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# Maritime Stability Operations

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MARITIME STABILITY OPERATIONS

1.  Change all instances of MCIP 3-33.02, *Maritime Stability Operations,* to MCIP 3-03.1i, *Maritime Stability Operations.*

2.  File this transmittal sheet in the front of this publication.

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FOREWORD

Marine Corps Interim Publication 3-33.02/Navy Warfare Publication 3-07/ Commandant Instruction M3120.11, *Maritime Stability Operations*, is the initial step in the development of Naval Service (Navy, Marine Corps, and Coast Guard) doctrine for maritime stability operations. It reflects the latest thinking of naval forces concerning stability operations and is influenced by Joint Publication 3-07, *Stability Operations*, and Army Field Manual 3-07, *Stability Operations*.

The purpose of this publication is to highlight the unique aspects of stability operations in the maritime domain that must be addressed by the joint force commander and his planning staff. Its intent is to educate the broader elements of the joint force and other agencies on the role that naval forces play within Government solutions to stability operations. This publication satisfies the Department of Defense policy requirement to promulgate Navy, Marine Corps, and Coast Guard doctrine for stability operations. It expands on doctrine contained in joint and Army publications on stability operations and emphasizes maritime planning considerations. As planning guidance for maritime stability operations, this doctrine is intended for eventual incorporation in future editions of Joint Publication 3-07, *Stability Operations*.

Recognizing that stability operations require a whole of government approach for responding to instability, this publication is intended to inform both military and civilian planners concerning the unique aspects of the maritime stability operations and to identify and to describe those tasks performed by naval forces. This Naval Service doctrine is intended to strengthen civil-military collaborative efforts in support of unified action that prevents and responds to instability.

This publication represents interim doctrine that is authoritative but requires liberal judgment in its application. Evaluation and recommendations concerning this doctrine by organizations involved in maritime stability operations will contribute to its refinement and eventual publication as a doctrinal manual as well as its influence on the evolution of joint stability operations doctrine.

> Within this publication, the Navy, Marine Corps, and Coast Guard constitute the Naval Service and the naval forces.
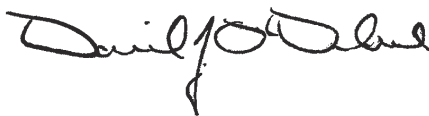
Reviewed and approved this date.

CARI B. THOMAS
Rear Admiral, U.S. Coast Guard
Director of Response Policy

SINCLAIR M. HARRIS
Rear Admiral, U.S. Navy
Director, Navy Irregular Warfare Office

DANIEL J. O'DONOHUE
Brigadier General, U.S. Marine Corps
Director, Capabilities Development Directorate

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# CHAPTER 1

# Overview

The ability to address sources of instability is central to the United States national security. Department of Defense Instruction 3000.05, *Stability Operations*, defines stability operations and establishes as policy that "stability operations are a core military mission that must be conducted with the proficiency of combat operations." It directs the Services to "maintain doctrine and concepts for stability operations activities" and to "conduct stability operations activities throughout all phases of conflict and across the range of military operations, including in combat and noncombat environments; support stability operations activities led by other U.S. Government departments or agencies, foreign governments and security forces, international governmental organizations, or when otherwise directed; and lead stability operations activities to establish civil security and civil control, restore essential services, repair and protect critical infrastructure, and deliver humanitarian assistance until such time as it is feasible to transition lead responsibility to other U.S. Government agencies, foreign governments and security forces, or international governmental organizations."

The Naval Service, through its significant experience in responding to crisis and instability, has developed a substantial body of conceptual work supporting this doctrinal publication. A number of joint and Service documents have further guided the development of this doctrine for maritime stability operations including—

- *Irregular Warfare: Countering Irregular Threats Joint Operating Concept*. This concept reflects the continued evolution in DOD thinking concerning future security challenges and outlines the DOD's approach to improving its capabilities and increasing its capacity for countering irregular threats. The concept probes more deeply into the nature of these threats and the approach required to address them, to include striking the appropriate balance between population-focused and enemy-focused action. It envisions a collaborative process by which all agencies synchronize and integrate their activities and commit to a multinational, multidisciplinary effort to counter irregular threats posed by state and nonstate adversaries.

- *A Cooperative Strategy for 21st Century Seapower*. Promulgated in October 2007 by the Chief of Naval Operations, the Commandant of the Marine Corps, and the Commandant of the Coast Guard, this first-ever Naval Service strategy document describes a naval strategy for addressing a range of security challenges. The strategy stresses the importance of preventing, as

well as winning, wars and highlights the need for globally-distributed, mission-tailored naval forces that can respond to instability.

*Note*: Hereafter, *A Cooperative Strategy for 21st Century Seapower* is referred to as *CS-21*.

- Naval Doctrine Publication 1, *Naval Warfare*. This March 2010 publication describes how the naval forces operate as an integrated force in joint and multinational operations across the range of military operations. It describes the character and employment of US naval forces and explains how naval forces attain both enduring and evolving national objectives.

- *US Navy Vision for Confronting Irregular Challenges*. This document, promulgated by the Chief of Naval Operations in 2010, expands on *CS-21* precepts by describing Navy efforts to prevent, limit, and interdict irregular threats. *The Vision's* desired outcomes reinforce the importance of maritime stability operations closely linked with US and multinational efforts to promote regional security and stability. It emphasizes long-term cooperative relationships that enhance partner nations' abilities to govern their maritime spaces.

- *Naval Operations Concept 2010*. This Naval Service concept describes when, where, and how US naval forces contribute to enhancing security, preventing conflict, and prevailing in war. It builds on two main themes—that naval forces should expect to be engaged in both preventing and winning wars. These themes reflect the content of *CS-21* as well as the guidance provided by the Secretary of Defense in the *National Defense Strategy* (hereafter referred to  as *NDS*) and the *2010 Quadrennial Defense Review.*

- *Marine Corps Operating Concepts, Third Edition*. The thesis of the *Marine Corps Operating Concepts*, *Third Edition* is that sea-based Marines must be organized, trained, and equipped to engage, respond, and project. In order to meet the Nation's needs, the Marine Corps must enhance its ability to engage with a wider set of partners in order to build capability, forge solid relationships, and promote diplomatic access. At the same time, Marine Corps forces must remain ready to respond to crises, and they must also be able to project power—either "soft" or "hard," as the situation requires—from the sea. Collectively, these enhancements will expand the Marine Corps' contribution to prevent conflict, protect national interests, and ensure overseas access.

In addition to the concepts and doctrinal publications mentioned, there have been several events, exercises, and war games that have validated the requirement for a

maritime doctrinal publication and indeed have provided added experience as well as necessary emphasis; namely, a January 2010 Tri-Service Maritime Workshop, Joint Irregular Warrior Series war games (2009-2011), Expeditionary Warrior war game series (2010-2011), and a December 2011 Naval War College Maritime Stability Operations Game focused specifically on stability operations in the maritime domain conducted by the Naval Service.

## STABILITY OPERATIONS DEFINED

The term stability operations is relatively new in the DOD lexicon. For many years, DOD has attempted to describe those operations other than war that involve military forces as military operations other than war. These other operations include peace operations; stability, security, transition, reconstruction (SSTR); and now stability operations.

> *Note*: Previously, stability, security, transition, and reconstruction (SSTR) was the term used when referring to stability operations. It is used here to ensure that the community is aware of this transition of terms.

In Joint Publication (JP) 1-02, *Department of Defense Dictionary of Military and Associated Terms*, stability operations is defined as "an overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief."

Several aspects of the definition of stability operations deserve emphasis and explanation:

- Stability operations are overarching. Stability operations include many subordinate missions, tasks, and activities. Stability-related activities include broad functions, such as support to governance and stabilization, economic development, rule of law, security, and foreign humanitarian assistance (FHA). These operations may be of either a long or short duration and may involve only a few personnel or thousands of personnel.

- Stability operations encompass various actions conducted outside of the United States. The focus for stability operations is overseas, not on important activities that occur within the United States. The underlying premise of stability operations is that a stable world presents fewer threats when compared to a world with pockets of instability. The aim of

stability operations is to remove the underlying source of instability and make the world safer and more secure. While the focus of stability operations is on actions conducted outside the United States in operations overseas, these operations contribute directly to the defense and security of the United States.

- Stability operations are conducted in coordination with other instruments of national power. Whole of government approaches are required in stability operations. Stability operations conducted in countries with a US ambassador are conducted with ambassadorial (or deputy chief of mission [DCM]) coordination and approval. These various missions, tasks, and activities may involve participation from a large number of US Government (USG) agencies, intergovernmental organizations (IGOs), nongovernmental organizations (NGOs), other nations, US ambassadors, and multinational forces.

- Stability operations are conducted to maintain or to reestablish a safe and secure environment and provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief. This important dimension of stability operations acknowledges support to maintain stability in some situations, while in others, to reestablish stability. Stability operations align efforts to provide essential government services, emergency infrastructure reconstruction, and humanitarian relief, making them preventive, as well as responsive, to instability.

Maritime stability operations can be categorized in two broad categories—steady state or crisis response:

- *Steady state* stability operations are conducted by the geographic combatant commanders (GCCs) through their Service components. These operations, conducted with the full concurrence of the host nation (HN) and in full cooperation with the country team, are at the core of the US strategy objective of strengthening partner nations. Planning for these events is generally deliberate and conducted well in advance.

- *Crisis response* stability operations normally involve providing assistance to a country that has a legitimate government as well as a US-country team. Less frequently, crisis response stability operations may involve providing assistance to a country without a legitimate government or US ambassador.

## STABILITY OPERATIONS AS A CORE US MILITARY MISSION

Department of Defense Instruction 3000.05 states "stability operations are a core U.S. military mission that the Department of Defense shall be prepared to conduct with proficiency equivalent to combat operations." Furthermore, it states that the "Department of Defense shall be prepared to . . .[c]onduct stability operations activities throughout all phases of conflict and across the range of military operations, including in combat and non-combat environments."

This policy direction has several important implications for maritime stability operations:

- As a core US mission, vice a lesser included mission of combat operations, naval forces must be organized and equipped to achieve a level of proficiency in stability operations that is equal to that for combat operations. In order to achieve that level of proficiency, new capabilities may be required and existing capacity for stability operations may need to be increased within the naval forces. Maritime stability operations may require innovative organizational approaches, additional equipment sets, and revised training programs. In order to achieve equal proficiency in stability operations, the naval forces will need to tailor force packages for greater synergy, while improving capabilities and increasing capacity to support civil security and control, restore or provide essential services, repair critical infrastructure, and provide humanitarian assistance.

- The six phases of a joint campaign—shape the environment, deter the enemy, seize the initiative, dominate the enemy, stabilize the environment, and enable civil authority—have stability operation implications that are integral to the campaign. For example, lethal actions may facilitate operations in the seize the initiative and dominate the enemy phases, but create insurmountable challenges for establishing maritime stability in the enable civil authority phase. Planning and executing both combat and stability operations as part of a joint campaign helps create the conditions necessary to enable civil authority, thus speeding the transition process. The significance of this campaign phasing construct is that it describes the applicability of military capabilities more broadly than simply defeating an adversary's military forces. It gives greater visibility to sustaining continuous, forward operations, working with numerous and diverse partner organizations, responding quickly to a variety of emergencies, conducting wide ranging and often simultaneous activities, effectively dealing with changing operational situations, and quickly transitioning from one mission to the next.

- Stability operations can occur across a range of military operations. This is an important point because it signals that there are both combat and noncombat uses for stability operations.  Both the Guidance for Employment of the Force and Joint Strategic Capabilities Plan direct the GCCs to include stability operations as part of the theater campaign plan. Security force assistance, security cooperation, and FHA are noncombat stability operations that reinforce the strategic principle that preventing conflict is as important as prevailing in combat.

## UNDERSTANDING MARITIME STABILITY OPERATIONS

Operating from the sea, the Naval Service extends its influence over land, often in close coordination with ground or amphibious forces, to ensure that the maritime commons and its structures support the safe flow of commerce and contribute to good governance. Also, by denying those who wish to engage in illegal activity using the maritime domain, the Naval Service contributes to stability.

The naval forces' primary contribution to stability operations is the provision of maritime security, associated with protecting populations and maritime resources, while strengthening governance in ways that promote economic and political progress. Naval forces may also support other stability-related functions, such as providing humanitarian relief and emergency reconstruction of key infrastructure.

Maritime operations are distinct from other military operations in three key aspects—maritime domain, maritime laws, and force authority.

The principal distinction between the Naval Service and the other Armed Services is the area of operations. The Naval Service operates primarily within the maritime domain, which consists of the oceans, seas, bays, estuaries, islands, coastal areas, and the airspace above these, including the littorals (see JP 3-32, *Command and Control for Joint Maritime Operations* for more information). The significant distinction between maritime domain and maritime environment is the inclusion of the word littoral in the definition of maritime domain. The littoral is comprised of two segments—the seaward portion and the landward portion. The seaward portion is that area from the open ocean to the shore that must be controlled to support operations ashore. The landward portion is the area inland from the shore that can be supported and defended directly from the sea.

Approximately 80 percent of the 195 countries of the world are maritime nations linked together by the seaward portion of the maritime domain. Naval operations in this area are subject to tidal variations, sea states, weather, water depth, currents, and the corrosive influence of salt water. Many nations dispute

territorial boundaries with their maritime neighbors. Tens of thousands of commercial maritime vessels, the backbone of the global economy, transit the global commons daily. Often maritime geography, such as straits or canals, concentrates seagoing vessels in restricted spaces, creating additional challenges. The combinations of water, land, and airspace, as well as space and cyberspace, conspire to present unique operational challenges to naval forces.

A number of common, nondoctrinal terms also describe aspects of the maritime domain:

- *Brown water* refers to the littoral zone from the bays, inlets, rivers, and harbors landward from the navigational approach buoys. Often the term brown water navy refers to military/police forces that patrol harbors and rivers.

- *Green water* refers to the coastal area from the harbor approaches and coastlines seaward to the maximum effective range of coastal patrol craft of limited military and constabulatory capability. Green water navies are regional powers who can extend their fleet a limited range.

- *Blue water* refers to the waters beyond the coastal area unconstrained by landmass known historically as "the high seas." Blue water navies are those who can travel the world while displaying overwhelming force.

## MARITIME STABILITY OPERATIONS: A LEGAL UNDERSTANDING

Another important distinction is that maritime operations in the maritime domain are subject to domestic law and policy, as well as international law. Domestic law includes the legal statutes of the coastal state that apply within their maritime jurisdiction. International law includes both customary international law and international law stemming from various treaties and conventions to which a nation is signatory (e.g., United Nations Convention on Law of the Sea, also called the Law of the Sea Convention, [hereafter referred to as LOSC] and the 1974 International Convention for the Safety of Life at Sea [hereafter referred to as SOLAS]). Often participating nations will enter into bilateral agreements for cooperation in suppressing activity such as the illicit trafficking of narcotics and the unsafe transport and smuggling of migrants.

The underlying concept of the law of the sea is based on freedom of the seas, with a nation's control of the oceans limited to narrow bands adjacent to its coasts. This is the basis for the US policy of respecting and enforcing the rights of freedom of navigation and high seas freedoms for all states. This core element of national policy establishes the standards by which US forces operate in the

maritime domain with respect to sovereign rights of coastal states and freedom of navigation of all states.  It is a critical element of operational planning in the maritime environment, shaping operational norms and informing rules of engagement for concept of operations planning and execution.

The international instrument regulating the uses of the seas and maritime rights of the world's nations is the 1982 LOSC.  Although it is not a party to LOSC, the United States recognizes that LOSC's navigational provisions reflect customary international law (United States Presidential Proclamation of March 10, 1983).  Navigational regimes under LOSC, reflective of customary international law determine the degree of control that a coastal nation may exercise over the conduct of merchant ships, warships, and aircraft operating within these areas.  Understanding these regimes is therefore critical to all phases of operational planning and execution.  The principles regarding sovereignty, navigation, and overflight must likewise be integrated into any associated rules of engagement and other direction on the use of force to achieve mission objectives.

The world's oceans are divided into two parts with each containing various maritime regimes or zones under international law.  The first are *national waters*: internal waters, territorial seas and archipelagic waters.  These national waters are subject to the territorial sovereignty of coastal nations, with certain navigational rights reserved to the international community.  The second are *international waters*: contiguous zones, waters of the exclusive economic zone (EEZ), and the high seas.  In international waters, all nations enjoy the high seas freedoms of navigation and overflight, which includes the right to conduct military operations in these waters.  Integration of these concepts in all planning phases of maritime stability operations is critical to mission success.  A comprehensive description of these zones and their effect on operations in the maritime domain are contained in the tri-Service publication Navy Warfare Publication 1-14M/Marine Corps Warfighting Publication 5-12.1/Commandant Publication 5800.7A, *The Commander's Handbook on the Law of Naval Operations*.

The US Coast Guard is part of the Department of Homeland Security, and is at all times an armed force and a law enforcement organization.  The US Coast Guard is mandated by law to effectively execute 11 distinct and diverse  maritime missions and has the unique statutory authority to concurrently operate as a Military Service under US Code, Title 10, *Armed Forces*,  and as a maritime law enforcement agency under US Code, Title 14, *Coast Guard*.  Specifically, US Code, Title 14, *Coast Guard*, specifically authorizes the US Coast Guard to enforce US Federal laws at sea.  Additionally, the US Navy is statutorily authorized to engage in detection and monitoring in support of counter-narcotics operations in certain areas of operation.  The ability to actively engage in, or

support, law enforcement allows an additional and important aspect of stability operations to be conducted by the maritime services.

## MARITIME STABILITY OPERATIONS TENETS

Although instability can arise from a variety of conditions, the following tenets apply to the planning, coordination, and execution of stability operations in and from the maritime domain:

- HN involvement. To the maximum extent possible, countries experiencing instability must actively participate in defining objectives, conducting assessments, planning, coordinating,  and executing stability operations that lead to the resumption of their authority and effective governance.

- Comprehensive approach. Maritime stability operations usually require unified action by many organizations to reestablish security, perform interim governance functions, repair critical infrastructure, and enable the early resumption of HN economic and governance activities. Achieving unity of effort among many organizations and activities, some with incongruent interests, requires early and continuous coordination.

- Assessment. Understanding the uniqueness of the operational environment and continually updating that understanding through assessment is vital to the planning and execution of maritime stability operations.  It begins with a broad understanding of cultural, historical, political, and regional factors.

- Joint operations. Stability operations generally include land and maritime operations conducted by a range of naval partners.  In most cases, they feature civil-military activities designed to strengthen the HN's ability to govern its maritime spaces.  Force allocation and employment considerations must account for the maritime elements of stability operations.

- Magnitude and duration may vary. Stability operations can be small or large. They can be short or long in duration.

- Security.  Establishing maritime security is a key prerequisite for most other stability operations and activities and may require a range of defensive and offensive actions to create a safe environment for stability-related efforts.

- Transition lead responsibility. Since DOD has expeditionary capacity and capability in the areas of command and control and logistics, it is often given the lead in certain aspects of stability operations.  However, early and continuous coordination and planning with Department of State (DOS) will better shape both the execution of the stability operations as well as assist in the transition to host nation.  The responsibility for transition will normally

be addressed by the DOS, United Nations, and coalition partners, as well as the host nation. The goal of stability operations is to create conditions where the host nation is able to maintain a safe and secure environment and to provide essential services, emergency infrastructure reconstruction, and humanitarian relief.

# UNITED STATES CODE

An important distinction of maritime operations is the broad authorities that are provided to US forces that allow not only for a maritime military presence, but provide for maritime law enforcement or the support of maritime law enforcement. The five uniformed Services that makeup the US Armed Forces are defined in US Code, Title 10, *Armed Forces*, Section 101. The term armed forces means the Army, Marine Corps, Navy, Air Force, and Coast Guard. While the traditional functions (e.g., deterrence, sea control, power projection, forward presence) of the Navy and Marine Corps are generally understood, those of the Coast Guard are not as defined. United States Code, Title 10, *Armed Forces*, and US Code, Title 14, *Coast Guard*, state that the Coast Guard is "a military service and a branch of the Armed Forces of the United States at all times." The Coast Guard may at any time provide forces and/or perform its military functions in support of naval components or GCCs.

Also, "Upon the declaration of war if Congress so directs in the declaration or when the President directs" the entire Coast Guard may operate as a specialized service in the Department of the Navy. The Coast Guard is also, at all times, a federal maritime law enforcement agency. Pursuant to US Code, Title 14, *Coast Guard*, the Coast Guard has broad powers to "make inquiries, examinations, inspections, searches, seizures, and arrests upon the high seas and waters which the United States has jurisdiction, for the prevention, detection, and suppression of violations of the laws of the US." The DOD or foreign naval vessels may assist the Coast Guard in the execution of this law enforcement authority in US and international waters.

United States Code, Title 14, *Coast Guard*, specifically authorizes the Coast Guard to enforce US Federal laws at sea. Therefore, Coast Guard cutters, boats, and aircraft, or US Navy ships with Coast Guard law enforcement detachments embarked, have the authority to conduct law enforcement functions at sea.

# The Current Maritime Environment

Today's economy, supported by advances in telecommunications and improvements in international commercial logistics, increasingly relies on the world's oceans. More than 80 percent of the world's trade travels by water. About half of the world's trade (by value) and 90 percent of the world's general cargo is transported in containers embarked upon seagoing vessels. Thirty megaports/ cities that are spread across Asia, North America, and Europe constitute the world's primary, interdependent trading web. Seventy-five percent of the world's maritime trade and half of its daily oil consumption pass through a handful of international straits and canals.

## SOURCES OF INSTABILITY IN THE MARITIME ENVIRONMENT

A stable maritime environment contributes to global safety and security. The stability of the maritime domain is challenged in many ways by a variety of actors. These actors can be grouped broadly as nation states, terrorists, and transnational criminals and pirates. For example, events over the past decade—the 11 September 2001 terrorist attack, the 2011 uprisings in North Africa and the Middle East, and the 2011 earthquake and tsunami that struck the east coast of Japan—represent the complex challenges affecting the security environment. Additional maritime challenges, such as natural disasters, environmental destruction, and illegal seaborne migration, are also maritime sources of instability.

### Traditional State Challenges

The United States remains the world's preeminent power. There are global and regional powers exhibiting nationalism and assertiveness that test the resolve of the United States and its partners. For example, the dynamics in Asia and the Middle East may challenge regional stability. Some states provide safe havens for criminal and terrorist organizations that use these countries as bases of operations to export illicit activities through the maritime domain and into other areas of the globe. The probability of a hostile state using weapons of mass destruction (WMD) is expected to increase during the next decade. An alternative danger is that a foreign state will provide critical advanced conventional weaponry, WMD components, delivery systems and related materials, technologies, and weapons expertise to another rogue state or a terrorist organization that is willing to conduct WMD attacks. The WMD issues are

of the greatest concern because the maritime domain is the most likely venue to accommodate their transport to the United States.

## Terrorist Challenges

State-sponsored terrorists, terrorist groups, and nonstate terrorist actors exploit open borders, challenge the sovereignty of nations, and increasingly threaten international affairs. With advanced telecommunications, they can coordinate their actions among dispersed cells while remaining in the shadows. Successful attacks in or through the maritime domain provide opportunities to cause significant disruption to regional and global economies. Today's terrorists are increasing their effectiveness and reach by establishing links with other like-minded organizations around the globe. Some terrorist groups have used shipping as a means of conveyance for positioning their agents, obtaining logistical support, and generating revenue. Terrorists have also taken advantage of criminal smuggling networks to circumvent border security measures. The capabilities to board and commandeer large underway vessels—demonstrated in numerous piracy incidents—could also be employed to facilitate terrorist acts.

Terrorists can employ a range of maritime attack capabilities from a variety of platforms, including, but not limited to, the following:

- Explosives-laden suicide boats, light aircraft, and submersibles.
- Merchant and cruise ships used as weapons to ram another vessel, warship, port facility, or offshore platform.
- Commercial vessels as launch platforms for missile attacks.
- Underwater swimmers to infiltrate ports.
- Unmanned, underwater, explosive-delivery vehicles.
- Mines, which are low cost, readily available, easily deployed, difficult to counter, and require minimal training.
- A vessel's legitimate cargo (e.g., chemicals, petroleum, liquefied natural gas) can be used as the explosive component of an attack.

## Transnational Crime and Piracy Challenges

The continued growth in legitimate international commerce within the maritime domain has been accompanied by growth in the use of the maritime domain for criminal purposes. The smuggling of people, drugs, weapons, and other contraband, as well as piracy and armed robbery against vessels, produces instability in the littorals and elsewhere. Piracy and incidents of maritime crime tend to be concentrated in areas of heavy commercial maritime activity,

especially where there is significant political and economic instability, or in regions with little or no maritime law enforcement capacity.

Just as the world's oceans are avenues for a nation's overseas commerce, they are also the highways for the import or export of illegal commodities. Maritime drug trafficking generates vast amounts of money for international organized crime syndicates and terrorist organizations. Laundered through the international financial system, this money provides a huge source of virtually untraceable funds. These monetary assets can then be used to bribe government officials, bypass established financial controls, and fund additional illegal activities; including arms trafficking, migrant smuggling, and terrorist operations. Furthermore, these activities can ensure a steady supply of weapons and cash for terrorist operatives, as well as the means for their clandestine movement.

## Natural Disasters

Earthquakes, mudslides, hurricanes, and tsunamis are examples of natural disasters that often occur in the increasingly crowded littoral regions of the world. Depending on the severity of the disaster, a regional or international response may be required. Naval forces, as a result of their forward deployed posture and their organic capabilities (e.g., vertical and surface lift, medical, food and water, command and control), in addition to their ability to remain offshore in international waters, are frequently provided to assist countries struggling to recover from a natural disaster.

## Environmental Destruction

Intentional acts or acts of nature that result in environmental disasters can have far-reaching, negative effects on the economic viability and political stability of a region. Also, in recent years, competition for declining marine resources has resulted in a number of violent confrontations as some of the world's fishers resort to unlawful activity. These actions continue to have the potential to cause conflict and regional instability. Similarly, massive pollution of the oceans could result in significant damage to ecosystems and undermine the national and economic security of the nations that depend on them.

## Illegal Seaborne Migration

The unsafe transfer and smuggling of undocumented migrants is a long standing issue that will remain a major challenge to regional stability and probably grow in scope and severity, especially if the number of failed or failing states increases. Transnational migration, spurred by a decline of social well-being or internal political unrest, has become common over the past decades and will continue to

drive the movement of many people, with the potential to upset regional stability because of the strain that migrants and refugees place on fragile economies and political systems. In some countries, the collapse of political and social order prompts maritime mass migrations, such as what the United States has experienced from Cuba and Haiti or that Europe has experienced from North Africa. Immigration can also be used as a political tool such as the mass migrations from Cuba to the United States that were unleashed by Fidel Castro. When mass migrations occur, the humanitarian and enforcement challenges presented by the response to such migrations require a significant commitment of maritime security resources.

# THE STRATEGIC IMPORTANCE OF STABILITY

The strategic rationale for stability operations is that a stable world presents fewer threats when compared to a world with pockets of instability. A strategic purpose of stability operations is to remove underlying sources of instability and assist in setting conditions for longer term requirements for responsive political and economic systems. Six, high-level documents describe the strategic framework for US naval forces in maritime stability operations—*Sustaining U.S. Global Leadership: Priorities for 21st Century Defense, National Security Strategy, NDS, National Strategy for Maritime Security, National Military Strategy*, and *CS-21*.

## Sustaining U.S. Global Leadership: Priorities for 21st Century Defense

The most recent defense strategic guidance contained in this publication lists three primary missions for US Armed Forces related to stability operations:

- Provide a stabilizing presence. "U.S. forces will conduct a sustainable pace of presence operations abroad, including rotational deployments and bilateral and multilateral training exercises. *However, with reduced resources, thoughtful choices will need to be made regarding the location and frequency of these operations*."

- Conduct stability and counterinsurgency operations. "In the aftermath of the wars in Iraq and Afghanistan, the United States will emphasize non-military means and military-to-military cooperation to address instability and reduce the demand for significant U.S. force commitments to stability operations. U.S. forces will nevertheless be ready to conduct limited counterinsurgency and other stability operations if required, operating alongside coalition forces wherever possible."

- Conduct humanitarian, disaster relief, and other operations. "U.S. forces possess rapidly deployable capabilities, including airlift and sealift, surveillance, medical evacuation and care, and communications that can be invaluable in supplementing lead relief agencies, by extending aid to victims of natural or man-made disasters, both at home and abroad."

### National Security Strategy

The *National Security Strategy* identifies four enduring American strategic interests:

- The security of the United States, its citizens, and US allies and partners.
- A strong, innovative, and growing US economy in an open, international economic system that promotes opportunity and prosperity.
- Respect for universal values at home and around the world.
- An international order advanced by US leadership that promotes peace, security, and opportunity through stronger cooperation to meet global challenges.

### National Defense Strategy

The *NDS* emphasizes that the security of the United States is tightly bound with the security of the broader international system. The United States additionally seeks to improve the capacity of other nations to withstand the challenges posed by rogue states and internal threats.

The five key military objectives included in the *NDS* are the following:

- Defending the homeland.
- Winning the long war.
- Promoting security.
- Deterring conflict.
- Winning our nation's wars.

The *NDS* describes how the five key military objectives can be achieved—

- Shaping the choices of key states.
- Preventing adversaries from acquiring or using WMD.
- Strengthening and expanding alliances and partnerships.
- Securing US strategic access and retaining freedom of action.
- Integrating and unifying our efforts: A new jointness.

### National Strategy for Maritime Security

The 2005 *National Strategy for Maritime Security* aligns all Federal Government maritime security programs and initiatives into a comprehensive and cohesive national effort involving the appropriate Federal, state, local, and private sector entities. The *National Strategy for Maritime Security* includes eight supporting plans that address the specific threats and challenges of the maritime environment. While the plans address different aspects of maritime security, they are mutually linked and reinforce each other. The supporting plans are as follows:

- National Plan to Achieve Domain Awareness.
- Global Maritime Intelligence Integration Plan.
- Interim Maritime Operational Threat Response Plan.
- International Outreach and Coordination Strategy.
- Maritime Infrastructure Recovery Plan.
- Maritime Transportation System Security Plan.
- Maritime Commerce Security Plan.
- Domestic Outreach Plan.

Together, the *National Strategy for Maritime Security* and its eight supporting plans present a comprehensive national effort to promote global economic stability and protect legitimate activities, while preventing hostile or illegal acts within the maritime domain.

### National Military Strategy

The 2011 *National Military Strategy*—

- Emphasizes that there are a number of state and nonstate actors with a growing ability to exert consequential influence both regionally and globally.
- Acknowledges that the strategic environment of the future will require military force to be applied in coordination with the other elements of national power, especially the diplomatic element.
- Identifies four national military objectives:
  - Counter violent extremism.
  - Deter and defeat aggression.
  - Strengthen international and regional security.
  - Shape the future force.

### A Cooperative Strategy for 21st Century Seapower

*CS-21*, signed in 2007 by the Service Chiefs of the Navy, Marine Corps, and Coast Guard, represents the first time the three Naval Service have collaborated on a unified maritime strategy. *CS-21* identifies six capabilities that comprise the core of US maritime power and reflect an increase in emphasis on stability operations (i.e., those activities that prevent war and build partnerships). The six areas of capability are as follows:

- Forward presence.
- Deterrence.
- Sea control.
- Power projection.
- Maritime security.
- Humanitarian assistance/disaster response.

    *Note*: Perhaps most significantly, *CS-21* advances the idea that "preventing wars is as important as winning wars." The focus of *CS-21* is on increasing capability and capacity in stability operations.

## WHAT THE NAVAL SERVICE PROVIDES

The Naval Service provides the United States with a multipurpose expeditionary team whose capabilities are applicable across the range of military operations. While most frequently employed to prevent conflict, these forces are manned, trained, and equipped to prevail in combat by providing the following capabilities to the joint force commander (JFC):

- Forward presence. Given the dynamic nature of stability challenges, forward presence provides opportunity for responding to disasters/providing humanitarian assistance; and deterring aggression from state and nonstate actors. Forward presence permits more effective response to instability by creating conditions that stregthen HN governance.
- Persistent presence is provided while operating forward and respecting the sovereignty of others. Naval forces conduct military engagements and security cooperation to build partnerships; prevent and deter conflict; communicate the intent of the United States, conduct crisis response and limited contingency operations; and, when necessary, facilitate the introduction of additional naval, joint, or multinational forces, as well as interagency, multinational, IGO, or NGO. The Naval Service's ability to operate in the maritime domain allows it to operate offshore, providing

critical support while decisionmakers determine the full scope of US Navy involvement and respecting the sovereignty concerns of both host nation and regional partners.

- Self-sustaining, sea-based expeditionary forces are uniquely tailored to prevent and prevail from the sea with minimum reliance on ports or airfields in an objective area. For the Naval Service, expeditionary is not limited to being an armed force organized to accomplish a specific objective in a foreign country. Being expeditionary is one of the defining characteristics of the Naval Service—ready to respond when leaving the pier, persistently forward postured, and self sustaining.

- Maritime domain expertise is ensured. Since the naval forces are skilled at operating in this maneuver space, they are fully cognizant of the complexities of the sea, air, and land interfaces.

- Flexible force options are scalable with respect to capability, capacity, and legal authorities. Naval force posture is a cost-effective means for influencing events in the littorals while remaining ready to respond to crisis. When required, naval forces can be rapidly reinforced by other naval forces surged from globally-dispersed locations. The inherent mobility, organizational agility, and self-sustainability of a maritime force provides GCCs with a variety of options, including the ability to command and control joint task forces (JTFs) from afloat and ashore across the range of military operations.

- Expanded deterrence is provided through credible, maneuverable, forward deployed, and scalable power projection capabilities (e.g., ballistic-missile defense, nuclear strike, prevention activities) that build capable partners and address the causes of instability and conflict.

- Joint, multinational, and interagency personnel to facilitate comprehensive stability efforts.

# CHAPTER 3

# Planning Considerations

Maritime stability operations' planning considerations require a comprehensive approach that ensures coordination among the participants and sufficient funding for the desired efforts.

## COMPREHENSIVE APPROACH

Stabilization efforts are primarily the responsibility of development and foreign service personnel from across the USG. The DOS—

- Is responsible for leading a whole of government approach to stabilization.
- Leads and coordinates US interagency participation in a comprehensive approach to stabilization efforts that include not only the United States, but also the host nation, other nations, IGOs, cooperating NGOs, and other participants.

Most stabilization activities occur in a nation state and the primary coordination occurs with the country team (see app. C). The GCC formulates a theater security cooperation plan with the country teams that are located within his region.

## COALITION PARTNERS

Maritime stability operations often include coalition partners. This is especially true in humanitarian assistance and disaster-relief operations. Coalition partners bring expertise and needed capabilities that must be integrated into the operation as part of the comprehensive approach.

## THE JOINT FORCE COMMANDER

The US military conducts joint operations and these operations are commanded by a JFC. A JFC may be a GCC, subunified commander, or JTF commander authorized to exercise combatant command (i.e., command authority) or operational control over a joint force.

## RANGE OF MILITARY OPERATIONS

The United States employs its military capabilities at home and abroad, in a variety of operations in support of its national security goals. These operations vary in size, purpose, and combat intensity within a range of military operations that extends from military engagement, security cooperation, and deterrence activities to crisis response and limited contingency operations, and, if necessary, to major operations and campaigns. The use of joint capabilities in military engagement, security cooperation, and deterrence activities shapes the operational environment and helps to keep the day-to-day tensions between nations or groups below the threshold of armed conflict, while maintaining US global influence.

## NAVAL FORCES IN UNIFIED ACTION

Unified action is defined as "the synchronization, coordination, and/or integration of the activities of governmental and nongovernmental entities with military operations to achieve unity of effort." (JP 1, *Doctrine for the Armed Forces of the United States*) Unity of effort—the product of unified action—is defined as "the coordination and cooperation toward common objectives, even if the participants are not necessarily part of the same command or organization—the product of successful unified action." (JP 1-02)

During the phase of a joint campaign that is referred to as the shape the environment phase, GCCs conduct operations through their Service components. In all other situations requiring the use of military force, GCCs create JTFs that provide air, ground, and naval forces to the JTF commander. Most JTF commanders organize by function with air, ground, and naval components. When in the role of a Service and/or functional component, naval forces provide air, land, and sea capabilities to the JTF commander for coordination and/or integration with the activities of governmental and nongovernmental entities to achieve unity of effort.

## CIVIL-MILITARY OPERATIONS

At the strategic, operational, and tactical levels and across the full range of military operations, civil-military operations are a primary military instrument used to synchronize military and nonmilitary instruments of national power, particularly in support of stability, counterinsurgency, and other operations dealing with asymmetric and irregular threats. Therefore, maritime stability operations place new and greater demands for this capability within the operating forces.

## COMMAND RELATIONSHIPS

The interrelated responsibilities and authorities of the participants in stability operations often create friction. This is especially true in maritime stability operations. Detailed planning and good personal relationships are critical for unity of effort. Clear lines of responsibility are essential—ranging from the ambassador, through the JFC, to the maritime force commander. Coalition partners and commercial mariners are often participants in maritime stability operations that require high levels of coordination and cooperation to ensure unity of effort. Plans must be based on a current initial assessment and be adjusted as the situation requires. Navigable rivers, ports, maritime commerce, and maritime threats must be considered when determining boundaries between force components. Early and aggressive use of liaison officers aids planning, helps prevent surprises, and elevates situational awareness of participants.

## INFORMATION DOMINANCE

In addition to the requirement for early and accurate understanding of factors contributing to instability, international media interest, especially when there is human suffering, requires careful alignment of maritime stability actions with narratives that enhance HN governance and deter exploitive or aggressive actions by state and nontate actors. Conversely, controlling the strategic narrative will assist in influencing how and what the relevant population thinks is legitimate.

## FUNDING STABILITY OPERATIONS

Congress imposes fiscal controls that limit the Executive Branch's ability to obligate and expend appropriated funds. Multiple funding sources (e.g., DOD, DOS) may have to be used to fund stability operations, adding additional layers of complexity.

A thorough understanding of funding sources and authorities is necessary to provide fiscal support for stability operations. The DOS is the largest single provider of foreign assistance on behalf of the USG; however, use of DOD operations and maintenance funds has specific limitations in stability operations. Generally, operations and maintenance can be used to fund and train foreign military forces only if the purpose of the training is interoperability, safety, or familiarization of those forces with US military forces. Therefore, it is important to know where funding may be available, depending on the nature of the stability operations being conducted.

For stability operations of extended duration, Congress may provide specific funding authorizations. In recent contingency operations, Congress appropriated additional funds to commanders specifically for the purpose of stability operations and related mission types (e.g., counterinsurgency). Examples of specific funding authorized include the Commander's Emergency Response Program, the Iraq Relief and Reconstruction Fund, Iraq Freedom Fund, and Commander's Humanitarian Relief and Reconstruction Program Funds.

## ASSESSMENT

Assessment is defined as "a continuous process that measures the overall effectiveness of employing joint force capabilities during military operations." (JP 1-02) It is used to determine progress toward accomplishing a task, creating an effect, or achieving an objective.

Assessment provides understanding that is vital to planning and execution of maritime stability operations. Assessing the sources of instability in a failing or failed state requires a broad understanding of culture, governance, and history, as well as the nature of the maritime environment. Assessment should be collaborative and include other USG agencies, HN partners, IGOs, NGOs, and private sector interests.

Assessment begins as soon as the maritime force receives an alert or warning and does not end until after the maritime force has ceased operations and left the area. The initial assessment serves as the basis for planning. Planning develops this into an operational assessment that determines how well the plan is being carried out and if objectives are being met. Plans may be changed as required by the evolving situation.

### Initial Assessment

The purpose of the initial assessment is to understand the situation and determine the nature, scope, and severity of the problem(s) at hand. Since the situation is always more complicated than it seems when the naval force first becomes involved, the initial assessment should be a collaborative effort of the naval force and partnering agencies—US military and Federal civilian agencies, international civilian and military agencies, and HN civilian and military agencies.

If there is not enough time to thoroughly conduct the initial assessment or to work the assessment with partner agencies before planning has to begin, then the initial assessment process will continue simultaneously with the planning. From

this perspective, the initial assessment will continue to inform the planning process as new partners join and new developments arise.

## Operational Assessment

Operational assessment has three purposes that are conducted in the following order:

- Monitor the nature, scope, and severity of the situation to present the situation.
- Track the naval force's implementation of the plan in combination with collaborating agencies to determine what key actors are doing.
- Evaluate progress towards achieving goals or objectives, which builds on the other two purposes and answers the question, "So what?"

The operational assessment should reflect the achievements of collaborating partners. For example, naval force activities will be necessary for achieving goals and objectives of the JFC, but cannot do so alone. Obtaining reliable information surrounding the social, cultural, political, and economic status is necessary to achieve an accurate assessment.

> *Note*: Assessors should exercise caution when using sources that claim they can provide this information quickly. An assessment based on faulty information could result in counterproductive naval force actions. Before proceeding with the information provided, the assessor should postulate, hypothesize, and clearly state what assumptions the evaluation process is making. Assessors would seek information to test assumptions and revise estimates as operations continue.

## Assessment Frameworks

Several conflict assessment frameworks have been developed to assist in stability operations assessments. Depending on their specific purpose, they can be used as tools to develop an interagency initial assessment, assess tactical conflicts, or measure progress. The *Maritime Security Sector Reform (MSSR) Guide* (see app. A) published by the DOS is a very useful assessment tool for maritime stability operations.

> *Note*: Hereafter, *Maritime Security Sector Reform (MSSR) Guide* is referred to as *MSSR Guide*.

## TRANSITION

### General

Transition is a passage from one state, change, subject, or place to another. There are two important aspects to transitions:

- As the naval force is often first on the scene with the greatest security capability, it is often made the lead agency for some initial aspect of the stability operation. While the naval force accepts this responsibility, it must plan for an early transition of the lead to the more appropriate government agency (normally DOS) once the security situation is restored.
- Reinforce the host nation capability and capacity to fulfill and exercise their authority and responsibility.

Transitions must be planned. For example, consider naval forces engaged in FHA. The transition challenge revolves around the limited resources and capabilities of most aid providers and the restrictions on US Code, Title 10, *Armed Forces*, funding of these nonmilitary functions. In planning the transitions for FHA, the JFC must coordinate closely with the country team and GCC to establish timelines and public information related to the transition of maritime support to FHA activities.

### Transitional Military Authority

In some cases, a transitional military authority may be required in an ungoverned area, occupied territory, or an allied or neutral territory liberated from enemy forces (e.g., insurgent or rebel forces). A transitional military authority is a temporary military government exercising the functions of civil administration in the absence of a legitimate civil authority. It exercises temporary executive, legislative, and judicial authority in a foreign territory. The authority to establish military governance for US military personnel resides with the President of the United States. The US forces will only assume control as prescribed in directives to the JFC.

## JOINT OPERATION PLANNING PROCESS

The joint operation planning process provides a generic, logical planning process that commanders and planners can apply at any level and to any operation. The JFCs and their staffs should consider how to involve relevant government agencies and other nonmilitary organizations in the planning process and how to integrate and synchronize joint force actions with the operations of these agencies.

One of the challenges associated with planning maritime stability operations is ensuring consideration of a broader and somewhat unfamiliar set of functions and tasks to include those required of interagency coordination.

The first four steps of the joint operation planning process—planning initiation, mission analysis, course of action (COA) development, and COA analysis and wargaming—provide important maritime stability operations planning considerations for the JFC and component commanders.

## Planning Initiation

The initiation step—

- Establishes preliminary contact with the country team.
- Establishes contact with JTF commander and other component commanders.
- Establishes contact with coalition partners.
- Advises JTF commander on the location of the boundary between the land and the maritime component commanders.
- Begins to identify range of funding sources available.
- Examines applicable national and international maritime laws.
- Conducts the initial assessment.

## Mission Analysis

The mission analysis step—

- Forms an inclusive planning team with wide representation to ensure linkage with interagency, coalition partners, and the host nation.
- Understands the design of the JTF and ensures that planning efforts nest within it.
- Establishes transition criteria with measures of effectiveness and performance.
- Supports the development of the strategic narrative.
- Ensures that rivers fall under the maritime component commander as an extension of the littoral area of operations. If this is not possible, they are controlled by the land component commander.
- Analyzes navigable rivers or estuaries that are national boundaries, paying particular attention to those that support oceangoing vessels.
- Examines port facilities, warehouse capacity, and transportation capabilities.
- Reviews the initial assessment.

- Ensures that the maritime analysis carefully considers the complex set of actors that include public, private, military, civilian personnel, and organizations with a range of motivations.
- Ensures that the analysis includes the identification of transnational entities (e.g., the United Nations, the Organization of Petroleum Exporting Countries, the European Union, the Organization for Economic Cooperation and Development, as well as regional organizations).
- Identifies capability shortfalls (e.g., civil affairs, engineers).
- Identifies important culture, religion, tribal, family, and gender considerations.
- Provides sufficient liaison personnel to ensure unity of effort.
- Incorporates other organization liaisons into the maritime component.
- Identifies any disputed maritime territory.
- Identifies the appropriate public and private international maritime laws.
- Identifies if the country being supported is a signatory to LOSC III.

## Course of Action Development

The COA development step—

- Strives for quick successes to help build momentum.
- Considers battlespace options that preserve maritime freedom of navigation.
- Ensures that COAs do not restrict or preclude the traditional use of the waterways in the area of operations.
- Provides for refugee and detainee management.
- Provides a platform for special operations forces on afloat forward staging bases, as required.

    *Note*: At least one COA should leverage the advantages of seabasing (e.g., force protection, small footprint ashore).

## Course of Action Analysis and Wargame

The COA analysis and wargame step—

- Includes white, green, and red cells during the war game.
- Uses existing NGO/IGO/private sector interest assessments and open source analysis tools.
- Ensures that lethal effects do not result in unmanageable consequences in subsequent phases.

- Ensures that the land and maritime component commanders are given adequate battlespace to best ensure mission success.
- Ensures that the maritime area of operations contains sufficient littoral area to allow for an effective coordinated action to control the land and sea boundary.
- Ensures that the COAs include consideration for human rights that are traditionally guaranteed by the state or international organizations that are empowered to do so.
- Ensures that the communications plan supports unity of effort.
- Examines the plan for intelligence and information sharing with all partners.
- Identifies the logistical requirements (e.g., food, water, shelter, medical, transport, engineering) that must be provided to other actors/partners and the host nation.
- Assesses the impact of a maritime environmental disaster (e.g., oil contamination).
- Assesses the COA against the strategic narrative.
- Ensures that funding has been identified to support all aspects of the COA.

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# CHAPTER 4

# Functions and Tasks

JP 3-07, *Stability Operations*, identifies security, humanitarian assistance, economic stabilization and infrastructure, rule of law, and governance and participation as stability operations functions. These functions are described as tools to help visualize the conduct of an operation, sequence activities within an operation, and develop appropriate priorities for activities and resource allocation. Additionally, they are in alignment with stability functions identified by the DOS and Bureau of Conflict Stabilization Operations, who work closely with the Chief of Mission and Regional Bureaus. The functions are distinct, yet interrelated. For example, positive action in one function may have an impact across other functions. Functions are intended as a guide for action that support a unity of effort across all sectors of the USG and the host nation. Although referred to as functions, they serve a similar purpose to logical lines of operation in counterinsurgency doctrine because they can be used to connect effects with objectives.

This chapter discusses the functions and selected tasks from a maritime perspective, slightly modifying some of the functions to help focus more narrowly on the principal tasks that naval forces may provide to stability operations. Maritime tasks are listed under the function they primarily support, although many tasks support multiple functions.

## MARITIME SECURITY AND SAFETY

Maritime security and safety are critical prerequisites for effective maritime governance and the free flow of commerce. Achieving a secure and safe maritime environment requires a range of intelligence, surveillance, and reconnaissance activities; sharing of information with maritime partners; and effective management of ports, harbors, rivers, and coastal waterways.

The following subparagraphs address the tasks associated with the maritime security and safety function.

### Aid to Distressed Mariners Operations

Under customary international law, masters of vessels have an obligation to render assistance to other mariners in distress. Furthermore, US law requires a master to render assistance, but only if the master can do so without serious danger to the master's own vessel or passengers.

Strengthening the ability of coastal states to render aid to distressed persons and to protect and save property, as well as life at sea, is the goal of this task. This goal is accomplished by promoting the governmental processes, competencies, capabilities, and professionalism of a national search and rescue service in cooperation and coordination with other search and rescue organizations, bi-lateral and regional cooperation and adherence to international laws, standards, and practices.

## Antipiracy Operations

Antipiracy operations are actions taken to thwart "an illegal act of violence, depredation (e.g., plundering, robbing, or pillaging), or detention in or over international waters committed for private ends by the crew or passengers of a private ship or aircraft against another ship or aircraft or against persons or property on board such ship or aircraft. For US flagged vessels, appropriate preventative actions should be taken in accordance with *Maritime Security Directive 104-6 (Rev. 3)* (This document is classified Sensitive Security Information/For Official Use Only).

## Arms Control

Arms control includes activities performed by military forces to verify conventional, nuclear, biological, or chemical arms control agreements. Those actions may include seizing or destroying weapons, dismantling or disposing of weapons and hazardous materials, and escorting deliveries of weapons. Arms control also encompasses any plan, arrangement, or process controlling the numbers, types, and performance characteristics of any weapon system. Furthermore, these activities help reduce threats to regional security and assist in implementing arms agreements.

## Maritime Counterterrorism Operations

Counterterrorism is actions taken directly against terrorist networks and indirectly to influence and render global and regional maritime environments inhospitable to terrorist networks. (JP 1-02) This applies to countering all irregular threats occurring in the maritime domain—both HN territorial waters and international waters—that affect the stabilization efforts of optimal end states.

## Enforce Exclusion Zones

These operations employ coercive measures to prohibit specified activities in a specific geographic area. An exclusion zone is established by a sanctioning body

to persuade either a nation or a group to modify their behavior to meet the desires of the sanctioning body. Failure to modify behavior can result in initiation or continuation of sanctions by the sanctioning body or the use of or threat of use of force.

## Escort Vessels

Naval forces protect US flagged vessels and US citizens and their property, embarked on US or foreign vessels, as well as nearby critical infrastructure, from external attack or other unlawful violence in waters where the United States has jurisdiction. Such protection can take many forms, but is most often accomplished by—

- Employing armed surface vessels or a combination of armed surface vessels and armed aircraft to enforce a moving security zone or naval vessel protection zone.
- Accompanying a transiting vessel.
- Using armed, embarked security forces.

## Explosive Ordnance Disposal Operations

Unexploded ordnance is a lethal hazard to personnel. The importance of securing and destroying unexploded ordnance cannot be overemphasized. Failure to secure unexploded ordnance may result in its widespread use as an agent of instability.

## Foreign Internal Defense Operations

Foreign internal defense is  the participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security. (JP 1-02)

## Security Force Assistance Operations

Security force assistance (SFA) consists of the Department of Defense activities that contribute to unified action by the US Government to support the development of the capacity and capability of foreign security forces and their supporting institutions. (JP 1-02) Security force assistance is conducted to improve the capability and capacity of the HN or regional security organization's security forces, which may include military, paramilitary, police, intelligence forces, border police, coast guard, customs officials, prison guards, and correctional personnel.

## Freedom of Navigation and Overflight Operations

Freedom of navigation and overflight operations are conducted to demonstrate US or international rights to navigate sea or air routes in accordance with international law.

## Gas-Oil Platform Operations

Gas-oil platform (GOPLAT) operations involve preventing adversaries from interrupting the normal functions of these facilities. Naval forces can provide point security for these facilities. For example, if an adversary gains control of a GOPLAT, a specialized interdiction operation involving the takedown of the platform may be required.

## Maritime Interception Operations

Maritime interception operations employ measures to intercept the movement of designated illegal items (e.g., drugs, migrants, WMD) into or out of a nation or specified area in order to hold the actors responsible for their illegal behavior pursuant to the objectives of the nation or international body that establishes the sanctions. Maritime interception operations include enhanced maritime interdiction operations, which are aimed at stopping a threat deemed a clear and present danger. Enhanced maritime interdiction operations can be executed to support the combating of WMDs (and their associated dual-use technologies and materials) and to stop the exchange of WMD expertise and delivery systems between states of concern and state/nonstate actors.

## Maritime Safety

Maritime safety, as a subset of maritime security and safety function, focuses on the restoration of maritime safety. Major considerations include hydrography; navigational aids restoration; and mine clearance in the ocean, harbors, and rivers.

## Maritime Security Cooperation

The Naval Service provides GCCs with integrated maritime security cooperation capabilities in accordance with the theater security cooperation plan through the use of a common planning process. The result of this integration is a more effective and efficient capability to work with foreign partners to build the capacity of maritime institutions, increase interoperability with partner nation maritime security forces, and strengthen regional and global stability. Integration of maritime security cooperation capabilities requires coordination at all levels, particularly the Service component and equivalent levels.

## Mine Countermeasures Operations

Undersea mines, both improvised explosive devices or manufactured by foreign militaries, may be utilized to harass, disrupt, or prevent maritime stability operations or disrupt commercial maritime commerce. Since mines may be implanted quickly, a bottom survey should be conducted of all essential routes in order to sustain sea-based stability operations.

## Port and Harbor Security Operations

Port and harbor security include the safeguarding of vessels, harbors, ports, waterfront facilities, and cargo from internal threats such as destruction, loss, or injury from sabotage or other subversive acts; accidents; thefts; or other causes of similar nature. Port and harbor security generally involve the following two major subtasks:

- Defense of critical loading and unloading sites, piers, and container facilities and petroleum, oils, and lubricants on/offload points in a seaport of debarkation, both from seaward and landward threats.
- Escort of high-value shipping in and out of the port and the handoff from, or to, the maritime component commander at sea.

Both subtasks need to be accomplished simultaneously.

## Riverine Operations

Riverine operations are conducted by forces organized to cope with and exploit the unique characteristics of a riverine area, to locate and destroy hostile forces, and/or to achieve or maintain control of the riverine area. Riverine operations can be used to control the movement on rivers, lakes, and canals; to provide point defense of critical infrastructure located on rivers and lakes; and to deny the use of rivers as lines of communications to the enemy.

## Secure Offshore Resources

Host nation offshore resources, such as oil-related infrastructure, seabed mining, and fishing grounds, are vital to its economic and political stability. When threatened by state or nonstate actors, securing these resources requires patrol and interdiction capabilities, as well as law enforcement authorities. The Naval Service can employ embarked Navy, Marine Corps, and Coast Guard personnel to secure critical off shore resources and temporarily enforce a country's exclusive economic zone as provided for within existing HN and international laws.

If an adversary's force has gained control of an offshore resource, such as a GOPLAT, expeditionary naval forces can conduct or support specialized interdiction operations to regain control as directed.

## Security Assistance

Security assistance is that group of programs authorized by the *Foreign Assistance Act of 1961*, as amended, and the *Arms Export Control Act of 1976*, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives.  Security assistance is conducted only by those Naval Service organizations and personnel specifically authorized to do so.

## Show of Force Operations

Show of force operation are designed to demonstrate US resolve that involves increased visibility of US deployed forces in an attempt to defuse a specific situation that, if allowed to continue, may be detrimental to US interests or national objectives. (JP 1-02) Naval forces are uniquely suited for show of force operations because of their forward-deployed posture, self-sustainable capability, and the ability to maintain presence offshore indefinitely.

# FOREIGN HUMANITARIAN ASSISTANCE

Foreign humanitarian assistance is the Departmentof Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering, disease, hunger, or privation. (JP 1-02) Naval forces may perform many different tasks in support of FHA operations. These tasks may include, but are not limited to, establishing or restoring basic civil services (including food, water, shelter, engineering, transportation, and medical support) necessary to sustain the population until local civil services are restored. Maritime forces can also protect the local populace until transferring responsibility to a transitional civil authority or the host nation. The immediate humanitarian needs of the local populace are always a foremost priority. While forces afloat possess unique expeditionary capabilities ideally suited for initial response, other civilian agencies and organizations are chartered to focus on broader humanitarian issues and social well-being. Naval forces are often tasked to provide security to interagency and NGO relief elements. The naval forces can act as an enabler for civil organizations to achieve

more enduring goals by facilitating access to isolated populations and easing the overall burden of providing essential services to effected communities.

# MARITIME INFRASTRUCTURE AND ECONOMIC STABILIZATION

Maritime infrastructure and economic stabilization are inherently non-DOD undertakings; however, the presence of US forces will almost always have an impact, even indirectly. This is especially true for naval forces. While long-term economic sustainment is tied to security and governmental reform, naval forces bring capabilities needed by many struggling maritime nations to improve maritime economies and governance. This is especially true in situations that involve emergency critical infrastructure repair. The following subparagraphs address the major tasks associated with the maritime infrastructure and economic stabilization function.

## Expeditionary Diving and Salvage

Harbor and port infrastructure are critical to stability operations, especially those needed when in response to a crisis. An underwater assessment of approaches to the port and piers may discover damage that must be repaired before the port can function properly. Mobile dive and salvage units conduct underwater surveys and perform light clearance operations. Underwater construction teams can perform more extensive repairs. Specialized diving and salvage support vessels may be required to support underwater repairs.

## Consequence Management

Consequence management consists of "actions taken to maintain or restore essential services and manage and mitigate problems resulting from disasters and catastrophes, including natural, man-made, or terrorist incidents." (JP 1-02)

When conducted outside the United States in support of a host nation, consequence management is closely aligned with FHA. The DOS generally serves as the lead federal agency and will coordinate the actions of DOD elements in support of foreign consequence management activities.

## Emergency Repair of Maritime Infrastructure

Maritime force engineers are capable of performing emergency repairs of maritime infrastructure under varying conditions of instability. These engineers may embark in amphibious ships or be airlifted to locations.

# MARITIME RULE OF LAW

Maritime law encompasses the body of law that deals with the broad set of activities linked to the sea and includes domestic law and policy and international law. This includes agreements, conventions, and customary international law. This is especially important in the maritime context where international law plays a large role. The rule of law requires just, legal frameworks, public order, accountability to the law, access to justice, and a culture of lawfulness. The rule of law is fundamental to legitimate governance. Perceived inequalities in the administration of the law, and real or apparent injustices, are triggers for instability. The following subparagraphs address the tasks associated with a maritime rule of law function.

## Maritime Law Enforcement

Maritime law enforcement is essential to sustaining or reestablishing stability. As a primary mission of the Coast Guard, maritime law enforcement should, with foreign naval forces, apply the rule of law to nonstate actors and commercial interests that seek to exploit instability in the maritime domain.  In addition to using its own platforms, the Coast Guard deploys law enforcement detachments aboard US Navy and allied nation naval ships to expand the scope of maritime law enforcement. The US Coast Guard conducts law enforcement operations in cooperation with partner nations in and near HN sovereign waters through multilateral and bilateral agreements. Although DOD forces do not engage in maritime law enforcement, in certain circumstances DOD assets may host US Coast Guard law enforcement personnel and serve as a platform from which to base missions. Depending on the extent of the HN's capability, maritime law enforcement activities should build on existing capabilities and in the absence of a functioning government, maritime law enforcement may be accomplished by maritime forces in accordance with standing laws and protocols.

## Visit, Board, Search, and Seizure

Visit, board, search, and seizure is the term for maritime boarding actions and tactics designed to capture enemy vessels; combat terrorism, piracy, and smuggling; and conduct customs, safety, and other inspections as employed by modern navies, marine and maritime services, and military and police forces. It has evolved over time to include three distinct actions—the right to visit; the ability to stop, board, and search; and the ability to seize the vessel and crew if there is jurisdiction and the authority exists.

## Counter Illicit Trafficking (Drugs, Weapons of Mass Destruction, Humans)

The DOD supports Federal law enforcement agencies, including the US Coast Guard and foreign law enforcement agencies in their efforts to disrupt the illicit trafficking of drugs, WMD, or humans. Military forces assist in detecting and monitoring trafficking; support interdiction efforts of the US Coast Guard and other Federal and foreign law enforcement agencies; provide intelligence and logistic support; and integrate command and control, communications system, and intelligence assets dedicated to interdicting the movement of traffickers. Using its organic law enforcement authority, the US Coast Guard uses a multi-faceted layered approach to conduct maritime interdiction operations. This includes—

- Deploying littoral and deep water assets.
- Supporting joint and combined operations with partner nations.
- Deploying law enforcement detachments on US Navy and allied assets.
- Supporting detection and monitoring operations.
- Supporting the tactical control and coordination of interdiction operations.

## Counterpiracy Operations

Counterpiracy operations are actions taken in response to an illegal act of violence, depredation (e.g., plundering, robbing, or pillaging), or detention in or over international waters committed for private ends by the crew or passengers of a private ship or aircraft against another ship or aircraft or against persons or property on-board such ship or aircraft.

# MARITIME GOVERNANCE AND PARTICIPATION

Maritime governance is a subset of state governance focused on those aspects of governance that impact the seas, bays, estuaries, rivers, and ports. Maritime governance, while supportive of state governance, concentrates on supporting domestic laws and regulations with regard for international law.

International maritime law and the requirements it imposes on individual states are tools best suited when a host nation has some capacity to implement them. The tools may evolve in response to emerging challenges and international efforts to secure and protect the oceans. It is imperative that maritime states develop adequate laws and naval forces that are capable of enforcing those laws. With

these needs in mind, the US Coast Guard Office of International Affairs has developed the *Model Maritime Service Code* to assist maritime states in creating or improving the infrastructure necessary to enforce laws governing the maritime domain.

The *Model Maritime Service Code* is designed to assist countries seeking guidance in developing effective naval forces with corresponding authorities primarily based on authorities and organization of the US Coast Guard. The *Model Maritime Service Code*—

- Provides a structure that helps ensure the economy of force and unity of effort necessary to address the range of issues a maritime country may face.
- Provides the legal framework to address emerging maritime safety and security concerns including the protection of mariner rights, the effective flow of global commerce, pollution prevention, protection of living marine resources, and preservation of the marine environment.

The following subparagraphs address the tasks associated with the maritime governance and participation function.

## Administration of Maritime Governance

The US Coast Guard is capable of conducting an assessment of a nation's maritime service/agency and providing recommendations for improving the capability/capacity of that service/agency. This could include legal assistance/ review provided by the Defense Institute for International Legal Studies and/or security cooperation efforts such as mobile training teams provided to the HN or international students brought into US Coast Guard schoolhouses.

As part of the US Armed Forces, the Coast Guard has uniquely broad authority in the maritime domain and a key role in economic stability and infrastructure because it is both a law enforcement agency and a regulatory agency. The scope of Coast Guard rulemaking in US Code, Title 33, *Navigation and Navigable Water*, and US Code, Title 46, *Shipping*, encompasses every aspect of domestic maritime commerce, including enforcement of international treaty provisions for foreign vessels in US waters.

## Improve Commercial Ports

A functioning port is a critical economic enabler for maritime nations. Ports and associated waterways must be maintained in navigable condition, be accessible and secure, have properly maintained facilities, and be supported by the necessary infrastructure.

## Regulation of Fisheries

To prevent regional instability, it is imperative that developing coastal nations protect their fisheries resources, which are a source of food, employment, and national revenue. The development of a fisheries enforcement capability also has the benefits of providing a naval force that can address other maritime security threats.

## Establish Regional Maritime Security Cooperation

A valuable approach for strengthening governance and responding to future instability is regional security cooperation. Naval forces are ideally suited to facilitate cooperation, even among countries with whom the United States has had traditionally poor relations.

## Manage Waterways

With the large percentage of global commerce being transported via water, management of waterways is vital to the commerce and economy of a coastal state or country with inland waterway networks. The goal is to provide access to navigable waterways for all mariners; facilitate effective, efficient movement of commerce to and from intermodal connections; and promote a safe, secure, and environmentally sound marine transportation system as a component of a country's national transportation system.

## Provide Intelligence and Communication Support

Maritime stability operations present unique intelligence and communications challenges that often require tailored approaches. Sharing of information and intelligence is crucial to the ongoing assessment and planning processes. While naval forces have excellent organic capabilities, they may require augmentation of intelligence and communications capabilities to fill gaps in command and control; communications systems; and intelligence, surveillance, and recon-naissance capabilities, particularly those capabilities that extend support to nonmilitary organizations inland. Early coordination of intelligence and com-munications system requirements with all joint force components will enable timely coordination of operational issues. In supporting maritime stability opera-tions, the fusion of information from all sources—to include open source, intelli-gence, and law enforcement—is critical. Within the Department of the Navy, the Naval Criminal Investigative Service Multiple Threat Alert Center has the capability to fuse law enforcement data with intelligence and other information.

## Train and Assist Host-Nation Security Forces

Naval forces can engage in a variety of foreign internal defense and SFA activities that provide more effective maritime law enforcement and security functions. There are many civilian functions that naval forces cannot train or assist because of a lack of capability or capacity. In those situations, the USG, partner nation civilian governments, or other HN agencies may be requested to perform this task.

The Naval Service provides GCCs with integrated maritime security capabilities in accordance with the theater security cooperation plan through the use of a common planning process. The result of this integration is a more effective capability to work with foreign partners to build the capacity of maritime institutions, increase interoperability with partner nation maritime security forces, and strengthen regional and global stability. Integration of maritime security capabilities requires coordination at the Service component level.

Security force assistance is the unified action to generate, employ, and sustain local, HN, or regional security forces in support of a legitimate authority. Security force assistance is conducted to improve the capability and capacity of the HN or regional security organization's security forces (i.e., military, paramilitary, police, intelligence forces; border police, coast guard, and customs officials; prison guards, and correctional personnel).

# APPENDIX A

# Maritime Security Sector Reform Guide

The *Maritime Security Sector Reform (MSSR) Guide* is an analytical tool designed to map and assess the maritime sector; to assess existing maritime security sector capabilities and gaps; and to enable coordination and collaboration to improve maritime safety and security. It can be used to support a full-scale maritime sector assessment, to obtain a snapshot of one or more aspects of a country's maritime sector, or to facilitate discussion among national actors with maritime responsibilities. The *MSSR Guide* is designed to be used in conjunction with other tools, particularly when a more in-depth treatment of a function or capability may be warranted.

The *MSSR Guide* may be used by a wide range of maritime stakeholders. It is based on the standards and best practices from a variety of sources and does not embody the practice or standards of any particular country or group of countries.

> *Note*: United States Government agencies may wish to consult with the Departments of State, Defense, Homeland Security, Transportation, and Justice and the US Agency for International Development when considering programs based on an *MSSR Guide* assessment.

The maritime sector can be seen as a microcosm of the larger state. The maritime sector has the same challenges that affect a nation's security—a lack of political and/or public consensus over governance, insufficient political competition, capability deficits, and deficient public administration. However, improvements to maritime governance, law enforcement, and safety may have a positive impact on citizens far beyond the maritime sector through enhanced livelihoods and food security, improved access to goods and services, or freedom from fear.

Recent work on security sector reform has identified the interdependent nature of the security sector and the critical need for coordination and cooperation among security related and civil institutions. The *MSSR Guide* is designed to apply these concepts to the maritime domain by providing a maritime security systemic overview that includes regulatory, operational, institutional, policy, and human resource components.

The *MSSR Guide* divides and organizes elements of maritime security into three levels—functions, subfunctions, and capabilities. Functions are used to describe

key areas of activity required for a stable, safe, and prosperous maritime sector. The *MSSR Guide* outlines the following six functions:

- Maritime governance.
- Maritime civil and criminal authority.
- Maritime defense administration.
- Maritime safety.
- Maritime response and recovery.
- Maritime economy.

Functions group together related activities, but do not correspond to particular actors or institutions, as these roles and responsibilities vary across national contexts. Each function is further delineated into one or more subfunction. Subfunctions are not mutually exclusive. Aspects of certain subfunctions, particularly those pertaining to maritime governance, are integral to multiple functional areas.

A series of core capabilities is identified for each subfunction. These are the capabilities necessary to set and accomplish national maritime goals and to fulfill national and international legal obligations.

> *Note*: The *MSSR Guide* is designed to be used in a variety of ways, with each user selecting the aspects of the *MSSR Guide* that will serve particular needs, goals, or programs. The *MSSR Guide* supports both qualitative and quantitative assessments.

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations.

| 1. Maritime Governance |
| --- |
| The exercise of government authority and responsibilities to define policy objectives and to establish and implement laws, policies, regulations, plans, and governmental infrastructure to achieve national maritime security objectives. Includes negotiation of and compliance with international obligations, regulation of the use of the maritime realm by competing interests, maritime training and education (see app. B), stakeholder and intergovernmental coordination and communication, agency capabilities, and accountability under laws and ethical standards. |

| Subfunctions | Capabilities |
| --- | --- |
| **Maritime mission**<br>The tasks required to ensure an appropriate balance among safety and security measures, facilitation of lawful trade, freedom of navigation, protection of the marine environment, and the livelihoods of stakeholders and the public. | Ability to develop comprehensive national maritime security goals, strategic plans, and related implementation plans. Components include the following:<br>-Interagency coordination, consultation, decisionmaking, and plans.<br>-Implementation progress reporting.<br>-Schedule for periodic revisions of strategic and implementation plans.<br>-Executive and legislative oversight of plans and processes. |
| **Maritime agency organization**<br>The tasks required to delineate agency roles and responsibilities (including subnational agencies) within the national maritime sector and ensure interagency and intergovernmental coordination and support of national strategy. | Ability to organize maritime agencies to maximize effective implementation of roles and responsibilities, including maritime strategy implementation. Components include the following:<br>-Includes senior levels of government.<br>-Ensures that responsibilities are consolidated and delegated appropriately.<br>-Avoids duplication of roles/responsibilities.<br>-Is appropriately financed.<br>-Promotes organized command and control functions.<br>-Contains robust enforcement capacity and authority.<br><br>Ability to coordinate intragovernmental (interagency and national/subnational) maritime processes. Components include the following:<br>-Communication on the development and enforcement of maritime security programs.<br>-Appropriate sharing of existing (including joint) resources.<br>-Appropriate delegations of authority. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| | |
|---|---|
| **Maritime law and policy** The tasks required to develop, assess, refine, and promulgate maritime law, policies, and regulations. | Ability to enter into international maritime agreements. Components include the following: <br>-Diplomatic interaction with international maritime security organizations (e.g., International Maritime Organization, World Customs Organization). <br>-Experience interacting with private international maritime organizations (e.g., insurance cooperatives). <br>-Diplomatic and other regional interaction on issues of common concern. <br>-Interagency consultation and collaboration. <br><br>Ability to develop and promulgate national maritime security law and regulations through appropriate policy and governance infrastructure. Components include the following: <br>-Appropriate legislation, decrees, and/or administrative orders. <br>-Implementing regulations. <br>-National conformance with international codes, including the International Safety Management and International Ship and Port Facility Code. <br><br>Ability to produce national maritime administrative regimes. Components include the following: <br>-Appropriate licensing, zoning, and/or permitting processes for maritime activities; use and development; and revenue management linked to overall maritime strategic objectives. <br>-Solicitation and consideration of stakeholder inputs. <br>-Development of targeted and specific enforcement capacities. <br>-Development of an organized, legitimate, and transparent dispute resolution process. <br>-Promulgation of specific and timely public information. <br><br>Ability to develop maritime policy on an ongoing basis. Components include the following: <br>-Policy assessment monitoring and evaluation. <br>-Regular policy reviews. <br>-Appropriate research and analysis. <br>-Appropriate planning data. <br>-Interagency, legal, and legislative reviews appropriate to policy development. <br>-Transparent budgeting and oversight planning frameworks. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| | |
|---|---|
| **Diplomatic and foreign affairs support** The tasks required to coordinate between civil and criminal law enforcement and foreign affairs entities to ensure effective attainment of national maritime goals. | Ability to participate in international and multilateral administrative bodies (maritime and nonmaritime). Components include the following: -Recruitment and maintenance of a professional staff with requisite expertise.<br><br>Ability to negotiate and implement appropriate treaties and other agreements relating to maritime matters; such as piracy, trade, flag state control, extradition, renewable industries, refugees, migration, and trafficking in persons. Components include the following: -Recruitment and maintenance of a professional staff with requisite expertise. -Processes for public consultation and comment.<br><br>Ability to deploy knowledgeable diplomatic personnel in support of maritime-related interagency activities. The component includes the following: -Professional staff with requisite interagency expertise. |
| **Maritime programs** The tasks required to develop and enforce regulations and standards in support of national strategies and goals. | Ability to encompass the complete value chain of regulatory activity. Components include the following: -Prevention, through creation and promulgation of standards and rules. -Protection, through the use of inspection and enforcement authorities. -Response, through the use of investigation and enforcement authorities. -Mitigation. -Restoration. |
| **Maritime professionals** The tasks required to recruit, educate, train, and retain maritime personnel across the full range of maritime safety and security. Includes both public and private sector and related support personnel. | Ability to qualify, professionally develop, and provide continuing education and training to personnel. Components include the following: -Development of qualifications and standards, including adherence to rule of law. -Appropriate application/acceptance procedures. -Appropriate (and transparently promulgated and published) licensing and testing requirements. -Inspection and investigation capacities. -Appropriate continuing education requirements. -Ethics and oversight mechanisms. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

| Maritime professionals (cont'd) | Ability to strategically manage maritime human capital. Components include the following:<br>-Needs analyses for public sector requirements.<br>-Needs analyses for private sector requirements.<br>-Planning for and implementation of recruitment programs designed to provide sufficient numbers of personnel with appropriate skill sets.<br>-Planning for and implementation of adequate/timely compensation and pension systems.<br><br>Ability to train and educate maritime professionals adequately through programs and facilities (such as maritime, coast guard, or naval academies) to support public and private sector personnel needs. Components include the following:<br>-Organization.<br>-Funding (public and private).<br>-Staffing.<br>-Curricula.<br>-Equipment. |
|---|---|
| **Maritime agency outreach and stakeholder** The tasks required to ensure appropriate input and coordination for policy decisions from a wide range of maritime security stakeholders and dissemination of information to those affected by maritime security issues. | Ability to coordinate with stakeholders through a formal process. Components include the following:<br>-Regularized dissemination of maritime information to mariners.<br>-Communication on regulations and policies.<br>-Notification during incidents.<br>-Information data sharing (e.g., criminal background, threat or risk analyses, exercise or drill after action reports).<br><br>Ability to communicate with the public on maritime issues. Components include the following:<br>-Safety education.<br>-Solicitation of notice and comment on policy and regulation.<br>-Advance publication of planned regulations.<br>-Planned enforcement activities, as appropriate.<br>-Exchange of information on best practices with private sector stakeholders. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

| Accountability and oversight<br>The tasks required to ensure policy development and implementation is conducted in a transparent, accountable, and acceptable manner. | Ability to oversee maritime security programs. Components include the following:<br>-Fidelity to a comprehensive and appropriate ethics regime.<br>-Development and use of appropriate inspector general functions.<br>-Use of innovative anticorruption programs.<br>-Establishment and implementation of effective programs to protect human rights.<br>-Performance measurement systems, as appropriate. |
|---|---|
| **2. Maritime Civil and Criminal Authority**<br>The exercise of authorities and responsibilities to secure the maritime realm from illegal activities such as intentional damage to maritime interests through sabotage, subversion, terrorism, or criminal acts; border exploitation; and illegal damage or removal of marine resources. | |
| **Subfunctions** | **Capabilities** |
| **Enforcement of criminal and civil laws**<br>The tasks required to ensure effective implementation and enforcement of all applicable treaties, laws, and regulations in a transparent and ethical manner. | Ability to provide trained and qualified law enforcement personnel. Components include the following:<br>-Appropriate recruiting and training programs to field an effective law enforcement force.<br>-Appropriate ongoing and specialized training programs for unique maritime challenges and environments.<br>-Complaint and investigative capacity.<br>-Administrative enforcement of professional standards.<br><br>Ability to enforce laws using interagency and international coordination and cooperation. Components include the following:<br>-Compliance with international obligations.<br>-Commercial and trade concerns.<br>-Environmental and public health programs.<br>-Security and investigative protections.<br>-Appropriate sharing of intelligence and threat analyses, financial data, law enforcement data, and joint training results.<br>-Ability to share information internationally, as appropriate, and request/provide mutual legal assistance. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| Enforcement of criminal and civil laws (cont'd) | Ability to hold personnel administratively, criminally, and professionally accountable to a defined set of ethical standards to maintain public integrity and combat corruption and to hold private sector and other organizations responsible, as appropriate. Components include the following:<br>-Testing, licensing, and continuing education for law enforcement personnel on legal, operational, and strategic skills and knowledge.<br>-Inspector general oversight power (including referral) and capacity.<br>-Establishment and management of appropriate expertise to ensure adequate oversight.<br><br>Ability to conduct operations, including joint operations. Components include the following:<br>-Routine patrols.<br>-Inspection, boarding, and detection/search/seizure enforcement processes.<br>-Investigation, chain of custody, and prosecutorial liaison.<br>-Nonpermissive/noncompliant boarding capability.<br>-Specialized security activities, including special weapons and tactics, very important person security, crowd control, antiterrorism/critical maritime infrastructure protection, and all-hazard responses.<br>-Threat detection.<br>-Information coordination and sharing.<br>-Joint integrated operations by maritime and other agencies and departments to interdict criminal activities. |
| --- | --- |
| **Integrated border management** The tasks required to provide proper border oversight to ensure legitimate trade duties and tariffs are collected and illegal movement of goods and people is prevented. | Ability to execute customs laws, regulations, and policies. Components include the following:<br>-Adherence to World Customs Organization SAFE Framework of Standards and/or other international and regional agreements.<br>-Laws and policies appropriate to address standards and procedures.<br>-Customs processes to improve security and border integrity while facilitating the flow of commerce. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| Integrated border management (cont'd) | Ability to execute customs operations. Components include the following:<br>-Sufficient numbers of trained and supervised personnel to patrol, staff, and oversee customs operations at all ports of entry.<br>-Lawful implementation of preshipment and reception inspection standards and operations.<br><br>Ability to execute customs import/export duties. Components include the following:<br>-A system for the collection of excise, trade duties, and maritime tonnage taxes.<br>-Interagency coordination and legislative liaison to connect revenues to national transportation infrastructure improvement, maritime asset acquisition and maintenance, and port and harbors development and improvement.<br>-Appropriate balance between duty collection and competitive markets.<br><br>Ability to control ports of entry. Components include the following:<br>-Existence of identified borders and formally designated ports of entry.<br>-Appropriately staffed security, inspection, immigration, monitoring, intelligence collection, and threat abatement entities.<br>-Appropriate immigration/border control functions, including visa issuance and passport control, as well as access to foreign ministry records.<br>-Legally established command and control implemented by professionals, including appropriate interagency partners as necessary.<br><br>Ability to conduct border surveillance. Components include the following:<br>-Border checkpoints at other major crossings.<br>-Air, land, and on-water patrol capability.<br>-Intelligence collection and threat assessment.<br>-Interagency coordination to manage overlapping and complementary responsibilities. |
|---|---|

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations.  (Continued)

| | |
|---|---|
| **Judicial sector support**<br>The tasks required to adjudicate maritime-related cases within an open legal system with an understanding of the unique aspects of the maritime operating environment. | Ability to provide a capable judiciary and judicial support process. Components include the following:<br>-Knowledgeable and continually educated judiciary.<br>-Infrastructure and facilities to adjudicate maritime and applicable nonmaritime (e.g., immigration) cases.<br><br>Ability to provide capable prosecutorial service for maritime-related offense adjudication. Components include the following:<br>-Knowledgeable and continually educated prosecutorial professionals.<br>-Infrastructure and facilities to prosecute maritime, as well as applicable nonmaritime (e.g., immigration) cases.<br>-Investigative experience, capacity, and authority.<br>-Discretion to prosecute.<br><br>Ability to maintain a corrections infrastructure and system. Components include the following:<br>-Professional, trained, equipped, and accountable corrections personnel.<br>-Infrastructure and facilities necessary to detain persons on pending charges and imprison those convicted of maritime crimes, including those committed on the high seas.<br>-Efficient administrative procedures for tracking and monitoring detained and convicted inmates.<br>-Investigation and prosecution of abuses of persons in custody. |
| **Port security**<br>The tasks required to ensure maritime ports and the marine transportation system are protected and that the ability to use or exploit them as a means of attack on domestic territory, population, vessels, and infrastructure is denied. | Ability to identify threat conditions and to set appropriate security levels to address the threat on a sustainable basis. Components include the following:<br>-Linkages with intelligence sources.<br>-Communication mechanisms to pass threat information as appropriate.<br><br>Ability to control access of both personnel and materials, to conduct appropriate screenings of the workforce and workforce applicants, and to detect and appropriately respond to threats. Components include the following:<br>-Effective oversight by the appropriate maritime administrations.<br>-Effective training, drills, and exercises conducted in the port. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

| | |
|---|---|
| **Vessel security**<br>The tasks required to ensure vessels are protected from access or exposure to unauthorized cargo, people, tracking, or monitoring, and from being used or exploited as a means of attack. | Ability to control access, to conduct appropriate screenings of the workforce and workforce applicants, to detect and appropriately respond to threats, to counter/detect unauthorized monitoring and tracking, and to counter threats with appropriate use of force. Components include the following:<br>-Effective oversight by the appropriate maritime administrations.<br>-Effective training, drills, and exercises conducted on vessels. |
| **Supply chain security**<br>The tasks required to ensure components or elements that support or contribute to the maritime supply chain, including but not limited to cargo, containers, fuel, equipment, parts, shore side facilities, manufacturers, seafarers, longshoremen, stevedores, and laborers are protected from unauthorized access, use, or exploitation as a means of attack. | Ability to control access, to conduct appropriate screenings of the workforce and workforce applicants, to detect and appropriately respond to threats, to detect fraudulent identifications or attempted unlawful access, and to counter threats with appropriate use of force. Components include the following:<br>-Outreach and coordination with the private sector.<br>-Training and equipment to assist in fraud detection. |
| **Maritime environmental enforcement**<br>The tasks required to ensure effective enforcement of all applicable laws to protect the marine environment, consistent with international law. | Ability to manage maritime species and habitats. Components include the following:<br>-Laws and regulations that prescribe standards and prohibitions relating to invasive and endangered species, habitats, and biodiversity management.<br>-Enforcement of licensing and permitting regimes and supporting investigation capacity.<br>-Prosecutorial and judicial capacity for administrative, civil, and criminal enforcement.<br>-Maritime personnel who are trained, assigned, and supervised to enforce laws and regulations relating to species and habitat protection.<br>-Public and private partnerships and education to address species and habitat preservation, mitigation, and restoration. |

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations. (Continued)

| Maritime environmental enforcement (cont'd) | Ability to control systematic pollution in the marine environment. Components include the following:<br>-Effective ongoing participation in discussions with multilateral organizations on international standards.<br>-Laws and regulations consistent with international law that prescribe standards and prohibitions for dumping, discharges from ships, and other maritime pollution management across all media.<br>-Enforcement of licensing and permitting regimes, with investigation capacity.<br>-Prosecutorial and judicial capacity for administrative, civil, and criminal enforcement.<br>-Training, assignment, and supervision of maritime personnel to undertake enforcement actions. |
|---|---|

**3. Maritime Defense**
The exercise of defensive authorities and responsibilities to deter, detect, and interdict unlawful acts against the infrastructure, assets, and interests of a country's maritime domain, stakeholders, and users.

| Subfunctions | Capabilities |
|---|---|
| **Maritime defense administration**<br>The tasks required to clarify roles and responsibilities within and among national maritime agencies with defense roles, at the national and subnational level, and to coordinate in support of national strategy. | Ability to facilitate interagency coordination and cooperation. Components include the following:<br>-Compliance with international obligations.<br>-Environmental and public health programs.<br>-Security and investigative protections.<br><br>Ability of national defense forces to work collaboratively with foreign ministry and other diplomats on maritime defense issues. Components include the following:<br>-Interagency collaboration and approval processes, including joint planning.<br>-Personnel exchanges.<br>-Information sharing protocols.<br><br>Ability to manage maritime defense personnel. Components include the following:<br>-Recruitment and vetting programs.<br>-Organized, coordinated training programs overseen by competent officers and noncommissioned officer corps. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

| Maritime defense administration (cont'd) | Ability to administer a maritime, military, civil, criminal, and administrative justice system. Components include the following:<br>-Appropriate legal basis.<br>-Complaint and investigative capacity.<br>-Adjudication capacity.<br>-Records and information management systems.<br>-Coordination and liaison with other law enforcement personnel.<br><br>Ability to systematically manage maritime defense procurement. Components include the following:<br>-Transparent, public processes.<br>-Complaint and investigation capacity.<br>-Adequate project management.<br>-Appropriate anticorruption, conflict of interest, and ethical guidelines and enforcement.<br><br>Ability to manage maritime defense financial management processes. Components include the following:<br>-Transparent budgeting.<br>-Executive and legislative oversight.<br>-Internal inspector general controls. |
|---|---|
| **Maritime defense forces**<br>The tasks required to ensure naval assets and agencies with defense roles are able to protect the national maritime domain from threats or losses from illegal acts or aggression that could have security, safety, economic, or environmental impacts. | Ability to exert appropriate command and control of naval and supporting forces for maritime operations effectively. Components include the following:<br>-Military command structures subordinate to, and in support of, appropriate civilian authorities.<br>-Interservice liaison and coordination.<br>-Regional and international cooperation.<br><br>Ability to fulfill specified operational missions, such as those to detect, deter, and interdict threats against the national infrastructure, assets, and interests of national maritime domain stakeholders and users. Components include the following:<br>-Policies and plans.<br>-Standing/standard operating procedures.<br>-Standard organization regulations manuals.<br>-Tactics, techniques, and procedures.<br>-Ongoing operational training. |

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations.  (Continued)

| Maritime defense forces (cont'd) | Ability to deploy and sustain a maritime defense fleet. Components include the following:<br>-Vessels, aircraft, and supporting equipment.<br>-Adequate levels of equipment maintenance.<br>-Stores, fuels, and supplies to ensure open sea lines of communications and the safe transit of maritime commerce.<br><br>Ability to collect, secure, process, analyze, integrate, and interpret on a systematic basis available information/intelligence concerning external threats to the maritime domain. Components include the following:<br>-Threat detection.<br>-Investigative capacity.<br>-Information coordination and sharing.<br>-Maritime domain awareness coordination.<br><br>Ability to plan for maritime defense contingencies. Components include the following:<br>-Training.<br>-Joint exercises.<br>-International interoperability. |
|---|---|
| Maritime situational awareness/maritime domain awareness | Ability to perform persistent monitoring of vessels, cargo, and crews through development of a national maritime common operational picture. Components include the following:<br>-Accessibility and maintenance of data on air and sea vessels, including people, organizations, cargo, and/or critical maritime infrastructure.<br><br>Ability to operate effectively one or more interagency maritime operations/fusion centers. Components include the following:<br>-Common operational pictures.<br>-Fused air/sea/land information streams.<br>-Intelligence collection and analysis.<br>-Threat detection from sea, air, and land.<br>-Investigative capacity.<br><br>Ability to coordinate, share, and disseminate information. Components include the following:<br>-Multiagency/stakeholder information sharing.<br>-Information coordination and sharing from all domains and regional partners.<br>-Dissemination channels. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

**4. Maritime Safety**
The exercise of safety authorities and responsibilities to ensure personnel, vessel, and facility safety. Includes domestic and foreign flag vessels, onshore and offshore facilities, and the ability to provide oversight and enforcement of standards; investigate accidents and misconduct; and improve standards and policies.

| Subfunctions | Capabilities |
|---|---|
| **Maritime safety administration** The tasks required to manage the qualifications and suitability of maritime professionals and other users of the maritime domain. | Ability to ensure safety, professionalism, transparency, and anticorruption protections for maritime professionals, including harbor masters, pilots, merchant mariners, and commercial fishermen. Components include the following: -Administrative licensing and documentation processes and capacity. -Testing/licensing/retesting for inland waterway maritime professionals. -Complaint and investigative capacity of accidents, abuse, misconduct, and negligence, including illegal use of child labor and other labor abuses. -Administrative judicial enforcement. -Interagency coordination and information sharing (e.g., criminal background checking). -Physical requirement investigations, such as for drug testing. -Continuing education. |
| **Flag state control** The tasks required to manage national flag vessels. This includes adequate working conditions and safety and environmental protection requirements, regardless of vessel size or location. | Ability to implement SOLAS and maritime pollution obligations through law and regulations. Components include the following: -Vessel registration, licensing, permissions, inspection, and documentation monitoring systems. -Vessel construction and operations safety and environmental regulation/inspection systems. -Trained corps of vessel inspectors and/or procedures for reviewing qualifications and selecting competent and recognized organizations authorized to carry out statutory functions in conformity with international law. -Laws and/or implementing regulations for domestic vessels not covered by SOLAS/maritime pollution. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| | |
|---|---|
| **Port state control**<br>The tasks required to inspect foreign ships in national ports to verify that the conditions of the ship and its equipment comply with the requirements of international regulations and that the ship is manned and operated in compliance with these regulations. | Ability to participate in and implement relevant international port state control conventions. Components include the following:<br>-Port state risk evaluation system, including advance notice of arrival.<br>-Port state vessel monitoring, including maritime domain awareness linkages.<br>-Inspection personnel and equipment, both at sea and onshore, for inspection and continuous monitoring of vessel movements and status. |
| **Fishing and small vessel safety and operations management**<br>The tasks required to manage licensing, safety, and fish sustainability as related to fishing and small vessels. | Ability to register, license, permit, inspect, document, and monitor fishing and small vessels. Components include the following:<br>-Vessel construction and operations safety and environmental regulation/inspection systems.<br>-Fishing grounds, catch, and gear restrictions.<br>-Detection, patrol, boarding, search/seizure, and enforcement processes for illegal, unreported, or underreported catch. |
| **Maritime facility safety management**<br>The tasks required to manage onshore maritime terminals and offshore extraction-related terminals and industrial sites. | Ability to operate and manage maritime facilities (including extraction industries) and their cargo safely. Components include the following:<br>-Facility construction, operations safety, and environmental protection regulation and inspection systems.<br>-Inspection, visitation, search/seizure, and related enforcement processes. |
| **Mariner licensing administration**<br>The tasks required to ensure that commercial vessels are operated by trained inland waterway personnel and that shipboard personnel have appropriate credentials. | Ability to ensure safety, professionalism, transparency, and anticorruption protections for qualification and credentialing of seafarers. Components include the following:<br>-Administrative licensing and documentation processes and capacity.<br>-Complaint and investigative capacity of accidents, abuse, misconduct, negligence, etc.<br>-Testing/licensing/retesting for pilots and other professionals.<br>-Inspector general oversight, powers, and capacity.<br>-Interagency coordination and information sharing (e.g., criminal background checking).<br>-Databases of licensed mariners and/or vessel operators.<br>-Secure identity credentials.<br>-Continuing education. |

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations.  (Continued)

| | |
|---|---|
| **Aids to navigation infrastructure, equipment and maintenance**<br>The tasks required to provide and maintain lights, hazard warnings, channel markings, communications, and vessel traffic controls. | Ability to ensure safe navigation through suitable hazard warnings and channel markings. Components include the following:<br>-Buoys and lighthouses.<br>-Radio communications systems.<br>-Vessel traffic information systems.<br>-Aids to navigation installation and maintenance equipment. |
| **Channel and harbor management**<br>The tasks required to promote efficient trade and transport, public health, and sound environmental protection, such as navigational safety; dredging and wreck removal; and bridge management over navigable waterways. | Ability to ensure adequate harbor and channel viability through interagency coordination, equipment capacity, and regulatory enforcement. Components include the following:<br>-Dredging capability.<br>-Wreck removal.<br>-Bridge construction and management.<br>-Operational management of vessel movements, including enforcement. |
| **Maritime safety interagency coordination**<br>The tasks required to manage multiple agency roles and functions. | Ability to coordinate and cooperate on an interagency basis to ensure compliance. Components include the following:<br>-International obligations.<br>-Commercial and trade concerns.<br>-Environmental and public health programs.<br>-Security and investigative protections. |
| **5. Maritime Response and Recovery**<br>The exercise of specialized response and recovery authorities and responsibilities to react to maritime-related incidents and to recover rapidly from those incidents. | |
| **Subfunctions** | **Capabilities** |
| **Emergency response administration**<br>The tasks required to support, coordinate, and improve planning, preparation, response, and recovery to mitigate maritime hazards. | Ability to plan appropriately for national and subnational maritime emergencies. Components include the following:<br>-Appropriate organizational structures and oversight (e.g., separate agencies, councils).<br>-Command and control capabilities.<br>-Interagency communication and coordination.<br>-Compliance with international agreements and requests for assistance.<br>-Investigative, administrative, civil, and criminal prosecutorial capacities.<br>-Financial recovery plans, bonding requirements, civil penalties, and national emergency response accounts.<br>-Public procurement processes and oversight. |

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations.  (Continued)

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|---|---|
| **Incident management**<br>The tasks required to prepare for, respond to, and manage all types of incidents (including search and rescue, migration, fire) and environmental incidents occurring in onshore or offshore facilities, harbors, channels, and vessels. | Ability to manage an operational system of incident command and control. Components include the following:<br>-Incident response oversight for safety, health, and human rights protections for individuals rescued/intercepted at sea and for interagency responsibilities.<br>-Operations centers infrastructure.<br>-Resource and responsibility coordination plans.<br>-Incident response plans, drills, and exercises.<br>-Recovery and mitigation plans, drills, and exercises.<br>-Interagency plans, including coordination and deployment of military and subnational resources.<br>-Linkage of necessary incident resources and maritime domain awareness. |
| **Search and rescue**<br>The tasks required to manage operational plans and special equipment to search for and rescue persons in distress. | Ability to manage, on a systemic basis, maritime search and rescue operations, including monitoring of distress situations and communication with rescue assets. Components include the following:<br>-Search and rescue plans.<br>-Readily available personnel and equipment (including air, land, and marine vessels), drift models, and updated charts.<br>-Maritime domain awareness. |
| **Fire**<br>The tasks required to manage operational plans and special equipment to respond to maritime-related fires on vessels or at facilities. | Ability to manage operational maritime firefighting. Components include the following:<br>-Fire prevention and response plans.<br>-Readily available personnel and equipment (including air, land, and marine vessels), foam/extinguishing agents, and personal protection equipment. |
| **Environmental**<br>The tasks required to manage contingency plans and special equipment to combat spills from vessels and facilities (onshore and offshore) and air discharges in the marine domain and to protect affected individuals from pollution. | Ability to manage marine environmental spill response. Components include the following:<br>-Contingency plans.<br>-Readily-available personnel and equipment (including air, land, and marine vessels) and toxic material containment and mitigation equipment.<br>-Personal protective equipment for responders.<br>-Protection of affected persons. |

## Table A-1. Matrix of Functions, Subfunctions, and Capabilities for Maritime Stability Operations. (Continued)

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|---|---|
| **Maritime defense assistance to civil authorities** The tasks required to authorize interagency activities by agencies with defense roles through appropriate law and policy and to organize interagency cooperation at the national and subnational level in response to emergency incidents. | Ability to utilize maritime defense forces in support of national all-hazards emergencies (including security, environmental, and piracy incidents) and accidents at sea. Components include the following: -Appropriate laws and policies. -Interagency coordination protocols. -Communication and coordination with private sector stakeholders and the public. |
| **Investigation and after action analysis** The tasks required to conduct an official inquiry into the causes of an incident, to work with responsible parties to undertake mitigation, and to identify measures to prevent repetition of similar incidents. | Ability to determine the causes of maritime incidents and to identify measures to prevent a recurrence. Components include the following: -Subject matter experts. -Procedures for inquiries and interviews with persons involved. |
| **6. Maritime Economy** The exercise of economic authorities and responsibilities to promote prosperity within and related to the maritime realm. Includes facilitation of infrastructure development to support sustainable economic capacity building for, and management of, maritime revenue streams from tourism, fishing, resource extraction, commercial shipping, and port operations. | |
| **Subfunctions** | **Capabilities** |
| **Economic activity regulation and management** The tasks required to ensure a comprehensive maritime economic and regulatory environment contributes to the sustainable commercial development of a nation, through the promotion of safety of passage, compliance with international obligations, and improvement in levels of competence, resulting in increased competitiveness of goods and services. | Ability to manage nonrenewable maritime resource extraction for natural resources; such as oil, gas, and minerals. Components include the following: -Sustainable, balanced economic development plans. -Impact assessments. -Laws and regulations that prescribe standards and prohibitions for management of nonrenewable maritime resources; including oil, gas, and mineral extraction. -Enforcement of licensing and permitting regimes, with supporting investigation capacity. -Prosecutorial and judicial capacity for administrative, civil, and criminal enforcement. -Anticorruption programs. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| Economic activity regulation and management (cont'd) | -Training, assignment, and supervision of maritime personnel to undertake enforcement.<br>-Public and private partnerships and education to address preservation, mitigation, and restoration of renewable resources affected by nonrenewable resource extraction.<br>-Qualified personnel with expertise for oversight.<br>-Public stakeholder communication processes.<br><br>Ability to manage renewable maritime resource extraction for fishing, aquaculture, marine and coastal tourism, and recreation. Components include the following:<br>-Sustainable, balanced economic development plans.<br>-Impact assessments.<br>-Laws and regulations that prescribe standards and prohibitions for management of renewable maritime resources; including fishing, aquaculture, recreation, and tourism.<br>-Enforcement of licensing and permitting regimes with investigation capacity.<br>-Prosecutorial and judicial capacity for administrative, civil, and criminal enforcement.<br>-Training, assignment, and supervision of maritime personnel to undertake enforcement.<br>-Public and private partnerships and education to address preservation, mitigation, and restoration of renewable resources.<br>-Qualified personnel with requisite expertise for oversight.<br>-Anticorruption programs.<br>-Public stakeholder communication processes.<br><br>Ability to facilitate maritime trade. Components include the following:<br>-Bilateral and multilateral diplomatic engagement.<br>-Vessel management.<br>-Well-defined and accepted terms of trade, taxation regimes, and bilateral customs agreements.<br>-Interagency coordination of trade and revenue activities. |
|---|---|

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations. (Continued)**

| | |
|---|---|
| **Economic activity regulation and management (cont'd)** | Ability to regulate trade of sensitive and dual use items through establishment and maintenance of strategic trade controls that ensure export licenses support foreign policy objectives and national security priorities. Components include the following:<br>-Regulations for restricted and dual use goods.<br>-Interagency cooperation.<br>-Outreach to business communities. |
| **Commercial ports**<br>The tasks required to ensure a competitive position in the global economic marketplace through the movement of imported and exported goods, both cost effectively and efficiently. Ports and associated waterways are maintained in navigable condition, are accessible and secure, have properly maintained facilities and are supported by the necessary infrastructure. | Ability to support robust maritime port commerce with adequate infrastructure and efficient operations of port facilities. Components include the following:<br>-Public/private partnership program framework.<br>-Negotiation of public/private financing.<br>-Transparent and nondiscriminatory procedures for soliciting bids and granting concessions to operate port facilities.<br>-Container/breakbulk cargo terminals, including infrastructure, warehousing, and storage yards.<br>-Bulk wet and dry cargo terminals, including supporting infrastructure, warehousing, and storage yards.<br>-Passenger terminals for ferries and cruise ships.<br><br>Ability to manage and oversee the ownership, licensure, income, and operations of maritime trade enterprises. Components include the following:<br>• Nondiscriminatory regulatory framework consistent with international trade principles.<br>• Revenue generation and collection. |
| **Transport**<br>The tasks required to promote the development of efficient, integrated maritime supply chains, with a combination of personnel and equipment able to support broad national maritime goals, development programs, and initiatives. | Ability to manage and oversee the ownership, licensure, income, and operations of maritime-related transportation. Components include the following:<br>-Nondiscriminatory regulatory framework consistent with international trade principles.<br>-Nondiscriminatory revenue generation and collection.<br><br>Ability to support maritime commerce through maritime transportation, integration of nonmaritime transportation modes, and infrastructure across relevant environments. Components include the following:<br>-Plans (national and multinational).<br>-Urban planning expertise. |

**Table A-1. Matrix of Functions, Subfunctions,
and Capabilities for Maritime Stability Operations.  (Continued)**

| | |
|---|---|
| **Transport (cont'd)** | -Public land management.<br>-Appropriate use of eminent domain.<br>-Negotiation of public/private financing.<br>-Integration of multiple transportation modes and ports supporting maritime commerce. |
| **Market conditions**<br>The tasks required to encourage markets to function efficiently and to prevent (including the establishment of incentive structures and enforcement mechanisms) their exploitation. | Ability to ameliorate market imbalances that might have a negative effect on the efficiency of maritime commerce (such as monopolies, monopsonies, cartels or oligopolies, corruption) and misuse of financial and nonfinancial sectors for laundering of illicit gains and/or market abuse in support of terrorism or other illegal activities. Components include the following:<br>-Regulatory frameworks.<br>-Diplomacy.<br>-Public/private partnerships<br><br>Ability to ameliorate information deficits that might disadvantage maritime commerce. Components include the following:<br>-Public access to information, as appropriate.<br>-Information technology and management. |

# Training and Education

Maritime stability operations require specialized training for the Marine Corps, Navy, and Coast Guard. Since stability operations may endure across the entire joint phasing model for operations and extend beyond the traditional military mission area, the training requirement for naval forces emphasizes a variety of topics, including irregular warfare, culture and language, and critical-thinking skills.

## IRREGULAR WARFARE

Adaptive adversaries such as terrorists, insurgents, and criminal networks as well as failed states, will increasingly resort to irregular forms of warfare as effective ways to challenge conventional military powers. Advances in technology and other trends in the environment will render such irregular threats ever more lethal, capable of producing widespread chaos, and otherwise difficult to counter. These threats are enmeshed in the population and increasingly empowered by the astute use of communications, cyberspace, and technology, so that their impact extends regionally and globally. Many of these conflicts are essentially contests for influence and legitimacy over relevant populations.

New training techniques and technologies are necessary to enhance the ability of the joint force to develop, increase, and maintain the proficiency required to address both irregular and regular threats. Naval Service personnel must be provided a balanced education that instills in them an understanding of both conventional and irregular warfare and the ability to adapt quickly to the challenges of either or both in combination.

## LANGUAGE AND CULTURE

Effective maritime stability operations require US Marine, Navy, and Coast Guard personnel to be trained to effectively navigate culturally-complex environments that may involve coordinating with multiple foreign cultures simultaneously. The list of actors may include the indigenous population, coalition partners, and adversaries. Generating economic, political, and social stability requires close and regular contact with local indigenous security forces, government leadership, and community representatives. The composition of coalition forces may be unpredictable during predeployment training and require a deep level of language and culture understanding that will promote coordination

during stability operations. Experience during Operation Iraqi Freedom and Operation Enduring Freedom demonstrate the importance of understanding the culture of an adversary and that all planning actions must take cultural considerations into account.

This capability needs to extend to general-purpose forces and should not be limited solely to foreign area officers (FAOs) and regional area officers (RAOs). The FAOs and RAOs represent a professional regional and language capability that should be fully utilized during any stability operation. The expertise of the FAOs and RAOs may support training, staff planning, or in a subject matter expert advisory capacity.

## CRITICAL-THINKING SKILLS

Leadership training always emphasizes critical-thinking skills, which are particularly germane to stability operations. Leadership is faced with a dynamic mission where they must consider the different facets of the indigenous population along with blue cell coordination and red cell strategies during planning. Coordination activities will frequently include interaction with a variety of actors, including HN government, coalition forces, interagency, regional security organizations, and multinational economic actors. Developing thorough expertise in each area is not viable, so leadership must be taught critical-thinking skills that allow for decisionmaking under highly complex situations.

# Country Team Perspectives

In any nation state in which the United States has a resident mission (typically an embassy), the country team is the senior US policy coordination and execution body. In most countries where the United States has diplomatic relations (e.g., France), the country team is led by an ambassador who serves as the President's personal representative. In countries where the United States does not have formal relations (e.g., Cuba), the chief of mission may not hold the title of ambassador but may be referred to as the principal officer or a similar title. The ambassador has authority over and responsibility for the security (force protection) of all USG programs and employees in his country of assignment. The major exception being forces that are attached to a GCC whose forces must be granted country clearance before entry into the country. The second in command of a mission is the DCM, almost always a career foreign service officer of the DOS. The DCM takes over in the absence of the chief of mission, serving as charge d' affairs. While the size and agency composition of the country team varies depending on US interests and priorities in a country, the typical country team is made up of the DOS section heads and the senior officers of all other USG agencies present in a country. At the largest embassies there may be over 50 USG agencies or offices represented on the country team. In some countries there may also be one or more consulates in addition to the embassy in the capital. Consulates are located in cities of particular interest. For example, port cities or cities with large US citizen populations may have a consulate. The agency presence at each consulate varies with US interests in that city.

The following list is a sample country team at a small- to middle-sized US embassy:

Ambassador (noncareer or career)
Deputy Chief of Mission (DOS)
Counselor of Embassy for Political Affairs (DOS)
Counselor of Embassy for Economic Affairs (DOS)
Consul General (DOS)
Counselor of Embassy for Public Diplomacy (DOS)
Counselor of Embassy for Management (DOS)
Regional Security Officer (DOS)
Chief of Station (Central Intelligence Agency)

Mission Director (United States Agency for International Development)
Counselor of Embassy for Commercial Affairs (Department of Commerce)
Counselor of Embassy for Agricultural Affairs (Department of Agriculture)
Legal Attaché (Federal Bureau of Investigation)
Country Attaché for Drug Enforcement (Drug Enforcement Administration)
Defense Attaché (Defense Intelligence Agency)
Office of Military Cooperation (DOD)

The country team is the planning and coordinating vehicle for all USG agency program execution in a given nation. As the primary reporting group, the country team can provide a sustained view into the local populations, key actors, and other areas of interest. A well-functioning country team will have insight into security and stability concerns including what various elements of the public expect from their government—an important facet in understanding fragility and increasing stability. Military organizations conducting maritime stability operations should use this resource in assessment, planning, execution, and evaluation phases of stability operations. Typically, the initial point of contact will be the senior defense representative on the country team.

The country team is experienced working with standing and ad hoc coordinating bodies such as the joint interagency coordination group, joint interagency task force, diplomatic functional and regional bureaus, combatant commands, NGOs active in the country, IGOs (such as the United Nations), and regional organizations with maritime elements (such as the Common Market of the South American Cone, Organization of American States, Economic Community of West African States, North Atlantic Treaty Organization, the European Union, the Association of South East Asian Nations). These established relationships can be helpful to stability planners and operators who seek to complement work already underway, or at least, avoid redundancy.

The maritime environment introduces an additional dimension for embassy, consulate, and mission teams since commerce, security, diplomatic, and development concerns become increasingly complex in the maritime environment. This complexity involves maritime commerce, sovereignty claims and disputes, maritime border security, and more.

Considering the interdisciplinary nature of stability operations and the complexity of operations in the maritime environment, effective country teams should be the military's first partner for coordinating and synchronizing the functions of stability operations. Efforts aimed at improving stability in maritime governance, law enforcement, commerce, or social concerns will affect the state

beyond the maritime sector. The country team can best synthesize these effects and work to minimize or balance any negative consequences.

Maritime-related sovereignty disputes exist in various parts of the world. Some examples include EEZ disputes and competing sovereignty claims. These disputes can pose national and international diplomatic dilemmas, as well as raise economic/commercial concern, threatening sea lane and marine resource access. Country teams in the maritime environment weigh claims to territorial waters (or any maritime zone that is not consistent with international law, as reflected in the LOSC), particularly where US commercial concerns are impacted. Furthermore, country teams in the maritime environment monitor developments and actors in such disputes, as quarrels over sovereignty can escalate and conflate security concerns.

The US vital interest in maintaining stability, freedom of navigation, and the right to lawful commercial activity requires deliberate collaboration across diplomatic, commercial, development, and security sectors. The country team is a vital partner in understanding broader strategic and operational context for stability operations in the maritime environment.

To learn more about US embassies, consulates, and diplomatic missions, see http://www.usembassy.gov/.

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# Glossary

## SECTION I. ACRONYMS

COA . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . course of action

DCM . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . deputy chief of mission
DOD . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . Department of Defense
DOS . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . Department of State

EEZ . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . exclusive economic zone

FAO . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . foreign area officer
FHA . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .foreign humanitarian assistance

GCC . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . geographic combatant commander
GOPLAT . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . gas-oil platform

HN . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . host nation

IGO . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . intergovernmental organization

JFC . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .joint force commander
JP . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .joint publication
JTF . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .joint task force

NGO . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . nongovernmental organization

RAO . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .regional area officer

SFA . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .security force assistance

US . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . United States
USG . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . United States Government

WMD . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . . .weapons of mass destruction

## SECTION II. DEFINITIONS

**antipiracy operation**—Action to thwart an illegal act of violence, depredation (e.g., plundering, robbing, or pillaging),  or detention in or over international waters committed for private ends by the crew or passengers of a private ship or aircraft against another ship or aircraft or against persons or property on board such ship or aircraft. (Proposed for inclusion in the next edition of MCRP 5-12C.)

**assessment**—1. A continuous process that measures the overall effectiveness of employing joint force capabilities during military operations. 2. Determination of the progress toward accomplishing a task, creating a condition, or achieving an objective. 3. Analysis of the security, effectiveness, and potential of an existing or planned intelligence activity. 4. Judgment of the motives, qualifications, and characteristics of present or prospective employees or "agents." (JP 1-02)

**civil-military operations**—The activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and non-governmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military op-erations, to consolidate and achieve operational US objectives. Civil-military operations may include performance by military forces of activities and functions normally the responsibility of the local, regional, or national government. These activities may occur prior to, during, or subsequent to other military actions. They may also occur, if directed, in the absence of other military operations. Civil-military operations may be performed by designated civil affairs, by other military forces, or by a combination of civil affairs and other forces. Also called **CMO**. (JP 1-02)

**consequence management**—Actions taken to maintain or restore essential services and manage and mitigate problems resulting from disasters and catastrophes, including natural, man-made, or terrorist incidents. Also called **CM**. (JP 1-02)

**counterpiracy operation**—Action taken in response to an illegal act of violence, depredation (e.g., plundering, robbing, or pillaging), or detention in or over inter-national waters committed for private ends by the crew or passengers of a private ship or aircraft against another ship or aircraft or against persons or property on board such ship or aircraft. (Proposed for inclusion in the next edition of MCRP 5-12C.)

**counterterrorism**—Actions taken directly against terrorist networks and in-directly to influence and render global and regional environments inhospitable to terrorist networks. Also called **CT**. (JP 1-02)

**country team**—The senior, in-country, US coordinating and supervising body, headed by the chief of the US diplomatic mission, and composed of the senior member of each represented US department or agency, as desired by the chief of the US diplomatic mission. Also called **CT**. (JP 1-02)

**foreign humanitarian assistance**—Department of Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering, disease, hunger, or privation. Also called **FHA**. (JP 1-02)

**foreign internal defense**—Participation by civilian, military, and law enforcement agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security. Also called **FID**. (Proposed for inclusion in the next edition of MCRP 5-12C.)

**freedom of navigation operations**—Operations conducted to demonstrate US navigation, overflight, and related interest on, or under, and over the seas. (JP 1-02)

**irregular warfare**—A violent struggle among state and nonstate actors for legitimacy and influence over the relevant population(s). (JP 1-02) Irregular warfare favors indirect and asymmetric approaches, though it may employ the full range of military and other capacities, in order to erode an adversary's power, influence, and will. Also called **IW**. (Proposed for inclusion in the next edition of MCRP 5-12C.)

**maritime domain**—The oceans, seas, bays, estuaries, islands, coastal areas, and the airspace above these, including the littorals. (JP 1-02)

**maritime interception operations**—Efforts to monitor, query, and board merchant vessels in international waters to enforce sanctions against other nations such as those in support of United Nations Security Council Resolutions and/or prevent the transport of restricted goods. Also called **MIO**. (JP 1-02)

**security assistance**—Group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives. Security assistance is an element of security cooperation funded and authorized by Department of State to

be administered by Department of Defense/Defense Security Cooperation Agency. Also called **SA**. (JP 1-02)

**security cooperation**—All Department of Defense interactions with foreign defense establishments to build defense relationships that promote specific US security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide US forces with peacetime and contingency access to a host nation. Also called **SC**. (JP 1-02)

**security force assistance**—The Department of Defense activities that contribute to unified action by the US Government to support the development of the capacity and capability of foreign security forces and their supporting institutions. Also called **SFA**. (JP 1-02)

**show of force**—An operation designed to demonstrate US resolve that involves increased visibility of US deployed forces in an attempt to defuse a specific situation that, if allowed to continue, may be detrimental to US interests or national objectives. (JP 1-02)

**stability operations**—An overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief. (JP 1-02)

**transitional military authority**—A temporary military government exercising the functions of civil administration in the absence of a legitimate civil authority. It exercises temporary executive, legislative, and judicial authority in a foreign territory. (Proposed for inclusion in the next edition of MCRP 5-12C.)

**unified action**—The synchronization, coordination, and/or integration of the activities of governmental and nongovernmental entities with military operations to achieve unity of effort. (JP 1-02)

**unity of effort**—Coordination and cooperation toward common objectives, even if the participants are not necessarily part of the same command or organization–the product of successful unified action. (JP 1-02)

**visit, board, search, and seizure**—Maritime boarding actions and tactics designed to capture enemy vessels; combat terrorism, piracy, and smuggling; and conduct customs, safety, and other inspections as employed by modern navies, marine and maritime services, and military and police forces (MCRP 5-12C)

# References and Related Publications

## Federal Publications

Presidential Proclamation of March 10, 1983, 19 Weekly comp. Pres. Doc. 383.

### United States Code

Title 10   Armed Forces
Title 14   Coast Guard
Title 33   Navigation and Navigable Waters
Title 46   Shipping

### National Security

A Cooperative Strategy for 21st Century Seapower
National Defense Strategy
National Military Strategy
National Security Strategy
National Strategy for Maritime Security
Sustaining U.S. Global Leadership: Priorities for 21st Century Defense,
    January 2012

### Concepts

Capstone Concept for Joint Operations.
Irregular Warfare: Countering Irregular Threats Joint Operating Concept,
    Version 2
Marine Corps Operating Concepts, Third Edition
Naval Operations Concept 2010

## Department of Defense Publications

### Department of Defense Directives (DODD)

3000.05   Military Support for Stability, Security, Transition, and
              Reconstruction (SSTR) Operations

### Department of Defense Instruction (DODI)

3000.05   Stability Operations

## Joint Publications (JPs)

| | |
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| 1 | Doctrine for the Armed Forces of the United States |
| 1-02 | Department of Defense Dictionary of Military and Associated Terms |
| 3-0 | Joint Operations |
| 3-00.1 | Strategic Communications (Draft) |
| 3-07 | Stability Operations |
| 3-07.3 | Peace Operations |
| 3-07.4 | Joint Counterdrug Operations |
| 3-10 | Joint Security Operations in Theater |
| 3-22 | Foreign Internal Defense |
| 3-26 | Counterterrorism |
| 3-28 | Civil Support |
| 3-29 | Foreign Humanitarian Assistance |
| 3-32 | Command and Control for Joint Maritime Operations |
| 3-57 | Civil-Military Operations |
| 5-0 | Joint Operation Planning |

## Marine Corps Publications

Marine Corps Doctrine Publication (MCDP)

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| 1-0 | Marine Corps Operations |

Marine Corps Warfighting Publication (MCWP)

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| 5-12.1 | The Commander's Handbook on the Law of Naval Operations |

## Navy Publications

Naval Doctrinal Publication (NDP)

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| 1 | Naval Warfare |

Navy Warfare Publication (NWP)

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| 1-14 | The Commander's Handbook on the Law of Naval Operations |

## Coast Guard Publications

Coast Guard Commandant Publication (COMDTPUB)

| | |
|---|---|
| 5800.7A | The Commander's Handbook on the Law of Naval Operations |

## Army Publications

<u>Army Field Manual (FM)</u>

3-07          Stability Operations

## Miscellaneous

US Department of State, Foreign Affairs Manual, Volume 2, Handbook 2—Post Management Organization

US Department of State, Maritime Security Sector Reform (MSSR) Guide

US Navy Vision for Confronting Irregular Challenges

US Coast Guard, Model Maritime Service Code

Joint Operating Environment 2010

Maritime Security Directive 104-6 (Rev. 3) (Sensitive Security Information/For Official Use Only)

Unified Action Handbook Series Book One, Military Participation in the Interagency Management System for Reconstruction and Stabilization

Unified Action Handbook Series Book Two, Military Support to Essential Services and Critical Infrastructure

Unified Action Handbook Series Book Three, Military Support to Governance, Elections, and Media

Unified Action Handbook Series Book Four, Military Support to Economic Stabilization

NWDC TACMEMO 3.07.6-05, Humanitarian Assistance/Disaster Relief (HA/DR) Operations Planning

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