

## DOCTRINE STUDY GROUP PROCESS SUMMARY FOR PHASE II: REQUIREMENTS

The objective of the Second Phase of the Doctrine Study Group was to establish requirements that would serve as the foundation for developing a USCG doctrine process. Slide 19 of the attached power point presentation lists those requirements.

The attached presentation also captures the steps of the process used to develop the requirements. First, the group provided context and practical definitions for policy, doctrine, and TTP in order to establish common and consistent benchmarks for the group's discussions. Second, the group reviewed past reports on doctrine, including the 1995 Report of Field Commanders' Concept of Doctrine, hereafter referred to as the Applebaum Study. The group affirmed the results of the Applebaum Study, finding that most of its assessments and conclusions were still valid even after more than a decade. Third, the group captured observations made during Phase I efforts. These provided some perspective and guidance for following steps. Fourth, the group examined the current process. This step included analyzing the DPRI system and spot-checking the amount of doctrine in a sample set of commonly used USCG manuals. This gave the group a basic understanding of the structure, intent, and function of the current system. The fifth and sixth steps consisted of brainstorming the functions and characteristics of an ideal or desired doctrine process. The group defined functions as what it wanted the process to do and defined characteristics as the features or qualities the process should have. These desired functions and characteristics were based on the information provided in steps one through four and the experience and knowledge of the members of the study group. The final step blended all the information from the previous steps to produce a set of requirements for a doctrine process. Phase III will use these requirements as a guide for building a system.

Phase II occurred over a thirty day period in August 2008. The group met once a week, but performed the majority of the work, which consisted mainly of brainstorming and line-by-line reviews, virtually via email. The team lead estimated the group expended 220 person-hours on this phase. The team lead also noted an added value of comparing the observations of this study group to those in the Applebaum Study. Initially, some members of the group expressed some reservations about their own level of expertise and ability to effectively assess the Coast Guard's and other agencies' doctrine processes. After reviewing the Applebaum Study and recognizing similar concerns, observations, and conclusions, however, the study group gained an additional measure of confidence in their own efforts. By connecting these two studies, the group bridges thirteen years of analysis of doctrine and adds credibility to both efforts.

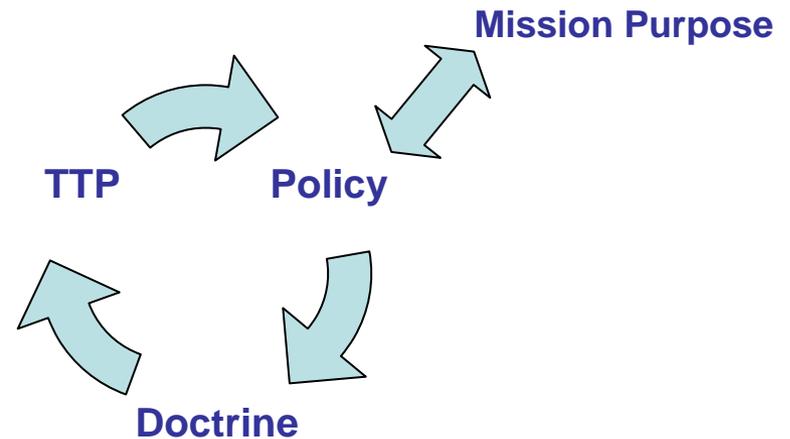
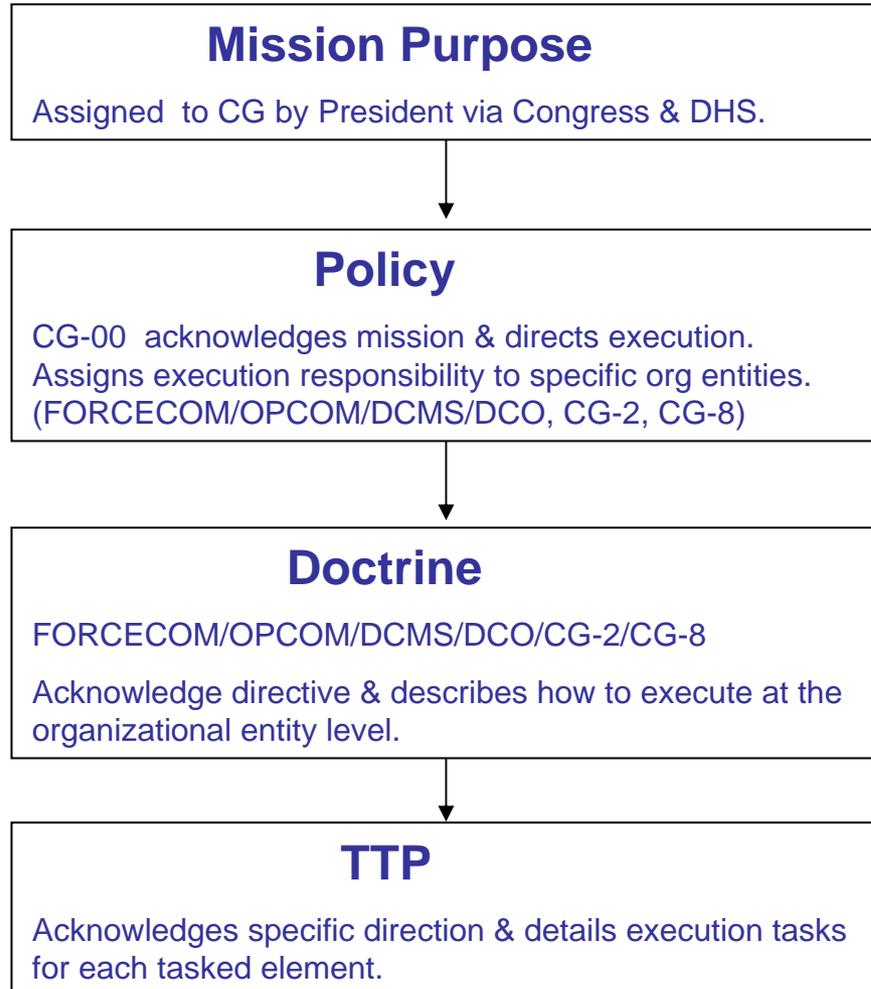
**USCG** policy, **Doctrine** & TTP  
**Requirements & Functions Analysis (Phase II)**

*Rev 8*

Doctrine Study Group August 2008

# Requirements & Functions Analysis

## Doctrine: Context & Scope



Policy WHAT	Doctrine HOW	TTP How
Who	Who	Who
When	When	When
Where	Where	Where
Why	Why	Why

# Requirements & Functions Analysis

---

## Doctrine: Practical Definitions

**Organizational (=Strategic?) Doctrine:** How the CG is organized to execute and support its 11 operational missions. Who has what pieces of which missions. How are they linked to one another. Defines the relationship between offices at HQ, OPCOM, FORCECOM, Districts and Sectors.

**Operational Doctrine:** How those individual CG components execute their pieces of the 11 CG missions.

**Support Doctrine:** Legal, fiscal, budget maintenance etc.

**Tactical Doctrine:** TTPs – how each individual mission performance team or element (aircraft, boat, boarding team, incident manager etc. ) does its job.

# Requirements & Functions Analysis

---

## Agenda

*Steps of this phase include examining or developing:*

### **Situation**

- + Observations**
  - + Current Process**
  - + Desired Functions**
  - + Desired Characteristics**
- 

**= Stated Requirements**



**Provide foundation for development of desired form (Phase III).**

# Situation

---

- Perception exists within USCG that process for establishing, accounting for, cataloging, disseminating, and modifying doctrine is incomplete.
- Opportunity exists to examine current process, envision desired end state, and make recommendations to improve.

# Situation: Why do we need doctrine?

---

## *Report of Field Commanders' Concept of Doctrine, 1995 (Applebaum Study): Unifying Themes*

1. CONTINUOUS IMPROVEMENT
2. FUTURE REQUIREMENTS
3. LONG RANGE VISION AND PLANNING
4. UNITY OF PURPOSE AND EFFORT
5. ALIGNING EXPECTATION AND COMMUNICATING INTERNALLY
6. EFFICIENCY AND EFFECTIVENESS
7. EMPOWERMENT

***See following (hidden) slide for more detail.***

# Situation: Why do we need doctrine?

## *Report of Field Commanders' Concept of Doctrine, 1995 (Applebaum Study): Unifying Themes*

1. **CONTINUOUS IMPROVEMENT:** Incorporating a system of doctrine would enable continuous improvement by better assimilating lessons learned, bridging disconnects between training and application, and availing USCG of an adaptable and evolutionary mechanism for promoting positive change.
2. **FUTURE REQUIREMENTS:** Doctrine provides an framework with which to explore, develop, and justify future requirements (including hardware, training and R&D products, and their associated budget/acquisition processes).
3. **LONG RANGE VISION AND PLANNING:** Doctrine provides a medium to establish clear and firm linkages of USCG roles and missions to national objectives. Closer alignment to commonly understood objectives and priorities could reduce sub Sub-optimal planning and crisis management.
4. **UNITY OF PURPOSE AND EFFORT:** Authoritative doctrine helps focus internal efforts on the things that are important to the organization. Accordingly, it is a tool for bridging or eliminating stovepipes, promoting internal communications, and acculturation or imparting the shared values of the USCG to all of its varied communities and specialties.
5. **ALIGNING EXPECTATION AND COMMUNICATING INTERNALLY:** Doctrine will provide a written reference about the USCG, its values, and its procedures to those outside it. This provides a means to better align expectations and integrate operations with other agencies' and provides assurance to those outside the USCG of what we will do.
6. **EFFICIENCY AND EFFECTIVENESS:** Good doctrine enables the efforts of all levels of the USCG to work together in a mutually supported manner to move the organization forward. This implies both planning on expected behaviors elsewhere in the organization and incorporating lessons learned from the past to continually improve performance.
7. **EMPOWERMENT:** Doctrine is a medium of empowerment – from liaison to program manager to department head and others – arming all USCG personnel with the common authoritative groundwork from which they can, in applying their own initiative and judgment, confidently advance the interests and objectives of the USCG and the nation.

# Situation: Why do we need doctrine?

---

## *Report of Field Commanders' Concept of Doctrine, 1995 (Applebaum Study): Charter*

“The Coast Guard does not have a formalized program for the development and deployment of doctrine, and there are no formal connections among doctrine, training, and resources in our service. Certainly, doctrine exists in myriad forms in the Coast Guard. However, there is no standardized approach and it is by no means universal. The doctrine that is in print today will endure the shelf life of the document or publication containing it; there is no mechanism for readily updating it to meet changes in the operational environment. Perhaps the most serious impact of the lack of a formalized doctrine program is the disconnect of doctrine and training – there is no established mechanism to cycle the valuable knowledge accrued through operational experience and experimentation back into academia and training centers. Thus, the benefits of operational experience and experimentation tend to remain within local circles as opposed to becoming updates in the Service as a whole, sub-optimizing operational procedure and preventing unity of effort. Further, the absence of a formalized doctrine program precludes the use of key factors in making resource decisions.”

# Situation: Why do we need doctrine?

---

## *Report of Field Commanders' Concept of Doctrine, 1995 (Applebaum Study): Excerpts*

**“Frustrated Operators:** Doctrine provides the methodology to tie all the specialized communities (strovepipes) together. Experience and experimentation (research and development) must be tightly woven into that doctrine, which is then passed on to the workforce through training and education. As it is, training and education are not responsive to field needs and lessons learned. Actual experiences are seldom documented and reviewed for incorporation into Coast Guard policies.”

**“Examination of Current System:** The USCG has “doctrine-like” publications and guidance, written and implemented now on a daily basis. These have been developed in an ad hoc, uncoordinated manner by different programs and authors. The guidance is not linked together, nor is it linked to any overall doctrine. These publications are changed without reference to any framework, and without consideration for other evolving efforts.”

**2008 Doctrine Study Group validated the Applebaum Study, including its conclusion that the need for a doctrine system exists.**

# Analysis: Observations from Previous Phases

---

- Organizations with a centralized doctrine oversight function, dedicated resources (many billets & money), and senior leadership support have robust doctrine.
- Organizations that used “proponents” or SMEs from field or training commands to develop doctrine produced effective doctrine.
- Overlap of strategic, operational, and tactical doctrine by tactical and operational commanders is acceptable and should be expected.
- Organizations that established a doctrinal hierarchy and directed specific elements to be responsible for each level of doctrine produced effective doctrine.
- Most systems parsed operational and tactical doctrine along functional lines.
- Naming and numbering systems vary widely, indicating the indexing convention was less important than the usefulness and utility of the doctrine.
- The most current doctrine came from organizations that established a clear review cycle and adhered to it.
- Organizations capable of capturing lessons learned, executing emergent updates, determining effects on other doctrinal pubs, and resolving potential conflicts produced effective doctrine.
- Organizations that placed the greatest value on doctrine had a direct linkage to the training system and organizational standardization systems.

# Analysis: Observations from Previous Phases (con't)

---

- If we don't follow existing process, is it reasonable to expect we will follow a new process?
- Regardless of the process, publications that are poorly written, vague, uncoordinated, inaccessible, unnecessarily complex, minimally staffed, and lack adequate levels of effort, collaboration, quality control, and leadership oversight will be ineffective.
- There is a perception of "All we have to do is pull apart policy, doctrine, and TTP and everything will be clear."
- USCG has a doctrine gap. Do we really? Why?
- Vast majority of USCG personnel seem unfamiliar with the definitions of policy and doctrine. There will be some initial resistance and a learning curve to overcome before significant written results can be produced.

# Analysis: Current Process

*Review of current process will help us determine desired end state:*

---

- Consists of Instructions and Manuals.
- Employs an SSIC Cataloging System.
- Serves as DPRJ Accounting System.
- Vetted via Concurrent Clearance Process.
- Requires FOIA and Privacy Act Review.
- Complies with statutory requirements for record keeping.
- Seems to be HQ focused (i.e. Area and District Instructions not captured).
- Used mostly to publish policy, doctrine and TTP, not manage them (i.e does not identify gaps, notify when updates due, de-conflict inconsistencies).

*(Note: Must describe process as designed vs process as used!)*

# Analysis: Current Process

How much doctrine exists in current process?

## EXAMPLES

- MLEM: Has intro which includes doctrine, but mostly consists of policy (1599 “shalls”; 860 “shoulds”)
- SAR Manual (addendum): Preface, Intro & Chapter One include doctrine. First sections of following chapters include doctrine but then transition to mostly policy or TTP. (Note: Command Center Manual, COMDTINST M3120.20 contains doctrine)
- Personnel Manual: Consists of almost 100% policy and TTP.
- Correspondence Manual: Mostly policy & TTP (is “All correspondence should be clear and concise” = to doctrine?)
- CPPM: Has been parsed into policy, doctrine, and TTP.

***Conclusion: We've got more doctrine than we think; we just don't recognize it as such.***

*Review of current system will help us determine desired end state:*

# Analysis: Desired Functions

*Next step is to determine what we want our process to do:*

---

*Functions Grouped into following areas:*

- Standardization
- Lessons Learned & Best Practices Cycle
- Structured Governance, Hierarchy, Format
- Development, Review, Integration, Coordination, Integration Process

***See following (hidden) slide for more detail.***

# Analysis: Desired Functions

*Next step is to determine what we want our process to do:*

- Establish and maintain a consistent code of beliefs, principles, priorities, or positions that holds true across a broad spectrum of actions and serves as the basis for instructing personnel about the manner in which to conduct activities.
- Provide strategic direction for USCG forces and for those who employ USCG forces, conduct the operational and support activities of the USCG, and prepare, train, or educate USCG forces.
- Define process (incl roles & responsibilities) for the development, approval, revision & cancellation of doctrine (& TTP).
- Establish & maintain a hierarchy to enable development & management of different levels of doctrine.
- Identify governance body, describe its jurisdiction and authority, and set timeline and accountability requirements.
- Provide process of implementing doctrine revisions, including briefings, training, and quality control (i.e. how we do it).
- Provide structural options for sorting and adding doctrine to pubs or producing separate doctrine pubs (i.e. where do we put doctrine).
- Link together overarching doctrine with doctrine at all levels and missions/commands/directorates (stovepipes).
- Ensure doctrine (context for why & how we do things) is incorporated into every publication developed in USCG.
- Standardize terminology, training, relationships, responsibilities, and processes.
- Maintain a clear and concise review cycle that captures lessons learned, incorporates feedback, executes emergent updates, determines effects on other doctrinal publications, and resolves potential conflicts.
- Capture 'best practices' & 'lessons learned' to provide continuous improvement of mission performance.
- Incorporate doctrine into efforts to standardize organization, training, and performance and link improved organization, training, and performance into efforts to enhance doctrine.
- Serve as conduit/catalyst for producing/guiding effective USCG policy and TTP.
- Provide doctrine (& TTP) which is performance based and is focused on mission execution and expected field performance.
- Reduce "mission creep"
- Reduce miscommunication
- Improve clarity of purpose
- Permit greater flexibility of operations

# Analysis: Desired Characteristics

*Next step, determine the features or qualities our process should have:*

---

*Characteristics Grouped into following areas:*

- Complies with all legal requirements.
- Easy to use (priority: field perspective).
- Flexible, Agile, Adaptable, Consistent.
- Governed (by element with authority, Jurisdiction, Accountability).
- Supported and Resourced.
- Collaborative and Integrated.
- Maximizes use of field expertise.

***See following (hidden) slides for more detail.***

# Analysis: Desired Characteristics

*Determine the features or qualities our process should have:*

- Complies with Legal Requirements (incl FOIA & Privacy Act).
- Complies with Records Requirements.
- Consistent with Internat'l Agreements.
- Clear and Concise.
- Timely & Current.
- Realistic.
- Useful.
- Easy to read & easy to use.
- Collaborative.
- Accessed in one location (electronically)
- Web based.
- Employs standardized terms, definitions & requirements.
- Consistent across staffs responsible for producing doctrine.
- Consistent in format, purpose, intent.
- Clearly delineates responsibilities.
- Employs but is not governed by a cataloging system.
- Able to be rapidly updated.
- Is not isolated; integrates with organization, training, and standardization.
- Effectively integrates with policy and TTP.
- Written in the language of the end user/consumer.
- Has centralized oversight function.
- Has sufficient resources to be effective.
- Has support of all levels of USCG leadership.
- Uses SMEs from field to develop doctrine.
- Uses “proponents” to detect and resolve conflicts across USCG components.
- Parses strategic, operational, and tactical doctrine along functional lines but allows (vice constrains) overlap.
- Has feedback loop for updating & incorporating lessons learned.
- Has direct linkages and feedback loops among training, doctrine, and standardization.
- Linked to training system so that doctrine can be operationalized.
- Alerts field of doctrine changes.

# Analysis: Desired Characteristics (con't)

*Determine the features or qualities our process should have:*

---

- Focuses on internal efforts that are important to the organization.
- Applicable and credible to the day to day operations of the organization.
- Coordinated/de-conflicted with DOD & DHS doctrine efforts.
- Has timeline for developing, reviewing, disseminating doctrine.
- Has accountability process.
- Has coordination function to drive/enforce the timeline.



# COA Pre-Development: Requirements



*Established Building Blocks for Phase III:*

1. Full weight and support of USCG leadership.
2. Governance body dedicated to:
  - a. Overseeing, coordinating, ensuring collaboration, enforcing, and de-conflicting the development of doctrine,
  - b. Managing a lessons learned & best practices system,
  - c. Integrating doctrine with policy and TTP at all service levels, and
  - d. Standardizing terminology, training, responsibilities, relationships, structure & processes.
3. Top down, tie in process to ensure alignment of leadership with all levels of organization among all missions.
4. Multi-mission, accessible, easy to populate, pro-active, timely process to capture best practices, preventative and corrective actions (lessons learned), and customer feedback and to serve as entry point (especially for field) for proposing changes/updates to existing doctrine and TTP.
5. Incentives systems to encourage/support service members' focus on doctrine.
6. Dedicated mission, function, directorate & major command "proponents" to review & de-conflict doctrine and TTP publications and streamline 'concurrent clearance' process.
7. Process for coordinating SMEs to convert lessons learned, best practices into doctrine and TTP.
8. Direct linkage & collaboration between doctrine governance body (and its proponents, lessons-learned/best-practices system, SME working groups) and USCG training elements.
9. Alignment with existing DPRI accounting/cataloging process.
10. Process for capturing & reporting future requirements to support budget, acquisition, R&D, training, and long range vision and planning.

**End**

**Proceed to Phase III**