

# **Doctrine Study Group**

## **Phase 1 Comparative Analysis Report**

Ref: (a) CG-09 memo dated 23 June 2008, Doctrine Study Group Charter  
(b) RADM Riker memo dated 03 July 08, Doctrine Study Group Phase Methodology

**Background.** The Doctrine Study Group (DSG) was chartered by the Vice Commandant in reference (a) to gather information and make recommendations on the future shape of Coast Guard doctrine efforts. The leader of the DSG, RADM Riker, published reference (b) that specifies a five phase approach to gathering and analyzing information, and making recommendations on future doctrine.

**Membership.** The DSG was comprised of 24 individuals from a diverse background of Coast Guard experience that included many operational specialties, program offices, field units, training centers and others with a vested interest in doctrine development. The group included:

- RADM J. T. Riker – Team Leader
- LT Jeff Bray – Judge Advocate General & Chief Counsel (CG-094B)
- CDR Daniel Shifsky – Office of Coast Guard Future Forces (CG-1B1)
- CDR Peter Hatch – Office of Intelligence Plans & Policy (CG-25)
- Mr. David Hammond – Shore Facilities Capital Asset Management Division (CG-434)
- LCDR John Pruitt – Office of Strategic Analysis (CG-511)
- CDR Jonathan Burton – Office of Performance Management & Assessment (CG-512)
- LCDR Steven Bosau – Office of Policy Integration (CG-513)
- Mr. Dom DiIulio – Office of Counterterrorism & Defense Operations (CG-532)
- Mr. Robert Pond – Office of Incident Management & Assessment (CG-533)
- Mr. Robert Sniffen – Office of Contingency Exercises (CG-535)
- CDR Keith Bradford – Office of Quality Assurance & Traveling Inspections (CG-546)
- Ms. Margaret James – Office of Research, Development, & Technical Management (CG-66)
- CDR Bion Stewart – Office of Budget & Programs (CG-821)
- CMC Marvin Wells – Command Master Chief, PACAREA
- CDR David Hartt – Performance Technology Center, Training Center Yorktown
- Mr. Peter Stoll – Atlantic Area Exercise Branch (LANTAREA (Ax))
- Mr. Robert Goetz – Pacific Area Exercise Branch (PACAREA (Px)) & Deployable Operations Group (DOG)
- Mr. Alvin Cunningham – Force Readiness Command Implementation Team (FORCECOM (IT))
- LT Taquita Winn – Operations Command Implementation Team (OPCOM (IT))
- CDR Sean Burke – CGC ACTIVE
- YNCS Sean McDonald – Strategic Modernization Transition Team (CG-01T)
- ASTC Mario Vittone – Aviation Technical Training Center, Elizabeth City
- OSC Jeffrey Alger – Search And Rescue School, Training Center Yorktown

This is the Phase 1, Comparative Analysis, report of findings.

**Organizations examined.** The Phase 1 team examined twelve organizations that maintained doctrine, or doctrine-like structures to establish guidelines for operating that organization. The Joint Staff and all military services, with the exception of the Air Force, were examined. The Air Force was excluded because its mission set was markedly different than the Coast Guard, and also to free up additional resources to examine different organizations. DHS Headquarters and some DHS components were examined to help provide benchmarks within our own department. FAA and the Secret Service were examined because DSG members had some experience with their doctrinal efforts and believed they could provide valuable information. The American Bureau of Shipping was examined because of their comprehensive management system, which offered a viable alternative to the standard military doctrine model. The following organization's doctrine processes and structures:

- Joint Staff
- Army
- Navy
- Marine Corps
- Federal Aviation Administration (FAA)
- Department of Homeland Security (DHS)
- American Bureau of Shipping (ABS)
- Transportation Security Administration (TSA)
- Customs and Border Protection (CBP)
- Immigrations and Customs Enforcement (ICE)
- Federal Emergency Management Agency (FEMA)
- Secret Service (USSS)

**Research assignments.** The following personnel conducted research for each of the assigned organizations.

- Joint Staff – Mr. DiIulio
- Army – CDR Hart
- Navy – CDR Teschendorf / Mr. DiIulio
- Marines - LCDR Bosau
- FAA – Mr. Stoll
- DHS – LCDR Pruitt
- ABS – CDR Bradford
- TSA – CDR Burton / LCDR Hilbert
- CBP – CDR Stewart
- ICE – MCPO Wells
- FEMA – Mr. Pond
- Secret Service – CPO Vittone

CDR Burke was the Phase 1 team leader and compiled this report.

**Methodology.** The Phase 1 team used the following methodology:

- Conduct on-line research of applicable web sites.
- Conduct an in-person visit and receive a brief, if possible. No travel funds were provided for this project, so the team made research assignments to members co-located with doctrine organizations whenever feasible.
- Gather briefing slides, background information and any applicable references.
- Develop a summary report for each organization.
- Develop a comparative analysis report.

**Information sought.** The Phase 1 team sought the following information on each of the targeted organizations:

- Who is responsible for Doctrine, Policy & TTP?
  - The name of the doctrine organization?
  - Physical location of the organization (one facility or many)?
  - Where is it located in the organization (a separate “command” or part of a larger group)?
  - How many people / billets are employed there?
  - What is the “command relationship” with the organization’s stakeholders?
  - How much funding / resources does it receive?
  - Are the resources perceived as adequate?
  - Does doctrine get “organizational support” / is it valued?
- What is the architecture?
  - What is the organization’s doctrine hierarchy?
  - Is that hierarchy graphically depicted?
  - How is the doctrine structured (e.g. in written pubs, on-line, circulars)?
  - What is the purpose of their doctrine?
  - Who is the “end user” of the various doctrine products?
  - What value does the organization derive from doctrine?
  - Do they have readily available content summaries for each doctrine product?
- Where is it written & maintained?
  - Is the product done centrally or through distributed efforts?
  - Where / how do they develop the expertise to write / maintain doctrine?
  - Is training provided / available for doctrine writers?
  - How is it stored / cataloged?
  - How is it distributed?
  - How is it updated?
- When or how often is it written, reviewed, validated or updated?
  - Is the cycle fixed, or does it vary?
  - How is that cycle promulgated?
  - How is it enforced?

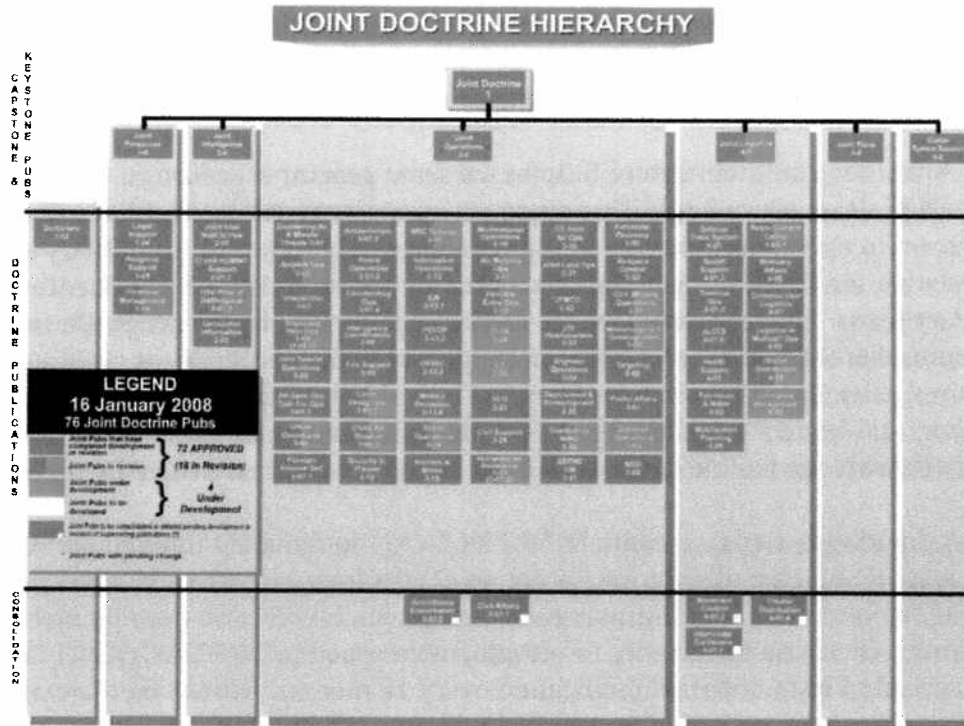
- Does it work / stay on track?
- How do they develop it?
  - Is there process guidance for developing doctrine?
  - Is it formalized? How? Can we get copies of the guidance?
  - Who are the key stakeholders in developing doctrine?
  - How do they collaborate to produce / develop doctrine?

**Synopsis of organizations.** This section provides a synopsis of the information gathered for each of the target organizations. Additional details, including reference materials and briefings from many of the organizations are maintained on the DSG's CG Central microsite.

### **Joint Staff**

The Joint Staff's doctrine element is the Joint Education and Doctrine Division (J7) staff, (1 Star) located at the Pentagon, Room 2D763, in Washington, DC. Their doctrine development function is mandated in law by 10 USC 153 (a)(5), part of the Goldwater-Nichols Defense Reorganization Act. To manage its doctrine development function and maintain its web resources, J7 has an O-5 led doctrine branch with 3 military AOs, one GS 13/14/15 terminologist, and 3 on-site contractors, plus 10-12 off-site personnel providing database, publication, and web-courseware support. The Coast Guard currently has one O-4 action officer assigned to the J7 staff, however, that billet is working in the war plans division. CG Headquarters (CG-532) staff maintains one full time civilian and 1 contractor position that liaisons with the J7 staff and other DoD entities for doctrinal issues. The J7 budget is approximately \$2.5M per year and the majority of that funding supports maintenance of the JDEIS and DOCNET electronic doctrine databases. The J7 works collaboratively with US Joint Forces Command (JFCOM) and the other Combatant Commanders (CCDRs) to develop and maintain strategic and operational doctrine. Most Joint TTP is developed and maintained by a separate command, the Air Land Sea Applications Center (ALSA). Joint Doctrine enjoys a great deal of organizational support.

Joint Doctrine employs a "keystone" and "capstone" hierarchy, with subordinate publications logically ordered under functional categories arranged by the "general staff" numbering system (i.e. J-2 is intel, J-3 is ops, J-4 is logistics, etc.). The Joint Doctrine architecture is presented graphically below:



The stated purpose of Joint Doctrine is to harmonize the CCDRs and Services by guiding the employment of US military forces in coordinated action toward a common objective. It is authoritative and universally practiced, but not directive. Joint Doctrine reflects current capabilities and guides how DoD forces train, operate and fight. It also provides the basis for the military education system. Joint Doctrine does not dictate policy, establish strategy, address future concepts or deal with TTP used in the field. (JP 1-02).

Joint Doctrine is managed centrally by the J7 staff, but is prepared collectively through Joint Working Groups that include members from the Services, CCDRs and other interagency members, as appropriate. Each revision is vetted and approved at multiple levels and finally approved by the Chairman of the Joint Chiefs. Joint Doctrine writers are usually Subject Matter Experts (SMEs) in their particular field, but get no formal training in doctrine preparation. Joint Doctrine is reviewed and updated every three years, although contentious issues may alter that schedule significantly. The process for developing Joint Doctrine is mandated in CJCS Instruction 5120.02A.

**Army**

The US Army's doctrine element is the US Army Training and Doctrine Command (TRADOC), currently located at Fort Monroe, VA, but which will relocate to Fort Eustis, VA in 2011 due to BRAC re-alignment. TRADOC is a 3-star command that operates 33 schools and centers at 16 Army installations and reports directly to the Chief of Staff of the Army. The major centers are the Combined Arms Support Center (Ft. Lee, VA), TRADOC Analysis Center, Combined Arms Center, and the Center for Army Lessons Learned (Ft. Leavenworth, KS). TRADOC is the third largest Major Command (MACOM), employing 36,000 active duty and 19,000 civilian employees, with a budget of \$5 Billion. TRADOC HQ has 2,358 full-time employees, and is

considered by current employees to be well funded and the focal point of all doctrine and training issues in the Army. More than any other organization studied, the Army lends a great deal of organizational importance to doctrine development and maintenance.

The Army doctrine architecture follows the same general organization as the Joint Staff. TRADOC develops and publishes strategic, operational and tactical level doctrine to guide judgment in operations, provide a common language on conduct of military operations, provide a foundation for establishing requirements for the forces and instill confidence throughout the military force. Doctrine provides the fundamental principles by which the military forces or elements thereof guide their actions in support of national objectives. It is authoritative but requires judgment in application. Doctrine is the body of wisdom and experience that guides how Soldiers and leaders train and fight. It is published and made available to users through the Army Knowledge Online database, which can be accessed anywhere in the world.

Army doctrine is managed centrally at TRADOC, but initiated throughout the Army, depending on the level and type of doctrine. A "proponent" (doctrine owner) system ensures SMEs from operational units and training commands are deeply involved in developing and revising doctrine. There is a fixed cycle for development specified in TRADOC REG 25-35, requiring an assessment of each doctrinal publication every 18 months. However, there are several other catalysts for revisions including national military/security strategy change, lessons learned from exercises / operations, changes to threats and / or change of higher level doctrine. Proponents review doctrine for consistency with existing policies, and correct proponent information. They may indicate the publication is current and essential, under revision, or obsolete. If proponents do not update doctrine in a timely manner, TRADOC may remove that particular document from distribution. However, it was noted that many documents currently posted are beyond the normal review cycle, indicating some degree of flexibility.

The Army has a doctrine developer's course which teaches the basics of Army doctrine. The course is for both active duty and civilians who are designated as doctrine writers. The Army also makes extensive use of contractors to develop doctrine.

## Navy

The Navy's doctrine element is the Navy Warfare Development Command (NWDC), Doctrine Department, located in Newport, RI. The NWDC reports to Fleet Forces Command (FFC), and is expected to relocate to Norfolk, VA along with FFC in 2010. FFC's primary mission is to prepare and provide forces to operational commanders. NWDC is commanded by a RADM and FFC is commanded by a VADM. The NWDC Doctrine Department is headed by a CAPT, and has 84 employees, comprised of approximately 20% military, 20% civilian and 60% contractors. With a budget of \$4M, NWDC has overall authority of Navy publications, with a designated Primary Review Authority (PRA) as lead in the development and maintenance of specific Navy publications. In reviewing the FFC alignment, NWDC is a "service provider", subordinate to "platform agents" (Air, Expeditionary Combat, Network Warfare, Submarine, Surface), and the fleets or "operational agents." The pending move to Norfolk is expected to enhance NWDC's doctrine efforts, but their funding has remained steady-state for the past decade, possibly

indicating a lack of organizational support. The Coast Guard has one dedicated O-5 billet assigned to the doctrine department.

The Navy Warfare Library (NWL) is a compilation of doctrinal, tactical, and reference publications needed by the Navy warfighter, tiered in the following hierarchy:

#### Strategy

Basic Warfighting Philosophy (NDP - Naval Doctrine Publications)

Operational Doctrine (NWP - Navy warfare publications)

Tactics, Techniques, and Procedures (TTP)

Reference (NTRP, Navy Tactical Reference Publications)

Within the NWL, doctrine refers to overarching guidance that allows collections of Navy units to operate effectively as a Navy force. Doctrine therefore refers to both fundamental principles and operational-level guidance, and is issued in NDPs and NWPs. This operational-level is distinct from the Navy tactics, techniques, and procedures (NTTP) used to guide specific operation of platforms and systems. Navy doctrine forms a bridge between the naval component of national military strategy and TTP. NDPs describes the role of U.S. naval forces, outlines their basic warfighting philosophy, and disseminates operational-level principles for employment. They serve as the capstone and keystone publications of the NWL by linking the Navy's overarching military strategy to fleet operations. OPNAV/USMC HQ level, and NWDC is PRA for all. NWPs contain operational doctrine that covers mission areas, enabling functions, and the organizing and support of forces for sustained operations. NWPs may contain amplifying TTP for the employment of Navy forces. NWDC or Fleet Commands are typically the PRA. NTTPs contain tactical-level guidance for the employment of weapons systems, platforms, and forces; or the detailed information needed to effectively and efficiently operate and employ specific platforms and systems. NTRPs contain data that typically are stand alone and descriptive in nature, and does not change. Hence, they are not required to tie directly to the superior publications. NTRPs support tactical employment and are intended for the operator/watch stander. The Coast Guard is included in the NWL system, with its own unique pubs (like ship class tactical manuals), as well as being integrated into other Navy and multi-service pubs.

NWDC coordinates with Navy commands to develop doctrine, as specified in COMNAVWARDEVCOM Doctrine Instruction 5210.1, Management of the Navy Warfare Library. NWDC designates appropriate commands and agencies as PRAs, coordinating review authorities (CRAs), contributing commands (CCs), and technical cognizance offices (TCOs), then resolves issues between PRAs/CRAs prior to final approval and promulgation. Applicable Warfare Centers of Excellence and training commands are CRAs or CCs (one or the other). Warfare Centers of Excellence "write" the majority of the publications. After validation of a project proposal (for new pubs and revisions, changes have a simpler process), a program directive (PD) message is sent by NWDC naming the players, publication outline, and timelines for information cutoffs, drafts, and reviews. PRAs shall review NWPs every five years or ensure accuracy of the publications and report their status to NWDC. PRAs shall review NTTPs at least once every two years to ensure that they continue to reflect best practices. Review reports go to NWDC by message or email and include if the publication is current/accurate, and if not, recommended actions to bring it back into currency. Appendix A of NTTP 1-01 contains 21

pages of Guidelines for Authoring Navy Warfare Library Publications, but there is no formal training for doctrine writers. The percentage of the NWL in periodicity is 66% in 2007/2008, up from 49% in 2005/2006.

The Navy Warfare Library (NWL) is available online via the UNCLAS Doctrine Discussion Group (DDG) web site (must be accessed with CAC reader capable workstation). Classified publications (up to SECRET) can be found on the SIPRNET DDG. The NWL is also available on CD-ROM or paper copies. The future of the online service is the Navy Doctrine Library System, NDLS which intends to 1) provide targeted doctrine revisions to update topics across related publications, 2) provide a centralized, single-source, distribution system for publications that is web-based but addresses the bandwidth limitations of fleet users, and 3) give access to doctrine with a robust research toolset that allows the user to find information across the library based on topics.

### **Marine Corps**

The Marine Corps' doctrine element is the Marine Corps Combat Development Command (MCCDC), Doctrine Control Branch (DCB), located in Quantico, VA. The MCCDC is a 3 Star command, the Doctrine Control Branch is an O-5 that reports to the Capabilities Development Directorate, a 1 Star position, within MCCDC. The DCB has 14 personnel dedicated to publishing and disseminating doctrine, with another 28-30 personnel with partial responsibility (custodians) for doctrine. Content owners, also known as proponents are the SMEs located at field commands and training centers and are directly involved in writing and revising USMC doctrine. The DCB coordinates its activities with the Functional Integration Division (FIDs) which provides the action officers (AOs) which actually review extant doctrine or write new pubs. The FIDs coordinate with the commands assigned as Proponents or Content Owners of publications. The DCB has a \$125K annual budget, which is primarily for travel. While this number may seem dramatically lower than comparable organizations, the number provided seems to be for a much more finite range of activities. For example, this funding does not include employee pay or doctrine distribution expenses, which are funded separately by HQMC.

Similar to the other services studied, Marine Corps doctrine is divided into a three part hierarchy that includes MC Doctrinal Pubs, MC Warfighting Pubs, and MC Reference Pubs, categorized functionally by general staff designation. According to MCDP 1, doctrine is the fundamental beliefs of the Marine Corps on the subject of war, from its nature and theory to its preparation and conduct. It establishes a shared philosophy and framework, provides the foundation for training, and facilitates interoperability. The Marine Corps believes that all Marines should use and understand the highest level of doctrine as well as the doctrine that applies to the tasks they are assigned.

The Marine Corps specifies procedures for writing and maintaining doctrine in Marine Corps Bulletin 5600, which is updated annually. The USMC is involved in 277 total publications. Of these, 81 do not need to go outside the Capabilities Development Directorate at MCCDC. All other doctrine has a proponent outside of CDD, but CDD still insures integration across the service and editorial support. Action Officers are often O-4 level staff officers that typically have some experience with the topic based on the FID they are assigned to. The DCB is largely



staffed by non-rotating civilian employees who, over time, develop a thorough understanding of doctrine through editing multiple publications. When an Action Officer is assigned to a publication they attend a training session at the Doctrine Control Branch. DCB continues to serve as a resource to assist the Action Officer in the process of writing the publication. The review cycle is: MC Doctrinal Pubs every eight years, MC Warfighting Pubs every four years, MC Reference Pubs every four years, and MC Interim Pubs every two years. This timeline is flexible based on MCCDC senior leadership's professional opinion of how much work can be absorbed by proponent commands. For example, many doctrinal pubs have lapsed in the past four years due to high OPTEMPO. Assignments, by name and command, are made annually in Marine Corps Bulletin 5600 & 5603. MC Doctrine is available on the MCCDC web site, or by hard copy distribution, which is the preferred method (despite organizational pressure to reduce printing costs via all electronic distribution).

### **Federal Aviation Administration**

The Federal Aviation Administration (FAA) has multiple "doctrine" locations – within the Office of Policy & Plans for the FAA Strategic Plan, programmatic doctrine within the program offices throughout FAA, and a system of FAA Orders that, while setting basic requirements for a multitude of instructions and guidelines, may not always keep up with the current environment and is not always looked to as the final guidance. For instance, the doctrine or "how to" of strategic planning for the agency is usually issued annually for a specific fiscal year's strategic process even though there is a generic FAA Order on strategic planning. The FAA's primary doctrine element, the Office of Policy and Plans, is located at FAA Headquarters in Washington, DC. It is a sub-unit of the Strategic Planning Branch (APO-120), and has one manager and four employees, with an overall budget of approximately \$1.5M per year. The Office of Policy and Plans interacts with all other elements of the FAA as well as strategic partners in the aviation industry to develop plans. The planning process is valued by the rank and file at FAA because the strategic plan's performance objectives are directly tied to pay for individual members.

The strategic plan is the starting point for FAA planning and continues into the annual business plans, budget submission, and human resources performance and pay plans. These documents are written and published on the planning intranet web site. The primary end user is the FAA Administrator and Management Board. The monthly evaluations of the strategic plan's accomplishments drive business decisions. Another recipient is the 45,000 FAA employees who receive annual pay increases based in part on the organizational assessment of annual progress. The FAA strategic plan creates a clear line of sight for each employee to the goals of the agency and visibility of progress that all employees can follow. It creates accountability at all levels throughout the organization. A quarterly report of progress is posted for the public and employees, and updates are conducted annually, or on an ad hoc basis to respond to changes in the planning process.

FAA doctrine development is both a formal and an informal process. It can run the gamut of formal documentation to verbal directions at planners meetings. It is usually an iterative annual process, although that can change when a new administration is put into play. A key focus of each iteration is process improvement and building on software programs for tracking and evaluating progress. The Office of Policy and Plans coordinates inputs to the strategic plan, and

follows-up with individual offices to ensure compliance. There is no specific training provided, although most of the employees directly involved in preparing the strategic plan have attended FAA sponsored training on strategic plan development.

### **Department of Homeland Security**

DHS has no overarching system of doctrine for its various components, but does have a departmental policy system designed to facilitate management at the DHS HQ level. Component level doctrine remains the responsibility of each component, and there is no requirement to coordinate between themselves. DHS did begin work on DHS Pub 1, an effort to spell out overarching principles of the department, but those efforts waned and the document has not been officially published. While there is no overarching system of doctrine, there are some doctrinal documents, such as the National Response Framework, that provides guidance to Federal, State and Local governments. DHS does use Management Directives to promulgate policy, which is maintained in an electronic library on the DHS website. Internal publications are controlled under MD 2510, and external publications are controlled under MD 2260.1. The Assistant Secretary for Public Affairs is responsible for the system, but the Office of Policy is responsible for most documents we might consider doctrine. Current written material is staffed internally, then distributed for component feedback. The process is not cyclical but remains “responsive” at this time.

### **American Bureau of Shipping**

The American Bureau of Shipping (ABS), uses the Quality and Environmental Management System (QEMS) to provide organizational doctrine. The organization overseeing the system is the Total Quality Department of ABS Corporate Headquarters. Each Operating Division's COO (Americas, Pacific, Europe) is responsible for the implementation of the Quality and Environmental Management System in their division. Additional guidance and direction is provided by the Corporate Continuous Improvement Steering Committee (CISC-C) and the respective Division Head of Quality. To assist the COO, a Continuous Improvement Steering Committee (CISC) is maintained for each Division. The minutes of the meetings of the CISCs are interchanged between Divisions and Corporate HQ, and the information from the CISC activities is disseminated to the staff, either directly or through the activities of management. The Division Head of Quality, irrespective of other responsibilities, has the responsibility to ensure the implementation and maintenance of the Quality and Environmental Management System for their respective defined areas. There are approximately 10 people in the Corporate Total Quality Department. In addition, each operating division has a modest staff to support the division head of quality. In addition to these staffs, members throughout the organization may be involved in doctrine maintenance and development. Rather than a stand-alone doctrine system, QMS is a totally integrated management system that provides doctrine-like guidance at the strategic, operational and tactical levels.

The QEMS is used to demonstrate that the ABS is able to consistently provide product and services that meet customer needs and applicable regulatory requirements, and aims to enhance customer satisfaction through continual improvement. The system has a six level architecture:

Level 1 - QEMS Manual (QSM). Provides a description of the ABS method for establishing, implementing, and maintaining a QEMS that meets the requirements of the IACS QSCS, ISO 9001:2000, ISO 14001:2004, and EN ISO/IEC 17020:2004 standards. The QSM provides the framework for the overall QEMS and provides the top down controls, standards, consistency and procedures to maintain a cohesive system throughout ABS.

Level 2 - QEMS Procedures. Address and support the sections of the QSM and provide the details for implementing and maintaining the QSM requirements. The QEMS Procedures apply to all functions within the American Bureau of Shipping.

Level 3 - Worldwide Operating Procedures that apply to the entire organization.

Level 4 – Operating Procedures. All procedures, other than the QEMS Procedures, are Operating Procedures established and maintained by the respective originating functional authority and carry the title of that function. Operating Procedures describe the requirements for processes that are specific to a function within ABS (e.g., engineering procedures, survey procedures, human resources procedures, information management services procedures, finance procedures and office operating procedures). Operating Procedures also include associated environmental considerations and requirements, as applicable. Policy is defined in these documents. Job Descriptions are established for each position within the organization detailing the knowledge, skills and abilities required in order to perform the work.

Level 5 - Site/Function/Department Specific Process Instructions. Describe how the work is done associated with the related procedure. Level 5 documentation can be combined into the Level 4 Documents as may be practical. Policy is also defined in these documents.

Level 6 - Records required by the QEMS or Operating Procedures or Process Instructions. QEMS records are identified in each section of this manual and within each procedure or Process Instruction.

A graphical representation of this hierarchy is shown below:

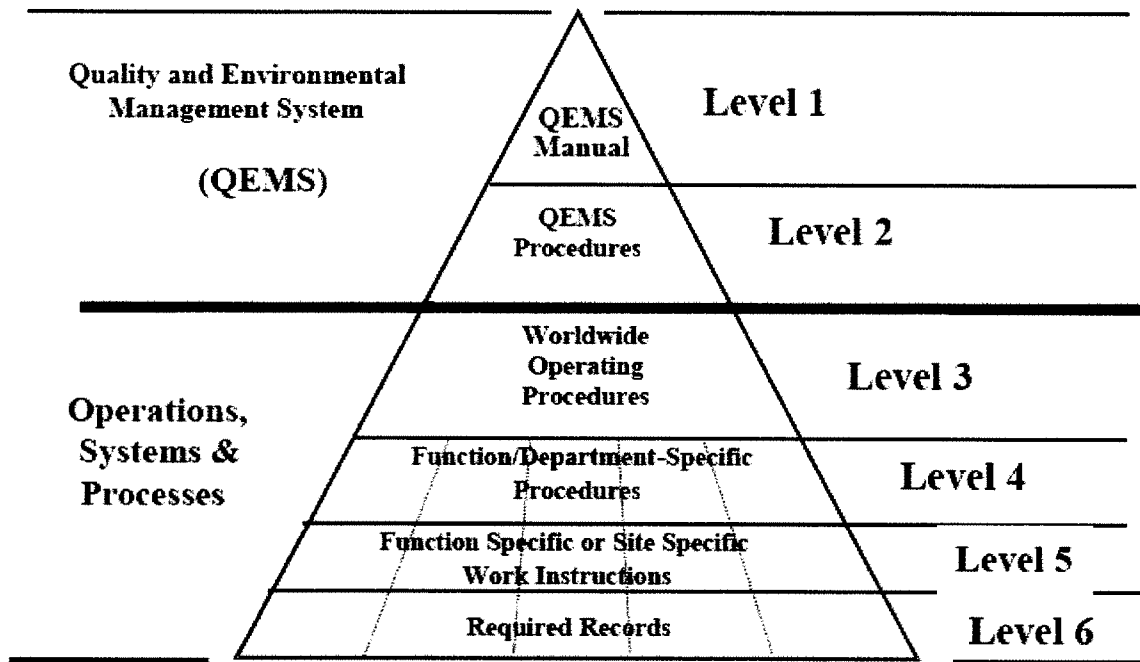


Figure 7-1

All products are provided on-line via a system called QMX.

Development of QSM and QEMS procedures are centralized at Corporate Headquarters, but development of subordinate documents is decentralized. Higher level doctrine is specified by top management, while document owners (for procedures, processes, work instructions) as prescribed in Document Control Procedure are responsible for control and content of documents within the system. A Document Owner is a subject matter expert for documents under their control and revised documents are reviewed by Document Owner and the TQM Department. For some types of processes and procedures there is an additional review by the Technical Consistency Department. Competence of all personnel (including doctrine writers) is assured by minimum hiring requirements, mandatory training, on the job training and process certification for various key processes. Some members involved in doctrine writing have received training in business and technical writing, but this is not always the case. Doctrine is improved upon continually through four methods. 1) Preventive action is the result of an identification of a need for improvement during routine operations. 2) Corrective action is the result of an identified nonconformance during an internal or external audit of the system. 3) Tracking and response to customer feedback. 4) A management review (top management reviews audit results, customer feedback, status of preventive and corrective actions, etc.) is completed annually. Document owners may revise documents at any time, and internal audits are performed regularly at all levels of the organization.

Top management, in the form of corporate officers and the Corporate Continuous Improvement Steering Committee (CISC-C), is responsible for establishing Quality and Environmental Management programs, for determining Quality and EMS objectives and targets and for communicating these to the Divisional level. Development of subordinate documents/procedures is delegated to Corporate Staff, Divisions and subordinate levels. An additional important part of

the doctrine development is the Vice President for Technical Consistency/Chief Engineer, who approves policy for all engineering functions, and the Vice President of Classification/Chief Surveyor who approves all survey policy. This ensures that not only does the doctrine meet the quality standard, but that technically the developed doctrine is correct. CISCs meet at least annually during Management Review to review status of system and make changes.

### **Transportation Security Administration**

TSA was created in the aftermath of the 9/11 terrorist attacks and underwent a re-organization in 2005 that disbanded the centralized Office of Policy at TSA Headquarters. The new “nodal network” structure is similar to the current Coast Guard headquarters organization that places policy development responsibilities on the individual mission programs. While not using the term doctrine, TSA does have a system of policies that function like doctrine, maintained as Management Directives (MD). Specific guidance for developing TSA policy is provided in MD 200.1. Individual directorate Approving Officials in charge of functional areas such as Transportation Sector Network Management are responsible for drafting and maintaining the substantive content of their responsible MD’s. The Office of Information Management Programs (OIMP) manages the directives approval process and provides oversight for use of the TSA’s IT system that hosts the MDs, primarily on TSA’s intranet. Approved MDs are hosted on TSA’s intranet and maintained by the Office of Information Management Programs (OIMP). All TSA directives are issued for two years and shall be reviewed and recertified, revised or cancelled, as appropriate, with 90 days of the 2-year anniversary date. TSA OIMP manages the directive process to ensure existing directives are vetted in accordance with the policy. TSA Approving Officials (functional area leads) develop directives for policies that impact two or more functional areas using the directives approval process. Individual Approving Officials submit their new or revised directive in the process established in enclosure (1).

### **Federal Emergency Management Agency**

The term “doctrine” is not commonly used within FEMA. However, when the term is used, FEMA defines it according to the Department of Homeland Security Lexicon: Doctrine - An authoritative statement of one or more guiding principles. Doctrine encompasses the fundamental principles that guide an organization and “shapes the effort.” Policy includes the process implemented through plans and procedures toward realization of doctrine and “guides the effort.” Strategy is the course of action to achieve policy goals and “accomplishes the effort.”

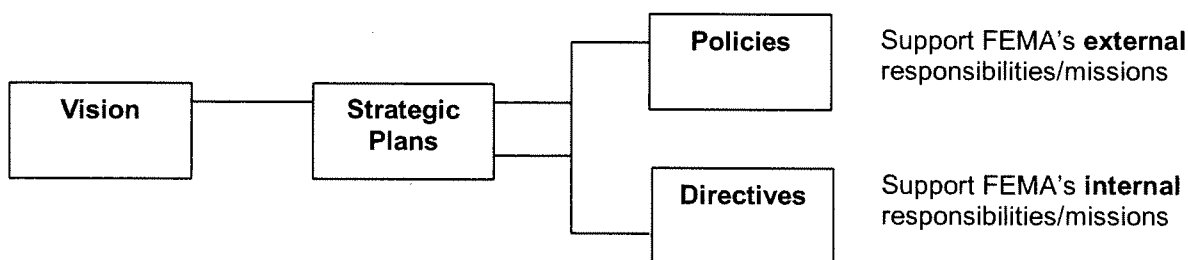
There are four terms that are commonly used by FEMA to describe how the agency executes its mission and responsibilities that are related to the term “doctrine”: vision, strategy, policy, and directive. The term “vision” is essentially the agency’s synonym for “doctrine” and is typically expressed as the viewpoint of the agency’s Administrator. For example, in December of 2006 Administrator R. David Paulison released the 32-page document entitled “Vision for New FEMA.” The focus of this document and concept was Administrator Paulison’s guidance on what FEMA needed “to transform the agency into the Nation’s Preeminent Emergency Management and Preparedness Agency.” A vision for FEMA is advanced by “strategies” or “strategic plans.” FEMA’s strategic plans focus on those areas and objectives which support the

agency's vision. The final terms "policy" and "directive" describe the vehicles FEMA uses to execute it's responsibilities externally for the public and internally for the agency.

Policies are used to disseminate guidance to the public (including States, local and tribal governments). A policy is an agency statement of general applicability and future effect that sets forth an external policy on a statutory, regulatory, or technical issue or an interpretation of a statutory or regulatory issue. This includes interpretive memoranda, policy statements, guidance, manuals, circulars, fact sheets, bulletins, advisories, etc. The term policy includes all guidance materials regardless of format (meaning that video or web based guidance is also included). Policies may be written for the use of FEMA employees or the general public and are disseminated to the general public to provide additional guidance on regulatory or statutory requirements.

Directives are used to disseminate internal policy that provides guidance to FEMA employees, to delegate authority, to establish programs, and to assign responsibilities. FEMA directives are signed by the FEMA Administrator and are issued in accordance with FEMA Manual, 112-1-1, 'Directives Management System Manual.

In summary, the four terms that describe how FEMA executes its missions and objectives can be depicted as it is in Figure 1.



Much of the guidance that can be considered "doctrine" within FEMA is crafted in the Office of the Administrator. Within this office, the Administrator, the Deputy Administrator, and their small staff develop the "vision" and key priorities for the agency. These priorities and objectives are communicated to organization via published documents such as the "Vision for New FEMA", in all-hands events, individual program meetings, and regularly scheduled off-sites with FEMA senior leaders from the various directorates. Two directorates are closely associated with the Office of the Administrator to execute the objectives of the Administrator's vision: the Office of Policy and Program Analysis (OPPA) and the Office of Management. OPPA is key link between the program elements within FEMA and the Office of the Administrator. Comprised of a supervisory office and four subdivisions, the OPPA currently employs approximately 31 personnel. OPPA provides leadership, analysis, coordination and decision-making support on Agency policies, plans, programs and key initiatives. Through its Policy Office, OPPA has a direct connection to all of the FEMA directorates for policy development, and chairs the FEMA Policy Working Group. This unique management body is composed of policy experts who are assigned to each of FEMA's directorates. The group meets once a week to review guidance provided by OPPA and to also serve as a clearing-house for new draft

policies produced within the directorates. Another key office within OPPA that is involved with supporting “doctrine” for FEMA is the Office of Strategic Planning and Analysis. This office is tasked with implementing long-term goals and priorities.

### Secret Service

The Secret Service is made up of just over 6,000 personnel comprised of 3,100 special agents, 1,200 uniformed division (UD) personnel, and 1,700 administrative and technical personnel. The service operates from one hundred twenty-two field offices in the U.S., twenty field offices abroad, as well as administrative and support offices in Washington, D.C. and the James J. Rowley training center. The Secret Service effectively controls the creation and maintenance of organizational directives with a centralized staff of technical and support personnel in the Management and Organization Division (MNO). MNO is made up of forty-three personnel in four unique divisions: Strategic Planning, Quantitative Studies and Statistics, Organizational Compliance and Accountability, and Policy Analysis and Organizational Development. Functional responsibility for the supervision of issuing, organizing, and maintaining the Secret Service directives falls to the Policy Analysis and Organizational Development division under the designation of “*Directives Control Point*” (DCP). The DCP, made up of twelve full-time personnel, ensures that all proposed policy undergoes adequate review and discussion among all directorates and divisions that the policy might effect.

Secret Service doctrine is organized along functional lines, with each Directorate having its own manual, and every division within the directorate having its own chapter. The following are the basic manuals:

- Administrative Manual
- Government and Public Affairs Manual
- Human Resources and Training Manual
- Investigative Manual
- Protective Operations Manual
- Protective Research Manual

Every field office maintains a complete “library” of the basic doctrinal publications in paper copy. It is also available on laser fiche.

While each of the Secret Service directorates and their subordinate divisions provide the subject matter expertise to create and/or modify doctrine, the MNO is available for assistance and ensures all due diligence is performed. Under MNO, the Policy Analysis and Organizational Development division (PAOD) assigns each proposed policy (or change) a *DCP number*. This number on a policy is a kind of “seal of approval” on secret service doctrine, signifying to the user that the policy has been vetted throughout all concerned directorates and divisions. Perhaps the most useful activities during the vetting process is the comprehensive research that occurs whenever a policy is assigned a DCP number. When approving new or updated doctrine, the Directives Control Point personnel research all existing doctrine for policies or procedures that may be affected and ensure related documents are also updated simultaneously.

The Secret Service Directives System calls for reviews of all policy every three years. However, the organization (and MNO specifically) understand the nature of the directorates missions and are flexible on enforcement and even tasking of such reviews. For example, while some policy relating to protection may be due this year, MNO considered that the subject mater specialists for the services protective mission are heavily tasked with duties relating to the general election. Policy review concerning protection can wait until next year. At any time an emergency issuance of policy is required, such messages are assigned a DCP number by PAOD who reviews the message for format and content. This “message traffic” policy is valid for six months at which time it is reviewed and included into the primary directives that it may have effected. A useful feature on all emergency issuances of policy is the requirement that the last paragraph of each message include the phrase “This directive is to be reproduced locally and inserted into all copies of the [ ] Manual.”

### **Customs and Border Protection**

No information was readily available for CBP.

### **Immigrations and Customs Enforcement**

No information was readily available for ICE.

**Key issues identified.** A comparative analysis of all target organizations revealed the following key issues, trends, commonalities and best-practices which may be of use to the Coast Guard in developing future doctrine efforts:

- The model followed by military & ABS (systems approach) provides the clearest strategic to tactical linkage.
- Most systems contained strategic, operational & tactical (and sometimes reference) components, but there appeared to be significant overlap between adjacent areas (based on a very cursory inspection).
- Most systems parsed operational & tactical doctrine along functional lines.
- Naming & numbering systems varied widely.
- The most robust doctrine existed in organizations that had a centralized doctrine oversight function (dedicated billets) under senior leadership.
- Both centralized & distributed systems shared the “proponent” model of collaborating / drawing SME’s / writers from field commands & training centers.
- The most robust systems established a hierarchy and identified specific organizational elements to be responsible for it.
- The most up-to-date doctrine came from organizations that established a clear review cycle / timeline, and adhered to it.
- Most systems had a mechanism to provide emergent updates between doctrine review cycle.
- The most robust systems had a mechanism to include lessons learned in the review / update cycle.
- The organizations that placed the greatest value on doctrine had a direct linkage to the training system & organizational standardization systems.



- All systems identified a process for reviewing doctrine, resolving disagreements and moving product forward.
- A best practice identified at USSS was the simultaneous review & identification of updates required across the doctrine system as a result of approved changes to a particular piece of doctrine.

**Conclusion.** Phase I was presented to the Senior Steering Group on 20 August with no significant concerns or feedback to the DSG members. Phase II, Requirements and Functions, commenced on 07 August 2008.



# Doctrine Study Group

Phase 1 – Comparative Analysis

# Overview

- Organizations Examined
- Research Assignments
- Methodology
- Information Sought
- Synopsis of Organizations
- Key Issues
- Questions

# Organizations Examined

- Joint Staff
- Army
- Navy
- Marines
- FAA
- DHS
- ABS
- DHS Components
  - TSA
  - FEMA
  - Secret Service
  - CBP
  - ICE

# Research Assignments

- Joint Staff – Mr. DiIulio
- Army – CDR Hart
- Navy – CDR  
Teschendorf
- Marines – LCDR Bosau
- FAA – Mr. Stoll
- DHS – LCDR Bosau
- ABS – CDR Bradford
- TSA – CDR Burton
- FEMA – Mr. Pond
- Secret Service – CPO  
Vittone
- CBP – CDR Stewart
- ICE – MCPO Wells

# Methodology

- On-line research of applicable web sites
- In person visit / brief, if possible
- Gather briefing slides / background info / references
- Develop summary report for each organization
- Develop comparative analysis report

# Information Sought

- Who is responsible for Doctrine, Policy & TTP?
- What is the architecture?
- Where is it written & maintained?
- When or how often is it written, reviewed, validated or updated?
- How do they develop it?



# Synopsis of Organizations

# Joint Staff

- Who – Joint Staff (J7, 1 Star) Doctrine Division (O-5 w/ 17 pers), reports to CJCS, has input to Service training functions & partners w/ USJFCOM for development, analysis & joint training.
- What – Capstone, Keystone, Joint Doctrine Pubs in published hierarchy. ALSA responsible for Joint TTP.
- When – Reviewed every 3 years (mostly on track w/ some sticking points)
- Where – Centralized at JS (Pentagon) w/ reps from Services & CCDRs (Joint Working Groups) to provide SME's / writers
- How – Process specified in CJCS Inst, distributed on-line via JDEIS site

# Army

- Who – TRADOC (4 Star, 3<sup>rd</sup> largest MACOM w/ hundreds of billets), reports to Chief of Staff & controls training function.
- What – Strategic, Operational & Tactical Doctrine in specified hierarchy
- When – Reviewed every 18 months or as needed by emerging ops (works well, but still some outdated doctrine)
- Where – Centralized at Fort Monroe w/ inputs from all levels, enforced by TRADOC w/ potential admin sanctions (doctrine removal fm AKO).  
Extensive use of “proponents” as SMEs / writers
- How – Process specified in TRADOC Reg 25-35, formal doctrine development courses available for staff, distributed on-line via AKO

# Navy

- Who – NWDC (2 Star, 84 billets) reports to Fleet Forces Command (Responsible for providing naval forces). FFC also controls training function, NWDC does not
- What – Strategic, Operational & Tactical Doctrine + Reference material in specified hierarchy
- When – Reviewed every 5 years (66% on track)
- Where – Centralized in Newport, RI (moving to Norfolk w/ FFC), w/ inputs fm Fleets & Training Centers. Publish list of lead & support organizations for each pub
- How – Process specified in NTTP 1-01 & NWDC Inst, distributed on-line, CD-ROM & paper copies

# Marine Corps

- Who – MCCDC (3 star), Doctrine Control Branch (14 dedicated pers + 30 “custodians” + “proponent” SMEs. MCCDC does not directly control training function (MC Training & Education Command)
- What – Strategic, Operational & Tactical Doctrine + Reference material in specified hierarchy
- When – 8, 4 or 2 year cycle depending on product, but timeline may slip due to unscheduled wars...
- Where – Central control & editing at MCCDC, but most writing done by “proponent” SMEs throughout USMC. MCO 5600.20 assigns proponents
- How – 6 phase, 39 step process outlined in MCO 5630, distributed on-line & hard copy

# Federal Aviation Administration

- Who – Primarily Office of Policy & Plans (5 pers) @ FAA HQ, but many elements dispersed throughout the organization may contribute
- What – Policy (we might call it doctrine) published in FAA Orders, Ops level doctrine & TTP published via FAA Strategic Plan / Business Plans / Budget Plans. More “business execution plan” vice doctrine as we see it
- When – Orders published as needed, Strategic Plan updated yearly or at change of senior leadership / administration to reflect new priorities (w/ quarterly progress reports). Excellent currency of info – performance goals linked to individual pay
- Where – Centralized at FAA HQ in Washington, DC
- How – Internal iterative process, top down direction fm FAA Administrator & Management Board to the field

# Dept of Homeland Security

- Who – Highly de-centralized, each office responsible for own “doctrine” (akin to our policy). Office of Policy & Asst Sec for Public Affairs most responsible for what we might call doctrine (Dept wide guidance)
- What – Varies widely. DHS Pub 1 effort stalled amid other priorities. Other “doctrine” such as Nat’l Response Framework developed on ad-hoc basis. Management Directives for internal & external policy distribution
- When – No established cycle
- Where – DHS HQ with significant input fm components
- How – No system specified for doctrine. MD particulars specified in MD 2510 (internal) and MD 2260.1 (external), maintained on DHS web site

# American Bureau of Shipping

- Who – Total Quality Department (TQD) (10 pers), overseen by Corporate Office in Houston, TX, & at each of 3 Regional Operating Divisions
- What – Quality & Environmental Mgmt System, consisting of 6 levels of guidance, procedures & reports. More than doctrine – an entire management system. Flexible/scalable to organizational needs
- When – Annually in response to top management review, and also after regularly sched internal and external audits, in response to customer feedback, or as “document owner” deems necessary. Enforced by TQD
- Where – Senior leaders (corporate office) develop higher level doctrine and objectives; “document owners” drive lower level (Ops / TTP) development / reviews
- How – Process specified in Procedures for Development of Procedures & Processes Instruction. Mandatory training & process certification for doctrine writers. Distributed via on-line system “QMX” accessible worldwide.



# Transportation Security Administration

- Who – Individual Directorates at TSA HQ responsible for their functional area. Office of Information Management Programs responsible for Management Directives system. No clear link to training system.
- What – Management Directives (policy as we describe it). No existing or immediate plans for doctrine development
- When – All MD reviewed / updated on 2 year cycle
- Where – TSA HQ, Washington, DC. No centralized policy / doctrine office. MD preparation by SMEs in each Directorate
- How – Process outlined in TSA MD 200.1, SME development & clearance process for cross-directorate policies. Distributed via TSA Intranet.

# Federal Emergency Mgmt Agency

- Who – For strategic level doctrine - Office of Policy & Program Analysis (31 pers) w/ links to other directorates via Policy Work Group for SMEs. For “TTP” – Office of Mgmt via Directive Mgmt System
- What – Vision, Strategic Plans, Policies (external) & Directives (internal)
- When – Strategic guidance closely linked to changes in political leadership. Lower level doctrine updated as necessary (no specified review timeline)
- Where – Centralized at FEMA HQ w/ inputs from various HQ elements & regional offices. Much review done by Policy Work Group
- How – No guidance for strategic level doctrine. TTP is specified in Directives Management Manual 112-1-1, includes clearance process to ensure full vetting. Vision & Strategic plans distributed through all-hands events, program meetings, etc.

# Secret Service

- Who – Directives Control Point (12 pers) w/in Management & Organization Division (MNO). Part of USSS HQ in Washington, DC. No direct link to training system.
- What – Each functional directorate is responsible for its own “capstone” document, w/ subordinate pubs providing additional details. MNO provides experts to assist in research & writing
- When – Three year update cycle, but flexible due to operations
- Where – Centrally located at USSS HQ
- How – Process outlined in USSS Administration Manual, MNO-05(01), includes clearance process to ensure full vetting. Distributed on “laserfiche” and hard copy.

# Key Issues

- The model followed by military & ABS (systems approach) provides the clearest strategic to tactical linkage
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# Key Issues (Cont)

- The most up-to-date doctrine came from organizations that established a clear review cycle / timeline, and adhered to it
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- The organizations that placed the greatest value on doctrine had a direct linkage to the training system & organizational standardization systems
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- A best practice identified at USSS was the simultaneous review & identification of updates required across the doctrine system as a result of approved changes to a particular piece of doctrine

Questions?

# Backup Slides

# Information Sought - Details

- Who is responsible for Doctrine, Policy & TTP?
  - The name of the doctrine organization?
  - Physical location of the organization (one facility or many)?
  - Where is it located in the organization (a separate “command” or part of a larger group)?
  - How many people / billets are employed there?
  - What is the “command relationship” with the organization’s stakeholders?
  - How much funding / resources does it receive?
  - Are the resources perceived as adequate?
  - Does doctrine get “organizational support” / is it valued?
- What is the architecture?
  - What is the organization’s doctrine hierarchy?
  - Is that hierarchy graphically depicted?
  - How is the doctrine structured (e.g. in written pubs, on-line, circulars)?
  - What is the purpose of their doctrine?
  - Who is the “end user” of the various doctrine products?
  - What value does the organization derive from doctrine?
  - Do they have readily available content summaries for each doctrine product?



# Information Sought – Details (Cont)

- Where is it written & maintained?
  - Is the product done centrally or through distributed efforts?
  - Where / how do they develop the expertise to write / maintain doctrine?
  - Is training provided / available for doctrine writers?
  - How is it stored / cataloged?
  - How is it distributed?
  - How is it updated?
- When or how often is it written, reviewed, validated or updated?
  - Is the cycle fixed, or does it vary?
  - How is that cycle promulgated?
  - How is it enforced?
  - Does it work / stay on track?
- How do they develop it?
  - Is there process guidance for developing doctrine?
  - Is it formalized? How? Can we get copies of the guidance?
  - Who are the key stakeholders in developing doctrine?
  - How do they collaborate to produce / develop doctrine?

# Customs & Border Protection

- No information available

# Immigration & Customs Enforcement

- No information available