Integration of Smart Power Analytics into

Theater Campaign Plan Assessment and Adaptation

**Objective.** Recommend advanced work be undertaken as a Small Business Innovative Research (SBIR) initiative: To provide advanced methods and techniques, derived from insights and knowledge gained in recent years regarding strategy implementation, that build on the processes used to assess COCOM Theater Campaign Plans (TCP). This white paper identifies a future capability which combines current and progressive methods, tools, and processes into a systems engineering construct designed to address the effectiveness of TCP implementation. Specifically, the finished solution will help COCOMs 1) measure implementation progress; address gaps between the COCOM’s TCP baseline and various objectives; 2) develop synergy with the interagency, partner nations, non-government organizations, and other key stakeholders; 3) prioritize and align programs, technology, plans, and resources; and 4) provide a dynamic, continual TCP implementation assessment in the form of a strategic narrative for the COCOM commander.

**Background.** In recent years the U.S. Defense community has gained five major insights regarding TCP development and what it needs to assess outcomes against the COCOM’s strategies and broader DOD and USG needs (OSD Plans/Policy, 2012).

First major insight: The TCP leverages the implementation of a COCOM’s regional strategy. It is designed to align resources, relationships, and activities to achieve a strategic affect that is longer termed and resource informed. Its key function is to provide guidance and to coordinate Phase 0 steady state activities across the AOR.

Second major insight: There is an interagency nature to the TCP. Planned and executed properly, the TCP supports national security objectives and is aligned with other USG agency efforts. TCPs should complement and support foreign policy objectives and activities of USG agencies.

Third major insight: TCP planning should include country planning and align with the Ambassador’s goals. Well developed country plans enable TCPs to aggregate AOR-wide resource requirements and provide the planning foundation needed to steer country plan development towards regional objectives.

Fourth major insight: TCPs should address both posture and combat operations. Shaping (Phase 0) and theater security cooperation are a component of the COCOM’s contingency planning. COCOM decision makers must ensure that actions and activities of one part of the TCP do not undermine those of another part. The TCP must integrate efforts across all the Phases (0 through 5), connecting each of them as part of a continuum that is complementary in nature. Failed continuity will likely provoke a failed strategy.

Fifth major insight: An increasingly constrained fiscal environment is driving lawmakers and their oversight of US priorities. Good stewardship is demanded. More than ever, DOD and OMB must seek explanations to purpose funding, identify and quantify risk due to the absence of funding, and show whether ROI justifies expenditures. This is especially true for security cooperation related funding. This requires COCOM level analysis within a systems engineering construct that captures cost/benefit analysis and resourcing within the AOR that shows how funding supports objectives and achieves measurable outcomes.

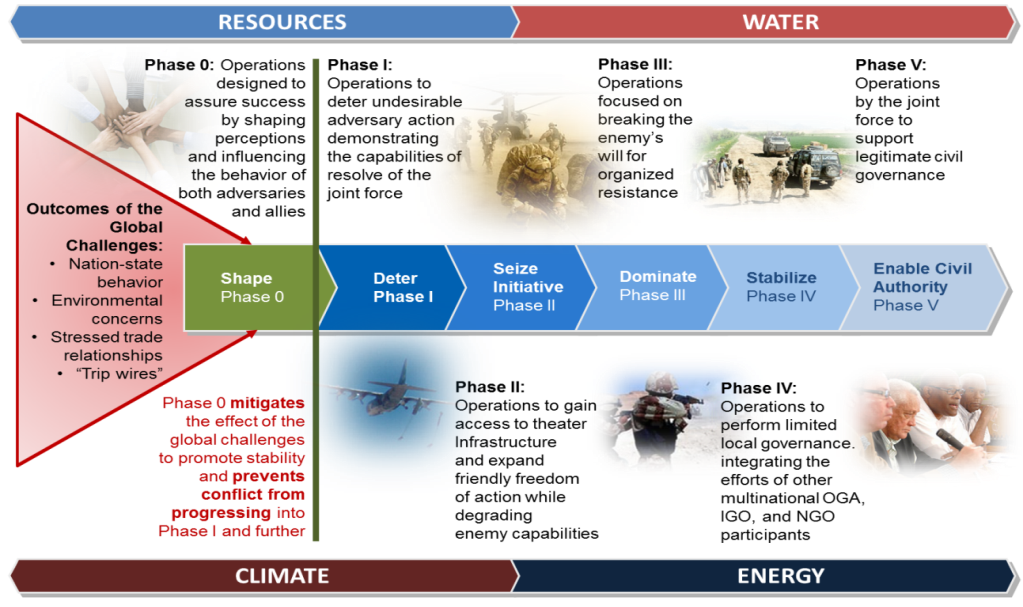
**Discussion.** Current Defense Department TCP planning guidance highlights TCP assessment as a necessary precursor for plan adaption to an already dynamic process and changing geopolitical environment. TCP assessment is fundamental to addressing events that change the strategic or operational environment in which the COCOM implements the plan and its activities (J2 focus); and those events that change the resource picture with respect to funding, forces, and time available (J8 focus) (OSD Plans/Policy, 2012). What is unique to a regional TCP and its dynamics is the simultaneous combination of plan execution and future plan development. This requires the COCOM to continually assess progress towards objectives; then revise, adapt, or terminate elements of the plan accordingly. Proper, timely, and relevant assessments enable COCOM planners to refresh elements of plan implementation such as theater security cooperation activities while developing seamless well-timed transitions between Phases of the TCP should conflict escalate or de-escalate. These assessments are also used by the COCOM to remain ahead of resource allocation processes.

**Smart Power Analytics (SPA).** SPA is a co-creative process with relevant tools designed to help decision makers determine whether the selected course of action, tasks, or products will lead towards successful strategy implementation and assessment. It is founded on of regional and national level experience, using findings of past engagements and the related analysis to identify the key attributes that supports regional stability and security objectives.

Through SPA we propose to apply a qualitative systems approach to current processes and tools to help the COCOM determine plan implementation progress by 1) measuring how well it is addressing gaps between the COCOM’s TCP baseline and various objectives; 2) develop synergy with the interagency, partner nations, non-government organizations, and other key stakeholders; 3) prioritize and align programs, technology, plans, and resources; and 4) provide a dynamic, continual TCP implementation assessment in the form of a strategic narrative for the COCOM commander.

First, the SPA process and tools allow users to quantify progress towards addressing the gap between its baseline (which may need to be determined by various means such as Joint Planning Groups and Country teams) and various objectives. SPA supports a cumulative assessment process of how well these gaps are closed and/or be part of discovery that leads the COCOM to update its strategy. It is designed to leverage the positive potential and mitigating effects of Phase 0 by connecting outcomes with all phases of the TCP as well as recognizing the impact of surrounding socio-economic, geo-political, resource, and environmental issues (Figure 1).

Second, SPA provides processes and tools to assess and engage a wide range of interagency, partner nations, non-government organizations, and other key stakeholders in a collaborative environment and uses analytic methods to identify key elements of coordination as well as key areas of stakeholder support or divergence.

Figure 1. The Mitigating Effect of Phase Zero. TCP Phase Zero objectives are to mitigate the effects of, or resolve destabilizing globalization events driven by resources, water, climate change, and energy states (Office of the Secretary of Defense, 2010). Phase Zero operations focus on capacity building, shaping perceptions, and influencing behavior (JCS Pub 3). It is here, in Phase Zero and Phase Five, that security cooperation tools are most effective.

Third, SPA provides processes and tools to prioritize and align programs, technology, plans, and resources intended to assess activities and progress towards strategic objectives across all Phases the TCP. The will be especially useful in determining where separate TCP programs or activities are in conflict with one another.

Fourth, and lastly, SPA provides for a dynamic, continual TCP implementation assessment in the form of a strategic narrative for the COCOM commander. Such continual assessments provide situational awareness and trends that enables decision makers to adapt TCP activities and associated resources to AOR dynamics.

**Smart Power Engineering (SPE).** SPE is a systems approach that is at the heart of SPA. SPE can provide a methodology to address the TCP assessment process. SPE starts with using standard systems engineering processes but modifies the process to leverage lessons learned through major mil to mil engagements, AOR dynamics, stakeholder activity, and insights by defining common terms of reference and analytics. SPE is intended to connect Soft Power (shaping) and Hard Power (war fighting) elements of the TCP to common processes enabling decision makers to develop more adaptive courses of action that promotes interagency and partner-nation relationships, as well as measures of effectiveness and resource efficiencies.

Unifying Concepts. These unifying concepts serve as the foundation for Phase 0 and TCP development and assessment for which PACOM functioned as executive agent for JCS and OSD. These unifying concepts are also incorporated into SPE.

* Co-creation (Schrage, 1995) **.** The concept of co-creation has been successfully applied, for example, by U.S. Pacific Command during bilateral engagements. Co-creation is a shaping tool that adds a new dynamic to relationships by starting with stakeholder experience and involving them in the creation of value rather than navigate complicated processes. Although the realities of law and process must be considered, the means of setting mutually defined shared goals generally results in higher trust, accommodation of culture, pierces through false perceptions, and results in an exchange of valued resources and information gained through trust. It often requires greater effort on both sides, but benefits are quickly recognized as it becomes easier to navigate the dynamics of globalization and rapidly changing/unexpected events. Co-creation allows stakeholders to immediately address issues at the point of need and gain a deeper mutual understanding. It was a co-creative approach that resulted in rapid resolution and ending of violence related to the burning of Holy Qur’ans by U.S. troops at Kandahar (Kalinski, 2012). This same co-creative approach is credited with significant reduction of insurgency in the Philippines enabling the creation of community based public/private partnerships protected by the Philippine Army’s security umbrella (Micheals, 2011). In the geopolitical realm of Soft Power, co-creation is key to enduring, vested relationships and solutions to regional stability challenges. Evaluating the nature of affected relationships with all stakeholders (USG agencies as well as partner nations) is critical to effective TCP assessment.
* Building Partner Capacity (BPC). Though inherently tied to country planning, BPC can drive a significant number of metrics that ties regional capabilities into a more complete solution in terms of collective efforts of partner nations. A simple definition is that BPC helps bridge the gap between baseline assessment and desired end state in terms of community resilience. The Department of Defense (DOD) defines building capacity as “targeted efforts to improve the collective capabilities and performance of the Department of Defense and its partners.” Although DOD focus is on building security capacity, its definition is broad enough to and serve as a unifying concept implying that a collaborative approach between multinational, multiagency, community, and private sector organizations are key to meeting strategic objectives. It is a significant indicator of progress of strategy implementation as long as the metrics are measured in terms of outcome, not merely activity or output focused.
* Community Resilience. The Department of Homeland Security/Oak Ridge National Laboratory Community and Regional Resilience Institute (CRRI) defines community resilience as the capability to anticipate risk, limit impact, and bounce back rapidly through survival, adaptability, evolution, and growth in the face of turbulent change. A community ranges in size from neighborhoods to geographic regions, depending on the scope of a referenced challenge. The premise is that communities have a quantifiable level of functional capacity. In a situation such as a natural or man-made disaster, that capacity declines at a rate and to a depth that is largely dependent on the severity of the disruption. The community's capability to respond to the disruption and the speed at which it responds affects the long-term impact of the disruption. If areas are prepared for that specific disruption, they will respond rapidly and effectively to the response. If recovery takes too long, the community may not regain the original capacity. The gap between a community’s assessment of resilience (the ability to rebuild capacity) and the desired end state are key elements to the practical application of this concept. The ability to assess partner nation weaknesses and vulnerabilities defines scope and resource challenges as well as identifying shared or unique strategic challenges.

CREW and PRIME, a qualitative leadership approach to determining priorities. CREW and PRIME are acronyms representing nine (9) stability factors that surfaced during a review of over 1,700 PACOM and some USG agency engagements over a three (3) year period (2007 to 2010), as well as the Quadrennial Defense Review 2010 (QDR) and State Department’s Quadrennial Diplomacy and Development Review 2010 (QDDR) reports. Though not formally adopted, CREW and PRIME has proven merit. It is a good starting place to create regional focus and develop relevant metrics and measures to assess gaps that address core strategic issues and outcomes rather than symptoms and activity output.

* CREW. This acronym stems from the first four basic elements defining the stability and security environment and reflects the findings of QDR 2010 and QDDR 2010. The QDR identifies these key elements as Climate change, Resources, and Energy/Environment. Though the QDR includes water as a resource, we have found the need for water, and especially clean water, to be so fundamental to life that we break it out separately. **C**limate, **R**esources, **E**nergy/Environment, and **W**ater (CREW) are relatively easy to identify as necessary elements to community stability and security and can serve to assist in determining a TCP’s baseline assessment and strategic gaps. Often these elements are well known quantities that project the use and value of these elements (Secretary of Defense - QDR, 2010).
* PRIME. The remaining five critical elements are key to evaluating the achievements and effects of TSC (capacity building) engagement. Security cooperation and capacity building activity needs to affect one or more of these five elements to produce impactful outcomes. These stability factors are:

1) **P**erceptions and education

2) **R**eligion and culture

3) **I**mproved energy and environment

4) **M**edical capability, health issues, and social well-being

5) **E**conomics

These PRIME elements can be evaluated and quantified to serve as starting point to identify and evaluate relevant capacities to achieve long-term stability and security end-states and close strategic gaps (Table 1).

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| Reference | Short Description | Background | |
| P | Perception and Education | This allows visibility to indicators of positive or negative change, as well, as highlight sources of unrest. Often, the perception of a community drives the situation. This is a measure and balance of effort that meets popular needs, goals, and manages overall expectations. This involves actions that go beyond communicating with communities and their trusted leaders. It requires stakeholders to understand a community’s experience with governance (corrupt or trusted?), be able to understand grievances, and be sensitive to needs. Effective capacity building efforts tend to be those that address the civil side of national security and mitigate misperceptions through relationship building. Historically, effective stability and security success are measured in terms of key groups within a community and not hidden in national or community averages (US Institute for Peace, 2008).  Expectations are set, and often become the reality. Likewise, education or the lack of education often drives the expectations of a region, how they see and interact with others. In addition, a key element of co-creation is the ability of the region to help build solutions that can both survive and be maintained. Often education is required to support certain levels of PRIME. | |
| R | Religion and Ideology | Religion and ideology are often not engaged by the US government to maintain separation of church and state. However, in many regions of the world, they are inseparable, and are a major driver of decisions. We need to understand the cultural significance, and the concepts of leadership in this arena in determining if we can achieve our goals. Religion also bleeds over into many of the elements of finances, educational opportunities, acceptable medical practices, etc.  Unlike “Perceptions”, there are no clear metrics available for this factor. Sometimes this is an issue of secularism vs. religion vs. government vs. justice vs. other ideologies. This element must be addressed socially and in community education systems. Effective capacity building that affects this element focuses on community desired end-states that build on a community’s religious and cultural foundations; as well as preserve valued artifacts, sacred grounds, and structures. Social networking, perceptions indicators, and the community’s sense of justice are the best indicators in evaluating this stability factor. | |
| I | Improved Energy and Environment | The ability of a community or government to provide affordable critical services and basic needs such as food or drinking water presents critical challenges. Population increases have changed where people live, and technology has changed how we live. Energy has become one of the main drivers of the world. Every country is trying to determine how to increase their standing and the situation of their people. Energy is a key constant everyone is addressing. Additionally, the environment can no longer be ignored. As people are packed more densely, the issues of sewage, trash, contamination, and related environmental elements become too critical to ignore. We lump these together, because both must be considered simultaneously. For example, if a hydroelectric facility is wanted to provide electricity, we need to ensure we don’t destroy crop lands at the same time. The analogies could continue from both sides.  This factor is an intersection of natural scientists, technologists, social science, and governance (Secretary of Defense - QDR, 2010). Effective capacity building tends to meet success when these intersecting elements address environmental impact of energy acquisition, transport, production, cost, and use (Micheals, 2011). |
| M | Medical, health, and social well-being | The health of the citizenry, leads to stability or instability, productivity, etc. Simple eyesight saving surgery for example both enables the patient, and generally 2 caregivers, to move from unproductive to productive. It is estimated that 90% of the world’s blindness is relatively easily treated. Medical and health issues (which include starvation and the ravages of poor diet) lead to significant issues in regional stability, especially when children and parents are involved.  This is an area where we find communities more and more dependent on government services or outside organizations. The ability of a government or community to provide for basic education, health, and medical services is a critical measure. A capacity that produces effective governance and infrastructure is critical to stability and security in this area. Communities have also found ways to build enduring socio-economic structures through NGO and industry support. Government support of outside organizations that provides services, promotes public-private partnerships, and builds capacities in affected communities seems to meet with the highest success. | |
| E | Economics | All changes have to consider economics. The economics need to consider standard economic factors as well as the underground and illegal economics. When legal methods to make a living are not available, illegal methods will flourish.  Traditional analysis tends to support measures critical to macroeconomics and business. These measures usually fail to indicate capacity building successes or any effect on stability. It is important to focus on the affected community and find critical elements to measure for effect. Popular surveys that reflect perceptions have proven effective as well as measures that highlight adequacy of income. In other words, capacities that enable community leaders to address peaks in prices, costs of basic needs, subsidies and corruption of subsidies, and perception seem to be the most relevant. | |

Table 1: The key elements of PRIME can be used to predict stability and security in a Region, Nation, or Community.

The impact of capacity building activity can produce a positive or negative outcome to one or more stability elements. In addition, these five elements serve as the foundation of the COCOMs’ ability to effectively assess and evaluate progress in terms of engagements, programs, or strategy implementation. For example, a capacity building activity that enhances port security, such as Department of Energy’s mega port project, will produce outcomes that strengthen and stabilize the local economy. This capacity is designed to enhance partner nation security cooperation capacities for a multitude of activities such as trafficking and counter proliferation of weapons of mass destruction to more long-term goals of mitigating natural and man-made threats, protect the environment infrastructure, and enhanced partner nation public confidence in its government.

**Small Business Innovative Research (SBIR).** In SBIR Phase I, SPS proposes to evaluate defined portions of the TCP and its objectives, and to tailor the SPE solution to address assessments within the defined scope. By defining a subset of the TCP and its objective to be studied, we can rapidly focus the tools in a proof of concept fashion and demonstrate a level of progress. The assessment framework focused in this fashion will allow for clearer communication with the intended users and will allow a clear strategic narrative that helps the users to give focused feedback in the Phase I. The ultimate goal will be to provide a comprehensive tool suite to allow the COCOM commander, SecDef, and CJCS understand how well strategy implementation is proceeding and why.

In SBIR Phase II, we propose to 1) integrate processes developed from SBIR Phase I through coordination and practical application as part of current J83 assessment processes, 2) modify and improve SPA applications to assess and link TCP shaping and war fighting phases to highlight opportunities, gaps, and measures of success, 3) provide measures of performance in executing tasks that support strategic objectives, effectiveness in achieving objectives, and resource effectiveness in investments, and 4) refine SPA tools and methods to align and integrate with military processes, training, and education. SPS would also provide Right to Use licenses and training as part of the materials developed for the test COCOM. In the SBIR Phase III SPS will propose to 1) validate ability of SPA assessment tools and methods to address AOR dynamics through exercises or modeling and simulation, 2) apply successful assessment tools to candidate COCOMs actively linking strategic objectives to country plans, and 3) explore integration of SPA or elements thereof as part of military education, processes, or strategy.

The concept emphasizes assessment of Phase 0/5 with the same level of confidence as is available in today’s assessment of Hard Power. Together, these two will be the baseline for a comprehensive TCP assessment solution (Figure 2).

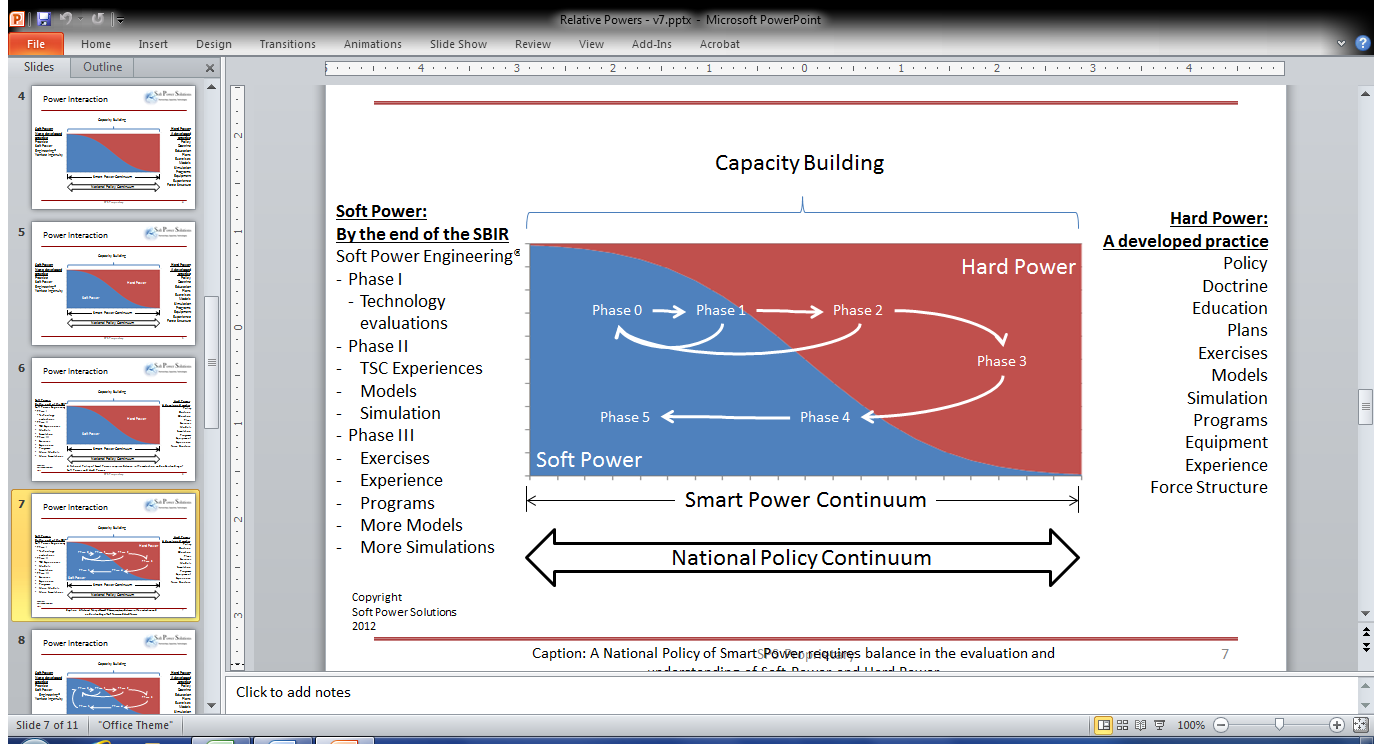
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Figure 2: TCP Assessment. SPE’s whole of nation approach requires balance in the analysis, evaluation, and understanding of Soft Power and Hard Power (supporting Stability and War Fighting)

**Strategic Approach – Phase I:**

1. Evaluate SPA effectiveness towards helping to assess how well the implementation of the COCOM’s strategy is proceeding and why
2. Determine areas in the SPA process which could be improved to make its use easier and transparent
3. Seamless integration into current processes to avoid, mitigate or reduce the target COCOM’s staff workload (currently PACOM is the targeted COCOM)
4. Work with the targeted COCOM staff to validate and garner support of the approach
5. Document successes, challenges, and failures within the process
6. Identify training and education needs

**Technical Approach:**

1. Gain appropriate security clearances and determination if classified processing is required
2. Review the TCP strategic objectives and select portions of the TCP to assess
3. Work with PACOM J8 staff to assist the processes and purposes through SPA application
4. Identify the candidate TCP elements for review and plan execution focused assessments.
5. As a minimum, assessments will address the following to provide strategic narrative for assessment
   1. Performance in executing planned tasks that support objectives
   2. Effectiveness in obtaining objectives
   3. Resource effectiveness and measures of investment
6. Gain access to the chief investigator of with clear direction based on current practices, associated directives, and any exceptions
7. Review all elements of the TCP using the SPA evaluation process with at least one (1) participating member of the PACOM staff
8. Provide written reports for emphasizing desired outcomes, impact, and likelihood of success
9. Summary report to discuss the effectiveness of the effort and the reviews for consideration of changes in SBIR Phase II

**Conclusion.** TCP assessments are a necessary precursor to plan development and adaptation to the AOR’s dynamics. The current security cooperation framework begins its resource and planning processes with a focus on measuring effectiveness of individual programs and tends to lose sight of strategic goals and changing situations. On occasion, this focus causes some programs to be at odds with other programs or become inconsistent with strategy development and implementation (RAND, 2009). It is not uncommon to find that what the analysts and decision makers experience are at odds with formal assessments. For instance; our “warfighting centric” methods and measures may cause an effort to look good on paper, but did not reveal a strained peacetime relationship leading to missteps or setbacks.

SPA facilitates the COCOM’s ability, desire, and obligation to focus on strategy implementation through its TCP first, then adopt and continually monitor individual programs that fill strategic gaps. Exploring and developing SPA as part of PACOM’s TCP assessment activity will help planners determine whether TCP implementation is filling the gap between baseline and objectives, where it is not, and why. An SPA approach can also help validate elements of TCP design, justify actions and resources, facilitate strategic discussions, support risk management, and facilitate feedback to national leadership.

TCP assessments must go beyond the task of marking the beginning and end of a planning cycle. Assessments need to facilitate the plan’s ability to adapt to dynamics within the AOR, align resources and measure resource investment, focus on strategy implementation, and facilitate extending the planning horizon into future planning cycles. This is where SPS and the SPA solution could help.

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