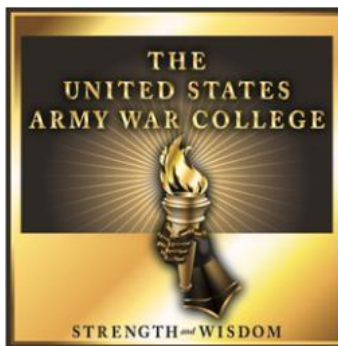


United States Army War College



Communicative Arts Directive

Distance Education Program Class of 2019

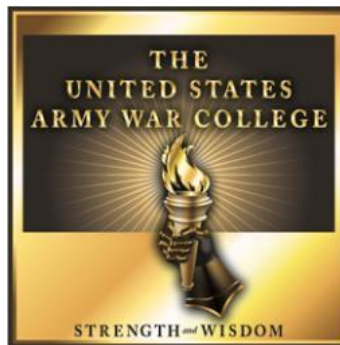
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Middle States Accreditation

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COMMUNICATIVE ARTS

*The strategic leader who can't communicate is akin to
a weapon without ammunition . . . mostly useless.*



A handwritten signature in black ink, appearing to read 'Douglas C. Lovelace, Jr.'.

Douglas C. Lovelace, Jr.
Director
Strategic Studies Institute

A handwritten signature in black ink, appearing to read 'Richard A. Lacquement, Jr.'.

Richard A. Lacquement, Jr.
Dean
School of Strategic Landpower

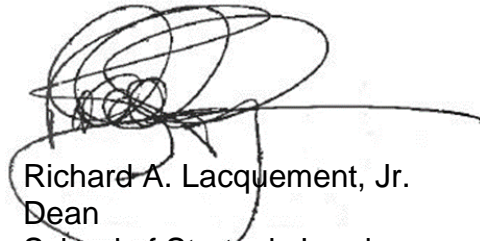
ATWC-SSI

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Communicative Arts Directive

1. The AY19 Distance Education Program Communicative Arts Directive (CAD) is complete. For possible additions/changes see currently posted electronic version.
2. The Director of Student Publications will post the DEP distribute according to the DISTRIBUTION listing below.
3. The DDE CAD is an enclosure to this memorandum.

1 Encl



Richard A. Lacquement, Jr.
Dean
School of Strategic Landpower

DISTRIBUTION:

COMDT	1	CSL	1
DCOMDT	1	Registrar	2
CofS	1	Library	2
PROVOST	3	AHEC	1
DEAN	4	CEC	1
DNSS	1	SSI	3
DMSPO	1	SSR	5
DCLM	1	PKSOI	1
DDE	450	CIO	2
RCA	2	PAO	2

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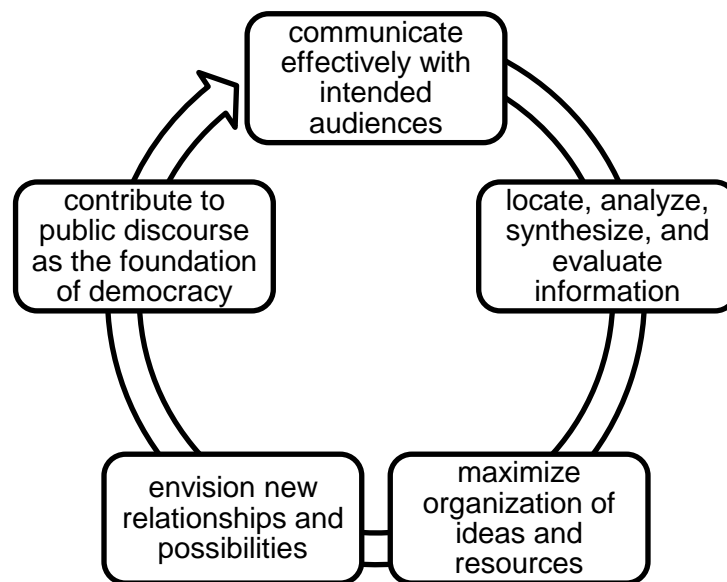
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Communicative Arts and Strategic Leadership

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 those messages are 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. The Communicative Arts Program—administered through the USAWC Press—facilitates student ability to:



Broadly speaking, communication skills entail (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.

This directive 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 for success in an uncertain world. The DEP privileges independent learning through an interactive, Internet-based intellectual environment. The REP is an intensive, face-to-face academic venue delivered in a seminar format. The USAWC Fellowship Program facilitates development of subject matter expertise through study at prestigious civilian and DoD institutions. These programs, and the faculty who bring them to life, recognize the fundamental role of communicative arts to mission success.

Essential Communicative Competencies

Critical Reading

Strategic leaders are always pressed for time. Finding time to read and to carefully process information visually requires skill, practice, and sustained commitment. Reading well—with efficiency, exceptional comprehension, and a critical eye—is an essential and expected competency for those who make decisions and offer informed recommendations to others. All USAWC courses involve extensive reading and most require it daily. Students have many opportunities to identify coherent bodies of knowledge, to initiate systematic reading programs, and to independently explore materials and resources intended to help maximize subject matter expertise as well as reading effectiveness and efficiency.

Active Listening

Listening—the process of selecting, attending to, and constructing meaning from oral and nonverbal messages—is a fundamental information acquisition process. By some counts, people devote over 40 percent of their communication time to listening activities and attending to messages initiated by others. Strategic leaders can improve their professional effectiveness and enhance personal credibility by learning how to avoid non-productive listening habits while maximizing listening capabilities. The USAWC offers several structured opportunities for students to enhance listening competency through on-line and face-to-face lectures and presentations. Listening is an important daily activity that entails far more than simple auditory processing of oral messages. The effective strategic leader is poised to attend and focus at the right time.

Public Speaking

Public speaking is a fundamental leadership competency for senior executives and national leaders. The ability to craft and deliver effective oral presentations must be developed by those being groomed for leadership roles at the strategic level. Strategic leaders must also possess fundamental media competence and well-honed skills that facilitate using media to deliver messages to diverse and multiple audiences. Effective public speaking facilitates the exchange of ideas, the building of community and consensus, and helps to identify best courses of action. The ability to lead is rooted in the ability to speak clearly, thoughtfully, and persuasively.

Professional Writing

Facility with the written word is probably the most fundamental and enduring competency of any strategic leader. The ability to write well, with purpose, clarity, and precision, reflects the quality of a writer's mind. The most able individuals write articulately and persuasively. The hardest working and most gifted capitalize on the flexibility of language such that the available means of persuasion are both discovered and put to good use. At the strategic level, Communicative Arts is invested disproportionately in the written word. That is not an accident. Strategic leaders must be able to advance well-reasoned arguments that are sustained by evidence and that warrant particular courses of action. All students have multiple opportunities to communicate via writing. Opportunities to engage in extended writing projects include the Personal Experience Monograph (PEM), the Program Research Project (PRP) and Directed Studies (DS), all offered as elective courses.

Negotiating Written Requirements

The DEP is academically rigorous, requiring students to write with economy, clarity, precision, and in accord with faculty and program expectations. Carefully read and review this section. The following guidance is essential to student success. If writing is difficult for you, or you have not written a research paper in some time, review the Effective Writing Seminar information below and in DE2300 *Orientation to Strategic Leader Education*.

Effective Writing Seminar

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.

Students in the voluntary DE2300 Orientation Course submit a 500-word essay for faculty evaluation. Students who receive an evaluation of “needs improvement” or “fails to meet standards” are highly encouraged to enroll in the EWS. Faculty evaluate the 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.

Course Requirements

- Prior to each course, read the entire directive, including the introduction to each lesson. Contact the Faculty Instructor (FI) or Course Director for clarification or assistance, if needed.
- Focus on the objectives and requirements to identify assignment expectations. All written assignments are to demonstrate your own scholarly analysis. Avoid personal embellishments, superficial judgments, and non-essential description.
- [Outline](#) your paper before drafting it. This helps ensure you answer each part of the assignment question, develop strong thesis statements, and meet length requirements.
- Respond directly and specifically to each task. Do not deviate from the assignment question. Do not expend word count providing background or describing a situation unless specifically requested. Each response should have an introduction and a conclusion (unless otherwise specified). Keep the introduction to 10-12% of the word count. Keep the conclusion to 7 – 10% of the word count.
- Keep sentences to less than 25 words.
- Avoid long quotes. [Paraphrasing](#) is highly preferred.
 - As the paper author, your analysis should be paramount. Although judicious use of quotations can help support your analysis, quotations themselves—no matter how compelling—can never substitute for original thinking and genuine analysis.
 - Generally speaking, endnote numbers for source citations appear at the end of the sentence or paragraph in which the material is quoted or paraphrased. Only place them in the middle of a sentence if it is absolutely necessary for clarity.

- Use the [A-S-A Paragraph model](#) (see below). Write clear [thesis statements](#). Use support from course material. Include your analysis in your own words.
- [Cite](#) your sources. Use 'Ibid' for sequentially [repeated citations](#).
- Do not plagiarize—it will not be tolerated. See "[Academic Misconduct](#)" and "[Plagiarism](#)."
- If formatting specifics are not in the course directive, follow the [format](#) indicated herein.
- If no specific organizational guidance is given, use the style indicated under "[Outline](#)."

A-S-A Paragraph Construction

Students should use an Assertion-Support-Analysis (A-S-A) model for main body paragraph construction of the written requirements and, as possible, the formulation of written responses to online asynchronous forums.

Assertion: Serves as your topic sentence and clearly reflects your own thinking—typically one sentence and usually the first sentence (e.g., "Eisenhower was largely ineffective as a strategic leader in 1942-43.").

Support: Use evidence from the literature to support your assertion—typically two or three sentences. These specific examples should relate directly to your initial assertion and should demonstrate how that assertion is accurate or worth considering. Use proper citation format (parenthetical in the forums; Turabian style with endnotes for written essays).

Analysis: Reaffirm the initial assertion by expanding upon the evidence. Two to three sentences are usually sufficient for short essays and in forums. Use the analysis to directly tie your evidence to your thesis. Your analysis might examine ways the evidence is alarming, insightful, perceptive, etc. Demonstrate the validity of the evidence and how the sources support the argument. Draw a clear conclusion.

Reference Citations

Carefully cite—i.e., provide complete reference information for—all [source materials](#) consulted/used in your work. The U.S. Army War College uses Turabian style endnotes exclusively. Follow guidelines provided in "[Endnote Citation Format](#)." Read that section to become familiar with the process and requirements. Once understood, use either the USAWC Library's online "[Endnote Examples](#)" or this directive's linked [Table of Contents](#) to rapidly negotiate to the type of reference needed (ctrl + right-click to follow TOC links).

Avoiding Disaster

The DEP is electronically based, opening the door for great opportunities and spectacular defeat. Fortunately, protecting yourself from disaster is reasonably simple and straightforward:

- Complete all assignments honestly, ethically, on-time, and in the required form.
- Routinely back-up all files. Save your work often and in multiple locations. Cloud users should retain a local copy.
- Plan ahead. DEP assignments nearly always take more focused time and attention than expected. Do not fall behind. Allocate plenty of time to read, analyze, write, and revise prior to requirement submission. You will develop your writing/thinking skills throughout

the program. Remember, the faculty want you to succeed by bringing your words, thoughts, ideas, and analyses to each assignment, exam, and forum. You are the primary source for your work: own it; respect it; work for it.

- Never incorporate another author'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. The all-too-common practice of copying, pasting, and "borrowing" from authors in the digital (or printed) domain is intellectual theft or plagiarism. [Plagiarism](#) can take many forms. Avoid it simply and easily by using your own words/ideas and documenting all material referenced, quoted, or paraphrased in your written requirements.
- Ask for clarification when needed. This directive answers many questions about [source documentation](#), use of [quotations, quotation marks, paraphrase, endnote citations](#), and the like. If, however, you have unanswered questions or are unsure how to proceed, better to seek guidance than to produce sloppy scholarship or blunder into [plagiarism](#).

Formatting Course Papers

Custom MS Word templates for USAWC papers (course papers and elective writing projects) are available electronically from the DEP. These strongly recommended 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, endnote 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. If not using one of the provided templates, guidance is as follows:

Unless otherwise specified by the Project Adviser, assignment, or Course Directive, all student papers should be written in English, using MS Word, and must conform to the following:

- Font: Arial, 12 pt.
- Justification: Left
- Identification: Upper right corner of each page

Using the "Header/Footer" option, place your rank and full name on the upper right corner of each page (e.g., COL John R. Student).

- Margins: 1 inch on all sides.
- Page Numbers: Lower Right, requirement number – page number

Use the “Header/Footer” option to number each page sequentially, by course requirement (e.g., 1-1 and 1-2 for pages 1 and 2 of requirement 1; 2-1 and 2-2 for pages 1 and 2 of requirement 2). The first number is the requirement number; the second is the page number.

- Paragraphs: Set tab stops to 0.5 inch for first line paragraph indentation.
- 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. Endnotes are excluded from the word count.

- References: Endnotes, properly formatted (see "[Endnote Citation Format](#)").
- Spacing—Line: 2.0 (Double spaced)
- Spacing—Terminal: One space after punctuation at the end of a sentence.

Determining Word Count

Do not include endnotes or words on the template title page in the overall word count. To count the number of words in a document, highlight the text you wish to count by placing 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 (i.e., depress and hold the Ctrl key, then the Shift key, then the End key such that they are all held down together). This will select/highlight the text from start to finish. Then check the Word Count on the lower left side of the screen. The word count box will show a smaller number/larger number. The smaller number is the total number of words in the selected text.

Submitting Course Papers

- Retain a copy of all work for use during the course. Save everything in at least two places (e.g., hard drive and CD) to protect against loss due to computer crash.
- 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 to complete. While the number of online asynchronous forums may vary between the courses, all courses each have one written requirement. 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). Review the content and format of the written requirement before submission.
- Document Title: Save documents with the title 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.

Faculty Assessment of Student Work

Oral Presentations

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 used for support. 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.

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 delivered expertly, but if the speaker has nothing worthwhile to say, 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 numerical assessment that *may* include a plus or minus (+/-) to indicate relative strength within most rating categories.

- Outstanding (5). The presentation not only exceeds standards in every salient respect, but stands as an exemplar of human excellence in oral communication. It (a) displays exceptional creativity, solid research, able analysis, and perceptive synthesis, (b) employs an efficient and economical organizational scheme, (c) reflects both depth and balance, (d) is delivered clearly and articulately, and (e) displays confidence derived from grounded knowledge and experience, on the one hand, and openness to the possibility of change on the other. (-)
- Exceeds Standards (4). The presentation is impressive and clearly above the norm. The speaker is an able communicator who is responsive to the task/opportunity. The presentation is (a) thoughtfully organized, (b) germane to the audience/situation, and (c) alive with well-constructed arguments that are ably-supported with relevant evidence and solid reasoning. The speaker's facility with analytical reasoning and the ability to synthesize and integrate material is strong. The presentational delivery is clear, crisp, reasonably persuasive, and consistently articulate. (+/-)
- Meets Standards (3). The presentation is a competent and fully acceptable response to a speaking opportunity, suggesting that even better oral work will be forthcoming. It (a) is informative, perhaps somewhat persuasive, (b) includes evidence, some of which is grounded in research, (c) has a reasonable organizational structure that brings unity to the presentation, and (d) appropriately addresses clearly identified major points, often with support from credible and acknowledged sources. The stated purpose is accomplished while favorably accommodating the intended audience. Oral delivery does not distract from the speaker's substantive message. (+/-)
- Needs Improvement (2). The presentation is weaker than it should be and possibly deficient in one or more salient respects. The content might be weak, the organization unclear and/or the delivery uninspired. Content deficiencies are the gravest concern, however, because the absence of anything worthwhile to say inherently undercuts the need to organize, or to present as an invested and articulate spokesperson. A presentation characterized by minimal analysis, deficient insight, lack of evidence, inadequate preparation, poor organization or a cavalier presentational style which leaves some listeners confused and disoriented "needs improvement."
- Fails to Meet Standards (1). The presentation is more than weak or deficient—it misses the task substantially. The content or substance of the presentation is unsubstantiated, illogical, or exceedingly shabby; the organizational scheme is unorganized and unfocused; the delivery is uninspired and characterized by inarticulate speaking. Nonperformance also "fails to meet standards."

Written Work

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 (although its ideas may be used as building blocks for another).

Faculty assessment of written work is largely holistic and subjective, but remains focused on the message trilogy: Content, Organization, and Style, where Style is concerned with perfecting the “flexibility and obedience” of language to accomplish a desired end. Content carries the most weight as it includes assessment of idea quality and argument strength. Thus, although each major aspect of the writing is important, the overall assessment cannot be rated higher than the Content assessment. 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 numerical assessment that *may* include a plus or minus (+/-) to indicate relative strength within most rating categories:

- Outstanding (5). The paper not only exceeds standards in every salient respect, but stands as an exemplar of excellence in written communication. It displays exceptional insight and creativity, able analysis, solid research, precise documentation, and does so in a literate context with an efficient and economical organizational scheme. Reflecting both depth and balance, it advances a thoughtful explication of a problem, question, or subject area, and is an inviting, compelling read—one suitable for publication with only minor edits and polishing. (-)
- Exceeds Standards (4). Impressive and clearly above the norm, the paper is insightful and responsive to the task, well researched, ably documented, and thoughtfully organized. The writer has a strong ability to analyze, synthesize, and integrate material. The work exhibits clarity in thought and expression and reflects an accomplished and continuously developing command of language. The paper is thoughtful, substantive, well structured, aptly documented, and well worth reading. (+/-)
- Meets Standards (3). The paper is an acceptable and competent response to a writing opportunity: informative, somewhat persuasive, and includes some evidence grounded in research. Major points are clearly identified and appropriately developed, often with support from properly documented credible sources. The organization is reasonable, demonstrates unity, and has a clear beginning, middle, and end. The writing is relatively free of grammatical, punctuation, and spelling/typing errors. The author displays a mature ability to gather information, address important issues, express ideas/arguments in appropriate language, accomplish a stated task, and accommodate the reader. (+/-)
- Needs Improvement (2). The paper is weaker than it should be and possibly deficient in one or more salient respects. The content is weak or the reasoning and logic noticeably flawed; the organization might be unclear and/or the style (facility with language) deficient. Content shortcomings are the gravest concern because the absence of

substantial material severely undercuts the need for organization and the ability to craft a thoughtful and articulate paper. A manuscript characterized by minimal analysis, deficient insight, lack of evidence, inadequate research, slipshod documentation, poor organization, and sloppy and/or semi-coherent writing “needs improvement.”

- Fails to Meet Standards (1). The paper is more than simply weak or deficient—it misses the mark substantially. The content is superficial or soft-headed at best, the organization is little more than a running litany of thinly connected topics, and the style/language usage is casual, chatty, and pedestrian. Knowledge claims and observations are offered without research support and appropriate source documentation. Failure to submit within the specified timeframe also “fails to meet standards.”

Assessment Guidance

USAWC Memorandum 623-1 *USAWC Student Academic Assessment and Evaluation - Resident and Distance Education Programs* requires assessment of student work to be centered on Content, Organization, and Style (written work) or Delivery (oral presentations) with Content being paramount. Work that receives a Content assessment of Needs Improvement or Fails to Meet Standards cannot receive an overall assessment of Meets Standards—even if both Organization and Style/Delivery were Outstanding. The Overall assessment cannot be higher than the Content assessment. Overall assessment equals Content assessment when both Organization and Style/Delivery are assessed at the minimal level of Needs Improvement.

Students should strive to exceed minimal standards and not settle for work in which any of the three areas of competence need improvement.

Advanced Writing Electives

Program Research Project (PRP)

Serving as a springboard from the core curriculum into independent thinking and research and professional/academic writing, the PRP (Elective DE2344, 2 credit hours) is an optional opportunity to research and explore a topic of strategic importance. Students pursue research projects investigating a specific research question or a defined strategic problem. This venture culminates in fresh insights or re-consideration of an event, campaign, or problem of strategic significance. Students choose a topic, team with a PA (who will most likely be their seminar Faculty Instructor), conduct research to generate a research-based thesis, and write a carefully documented paper (5,000 word minimum) explicating the thesis and exploring its implications. This effort leads to the production of a paper potentially suitable for award competition and publication.

As Subject Matter Experts (SMEs), PAs guide students toward becoming fully independent strategic thinkers who generate fresh approaches to significant national security issues. They:

- Provide subject matter advice, facilitating identification of additional SMEs as needed.
- Guide student efforts to gather material, evaluate source credibility, effectively use research data, and analyze the relationship of source information to research question.
- Provide writing guidance/evaluation and facilitate student efforts to use graduate level professional/academic writing to effectively communicate ideas and recommendations.

- Help students meet formatting requirements by:
 - Requiring students to use the PRP Course Template.
 - Reviewing drafts for consistency of headings, figures, tables, and endnote citations.
- Review PRP drafts, providing research and writing feedback.
- Nominate exceptional PRPs for USAWC Student Award consideration.
- Encourage high-achieving students to submit PRPs for publication consideration.

The PRP must be an original document, representing the student’s best work at the USAWC. Both the research and paper must be designed, conducted, and produced by the student (in consultation with the PA) while enrolled in the degree program. Students should pursue projects that facilitate their intellectual and professional development. For some, that means pursuing work in a completely new area of interest. For others, students build upon areas of expertise to extend their knowledge and produce new insights into problems/issues previously encountered. In both instances, the goal is to produce a *new* document that contributes to knowledge and demonstrates skills developed/enhanced through the USAWC. Thus, while students may consult their prior work, they may not simply revamp, revise, or reposition work done *elsewhere*. Like all other sources, references to a student’s prior circulated work must be properly cited.

The PRP may not be written in first person.

Successful PRPs impact the larger community of strategic leaders by making a contribution to what is known about a topic and how it is understood. PRPs that are nominated and selected for a USAWC writing or research award must be converted to the PRP Distribution Template prior to the student receiving the award. Award winning PRPs are forwarded to the USAWC Library and Defense Technical Information Center (DTIC) and made available to assorted agencies and audiences worldwide. After completion, students may submit PRPs for publication consideration. Increasingly, these are being accepted for publication in refereed professional and academic journals focusing on strategic issues, national security, and international affairs.

*Sample student research projects are published quarterly in [The Army War College Review](#). PRPs are also available through the USAWC Library. Some recent award winning PRPs include: *The Generals’ Revolt and Civil-Military Relations*, *Filling Irregular Warfare’s Interagency Gaps*, *The Torture Memos: A Failure of Strategic Leadership*, *Engaging the BRIC Countries: Diplomacy Outside the Capital*.*

PRP Milestones & Format Requirements

Suspense	PRP Milestone
TBA (Nov 2018)	Topic Approval by Project Adviser (PA)
TBA (Dec 2018)	Thesis Statement Approval by PA
TBA (Feb 2019)	Outline to PA
TBA (Apr 2019)	First Draft with Abstract to PA
TBA (May 2019)	Final PRP Delivered to PA

Dates are for planning purposes only. Your second year faculty will notify you of the exact dates.

Because award-winning PRPs are potentially available for worldwide distribution, they must be formatted precisely to ensure uniformity across all student work originating from the USAWC. Students who enroll in an extended writing elective (PRP) are provided with format guidance and a specific MS Word template that dictates the structure necessary for format consistency.

Student Awards Program for Excellence in the Communicative Arts

The Student Awards Program, administered through the USAWC Press, encourages and recognizes excellence in research and writing by students in the Resident, Distance, and USAWC Fellows Programs. Because research and writing are fundamental to the intellectual process and the professional development of strategic leaders, those who distinguish themselves as researchers, writers and, indeed, strategic thinkers are slated for awards and distinctions by the faculty and others who support advanced study of strategic issues. Award nominees are primarily drawn from extended writing projects (e.g., PRPs). Student awards are detailed in both the Communicative Arts Directive and USAWC Memorandum 672-6 *USAWC Student Awards Program*.

To be considered for a writing or research award, students should work closely with the Project Adviser (PA). Submit at least one well-polished draft three weeks prior to the final suspense. Faculty require time to review the document and recommend edits and improvements.

A number of specific writing and research awards are given at graduation each year. Some are accompanied by a monetary honorarium, associated with engraved mementos, and/or linked to publication in a professional journal. Several awards are restricted to papers that address particular subjects or are authored by individuals with specific professional backgrounds and interests. Although the goal is to always bestow each award, not all are awarded every year due to insufficient numbers of exceptionally well qualified papers germane to a particular award category. Award winners are considered for publication in [The Army War College Review](#).

Award Nomination Guidelines

Project Advisers nominate exceptional student papers through a procedure established by the DEP. Only the very best are advanced for review at the institutional level.

The PA may nominate papers eligible for Distribution A for award consideration in either of two USAWC categories: (1) Research, or (2) Writing. Papers may not be double-nominated; however, a paper nominated but not selected for a research award may migrate to the writing competition if: (a) such a recommendation is made by the Academic Chair Holder Reviewing Panel, and (b) the paper falls within the length mandated for writing award nominees.

- To be considered for an award, a paper must have earned an assessment of “Outstanding” or “Exceeds Standards” in three areas—Content, Organization, and Style.
- The paper must conform to length and standards requirements for award consideration in a category.
- Both the student and the PA must certify separately that to the best of their knowledge the paper accurately depicts USG and/or DoD policy and contains no classified information or aggregation of information that poses an operations security risk.

USAWC Writing Awards

Papers nominated for writing award consideration are exceptionally well-written and:

- Clarify understanding and articulately review, integrate, and perhaps evaluate the present state of knowledge.

- Clearly demonstrate superior communication of ideas through the written word.
- Are well-grounded, interesting, articulate contributions to discourse on a topic or issue.
- Must be a minimum of 5,000 words and a maximum of 6,000 words.
 - Exception: Papers between 6,000 and 6,300 words *may* be considered if the PA requests an exception by offering a compelling argument justifying the inclusion of additional words and explaining the necessity and benefit of the additional length.

The following writing awards are sponsored annually:

AWC Foundation Award for Outstanding Program Research Paper

- Sponsor: Army War College Foundation
- Focus: National security and defense issues
- Details: Up to eight awards for outstanding PRPs

AWC Foundation Daniel M. Lewin Cyber-Terrorism Technology Writing Award

- Sponsor: Army War College Foundation
- Focus: Cyber-Terrorism and National Security
- Details: One award for excellent writing on cyber-terrorism and national security

Military Officer Association of America Writing Award

- Sponsor: Military Officer Association of America
- Focus: Strategic issues and national security
- Details: Two awards for outstanding PRPs

USAWC Research Awards

Papers nominated for research award consideration are exceptionally well-written and:

- Offer new insights at the strategic level.
- Make a clear contribution to knowledge.
- Go well above and beyond well-written “literature reviews.”
- Usually advance new relationships or evaluate old relationships in a fresh light.
- Are a minimum of 5,000 words.
- Typically do not exceed 6,000 words, but may be longer if appropriate to the topic addressed and method used. Must be written with exceptional clarity and economy.

The following research awards are sponsored annually:

The Commandant’s Award for Distinction in Research

- Sponsor: The Commandant, United States Army War College
- Focus: Contemporary strategic challenges facing the military
- Details: Up to four awards for Excellence in Research

General Matthew B. Ridgway Research or Writing Award

- Sponsor: General Matthew B. Ridgway, Mary A. Ridgway, and Matthew B. Ridgway Endowment, U.S. Army Military History Institute, U.S. Army Heritage and Education Center
- Focus: Issues pertaining to the U.S. Army
- Details: Excellence in research or writing

Foreign Area Officer Association Research Award

- Sponsor: Foreign Area Officer Association
- Focus: International Affairs
- Details: One award for outstanding research in strategic thought in the international arena

Thomas J. Plewes Reserve Component Research or Writing Award

- Sponsor: The Reserve Officers Association
- Focus: National Military Strategy
- Details: One award for excellent writing by an Army Reserve officer

454th Bombardment Group Research or Writing Award

- Sponsor: Army Heritage Center Foundation
- Focus: WWII history and national security/strategic issues
- Details: An award for excellent writing or research that acknowledges aviation and/or historical events from WWII
- Note: One award given each year to a student in *either* the REP or the DEP

Guide to Writing and Research for Strategic Leaders

Research and strategic leadership are inexorably intertwined. Through research, strategic leaders find information and perspectives essential to effective decision-making in an environment that is increasingly volatile, uncertain, complex, and ambiguous. Leader decisions are often a product of what the leader knows (or believes) and his or her ability to acquire information and resources. Writing and research impact knowledge and how that knowledge is presented to decision makers and leaders who need it.

Research

“Research” is a curious word because it moves us in two directions simultaneously. In a literal sense, “research” requires us to go back and secure grounding before moving forward. What do extant records reveal that can inform or help us? 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 us 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 will always access the materials and writings which serve to inform strategic leaders and help to guide their thinking and decisions.

The USAWC pursues an inquiry-driven model of graduate education that seeks to prepare selected individuals for strategic leadership responsibilities. The intellectual experiences engendered here represent the “culmination of the formal education of most officers.” The DEP and REP faculties seek to initiate those who study here to the centrality of research as the underlying fabric of inquiry-driven graduate education. The faculty values research and virtually all are engaged in the process of inquiry.

The Strategic Studies Institute (SSI) consists of a modest number of full-time researchers dedicated to advancing strategic knowledge. They facilitate inquiry by their own creative work and are a rich resource, willing to assist students in developing research competencies. SSI has special vehicles through which to publish student research. SSI researchers are available to serve as PAs for student PRPs.

The refereed journal *The U.S. Army War College Quarterly: Parameters*, published four times a year by the USAWC, provides an intellectual forum for “the expression of mature thought on the art and science of land warfare . . . issues of national security, and military strategy, leadership, history, and ethics.” The journal enriches the professional academic environment for students and faculty by (a) enjoying a world-wide following in military, government, political, and academic arenas, (b) standing as a source of important intellectual thought, and (c) being located on Carlisle Barracks.

Research and writing are forms of intellectual weightlifting and, while initially somewhat uncomfortable, the effort is usually worthwhile. Through research and writing, vision, insight, and mental acuity expand, and human struggles at the strategic level are better understood, if not fully resolved. We trust you will enjoy your experiences and will depart from the USAWC intellectually richer and more accomplished professionally. We also hope you will leave a knowledge contribution as a result of your studies. A knowledge contribution is a kind of intellectual accomplishment that advances or clarifies what we know, and may help to strengthen the nation and possibly contribute to national security if not world peace. The

Program Research Project is one avenue for students seeking to generate a worthwhile knowledge contribution. In preparing course papers and other academic materials, all students are encouraged to adopt a posture of inquiry—find out what is known and then move forward.

Research Terminology

Abstract

An abstract is a short description of a document. Abstracts provide basic detail about the paper or article, including the thesis, main points, overall conclusion, and possibly recommendations. Abstracts are used by researchers to help determine the utility of the work for a particular project. PRP abstracts should be approximately 150 words, and must not exceed 200.

Argument

All good papers advance a defensible position or “argument” that must be supported by well documented and articulated evidence, or “good arguments” (see Martha Cooper, *Analyzing Public Discourse*, Long Grove, IL: Waveland, 1989). The term “argument” in an academic context, therefore, is much different than the term “argument” in a relationship context (i.e., “fight”). Thinking of academic writing in terms of well-reasoned arguments facilitates discourse in the marketplace of ideas by elevating expectations for dialogue. Authors are thus required to (a) clearly articulate the arguments advanced, (b) identify the intellectual roots of their work, (c) ground declarative statements in appropriate evidence, and (d) organize arguments in a fashion conducive to deductive reasoning and enhanced reader understanding.

Bibliography

A bibliography is a properly formatted and comprehensive listing of sources designed to facilitate quick identification of sources used in a document. Bibliographies are presented in alphabetical order, do not include specific reference to the page(s) from which a particular insight is gained, and are normally preceded by endnotes, footnotes, or parenthetical citations in the body of the manuscript text. A guide to bibliographic citations is provided on the [USAWC Library Homepage](#), and in the Turabian Manual. *PRPs do not include bibliographies*. Types of bibliographies include:

- *Bibliography (immediately) following endnotes*: Students may be directed to provide a list of all sources cited in a paper and referenced in the endnotes.
- *Bibliography of relevant materials*: This type of bibliography helps the student begin the research process by generating a list of books, articles, policy statements and other materials to consult. This helps students and faculty to determine materials availability, merit (based upon the credibility of the author and publication outlet), as well as the types of information the project is likely to uncover.
- *Annotated bibliography*: A bibliography including a brief description of each source.

Endnotes

Endnotes are the required source documentation format in USAWC student projects. Endnotes are important both in terms of proper documentation and critical assessment of written materials. Students should habitually read the two types of endnotes (or footnotes) encountered:

- *Content Notes*: Content notes enable authors to include information that is related to but slightly outside the scope of a paper’s argument. Legal researchers/writers commonly include many important content notes. As a reader, always read all content notes—they may contain important insights or useful information. As a writer, be aware that many readers (including many faculty members) do not read lengthy content notes—so use them with caution. Check faculty expectations regarding use of content notes.
- *Source Documentation Notes*: These are the most important to professional/academic work (see “[Source Documentation](#),” “[Plagiarism](#),” and “[Endnote Citation Format](#)”).

Epigraph

An epigraph is an introductory quote that frames the context for the paper that follows. Epigraphs should be used sparingly in professional and academic writing and should be exceedingly short—no more than one or two lines of text. An epigraph should **only** be included when it has substantial relevancy to the argument of the paper in a way that would not be possible in the body of the text. For the PRP, students may elect, in consultation with the PA, to include one brief epigraph at the front of the paper. *Epigraphs may not appear elsewhere in the PRP document.* In general, epigraphs are not necessary and, if not carefully used, may detract from the impact of a writer’s own words.

Evidence

A well-written paper advances an argument firmly grounded in evidence: facts, examples, data, and literature that can be used in support of a claim or argument. All main points and their supporting evidence should be directed toward the development of the paper’s overall thesis. Evidence must be connected to 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 his or her thesis. That does not suggest bending the facts to fit the case. Instead, one should advocate a reasonable interpretation of the evidence and clearly articulate reasons why that evidence is appropriately interpreted as suggested.

Each main point in a paper must be supported by evidence. The strength of a paper is directly dependent upon the strength of the evidence used to support the arguments. Always use the most credible sources available to develop each main point. Generally speaking, the most credible publications are ones that are verifiable, well documented, grounded in current and historical research, and refereed by prestigious individuals and institutions (e.g., University Press books, scholarly journal articles). Many internet sources (e.g., Wikipedia) do not meet these rigorous criteria and, while they may be useful in the initial phases of research, are not appropriate evidence for graduate-level scholarly and professional writing.

In evaluating the strength and appropriateness of a source, scholars also 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 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 utilizes a combination of primary and secondary sources as evidence. Both need to be evaluated carefully for issues of accuracy and credibility.

Understanding the difference between a primary and secondary source helps scholars to more effectively evaluate source 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 have a responsibility to carefully investigate and evaluate both primary and secondary sources. In the evaluation of secondary sources it is particularly important to return to the primary sources upon which the secondary information is based. Mistakes are easily made and can result in the perpetuation of false information if all sources are not evaluated carefully.

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 of the thesis being addressed.

Info Paper

An information ("info") paper takes a variety of forms. Check with the assigning faculty member as to specific format required (see "[Information Paper Guidance](#).") Generally speaking, an info paper is a very 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.

Organization

Effective organization maximizes argument development, message impact, and reader understanding. Professional and academic papers are commonly organized as follows:

- *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 thesis partition. It lets the reader know what to expect as the author identifies and develops points to advance the thesis. The introduction may be short, particularly for course assignments (consult the Course Directive). At minimum, however, the introduction should concisely communicate your position(s) and preview the essence of your argument(s).
- *Paper Body:* Following the introduction, the main part of the paper flows from the thesis and presents evidence in support of the thesis. The body is generally organized around three or more main points, with effective transitions between each:

- Main point 1
 - Statement of main point 1
 - Delineation of main point 1 as evidence for the thesis
 - Evidence for main point 1
- Main point 2
 - Statement of main point 2
 - Delineation of main point 2 as evidence for the thesis
 - Evidence for main point 2
- Main point 3
 - Statement of main point 3
 - Delineation of main point 3 as evidence for the thesis
 - Evidence for main point 3
- *Discussion*: Discussion flows from development of the body, covers arguments and literature presented, addresses potential counter arguments not covered previously, and may incorporate considerations of method—all in relation to the paper’s main thesis.
- *Conclusion*: The final section drives home importance for current/future thought, suggests areas for further investigation, calls the reader to action when appropriate, and strictly avoids simple restatement of the paper’s thesis or main points.

Outline

Students may find it helpful to create an outline for their papers prior to writing them. Faculty members may require students to submit an outline prior to submission of a paper. Unless specified by the FI or PA, outlines have no specific format requirements, but they do have some common elements. Paper outlines should flow from the thesis statement and provide a preliminary sketch of the organization of the paper, including the main points and types of evidence that will be used to support the thesis. A typical outline organizes information in the order it will be presented in the paper. For some course papers and assignments, students may find it helpful to write a “question outline” to help guide and focus their writing. Question outlines are particularly useful for assignments that have strict requirements regarding content and length—such as those most frequently required for DEP courses.

To address an assignment using a question outline:

- For each paragraph, choose a question to answer from the required elements.
 - Outline these as they will appear in the paper to form the question outline.
 - Address all aspects of the assignment.
- Answer each question in one declarative sentence. This sentence will become the topic sentence for each of your paragraphs.
- Write a transition sentence for each topic sentence, linking it to the next topic sentence. This will help you write a logical and coherent paper.
- Write strong declarative sentences presenting evidence in support of each topic sentence. These go between the topic and transition sentences.
- Write a short introduction informing the reader of the writer’s intent and, if needed, a short conclusion.

Paraphrase and Quotation

Authors who paraphrase use their own words to express another writer's ideas. The art of paraphrase 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 also prevents authors from overuse of direct quotations, a practice which detracts from the author's argument and tends to be 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. When paraphrasing, carefully provide complete source documentation information. Some examples:

- Quotation: "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
- Brief Paraphrase: During the Cold War era government officials and the American public at large demonstrated a sustained and rather impressive commitment, and did so despite numerous obstacles and fears.²
- Paraphrase with Quotation: During the Cold War era government officials and the American public at large demonstrated a sustained and rather impressive commitment, and did so despite numerous obstacles and fears. Thus answering Winston Churchill's famous question "Will America stay the course?" The answer is, we did."³

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

² Ibid.

³ Ibid.

Point of View

Professional/academic writing most commonly utilizes the third person point of view. Papers written in third person use the pronouns *he*, *she*, or *it* (third person singular) and *they* (third person plural), and avoid use of *I* (first person singular), *we* (first person plural) and *you* (second person). Many students who write in the first person (a) fail to advance intellectual arguments grounded in reason and research, (b) overestimate the importance of personal experience/opinion to a writing task, and/or (c) mistakenly equate unsupported opinion with reasoned argument. For this reason, first year DEP students are required to use the third person exclusively. Once use of third person is mastered, it may be effectively 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" (papers are inanimate and

cannot propose anything). After the first year, check with an FI or PA for guidance regarding the point of view expected for a given assignment.

Policy Paper

A policy paper reflects an 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 writer must be mindful of the ends-ways-means model, offering courses of action that address the policy maker’s objectives. The following points are commonly considered as the research proceeds, although the final paper may not include every element: (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 identifying a suggested course of action. Policy papers typically have a specific format found in the organization’s Standard Operating Procedure (SOP). Some formats require source documentation; some do not. Once the preferred format has been identified, do not deviate.

Thesis

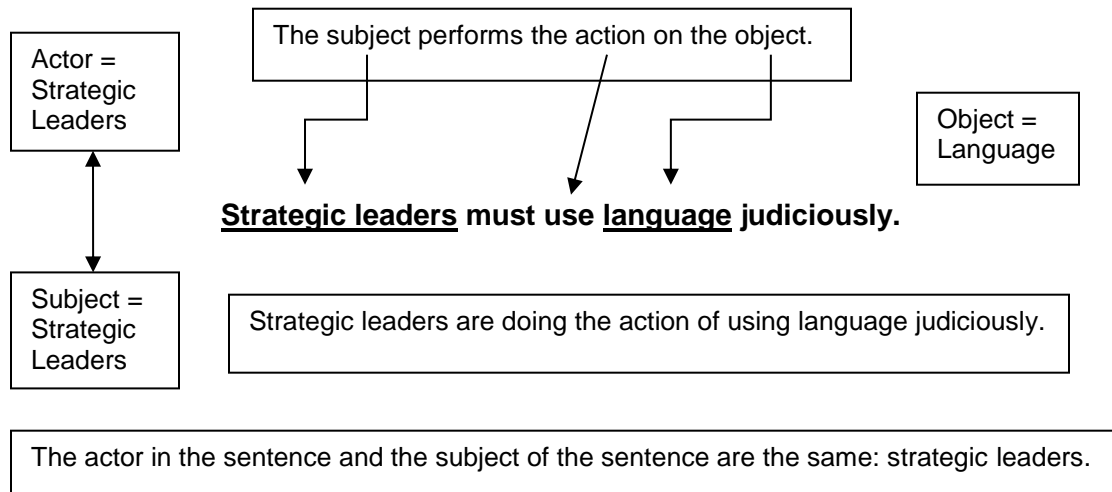
The thesis is the primary argument or overarching position advanced. The thesis must be carefully articulated near the beginning of the paper. All other information and arguments presented in a paper stem from the thesis. Compelling papers invariably have a strong thesis that advances a particular position on a given topic. The best theses are (a) interesting—they capture attention by addressing an important subject or 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. In a book-length project, the term “thesis statement” may not be adequate as a book’s thesis usually takes more space to articulate. *The statement of the thesis must come at the beginning of the paper as it is written, but it is not 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. The information discovered and the conclusions drawn during the research process inform the development of the thesis—*the thesis does not direct the research process.* Research flows from the thesis only after enough research has been done such that compelling conclusions can be drawn and an effective thesis developed. At the point of thesis development, further research is undertaken to confirm the appropriateness and validity of the thesis and to gather further supporting evidence.

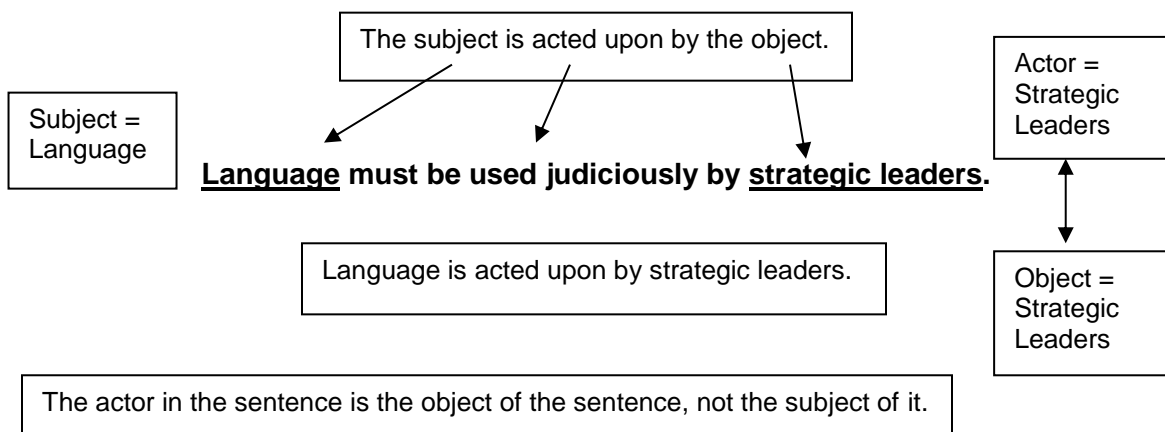
A thesis partition—or essay map—frequently follows the thesis statement, providing readers with a clear indication (map) of the main points in the paper (and the order in which they are presented). In other words, the thesis partition provides the reader with a map of the route the essay will travel.

Voice (Active and Passive)

Writing by strategic leaders frequently requires a level of economy, precision, and directness greater than many other forms of writing. For that reason, USAWC faculty frequently 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.”



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.



In the above example, the active voice form of the sentence is far superior to the passive voice form. Active voice is frequently stronger, clearer, and more economical. Students should use active voice whenever it will help them to write clear and concise sentences (which is most—but

certainly not all—of the time). Writers use active and passive voice to focus attention on particular elements of a sentence. This impacts the interpretation of the larger ideas, arguments, and bodies of evidence presented in a manuscript. Being able to recognize and consciously shift between active and passive voice is fundamental to the process of bringing obedience to language and opening doors to more effective communication. The decision to use either active or passive voice in a particular sentence should always be based upon the purpose and desired impact of the sentence. Some more examples:

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

Using passive voice to purposefully obfuscate serious events can be insidious. Just as the sentence, “The sheriff was killed” hides the perpetrator of the crime, as 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 good writing.

Absolute avoidance of the passive voice is unnecessary, unproductive, and counter intuitive. No edict exists requiring the use of active voice at all costs. When used appropriately, passive voice can add to sentence strength, increase understanding, and direct reader attention to important elements that might be overlooked were active voice to be employed rigidly.

Like active voice, when used appropriately, passive voice directs 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.

Rules for Writing and Research

Academic Misconduct

Academic misconduct is any activity that compromises the academic integrity of the institution and/or subverts the educational process. Academic misconduct takes three forms: (1) Cheating, (2) Plagiarism, and (3) Fabrication.

- *Plagiarism*: taking another's words or ideas and passing them off as one's own.
- *Cheating*: intentionally using unauthorized information or inappropriate assistance during the academic process.
- *Misrepresentation*: submitting for USAWC credit a single work for more than one course or work previously prepared outside the USAWC.
- *Fabrication*: intentional falsification/invention of bogus information or references.

Sooner or later, academic dishonesty will be discovered. Examples include:

- 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).
- Karl-Theodor zu Guttenburg resigned from his position as German Defense Minister after it became known that he had plagiarized portions of his doctoral dissertation. His degree from The University of Bayreuth was rescinded. He committed plagiarism in 2007. Five years later, at the apparent height of his career, his past caught up to him. 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.)
- At the USAWC, students have had their degrees rescinded and their names ground off the bronze plaques honoring graduates under provisions of USAWC Memorandum No. 350-7 *Disenrollment from the U.S. Army War College*.

Copyright

USAWC Student Papers

"Copyright protection . . . is not available for any work of the United States Government . . ." ([17 USC § 105](#)). Works produced by U.S. students in the Resident, Distance, and USAWC Fellowship Programs are funded by the Federal Government of the United States and are therefore not protected by copyright. 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 U.S. Federal Government, then copyright of those works normally falls to the authors. Those wishing 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 U.S. government documents contain copyrighted materials included with permission. Copyright of those materials is retained by the original author, therefore, not all government documents are free from copyright restrictions.

Use of Outside Materials in Student Projects

Students should avoid the reproduction of copyrighted materials. U.S. Government publications, including Strategy Research Projects (SRPs), Program Research Projects (PRPs), and Civilian Research Projects (CRPs), are not protected by copyright, but nearly *all* other published and unpublished materials created after 1922 are. Generally, 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.

Whenever possible, make reference through paraphrase and complete source documentation to copyrighted materials rather than seeking to reproduce them. Exercise care when quoting source material. Extended quotes must be used sparingly and in the interest of scholarship, education, and contribution to the marketplace of ideas. If including copyrighted material is essential to a research project, copyright permissions must be obtained in accord with copyright law. "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.).

Library personnel will request permission for the use of copyrighted material. *Do not attempt to resolve copyright issues by yourself.* Securing copyright permission is not guaranteed and approval by the copyright owner may take as long as 12 weeks. Moreover, copyright owners do not have to grant permission to use copyrighted material, frequently charge a considerable fee, and may require a precise credit line to be included in your document.

Use of copyrighted material is not necessary for completion of the PRP. The USAWC does not pay copyright fees. If a PA requests inclusion of copyright material, he or she must arrange through the appropriate USAWC teaching department for payment..

Distribution of Documents

A paper's distribution statement determines the manner in which it is stored/referenced and the audience to which it is made available. All award-winning student work is retained and must carry Distribution Statement A. Student work (course papers, etc.) not carrying a distribution statement is not released nor retained.

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 U.S. 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. Distribution B carries a Destruction Notice which applies to both classified and unclassified documents. DEP papers may not carry a Distribution B statement nor incorporate/cite Distribution B materials.

Freedom of Information Act

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

PRP Availability and Access

The USAWC makes selected PRPs available through the USAWC Library catalog, Knowledge Management Network (KMN), and, possibly, a publically accessible database of student work.

Human Subjects Research

The USAWC follows the guidance set forth in the Department of Defense Instruction 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DOD-Supported Research*. The USAWC Human Research Protection Program (HRPP) is an institutional program that governs the conduct of human subject research by the U.S. Army War College. The Deputy Commandant serves as the USAWC Institutional Official (IO) and the Director of Research serves as the Human Protections Administrator (HPA). The Director of Institutional Assessment serves as the Exempt Determination Officer.

- Students with an intent to interview or survey human beings for their research project (e.g., PRP), must discuss that intent with the PA. The PA must then contact the Director of Institutional Assessment. The Director will work with the student to complete the necessary forms prior to the interview or survey.
- Faculty intending to interview or survey human subjects for research must contact an Exempt Determination Officer (Director of Institutional Assessment or Deputy Director of SSI) prior to the research effort.
- Categories of review are: *Exempt, Expedited, and Full Board Review*. Expedited and Full Board Review categories must be forwarded by an Exempt Determination Officer to the U.S. Army Medical Research and Material Command Institutional Review Board (HQ USAMRMC IRB).

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 their investigation, the HPA conveys its 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.

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.

Plagiarism

Plagiarism is the antithesis of integrity and responsible research. The term “plagiarism” is derived from the Latin *plagiarius*, a word suggesting kidnapping. Thus to plagiarize a work is to kidnap another’s creation—ideas, words, thoughts, etc. Once kidnapped, the plagiarist then passes off the creation—or elements thereof—as his/her own. Plagiarism is fraudulent misrepresentation—intellectual deception perpetrated on readers and those invested in the community of ideas. Plagiarism is a serious form of cheating that carries serious consequences.

“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).

Some examples:

- 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).
- Copying a segment of another’s work word for word, then conveniently “forgetting” to include quotation marks, but “remembering” to cite the source.
- Using another author’s work in its entirety and presenting it as your own work (e.g., digging up an obscure article or PRP, copying it, and submitting it under your own name or purchasing a paper from another for the same purpose).
- 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).
- Taking bits and pieces of works from a variety of sources, combining them either through 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, and claiming both your own ideas/words and the words/ideas of others as your own).

Sometimes people plagiarize to save time or to make themselves look good (temporarily). For some plagiarists, dishonesty comes easily and fear of detection is modest or non-existent. Plagiarism is a serious offense that can ruin a person's reputation and career. In February 2008, for example, the White House was confronted with the news that Tim Goeglein, an assistant to the President, had plagiarized by presenting another person's work as his own in a guest column he "wrote" for the *Fort Wayne News-Sentinel*. Subsequently, the press learned that Goeglein had made a habit of lifting words from other writers, leaving out proper source attribution and documentation, and claiming the words as his own. He resigned from the President's staff in disgrace (See M. Abramowitz & W. Branigin, "Bush Aide Resigns over Plagiarism," *Washington Post*, Saturday, March 1 2008; A03). Plagiarism of this type is especially insidious because it is a willful attempt to deceive. In this case, Goeglein's actions damaged his reputation and violated a public trust.

The so-called "accidental" plagiarist, however, is typically a sloppy, careless writer at worst or a hapless dabbler relatively unskilled in the finer points of misrepresentation at best. Avoiding plagiarism is not difficult. 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 that have been circulated beyond classroom or personal settings. If, for example, you wrote or contributed to a government project or conducted a professional presentation, you should reference your work as you would any other work, including giving proper credit to co-authors. The sixth edition of the *Publication Manual of the American Psychological Association* (2010, 170) defines "self-plagiarism" as: "the practice of presenting one's own previously published work as though it were new."

In contrast to plagiarism, proper source citation promotes visibility and credibility, documents research skills, helps to establish analysis veracity and argument merit. Documented research is grounded research. Grounded research is the bedrock of good scholarship. Good scholarship has the potential to impact understanding of the strategic environment. Perspicuous understanding of the strategic environment enhances national security. Enhanced national security preserves freedom and democracy. The bottom line: Do not plagiarize. America needs strategic leaders to help guide her, not to undercut American values with plagiarism and deceit.

When in doubt about source documentation, ask for assistance from your PA or the Director, Communicative Arts/SSI. Improper source documentation or inadequate use of sources undermines scholarship. Plagiarism in any form can lead to professional embarrassment, personal failure, and, potentially, dismissal from the program. As a guide, one should always document when quoting materials from another and should always quote when lifting five consecutive words from a source. If you are not lifting, but are just rephrasing the ideas/material and paraphrasing in your own words, then provide an endnote. Generally speaking, one need not document knowledge that is considered common. For example, to write that U.S. involvement in WW II began in late 1941 and continued until well into 1945 would not need to be documented even if you happen to read a source noting the dates. That kind of information is considered common knowledge and there is no need to document it. If, however, for some reason you are directly quoting, word for word "that U.S. involvement in WW II began in late 1941 and continued well into 1945" then you would need to include an endnote to the quoted source. Generally, it is better to paraphrase in your own words and document the source with an endnote than to quote. Avoid lengthy quotes at every opportunity. (See [Academic Misconduct](#).) When plagiarism is suspected, the PA bears first line responsibility for examining the paper, counseling the author, and reporting the issue to higher authority, usually the Course Author/Director and the Department Chair.

Security Classification

Distance Education Program students are *required* to write unclassified papers. Writing unclassified papers contributes to public dialogue, allows research to be disseminated, and increases the possibility of publication.

Source Documentation

All good research is grounded research, rooted in the historical and/or theoretical context that surrounds and permeates the issue being investigated. 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. Referencing these sources in written or oral presentations is essential to the research process and to the development of a credible and persuasive argument. For course papers, writing projects, and speeches, students are expected to cite sources accurately and in the correct format.

Responsible documentation also entails a commitment to ground research in information gained from sources of the highest quality and integrity possible. Evaluate sources carefully prior to their use. Learn about the author, the quality of the publication outlet, the review process prior to publication, and the quality 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).

Proper source documentation entails avoiding both blatant and accidental plagiarism by:

- Referencing all information that did not come from inside the author’s own mind.
- Providing reference information for all materials used in the development of a paper, and doing so in the precise form and location required. Those reading a work must be able to verify the evidence offered while tracking the ideas presented.
- Referencing previously circulated self-authored works, and all translations of other’s works with proper citations.

Course papers, formal research documents, PRPs must adhere to the specific style of documentation detailed herein. Students need to become thoroughly familiar with this material, and to follow these guidelines consistently. Each student is responsible for properly documenting all sources used in each and every paper he/she writes. Students must know and understand documentation procedures and formats. Through practice and repetition, USAWC graduates are exceptionally well-prepared for the professional writing tasks that they will encounter as strategic leaders.

Strategic leaders who are not well versed in source documentation risk exposure to charges of sloppy research, poor information, bad judgment, and even plagiarism. Learn the material. Do not ask reference librarians, FIs, PAs or others to format source documentation. Careful review

of this Directive should answer all routine source documentation and reference format questions. If questions or special issues arise that fall outside the scope of information presented here, see (a) the Turabian Manual, (b) FI, PA, course author or other appropriate member of the faculty, (c) Reference Librarians, or (d) the Director, Communicative Arts/SSI.

Student Publication

Articles to be released to the general public must be cleared prior to submission. The purpose of the clearance process is not to inhibit public expression but to ensure accuracy while protecting classified or sensitive defense information from unauthorized, perhaps inadvertent, release. The PA and/or the FI has primary responsibility for clearing print and electronic information for public release (Distribution A).

When *significant* revision or augmentation involving the PA has been undertaken to prepare the manuscript for publication, the student is encouraged to invite the PA to become the second author on the revised document.

Endnote Citation Format

Use the following citation format to document all sources utilized in the creation of a manuscript. Each example is consistent with the endnote citation format specified in the Turabian manual. Turabian offers alternative formats, but *the USAWC uses only the endnote format*.

Each type of source has a prescribed form which occurs in a precise sequence. Each comma, capital letter, space, colon, bracket, date, and page number has an explicit function and a prescribed position when documenting source material. Proper source documentation is impossible if the necessary specifics are not at hand.

The age of information and media convergence complicates the reference citation process, but only slightly. No matter how an information unit (article, book, video, interview, etc.) is created, delivered, or accessed, the purpose of citation remains the same: providing readers with the information necessary to locate the cited source. Thus a book is still a book regardless of whether or not it is traditionally printed or available via electronic reader. The main differences are (a) the process of accessing the information—pulling it off a shelf or opening a digital file, and (b) the means through which the information is made available to current and future readers. Those differences are reflected in the reference citation. To access information from a printed document, for example, researchers benefit from page numbers, publisher location information, and specific publication dates. Accessing information from an electronic source requires different information for success: electronic search parameters—therefore page numbers are not required and may not be available. Likewise, publication dates and location information may be less important for documents delivered electronically as they are not bound by the physical printing process. With electronic delivery, characters on a screen are easily changed, so one may not be able to locate the exact reference in the form cited (earlier copies of a webpage, for example, may no longer be available). Thus, access dates are essential for electronic document citations as they provide researchers with information about the reference authenticity, and with a means of tracking the information as desired. When providing URL and other electronic identifiers for location information, copy the code information precisely. One punctuation mark, space, or character out of place can mean the difference between locating the desired source and locating a meaningless one (or worse, one that is totally unintended).

Determining Citation Type

Citing references properly is an art requiring precision and, sometimes, a bit of creativity. In all cases, the goal should be clarity for retrieving and accessing the information and sources referenced. The variety of source types a student may encounter and utilize in a research project is vast. No attempt is made to provide details for every type of reference that may be encountered. Such a list is neither necessary nor desired. For the most part, student scholars should be able to follow the basic forms outlined here to create apt references for nearly every kind of source imaginable.

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. If needed, see the Turabian Manual for additional documentation information for a wide variety of sources.

Use the endnote citation style described herein for all projects unless otherwise directed. Ensure that all sources are properly documented and references are complete. Collect all documentation details and specifics as encountered. Attention to detail improves efficiency, reduces errors, and strengthens scholarship.

Determining Endnote Type

Single Source Endnotes

Most endnotes will contain information for a single source with no accompanying text. Several illustrative single source endnotes appear below:

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

² Kenneth R. Young, "Into the Wilderness," in *The General's General: The Life and Times of Arthur MacArthur* (Boulder: Westview Press, 1994), 119.

³ Michael Hinds, "The Texas Congressman Behind the Amendment," *New York Times*, June 12, 1992.

Multiple Source Endnotes

When using several sources to make a single point, place one superscript at the end of text. Then group sources into one endnote, listing each completely in the standard format and separated by semicolons. A multiple source note appears below:

⁴ Michael M. Lombardo, *FYI: For Your Improvement*, 5th ed. (Minneapolis: Lominger International, 2009), 135; John Allen Williams, "The Military and Society beyond the Postmodern Era," *Orbis* 52, no. 2 (Spring 2008): 203.

Content Endnotes

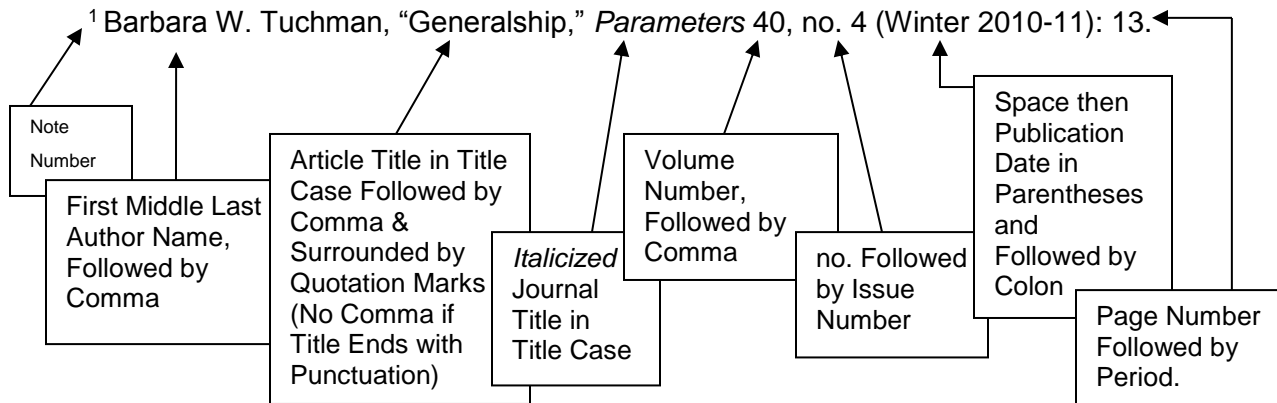
Content notes are used to provide commentary or information useful to the reader but disruptive to paper flow. Source material may be worked into a sentence, or may follow as a separate item. Sources cited initially in a content note may serve as reference material for future notes. Sample content notes follow:

⁵ For background on the Muslim Brotherhood, see John L. Esposito, *The Islamic Threat: Myth or Reality?* (New York: Oxford University Press, 1992), 120-33.

⁶ China is currently the only UN Security Council permanent member without an aircraft carrier. Michael Hall, *The Blue Water Dragon: China's Emerging Aircraft Carrier Force and U.S. Responses* (Newport, RI: Naval War College, April 23, 2008), 5.

Articles in Journals

Basic Journal Format



Journal Author Information

List author name(s) exactly as they appear in the journal. If no author is given, omit author name and list the title immediately following the note number. As in: ¹Author Not Provided, 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.

Journal Information

List publication information and dates as they appear in the journal. Academic, professional, and scholarly journals provide publication information in a variety of forms. Not all publishers will include all of the above information in their journals. If elements of the publication information are not included in the journal 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, for example, no volume number is provided, omit and continue, as in: *American-Arab Affairs*, no. 36 (1991): 104. Use title case for all titles.

Means of Access

Journals and journal articles are available in a variety of forms, both print and electronic. Adapt citations to include information about the means by which the author accessed each article. For articles accessed electronically, the basic citation structure remains constant with additional information added to alert the reader to the means of access. Page numbers are frequently irrelevant for electronically accessed citations, so omit when appropriate. Some examples:

- E-reader: place a comma after the date (or page number if provided), followed by the type of reader used and concluded with a period. As in: (Winter 2010), Kindle e-article.
- On-line journal: include the word "online" as the last word of the title, then provide volume, issue, and page numbers as per usual, followed by a comma, the complete URL, and the date of access in parentheses, and concluded with a period. As in:

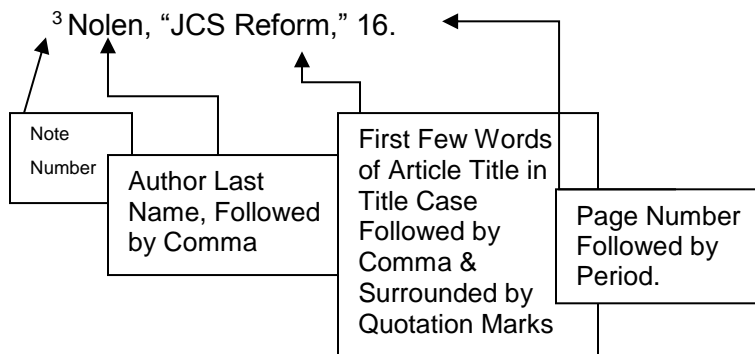
- *Media, War, and Conflict Online* 1 (April 2008): 70, <http://intlmcw.sagepub.com/content/1/1/70.full.pdf+html> (accessed June 24, 2011).
- Or: *ADA Magazine Online*, May 2001, <http://147.71.210.21/adamaq/May%202001/jommmi.htm> (accessed May 10, 2001).

Repeated Reference to Article—Consecutive

² Ibid.

Use this form when the second reference to a source immediately follows an initial reference. Use of *Ibid.* saves space, allowing quick identification of the pattern of sources cited. More than one *Ibid.* citation can occur in a row, but must directly follow the original source or another *Ibid.* linked to that source. Include page information if using the *Ibid.* form to consecutively reference material located on a different page. The form is *ibid.* followed by a comma, then the page number, as in: ³*Ibid.*, 49.

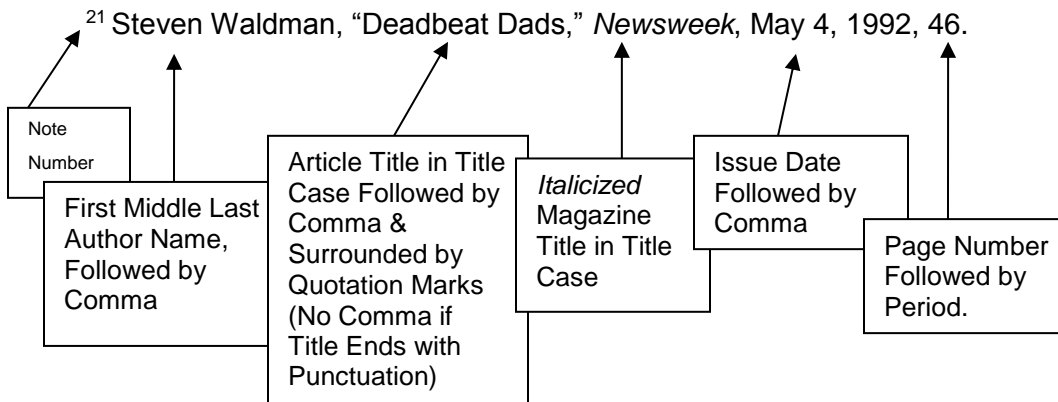
Repeated Reference to Article—Non-Consecutive



Use this form when the second reference to a source is made after other sources have been referenced. *Ibid.* may then be used as the next reference if necessary.

Articles in Magazines

Basic Magazine Format



Magazine Author Information

List author name(s) exactly as they appear in the magazine. Format and details for multiple/missing authors are the same as those for Journal Articles (see above).

Magazine Information

Magazines of general interest, (e.g., *Newsweek*), even though they may carry volume numbers, are best identified by date alone. The date takes the place of the volume number and is not enclosed in parentheses. Include relevant page numbers, separated by a comma if necessary (i.e., if pages referenced are not contiguous). Use title case for all titles.

Means of Access

Magazines and magazine articles are available in a variety of forms, both print and electronic. Citations adaptation details are the same as those for Journal Articles (see above).

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.

Repeated Reference to Article—Consecutive

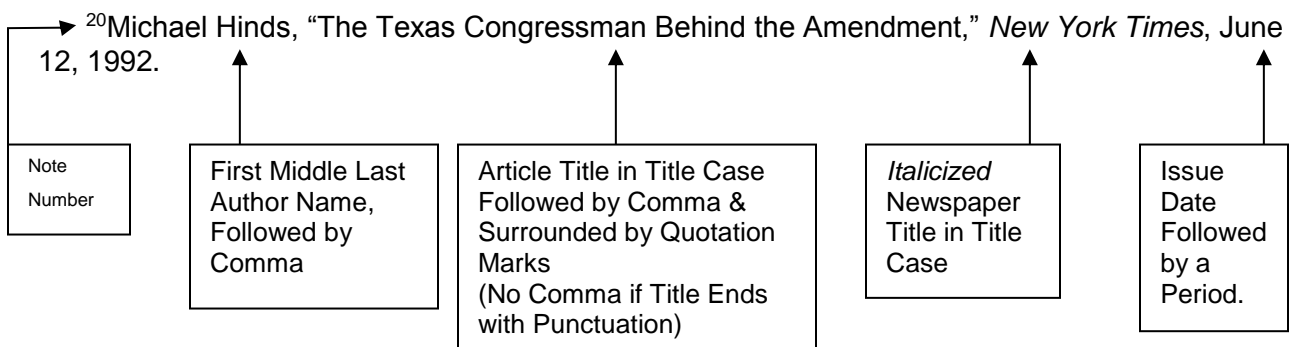
Use *Ibid.* to save space. An explanation is provided under Journal Articles (see above).

Repeated Reference to Article—Non-Consecutive

Use a shortened version of the citation information to save space. Details are the same as those for Journal Articles (see above).

Articles in Newspapers

Basic Newspaper Format



Newspaper Author Information

List author name(s) exactly as they appear in the newspaper. Format and details for multiple/missing authors are the same as those for Journal Articles (see above).

Newspaper Information

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*). Omit page numbers. Use title case for all titles.

Means of Access

Newspapers and newspaper articles are available in a variety of forms, both print and electronic. Citations adaptation details are the same as those for Journal Articles (see above).

Repeated Reference to Article—Consecutive

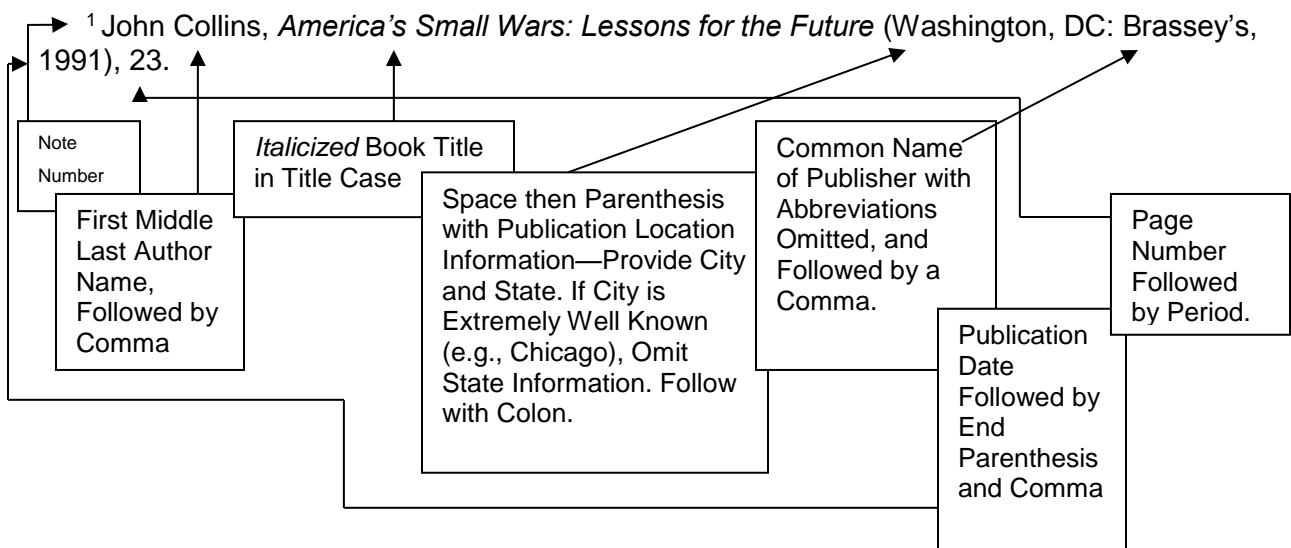
Use *Ibid.* to save space. An explanation is provided under Journal Articles (see above).

Repeated Reference to Article—Non-Consecutive

Use a shortened version of the citation information to save space. Omit page numbers, otherwise details are the same as those for Journal Articles (see above).

Books

Basic Book Format



Book Author Information

List author names exactly as they appear in the book. If no author is given, omit author name and list the title immediately following the note number. As in: ¹“Author Not Provided,” all other elements of the citation remain the same. For two authors, list each in name order (First Middle Last) connected 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 an institutional author is provided, list the name of the institution (e.g., American Library Association) in the author slot followed by a comma.

Book Information

List publication information and dates as they appear in the book. If elements of the publication information are not included, they are not required for citation. Simply omit missing information and follow the citation format, including appropriate (but not extra) punctuation. For books, two abbreviations are used to indicate missing publication information: n.p. and n.d. No place given is indicated in the appropriate location by n.p. No date given is indicated in the appropriate location by n.d. This information is not necessary for electronically accessed books. Use title case for all titles.

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.

Use “ed.,” “eds.,” “comp.,” “comps.” as appropriate.

Means of Access

Books and book chapters are available in a variety of forms, both print and electronic. Citations must be adapted to include information about the means through which the author of a paper accessed each reference. For books accessed electronically, the basic structure of the citation remains the same with additional information added to alert the reader to the means of access. Page numbers are frequently irrelevant for electronically accessed citations, so omit when appropriate. Some examples:

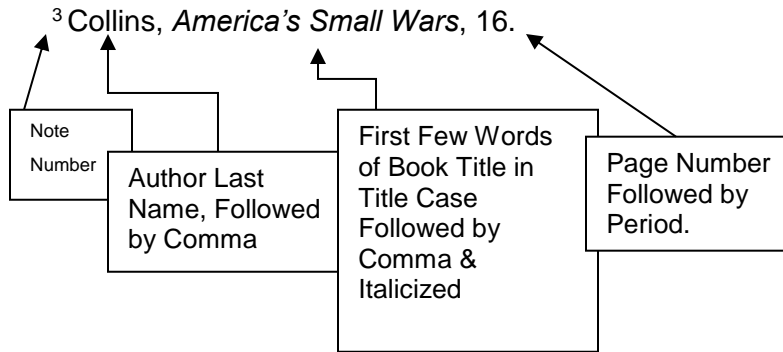
- E-reader: place a comma after the date (or page number if provided), followed by the type of reader used and concluded with a period. As in: (Washington, DC: Brassey’s, 1991), Kindle e-book.

- On-line book: place a comma after the date (or page number if provided), followed by the complete URL, and the date of access in parentheses, and concluded with a period. As in: (Washington, DC: U.S. Joint Chiefs of Staff, 1996), 6, <http://www.dtic.mil/jv2010/jv2010.pdf> (accessed June 12, 2003).

Repeated Reference to Book—Consecutive

Use Ibid. to save space. An explanation is provided under Journal Articles (see above).

Repeated Reference to Book—Non-Consecutive



Use this form when the second reference to a source is made after other sources have been referenced. (Ibid. may then be used as the next reference if necessary.)

Translated Book

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

Book Sections

Book Chapter by Book Author

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

Book Chapter in Edited Work

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.

Quotation in Book—Secondary Source

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.

Digital (or Analog) Media

When citing a media artifact (CD, DVD, video file, etc.), follow the same general format as for book citations. Include information necessary for readers to quickly locate the material. If not all information is available (as with USAWC course materials), be creative and provide what is.

Hardcopy

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

When possible, give producer or director's name first; otherwise list the title in the "author" position (capitalized headline style, and italicized). Indicate type of media after the title.

Internet

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=AJAi84RUIEs> (accessed June 21, 2011).

Institutional Author.

¹⁵ U.S. Army War College, "Army War College History," December 7, 2010, *U.S. Army War College YouTube Channel*, video file. <http://www.youtube.com/profile?user=USArmyWarCollege#p/a/u/2/cfIH8i1YomM> (accessed April 12, 2011).

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=nSmwaLrFggc> (accessed June 23, 2011).

USAWC Course Materials.

¹⁷ Leon E. Panetta, "Defending the Nation from Cyber Attacks," Address to Business Executives for National Security, New York City, October 11, 2012, video (accessed via USAWC Blackboard DE2309 course materials, October 16, 2016).

¹⁸ William E. Rapp, "A Senior Leader's Perspective on Mission Command," video (accessed via USAWC Blackboard DE2309 course materials, November 1, 2015).

Internet-Only Sources

Blog Entry

¹⁹ Thomas E. Ricks, "FDR as a Strategic Analyst of the Balkans," *The Best Defense: Tom Ricks's Daily Take on National Security*, blog entry posted February 5, 2013, http://ricks.foreignpolicy.com/posts/2013/02/05/fdr_as_a_strategic_analyst_of_the_Balkans (accessed March 5, 2013).

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, and date accessed. Cite author name as given (even if incomplete or a pseudonym). Use title case for all titles.

Home Page

²⁰ *The United States Army Home Page*, <http://www.army.mil> (accessed June 19, 2005).

Home Page—Linked File

²¹ Joe Smith, “Soldier Awarded Purple Heart,” May 23, 2005, linked from *The United States Army Home Page* at “Soldier Stories,” <http://www4.army.mil/ocpa/soldierstories> (accessed June 14, 2005).

Internet Document

²² Michael Schrage, “Information-Age Have-Nots? Let Them Read Books,” January 9, 1994, <http://www.cadsim2.gmu.edu/mon/Academia/ShraqueLetThemReadBooks.html> (accessed July 23, 1996).

Internet documents are often revised, altered, or moved, so include both the publication date, if available, and the date the user accessed the site. If publication date is not provided, omit.

Military Publications

Army Regulation

²³ U.S. Department of the Army, *Effective Writing for Army Leaders*, Army Regulation 25-50 (Washington, DC: U.S. Department of the Army, November 21, 1988), 3.

Use the same style for Field Manuals, Pamphlets, and other military publications.

Congressional Hearing

²⁴ U.S. Congress, Senate, Committee on Foreign Relations, Special Subcommittee on War Powers, *The War Power after 200 Years: Congress and the President at a Constitutional Impasse: Hearings before the Special Subcommittee on War Powers of the Committee on Foreign Relations*, 100th Cong., 2nd sess., July 13, 1988, 11.

Congressional Testimony

²⁵ Edward M. Kennedy, “National Intelligence Estimate—Iraq,” *Congressional Record* (September 29, 2006): S10523.

Fragmentary Order (FRAGO)

²⁶ Eric B. Schoomaker, U.S. Army Surgeon General, “Fragmentary Order 6 to Operation Order 09-75 (Novel a(H1N1) Influenza Vaccine Immunization Program),” Fort Sam Houston, TX, U.S. Army Medical Command, March 17, 2010.

Joint Publications

²⁷ U.S. Joint Chiefs of Staff, *Joint Mobilization Planning*, Joint Publication 4-05 (Washington, DC: U.S. Joint Chiefs of Staff, March 22, 2010), 2.

Public Documents

Congressional Research Service (CRS) Report

²⁸ Ronald O'Rourke, *China Naval Modernization: Implications for U.S. Naval Capabilities—Background and Issues for Congress* (Washington, DC: U.S. Library of Congress, Congressional Research Service, July 17, 2009), 20.

Federal Budget

²⁹ U.S. Office of Management and Budget, *Budget of the United States Government, Fiscal Year 1998* (Washington, DC: U.S. Government Printing Office, 1997), 4.

Government Accountability Office (GAO) Report

³⁰ U.S. Government Accountability Office, *Special Operations Forces: Report to Congressional Committees* (Washington, DC: U.S. Government Accountability Office, September 2007), 3.

National Security Strategy

³¹ William J. Clinton, *A National Security Strategy for a New Century* (Washington, DC: The White House, October 1998), 46.

Posture Statement

³² 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: U.S. Department of the Army, 1992), 3.

Public Law

³³ *Atomic Energy Act of 1946*, Public Law 585, 79th Cong., 2nd sess. (August 1, 1946), 19.

Quadrennial Defense Review (QDR)

³⁴ Robert M. Gates, *Quadrennial Defense Review* (Washington, DC: U.S. Department of Defense, February 2010), 19.

United States Army War College Student Writing Projects

³⁵ Bertram B. Armstrong, *The Army Image*, Strategy Research Project (Carlisle Barracks, PA: U.S. Army War College, April 10, 2000), 15.

Many CRPs, SRPs, and PRPs are available through the Carlisle Barracks Library and DTIC. Other student papers, such as unpublished course papers, are generally not considered strong sources for inclusion in professional and academic documents.

United States Constitution

³⁶ U.S. Constitution, art. 2, sec. 1.

Unpublished Sources

Briefings

³⁷ Dylan V. Shope, "Peace Forces," briefing slides with scripted commentary, Carlisle Barracks, PA, U.S. Army War College, July 23, 2001.

Electronic Mail and Social Networking Communications

³⁸ 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

³⁹ Dick Cheney, "Review: Calendar Year 1991 Schedule," memorandum for Secretaries of the Military Departments, Washington, DC, January 22, 1992.

Use double quotation marks to set off the memorandum's subject line.

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.

⁴⁰ Kirk Fordice, Mississippi Governor, interview by author, Jackson, MS, July 23, 1996.

Telephone or Electronic Source.

⁴¹ John Abizaid, U.S. Army, Commander, U.S. Central Command, telephone interview by author, March 19, 2005.

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

Unattributed Interview.

⁴² 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

⁴³ Douglas G. Vincent, "U.S. Strategy in the Afghanistan Draw Down," public speech, University of Mount Union, Alliance, OH, March 25, 2013.

United States Army War College Speakers

⁴⁴ Sam Mosely, "Foreign Policy," lecture, U.S. 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.

Example Endnote Section with Explanation

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

1 First Reference to Book

² Ibid.

2 Same Page

Consecutive Reference to Book from note¹

³ Ibid., 49.

3 Different Page

⁴ U.S. Department of the Army, *Effective Writing for Army Leaders*, Army Regulation 25-50 (Washington, DC: U.S. Department of the Army, November 21, 1988), 3.

4 First reference to a document

⁵ David E. Long, *The Anatomy of Terrorism* (New York: Free Press, 1990), 15.

5 First reference to a book by another author

⁶ U.S. Department of the Army, *Effective Writing for Army Leaders*, 33.

6 Second reference to the document in endnote ⁴

⁷ John M. Nolen, "JCS Reform and the Lessons of German History," *Parameters* 14, no. 3 (Autumn 1984): 15.

⁸ Ibid.

8 Consecutive reference to the journal article from endnote ⁷

7 First reference to a journal article

⁹ For background on the Muslim Brotherhood, see John L. Esposito, *The Islamic Threat: Myth or Reality?* (New York: Oxford University Press, 1992), 120-33.

9 Content note—first reference to book

¹⁰ Long, *The Anatomy of Terrorism*, 35.

10 Non-consecutive reference to book from note ⁵

¹¹ Nolen, "JCS Reform," 16.

11 Non-consecutive reference to article from note ⁷

¹² Esposito, *The Islamic Threat*, 121.

12 Non-consecutive reference to the book from note ⁹ which is a content note

Resources for Student Writing Success

Contacts, Links, and Information

Student Publications, USAWC Press		
Root Hall B-14	717-245-4007	717-245-4568 (fax)
Editorial Assistant	Macy B. Hinds	717-245-4007 macy.b.hinds.civ@mail.mil
Professor & Editor	Larry D. Miller, Ph.D., M.S.S.	larry.d.miller.civ@mail.mil

Communicative Arts Directive	http://dde.carlisle.army.mil/ Click on Resources	
Effective Writing Site	http://dde.carlisle.army.mil/ews/lessons.cfm	
Key Strategic Issues List (KSIL)	http://www.strategicstudiesinstitute.army.mil/pubs/display.cfm?publD=1296	
Purdue Online Writing Lab (OWL)	http://owl.english.purdue.edu/	
Reference Citation Style Guide	Turabian, K.L. <i>A Manual for Writers of Research Papers, Theses, and Dissertations</i> , 8th ed. Chicago: University Chicago Press, 2013.	
Professional Reading List	http://www.ndu.edu/Libraries/ProfessionalMilitaryReadingList.aspx	
Template Assistance	Computer Education Center (CEC) Root Hall, Room B-20	717-245-4213
USAWC Library	USAWC Library, Root Hall usarmy.carlisle.awc.mbx.libraryc@mail.mil	717-245-4300

Information Paper Guidance

Information Paper

ATWC-AA
17 June 2017

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).

POC's Name/54402

Information Paper Example

Information Paper

ATWC-AA

6 February 2017

SUBJECT: Communicative Arts Activities, Student Publications, USAWC Press, SSI

1. Student Publications consists of one Title X (Editor), one Editorial Assistant, and one part-time Contract Instructor. Communicative Arts Activities include creation and enhancement of the Communicative Arts Directive, detailing academic standards and expectations for student work, format specifications for writing the Strategy Research Project (SRP) or the Program Research Project (PRP) as per the Resident Education Program (REP) or Distance Education Programs (DEP) respectively, provide writing support to the International Fellows Office, the USAWC Fellowship Program, and the Basic Strategic Arts Program (BSAP).
2. In cooperation with the faculty, assess student facility with academic/professional writing; design and administer an Effective Writing Program.
3. Adjudicate the Student Awards Program for REP and DEP students. Encourage and promote student efforts to advance strategic knowledge through publication, preferably in refereed outlets.
4. Administer several Directed Study and Elective options, including: AA2201 (Reading), AA2203 (Writing), and the multi-sectioned Elective SI2202 (Public Speaking for Strategic Leaders). All two credit courses.
5. Course Author for three Electives: SI2202 (Public Speaking for Strategic Leaders-REP Only), and DE2344 (Program Research Project) in the DEP.
6. Provide writing support and guidance for BSAP. Assist DEP annual orientation programs.
7. Provide writing support and assistance to the International Fellows Office Writing Instructor.
8. Superintend the formatting and administrative processing of all SRPs, selected PRPs, and most Civilian Research Projects (CRPs).

Prepared by:

Larry D. Miller, 5-3358

Brief Course Paper Example

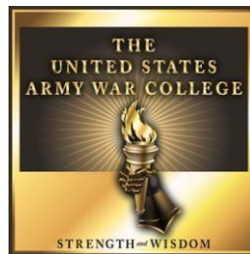
The following course paper serves as a model with regard to content, style, and format. The paper was written in 2013 for DE 2301: Strategic Leadership in response to the assigned question:

Evaluate Eisenhower's ability to lead organizational change and transition in his strategic environment. In your evaluation, analyze how well Eisenhower accomplished the following tasks: (1) developed a strategic vision for his force, (2) shaped the organization's culture to be an innovative, agile, and ethical joint interagency, intergovernmental, multinational command, and (3) communicated his goals and intent inside and outside his organization. Draw your examples from Part VI of Carlo D'Este's *Eisenhower: A Soldier's Life* (New York: Holt, 2002), (500 words +/- 10%).

USAWC DEPARTMENT OF DISTANCE EDUCATION

Author:	Author Name
Course:	DE 2301: Strategic Leadership
Requirement:	3
Word Count:	490

05 February 2013



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The views expressed in this student academic research paper are those of the author and do not reflect the official policy or position of the Department of the Army, Department of Defense, or the United States Government.

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

General Eisenhower was a transactional leader who lacked strategic vision, but nevertheless he shaped an ethical multinational culture and masterfully communicated organizational goals and intent. His lack of experience led others to fill the vacuum of strategic leadership.

Strategic vision requires an objective and a plan to get there (strategy)¹ and transformational leaders “influence people to buy into a new vision and new possibilities.”² By contrast, transactional leaders depend on existing structures to efficiently manage the networking of power.³ Although Eisenhower had a clear objective (defeat of Axis), he depended completely “on the staff bureaucracy” for his decisions.⁴ While the “bureaucratic behemoth” engendered top-level analysis-paralysis, his force commanders, with competing interests, ran the show.⁵ Eisenhower made no important decisions in Operation Husky “until Montgomery did him the favor of initiating a solution.”⁶ Even after Operations Torch and Husky gave him reasons to mistrust his planners, he refused to upset the “committee system,” which led to near disaster at Salerno.⁷ While strategic vision is often developed as a collaborative effort, leaders perform a critical role in integrating and guiding the process.⁸ Eisenhower failed to guide the process of fashioning a strategic vision.

Eisenhower led organizational change through a culture of low power distance (LPD) and de-emphasizing the importance of position power.⁹ He disliked special treatment, mingled with common soldiers, stood up for them when shortchanged, and opened up for them majestic Italian villas previously reserved for top brass.¹⁰ Through personal example, Eisenhower shaped an ethical joint intergovernmental culture. He also extended his LPD preference to command relationships—he considered the

“viewpoints of the nationalities” and preferred solving problems “through reasoning rather than by merely issuing commands.”¹¹ His preferred method was to reach consensus before taking action, a preference that is inherently LPD and transactional in nature.

The de-emphasis of command authority allowed for severe dissension. Inter-allied squabbling reached a peak during the Patton-Corningham incident, which Eisenhower was powerless to control.¹² Tensions, conflicts, and errors, arguably inevitable given the culturally diverse amalgam under his command, were potentially controllable with stronger leadership.¹³ However, the proper mix of top-driven leadership versus bottom-fed input is necessarily an intricate balancing act. Eisenhower erred on the side of bottom-fed input because of command inexperience, but made up for it by being the “best politician among the military men.”¹⁴

Eisenhower was a master communicator of organizational goals. He understood “effects-based” strategic communication and presented an impeccable image of control.¹⁵ To him, maintaining civilian morale was a commander’s duty, and his actions in the Patton slapping episode and BBC reporting confirm his skill in shaping media commentary.

In conclusion, Eisenhower was a transactional consensus builder. His over-emphasis on consensus sometimes produced a lack of top-down strategic vision and led to inter-allied conflict. Nevertheless, he shaped an ethical joint culture through personal example and cultural sensitivity. He compensated for command inexperience by being a masterful politician and communicator of organizational goals.

Endnotes

¹ Glenda Y. Nogami, *What is This Thing Called Strategic Vision?* (Carlisle Barracks, PA: U.S. Army War College, 1994), 137.

² Bruce A. Tucker and Robert F. Russell, "The Influence of a Transformational Leader," *Journal of Leadership & Organizational Studies* 10, no. 4 (Spring 2004): 103.

³ Ibid.

⁴ D'Este, *Eisenhower*, 423.

⁵ Ibid., 381.

⁶ Ibid., 423.

⁷ Ibid., 447-453.

⁸ Stephen J. Gerras, ed., *Strategic Leadership Primer* (Carlisle Barracks, PA: U.S. Army War College, 2010), 23.

⁹ Stephen J. Gerras, Leonard Wong, and Charles D. Allen, *Organizational Culture: Applying A Hybrid Model to the U.S. Army* (Carlisle Barracks, PA: U.S. Army War College, 2008), 14 "Power distance is the degree to which members of an organization expect power to be distributed equally. If power distance is high, those in a position of authority expect, and receive, obedience—the organization is based on hierarchical decision-making processes with limited one-way participation and communication."

¹⁰ Ibid., 369, 469.

¹¹ Ibid., 418.

¹² Ibid., 401.

¹³ Richard D. White, *Managing the Diverse Organization: The Imperative for a New Multicultural Paradigm* (Baton Rouge: Louisiana State University: 1999), 480.

¹⁴ Ibid., 467.

¹⁵ Rebecca M. Wriggle, *Strategic Leader as Strategic Communicator*, Strategy Research Project (Carlisle Barracks, PA: U.S. Army War College, 2010), 8.

Longer Course Paper Example

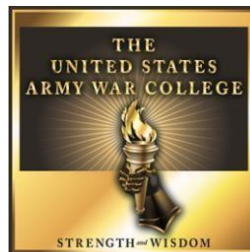
The following course paper serves as a model with regard to content, style, and format. The paper was written in 2009 for DE 2205 *Regional Issues and Interests* in response to the assigned question:

One of the principal challenges to U.S. interests in the Americas continues to be narcotics trafficking. First, identify the specific characteristics of narcotics trafficking in the region, and explain how it affects U.S. national interests. Second, examine the impact of narcotics trafficking in Colombia and Mexico, two of the larger and more important nations in the region. Third, evaluate the successes and failures of U.S. strategy in Colombia as implemented by Plan Colombia and its follow-on policy, the Andean Counter-drug Initiative (ACI). Finally, examine the Merida Initiative for Mexico, which has been compared to Plan Colombia, and assess its likelihood of successfully combating narcotics trafficking in Mexico. (2250 words +/- 10%)

USAWC DEPARTMENT OF DISTANCE EDUCATION

Author:	Author Name
Course:	DE 2205 Regional Issues and Interests
Requirement:	5
Word Count:	2444

4 March 2009



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

The entrance of illicit narcotics into the United States, largely through the southern border, has become an increasingly serious domestic problem since the mid-to-late 1960s. Increased narcotics trafficking, coupled with Transnational Criminal Organizations (TCOs) and associated violence, has elevated the problem to near crisis proportions jeopardizing U.S. national interests and regional security.¹

This paper identifies the major characteristics of narcotics trafficking between Colombia, Mexico, and the United States and explains how it affects U.S. national interests. In addition, the impact of narcotics trafficking activities, particularly in Colombia and Mexico, will be examined. Colombia is the prime source for the cocaine entering the U.S., and Mexico, with whom we share a 1969 mile-long border, is the primary conduit. The essay also evaluates the successes and failures of Plan Colombia and the Andean Counter-drug Initiative (ACI) as strategic efforts to redress the problem as well as the Merida Initiative which seeks to combat narcotics trafficking in Mexico.

While primary concern lies with the major characteristics of narcotics trafficking within Latin America broadly conceived,² illicit activity across sovereign borders is fundamentally motivated by the desire for money and power, where “power” refers to “the capacity to direct the decisions and actions of others.”³ Illegal drug activity represents a world-wide 400 billion dollar a year industry with the U.S. contributing an estimated \$60 billion in annual sales.⁴ Over 22 “million Americans aged 12 and older . . . were classified” as substance dependent in 2004⁵ and an estimated “13 million Americans still buy illicit drugs on a regular basis.”⁶ The economic cost associated with drug abuse within the U.S probably exceeds \$110 billion annually.⁷ Human costs associated with crime, disease, addiction and death are quite real, yet difficult to

meaningfully quantify. These unfortunate statistics and patterns exist notwithstanding President Richard Nixon's 1972 "War on Drugs" and the 1986 National Security Directive No. 221 wherein President Ronald Reagan elevated drug enforcement to a national security priority. Michael Shifter recently observed that despite a tenfold increase in expenditures by the U.S. government to combat drug trafficking in Latin America over the past 25 years, ". . . drug prices have fallen and the drug market remains remarkably robust."⁸ Moreover, and the latest bad news: coca and cocaine production in the Andean region set a new record in 2007.⁹

What then are the major characteristics of illicit narcotics trafficking in Latin America and how does it impact U.S. national interests? Two related, but somewhat separate collections of elements warrant consideration. The first has to do with the antecedent circumstances that constitute what can be characterized as "fertile ground" for drug lords and TCOs while the second entails consideration of the operant activities and characteristics of the traffickers themselves and their organizations.

Trafficking in illicit narcotics can be profitable and potentially attractive when numerous factors come together either by design or happenstance. Assuming a climate and geography capable of sustaining product cultivation at very low cost, illicit drug entrepreneurs require poverty, i.e., access to very poor people (preferably those facing extreme poverty or those susceptible to threats and violence, or who may actually be drug addicted themselves). Narcotics traffickers will favor and seek to exploit weak civil societies accustomed to rampant government corruption, wherein they have the ability to corrupt or, more brutally, simply eliminate government officials as needed (as is suggested by the infamous question "silver (plata) or lead (plomo)?"). Drug cartels are

inclined to seek and take control of ungoverned areas and insure that they remain that way. Further, illicit narcotic traffickers require access to assorted personnel (often youth or youth gangs) and equipment/materials (chemicals and arms) with which to process the product while protecting it from possible intruders. And finally, illicit traffickers seek to move freely about the country while exploiting legitimate channels of commerce as conduits through which to transport drugs to market. Smuggling and concealment are frequently aided by access to conventional traffic avenues and modes of trade, especially so when the destination country contains a relatively large population that is similar in language and/or appearance.¹⁰

In addition to fertile ground, illicit narcotics trafficking is characterized by well organized and well armed groups who routinely use violence, corruption, extortion, kidnappings and terror tactics with virtual impunity to protect their product, expand their influence, and secure markets while generally advancing their ends. Narcotics' trafficking in Colombia continues to fund and enable three major illegally armed groups: FARC, ELN and AUC. While some, such as the Revolutionary Armed Forces of Colombia (FARC), can trace their genesis to a political foundation "as the military wing of the Colombian Communist Party,"¹¹ the larger and present day reality is that lure of profit through criminal activity has displaced any ideologically driven political agenda that may have once existed. While the primary destination for the illicit narcotics lies outside state borders, the jockeying for territory, control, and freedom of movement within Latin American countries demonstrates "a direct relationship between drugs and the criminal violence that has skyrocketed in country after country"¹² to such a degree that elected leaders frequently are unable to provide fundamental security for either

citizens or officials. In the case of FARC, for example, Colombian President Alvaro Uribe was able to leverage the events of 9/11 in the United States so as to realign U.S. funds (earmarked for drug crop fumigation and drug interdiction through Plan Colombia) to “train an elite squadron of Colombian counterinsurgency troops” to enhance security under the umbrella of a new “narco-terror calculus.”¹³

Mexico, a major drug producer in its own right (particularly heroin, marijuana, and methamphetamine), is also the primary transit route through which 70 to 90 percent of illicit drugs enter the U.S.¹⁴ Like Colombia, Mexico is characterized by cartels, gangs and drug trafficking organizations whose members and affiliates are fully capable of and well schooled in violence, corruption, kidnapping, extortion and murder. Three of the seven major cartels (Sinaloa, Juarez, and Valencia) have formed a cooperative and mutually beneficial alliance dubbed “The Federation.”¹⁵ Mexican cartels tend to mirror organized crime syndicates as they maintain over 40 subordinate cells throughout the U.S. to distribute drugs while cultivating relationships with prison and street gangs already operating in the U.S.¹⁶ In addition to importing drugs into the U.S., Mexican cartels have been linked to arms trafficking, auto theft and kidnapping as they smuggle profits back into Mexico.¹⁷

Illicit narcotics’ trafficking and associated activities by ungoverned non-state actors operating principally from within the borders of sovereign states, especially those proximate to the U.S., constitutes a significant threat to U.S. national interests. National interests, commonly categorized as (1) defense of the homeland, (2) economic prosperity, (3) promotion of values and (4) favorable world order, constitute “perceived needs and aspirations” while simultaneously expressing “desired end states.”¹⁸ The

most vital U.S. national interest continues to be the prevention, deterrence, and reduction of the likelihood of a nuclear, biological, or chemical weapons attack on the U.S. population. It seems somewhat unlikely, however, that dedicated narcotics traffickers would intentionally inflict massive destruction on their highly profitable U.S. market. Yet, illicit narcotics trafficking and associated violence creates and operates in an environment that readily accommodates non-state actors committed to inflicting massive damage to the U.S. citizenry. Thus, tolerance of the seedbed and larger environment in which drug trafficking organizations thrive constitutes an open invitation to politically motivated terrorist activity. In fact, areas of Latin America and the Caribbean basin are considered “highly likely bases for future terrorist threats.”¹⁹ Second, the undermining of struggling Latin American democracies (i.e., those with minimal functional democratic infrastructures such as courts, schools, markets, medical facilities, etc.) by uncontrolled, unregulated and increasingly powerful transnational drug organizations threatens to drain limited resources while continuing to fracture the degree of regional stability that presently exists thus damaging U.S. interests in through maintaining stable and democratic governments throughout the region. Globalization and the nurturance of mutually beneficial economic interdependencies throughout the region ought to help maintain a favorable regional order while strengthening economic prosperity—two exceedingly important U.S. interests. Unfortunately, however, addressing those interests will become considerably more challenging due to continued widespread poverty throughout the region, personal security challenges in many areas, crime, increasingly powerful drug lords, and growing political drift by important nation-states. This unfortunate litany of challenges occurs while U.S. resources are largely

channeled to support operations in the Middle-East.²⁰ While economic development is an important U.S. interest with regard to Latin America, the simple reality is that the “illicit drug trade has a substantial negative impact on all aspects of development.”²¹ Finally, the U.S. must continue to promote and support human rights initiatives and the rule of law at every opportunity. A troublesome paradox is afoot with regard to human rights issues, however. On the one hand military authorities throughout Latin America have improved, albeit not perfect, records in the area of human rights violations (fewer violations)²² yet illicit narcotics trafficking continues to prosper and does so in the wake of more frequent and violent assassinations, torture, beheadings, and even human killings in the name of sport.²³

Given multinational concern over the flow of illicit drugs from Colombia and Mexico into the United States, an accord was initiated in 1999. Plan Colombia was the brainchild of former Colombian President Andres Pastrana. The six year plan sought to “end the country’s 40-year old armed conflict, eliminate drug trafficking, and promote economic and social development.”²⁴ Originally the plan was to be financed to some degree by the international community, although the U.S. has been and continues to be the primary external supporter through the Andean Counterdrug Initiative (ACI). While the two parties have made some adjustments over time—most particularly authorization to divert funds from eradication and interdiction to support for Colombia’s security forces—the primary U.S. objective has been to stem the flow of illegal drugs while promoting peace and economic development in the region.²⁵ Colombia’s primary objectives include promoting peace, economic development, and increased security

with tacit recognition that success in attaining the primary objectives is inherently intertwined with the ability to deal effectively with drug traffickers.²⁶

Documentation of progress is almost always difficult and subject to interpretation. The case, however, was made that the drug flow was being interdicted to a measurable extent and the drug crops eradicated via both aerial fumigation and manual removal. Aerial fumigation has an environmental down side as the sprayed substance may damage the soil, other crops or possibly compromise the health of farmers and others who might be exposed.²⁷ Other indicators of success through 2004 included enhanced and more visible security, reduced kidnappings, lower rates of homicide, and fewer massacres. Generally, curtailing activities by the three major armed groups in the country was less successful, but there was allegedly some partial success in bringing about a demobilization of the rightist paramilitary group the United Self-Defense Forces of Colombia and in reducing the ranks of leftist Revolutionary Armed Forces of Colombia (FARC). Curiously, reports on internally displaced persons (IDP) were conflicting with government reports showing a decrease (37%) while at least one human rights group claimed a 39% increase. There was evidence of increased economic confidence which tended to parallel improved security and evidence of diminished corruption and enhanced sensitivity to the rule of law and human rights.²⁸

The March 2008 report "Improving Policy and Reducing Harm" by the International Crisis Group reiterates and reinforces many of the claims and findings noted in the January 2006 "Plan Colombia: A Progress Report" by the Congressional Research Service (CRS). Yet, there is at least one difference of concern. The CRS report does not provide any information on Colombian efforts to substitute coca

eradication with alternative crop possibilities for peasant farmers. Thus, while the coca crop may be successfully destroyed, the peasants are either left with no prospects or those prospects simply go unrecorded, which is to say not valued. A program to periodically pay families to keep their land clear of coca crops, as noted in the International Crisis Group report, is modestly innovative, but will fail as a long term corrective.²⁹

On balance Plan Colombia has achieved its objectives, but more so for the Colombians than for the U.S. The U.S. focus was on eradication and interdiction and while there is compelling evidence of both effort and success, the bottom line is that addressable aspects of the root cause of the drug cultivation problem, i.e., the economic aspects, have not been well or meaningfully attended. What the U.S. has requested and helped to accomplish comes much closer to simply “muddying up the coca stream” when what we need is a comprehensive and humane effort to assist in “diverting and re-channeling the waters.”

Anne Patterson, the Former Ambassador to Colombia, provided a comprehensive and detailed history of Plan Colombia and associated progress.³⁰ She recognized problems, acknowledged shortcomings and raised concerns, but overall was positive about what had been accomplished and what was possible in the foreseeable future. There is reason to be guardedly optimistic that the next six year plan, “Strategy for Strengthening Democracy and Promoting Social Development,” will be more successful, primarily because the U.S. task has been characterized as “working with Colombia” as the country assumes greater responsibility for the counternarcotics program.

The Merida Initiative was prompted by the illicit drug trafficking and violence along the U.S. – Mexican border and the desire by both countries to enhance their respective domestic law enforcement efforts. The arrangement, as proposed, is largely bilateral and intended to facilitate “regional cooperation that addresses transnational crime,” primarily related to trafficking in illicit drug and arms.³¹ The Initiative has been likened to Plan Colombia, although Mexico does not harbor large left and right wing insurgent groups. Mexican President Felipe Calderon has made law and order a very high priority and his administration plans to spend 7 billion dollars on law enforcement in the next few years.³² In major respects the “heavily armed, narco-border” problem is fully shared. The U.S. brings the “demand side” of the drug equation while serving as the “supply side” of the weapons equation. Officials in Mexico estimate that nearly 90 percent of the guns they confiscate originate in the U.S.³³ No data are available at this time regarding implementation of the Initiative. The initiative seems to be ill conceived or at least under articulated. Addressing the drug trafficking problem seems to be largely viewed in terms of equipment and enforcement protocols. Drugs and weapons are very real and they are closely interconnected. Yet just how this proposal will be implemented remains unclear. The U.S. has an opportunity to work with a close neighbor in addressing a shared concern. That this effort is likely to be successful and mutually beneficial seems highly improbable at this time.

Endnotes

¹ Max G. Manwaring, *A Contemporary Challenge to State Sovereignty: Gangs and Other Illicit Transnational Criminal Organizations in Central America, El Salvador, Mexico, Jamaica, and Brazil* (Carlisle Barracks, PA: U.S. Army War College, 2007).

² Mexico is within North America and Colombia lies in South America. COL Alberto Mejia of the Colombian Army, USAWC International Fellow, Class of 2008, advised that “Latin America”

is largely a U.S. linguistic construction that “no one from ‘Latin America’ uses,” but is generally understood as an overly stereotypic way of referring to the many groups, people and sovereign states that lie to the south of the U.S. border.

³ Charles W. Freeman, Jr., as quoted by Gabriel Marcella, “National Security and the Interagency Process” in *U.S. Army War College Guide to National Security Policy and Strategy*, 2nd ed., J. Boone Bartholomees, Jr., ed. (Carlisle Barracks, PA: U.S. Army War College, June 2006).

⁴ See Diane Leduc and James Lee, “Illegal Drugs and Drug Trafficking,” February 2003, <http://www.lop.parl.gc.ca/content/lop/researchpublications/bp435-e.htm#12tx> (accessed April 23, 2008).

⁵ Infoplease, “Colombia: Economy,” <http://www.infoplease.com/ce6/world/A0857441.html> (accessed April 23, 2008).

⁶ Leduc and Lee, “Illegal Drugs.”

⁷ Ibid.

⁸ Michael Shifter, “Latin America’s Drug Problem,” *Current History* 106 (February 2007): 58.

⁹ International Crisis Group, “Latin American Drugs I: Losing the Fight,” *Latin America Report N°25*, March 14, 2008, Executive Summary.

¹⁰ Peter Reuter, “Can Production and Trafficking of Illicit Drugs be Reduced or Merely Shifted?” *Policy Research Working Paper 4564* (Washington, DC: World Bank Development Research Group, March 2008).

¹¹ Connie Veillette, “Colombia: Issues for Congress,” *CRS Report for Congress* (Washington, D.C.: Congressional Research Service, January 4, 2006), 3. FARC is the largest and oldest guerrilla insurgency in Colombia. The other two major groups, both involved in narcotics trafficking, are the National Liberation Army (ELN) and the United Self-Defense Forces of Colombia (AUC).

¹² See Shifter, “Latin America’s Drug Problem.”

¹³ Michael Bustamante and Sebastian Chaskel, “Colombian’s Precarious Progress,” *Current History* 107 (February 2008): 78.

¹⁴ Shifter, “Latin America’s Drug Problem,” 106.

¹⁵ The Tijuana cartel and the Gulf cartel have also formed an alliance which, somewhat ironically, occurred while the respective leaders of the organizations were serving time in prison. See Colleen W. Cook, “Mexico’s Drug Cartels,” *CRS Report for Congress* (Washington, DC: Congressional Research Service, October 16, 2007), 1.

¹⁶ Ibid., 5-6.

¹⁷ Ibid., 6.

¹⁸ See H. Richard Yarger and George F. Barber, "The U.S. Army War College Methodology for Determining Interests and Levels of Intensity," Adapted from Department of National Security and Strategy, Directive Course 2: *War, National Policy & Strategy* (Carlisle Barracks, PA: U.S. Army War College, 1997), 118-125.

¹⁹ Jim Stavridis, "We're All in this Together," *American Quarterly* 1 (Fall 2007): 35.

²⁰ Ibid.

²¹ See Leduc and Lee, "Illegal Drugs," 9.

²² Connie Veillette, "Plan Colombia: A Progress Report," *CRS Report for Congress* (Washington, DC: Congressional Research Service, January 11, 2006), 12-13.

²³ Alex Crowthers, Strategic Studies Institute, also commented on the improving human rights violation record (fewer military violations throughout the region). See Manwaring, *A Contemporary Challenge*, 23-33 for elaboration on TCO violence in Mexico.

²⁴ Veillette, "Plan Colombia: A Progress Report," 1. The initial plan expired at the end of 2005. The 2007-2013 six year plan is titled: Strategy for Strengthening Democracy and Promoting Social Development.

²⁵ Ibid., 2.

²⁶ Ibid.

²⁷ Ibid., 6-7.

²⁸ Ibid., 12-13.

²⁹ International Crisis Group, "Latin American Drugs II: Losing the Fight," *Latin America Report N°25*, March 14, 2008, 17.

³⁰ Anne W. Patterson, "Counternarcotics Strategy in Colombia," U.S. Department of State, Testimony before the House Foreign Affairs Committee Subcommittee on the Western Hemisphere, Washington, DC, April 24, 2007, <http://www.state.gov/p/in/rls/rm/83654.htm> (accessed April 23, 2008).

³¹ U.S. Department of State, "Joint Statement on the Merida Initiative: A New Paradigm for Security Cooperation," October 22, 2007, <http://www.state.gov/r/pa/prs/ps/2007/oct/93817.htm> (accessed April 13, 2008).

³² "Just Don't Call it Plan Mexico," *Economist Online*, October 25, 2007, http://www.economist.com/PrinterFriendly.cfm?story_id=10024653 (accessed April 24, 2008).

³³ WOLA.ORG – The Washington Office on Latin America, "The Merida Initiative and Citizen Security in Mexico and America," March 19, 2008, http://www.wola.org/index.php?option=com_content&task=viewp&id=668&Itemid=2 (accessed April 24, 2008).

