through "snowflakes" and other mechanisms resulted in pressure to reduce troop levels and timetables.[5] His pressure drove troop level decreases. Troop decreases made planners question whether they had enough U.S. forces to sustain the invasion, let

Support continued

Analysis & Transition

Assertion

Support

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[2] Michael R. Gordon and Bernard E. Trainor, *Cobra II: The Inside Story or the Invasion and Occupation of Iraq* (New York: Pantheon Books, 2006), 577.

[3] Gordon and Trainor, *Cobra II*, 573.

[4] Gordon and Trainor, *Cobra II,* 77; Joel D. Rayburn and Frank K. Sobchak, eds., *The U.S. Army in the Iraq War – Volume 1: Invasion – Insurgency – Civil War 2003-2006* (Carlisle, PA: Strategic Studies Institute, United States Army War College Press, January 2019), 32.

[5] Rayburn and Sobchak, eds., *The Army in Iraq – Vol. 1*, 37.

alone stabilization. Rumsfeld's isolated, constraining, and agenda-driven guidance inhibited planning time and resources. Rumsfeld focused on means and ways with an incomplete and presumptuous understanding of the ends, OE, and COG.

> Support

> Analysis & Transition

The misidentification of the COG during initial OIF planning resulted from a fundamental misunderstanding of the OE. The lack of understanding Iraqi politics, society, and government created gaps that led to flawed assumptions about how the war would unfold. On the one hand, U.S. forces were poised to fight the Republican Guard. On the other hand, U.S. forces expected other Iraqi Army units to lie down their arms and the Iraqi population to greet them as liberators.[6] Although prepared to fight the enemy they war-gamed against, U.S. forces lacked a complete understanding of the paramilitary Fedayeen, their pre-positioned weapons caches, and a de-centralized resistance to instability or invasion. This misunderstanding of the OE included the misidentification of the Iraqi COG, which Rumsfeld, Franks and others mistakenly viewed as Baghdad.[7] The actual COG was the Iraqi people. The correct COG required dispersing Fedayeen and stabilizing the Sunni regions so the population was "supportive or at least not actively antagonistic."[8] All the aforementioned misjudgments convey the dangers of stagnant intelligence and passive portrayals of an OE. As most OEs are
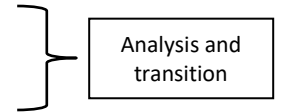
> Assertion

> Support

> Analysis

[6] Gordon and Trainor, *Cobra II*, 572-573.
[7] Gordon and Trainor, *Cobra II*, 573.
[8] Gordon and Trainor, *Cobra II*.

complex adaptive systems, continuous and iterative OD facilitates understanding and helps define the correct problem.

`[Analysis and transition]`

OIF's initially identified problem reflects an unwillingness to anticipate for inconvenient threats. OIF's initial planning problem focused on the

`[Assertion]`

regime, Republican Guard, Baghdad, and minimizing friendly resources and time. Despite the initial intent to "cut off the head of the snake" while leaving much of the remaining security institutions unscathed, it was not prudent to assume it would be easy.[9] Simply stated, there was no plausible reason the initial problem failed to anticipate the possibility that overthrowing Saddam could shatter Iraq's security institutions, thus leaving civil-security responsibilities to U.S. forces.[10] In fact, previous Department of State studies, war games, and neighboring country concerns and sources all indicated that instability was a real possibility.[11] Securing Iraq after the regime's defeat was never a significant part of the initial identified problem.

`[Support]`

OIF's original reluctance to define its problem comprehensively portrays the danger of framing a problem, or writing a plan, in the most convenient or desired fashion. Convenient or not, ignoring or failing to anticipate potential OE adaptations can lead to greater issues during the development and implementation of an OA.

`[Analysis and transition]`

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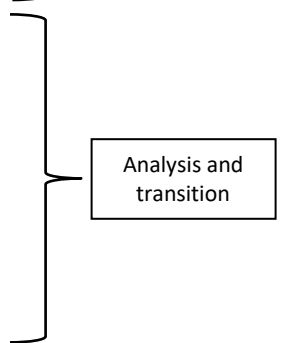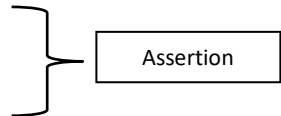
[9] Michael E. O'Hanlon, "Iraq Without a Plan," *Policy Review* 128 (Palo Alto, CA: Hoover Institute, Stanford University, December 2004 & January 2005): 38.
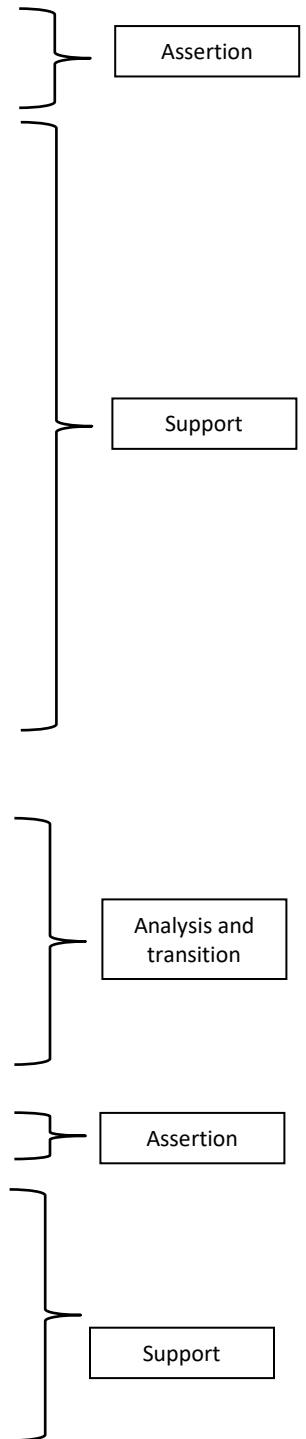
[10] O'Hanlon, "Iraq Without a Plan," 36.

[11] O'Hanlon, "Iraq Without a Plan," 29-32.

Although incomplete, OIF's original OA did effectively arrange initial operations in the first three phases. OIF's initial approach intended to not only accomplish the aforementioned termination criteria but also harken regional transformation and RMA validation.[12] Characterized by shock and speed to ensure momentum, OIF's initial OA involved a light ground force and near-simultaneous air-ground attacks but lacked an envisioned post-regime Iraq. In short, Phase I (PH) involved generating forces, PHII combined psychological and military deception operations, and PHIII involved offensive operations. Throughout much of PHI and PHII, guidance and planning focused on addressing the mis-identified COG and sub-objectives with the smallest force package and shortest timeline possible.[13] Unfortunately, improper PHIV planning primarily focused on transitioning to a new Iraqi government vice envisioning stabilization issues. Without the essence of the termination criteria and desired end state conditions properly addressed in PHIV, the OA was incomplete.

A strength of the initial OA involved arranging operations. The PHIII march to Baghdad surprised the regime, and its synchronization allowed American forces to quickly reach the capital. The simultaneous air-ground attacks involving the Marines and V Corps under the Inside-Out and the Cobra II plans shocked the ISF and capitalized on U.S. strengths.[14] The

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[12] O'Hanlon, "Iraq Without a Plan," 572.
[13] O'Hanlon, "Iraq Without a Plan," 25.
[14] O'Hanlon, "Iraq Without a Plan," 58, 87-92.

OA's effective arrangement of operations demonstrated the value of functional

commands, synchronization mechanisms, and adaptive subordinate leaders executing direction and intent. However, PHIV's need for more U.S. forces to foster stabilization overshadowed PHIII's successes and satisfied agendas.

Analysis & Transition

The weakness of OIF's original OA involved invalid assumptions, and a misread of effects. OIF's original approach assumed U.S. forces liberating

Assertion

Iraq instead of occupying it. The OA assumed that newly liberated Iraqi leaders, their Army, and other institutions would responsibly collaborate to provide security, stability, representation, and essential goods-services during formation of the new Iraqi government.[15] The U.S. assumed historical wartime consequences to include power vacuums, socio-political divisions, civil unrest, and reprisals would not occur despite Iraq's diversity and historically misaligned power arrangements.[16] Yet the violence and instability following Saddam's defeat demonstrated the inaccuracy of those assumptions. Similarly, planners did not account for the problematic effects of disbanding the Iraqi Army, de-Baathification efforts, weapons caches, canceled elections, porous borders, unsecured government sites, or

Support

unpredictable essential services ramifications.[17] The weakness of OIF's

Analysis and transition

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[15] O'Hanlon, "Iraq Without a Plan," 37; Rayburn and Sobchak, eds., *The Army in Iraq – Vol. 1*, 35.
[16] Gordon and Trainor, *Cobra II*, 29-32, 186, 574; O'Hanlon, "Iraq Without a Plan," 37-38; Rayburn and Sobchak, eds., *The Army in Iraq – Vol. 1*, 43.
[17] Peter R. Mansoor, *Surge: My Journey with General David Petraeus and the Remaking of the Iraq War* (New Haven: Yale University Press, 2013), 7-12, 18.

original OA demonstrates the importance of re-validating assumptions, anticipating effects, war-gaming, creating branch plans, sequels, and reserves to facilitate adaptation. Ultimately, OIF's initial PHIV shortcomings required the Surge to overcome a lack of a collaborative whole-of-government planning effort.

Analysis and transition

From 2003 to 2006, OIF's military and governmental development strategy was relatively straightforward. As Iraqis stood up, Americans would stand down.[18]

Assertion

By 2006, however, U.S. leaders grappled with the reality that this transition strategy failed to stabilize Iraq.[19] There was a dearth of essential services, civility, and discourse-space needed for political and societal gains.[20] The limited numbers of American forces that operated from large bases allowed Shia-Sunni militias, extremists, and death-squads to dominate Iraqi daily life.[21]

Support

To put it bluntly, the number of civilian deaths, improvised explosive devices (IEDs), and car bombings created unacceptable instability. In late 2006, assessment of the OE demanded a change to the OA, but two influential groups developed differing ideas about potential adaptation.

Analysis and transition

Faced with this OE, Secretary Rumsfeld, GEN John Abizaid, GEN George Casey, the Iraqi Study Group, and a Council of Colonels (CoC)

Assertion

Support

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[18] Mansoor, *Surge*, 22.

[19] Joel D. Rayburn and Frank K. Sobchak, *The U.S. Army in the Iraq War – Volume 2: Surge and Withdrawal 2007-2011* (Carlisle, PA: Strategic Studies Institute, United States Army War College Press, January 2019), 3.

[20] Mansoor, *Surge,* 61; Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 99, 128.

[21] Mansoor, *Surge*, 55, 67; Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 100.

incorrectly recommended a quicker transfer of "the lead" to the new Iraqi government. This group held the violent OE was because of a rejection of

U.S. occupation, an unsustainable drain on U.S. resources, and the "transition" needed to accelerate to foster Iraqi ownership and reconciliation.[22] This accelerated transition-group wanted to focus solely on ISF training, counterterrorism (CT) operations, and the development of a new Iraqi government.[23] In contrast, H. R. McMaster, minority CoC members, and GEN(R) Jack Keane espoused a revised military approach that focused on protecting the population and interrupting the cycle of sectarian violence.[24] This group favored sending additional brigades to operate amongst the people and be exemplars for the ISF providing the government of Iraq the space and time necessary to address Iraq's complex issues.[25] The President of the United States (POTUS) correctly demonstrated U.S. commitment by increasing military, economic, and political resources needed to enact a new approach called the Surge. These opposing recommendations prove the value of iterative and consequential assessment.

Support

Analysis

OIF assessment enabled leaders to reframe their understanding of the OE and the problem, consider new guidance, and develop strategic options. The accelerated transition-option questionably assumed Iraqi government cooperation on reconciliation and the ISF's ability to independently reduce

Supplemental analysis and transition

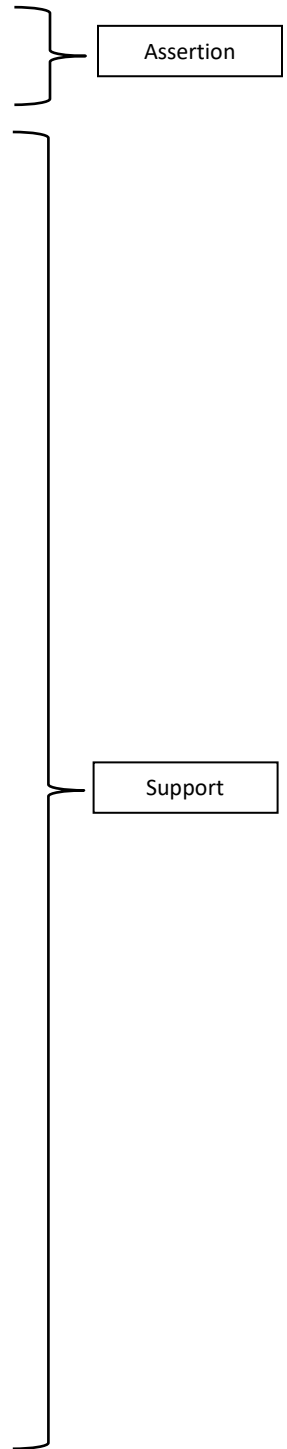22 Mansoor, *Surge*, 45; Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 8.
23 Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 11.
24 Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 17-18.
25 Mansoor, *Surge*, 61.

violence, but POTUS's decision made these concerns immaterial by launching the Surge approach.

The Surge's assessment, reframing, and OA adaptation were necessary to address the OE, the problem, and the desired conditions. The fundamental source of the conflict in Iraq was competition among ethnic and sectarian communities for power and resources. The unusually comprehensive Joint Strategic Assessment Team enabled GEN David Petraeus and Ambassador Ryan Crocker to iteratively assess the problem and the OE, during and after Surge-planning.[26] Ultimately, the Surge represented a comprehensive civil-military campaign that introduced a surge of forces (approximately 30,000 soldiers) and a surge of ideas. The main idea was to secure the Iraqi population first because without security, political and military gains would be temporary. The Surge pushed U.S. forces out into the neighborhoods to secure the population, develop the ISF, collect intelligence, and foster local political, social, and economic development through a "clear, hold, and build" concept.[27] Supported by aggressive strategic communications, the Surge also optimized Special Operations efforts, promoted reconciliation through the Sunni Awakening and Sons of Iraq, reestablished law enforcement and judicial entities, and introduced detainee classification and rehabilitation efforts.[28] U.S. forces synchronized efforts with civilian programs to help improve political cooperation,

Assertion

Support

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[26] Rayburn and Sobchak, *The Army in Iraq – Vol. 2,* 126.
[27] Mansoor, *Surge*, xi.
[28] Mansoor, *Surge*, xvii-xv.

infrastructure, basic services, local markets, schools, clinics, and employment.[29] The Surge was the right OIF strategy in 2006-2007 because it reflected an understanding of the OE, the true problem, and the comprehensive approach needed to apply ways and means to meet U.S. objectives. Fortunately, these OIF lessons now find support in an adaptive doctrine.

The post-OIF evolution of the Army Planning and Execution System (APEX) and Joint Publication (JP) 5-0 emphasize the iterative, adaptive planning that underpins OD. Since its 2008 implementation, the APEX methodology incorporated lessons from OIF. APEX was an acknowledgement that OE's evolve, and thus, require faster and more collaborative plans with increased senior leader involvement to produce more strategic options.[30] Likewise, the 2017 version of JP 5-0 now stresses iterative, adaptive, and inclusive planning compared to the 2006 version. The 2017 version changes course from the 2006 emphasis on strict procedural planning, nodes, and systematic-effects, to a demonstrated appreciation of OD, planning functions, the tenets of operational assessment, red-teaming, and APEX.[31] JP 5-0 now espouses the purpose and cyclical nature of assessment and the importance of linking effects, objectives, and end states

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[29] Mansoor, *Surge*, xvii-xix.

[30] Mark A. Bucknam, "Planning is Everything," *Joint Forces Quarterly* 62 (3rd Quarter, 2011): 54-56; United States Army War College, *DE Course 2320, Lesson 1 – Topic 1: Adaptive Planning & Execution (APEX) System*, Course Director's Notes 1-2.

[31] U.S. Joint Chiefs of Staff, *Joint Planning*, Joint Publication 5-0 (Washington, DC: U.S. Joint Chiefs of Staff, December 26, 2006), iii-I-27; U.S. Joint Chiefs of Staff, *Joint Planning*, xi-xxviii.

to tasks through indicators.[32] In fact, the OD chapter of JP 5-0 now includes stability mechanisms, revamped elements of OD, and a deliberate explanation of OD's four components.[33] These post-OIF doctrinal changes indicate a shift from complicated planning in the prescriptive vein of Jomini to adaptive planning in the descriptive vein of Clausewitz. OD and planning doctrine now depict the collaboration, understanding, iteration, assessment, and adaptation needed to affect change and accomplish objectives within complex OEs.
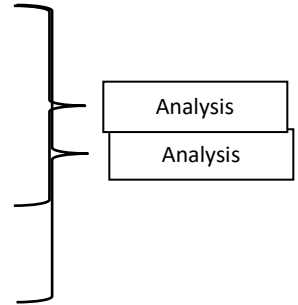
Though operational planning to force regime change in Iraq began correctly, civilian leadership pressured military planners to adjust resource estimates to support a flawed narrative of military transformation capabilities. Applying OD as an analytical framework illustrates OIF's initially presumptive and insufficient planning and exposes how the Surge reframing exemplified effective adaptation. Fortunately, OIF planning failures prompted joint planning policy changes and methodologies such as APEX. OIF planning failures contributed to the realization that operational design allows senior leaders a framework to understand the OE, discern strategic direction, and to define the correct problem before creating an operational approach. Recognizing the operational environment does not remain static, senior leaders must affect strategy and operations through comprehensive application of OD's components and elements during the formation and execution of campaign plans.

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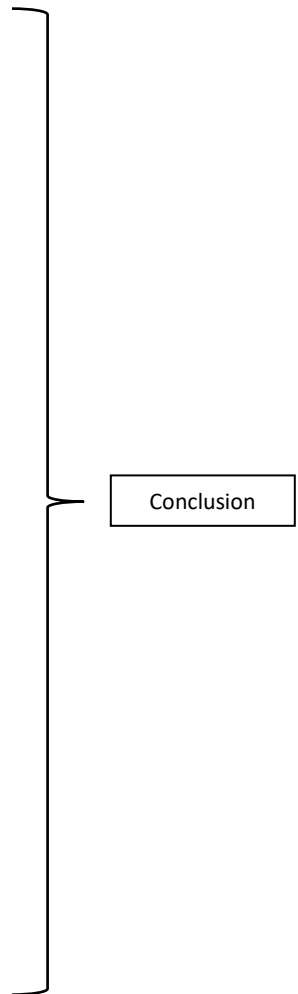
[32] U.S. Joint Chiefs of Staff, *Joint Planning*, xi-xxviii.
[33] U.S. Joint Chiefs of Staff, *Joint Planning*, IV-1-IV-42.