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**SPECIAL OPERATIONS SUPPORT TO  
GOVERNANCE: ESTABLISHMENT OF A NEW  
NPS ACADEMIC TRACK, CERTIFICATE AND COURSE**

Foley, Patrick M.; Holck, David K.

Monterey, CA; Naval Postgraduate School

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**NAVAL  
POSTGRADUATE  
SCHOOL**

**MONTEREY, CALIFORNIA**

**DEFENSE ANALYSIS  
CAPSTONE REPORT**

**SPECIAL OPERATIONS SUPPORT TO GOVERNANCE:  
ESTABLISHMENT OF A NEW NPS ACADEMIC  
TRACK, CERTIFICATE AND COURSE**

by

Patrick M. Foley and David K. Holck

December 2022

Thesis Advisor:  
Second Reader:

Kalev I. Sepp  
Cecilia Panella

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**SPECIAL OPERATIONS SUPPORT TO GOVERNANCE: ESTABLISHMENT  
OF A NEW NPS ACADEMIC TRACK, CERTIFICATE AND COURSE**

Patrick M. Foley  
Major, United States Army  
BA, Hofstra University, 2006

David K. Holck  
Major, United States Army  
BA, Wheaton College, 2011

Submitted in partial fulfillment of the  
requirements for the degrees of

**MASTER OF SCIENCE IN APPLIED DESIGN FOR INNOVATION**

and

**MASTER OF SCIENCE IN INFORMATION STRATEGY AND POLITICAL  
WARFARE**

from the

**NAVAL POSTGRADUATE SCHOOL  
December 2022**

Approved by: Kalev I. Sepp  
Advisor  
  
Cecilia Panella  
Second Reader  
  
Carter Malkasian  
Chair, Department of Defense Analysis

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## ABSTRACT

This capstone established the SOF-G track, certificate, and course to meet the needs of Army Special Operations Forces, with particular emphasis on Civil Affairs Forces. This curriculum prepares future ARSOF senior leaders with a comprehensive understanding of transitional governance. This includes the theories, methods, and practices to apply governance-based support activities in competition, large-scale combat operations, the consolidation of gains, and in contested, austere, denied, and politically sensitive environments. This course of study combines governance studies with applied sciences, mathematical modeling, visual analytics, and relevant case study. By sharing the coursework and faculty from the Departments of Defense Analysis and National Security Affairs, students experience regionally focused governance-based courses while expanding their professional networks between ARSOF and Foreign Area Officers, academics, and other Unified Action Partners. This path preserves the AOC and JPME coursework that make NPS a premier ILE venue. The SOF-G curriculum integrates advanced academics with Civil Affairs governance competencies outlined in Field Manual 3-57 Civil Affairs Operations and addresses key findings from the 2020 Army Futures Command-led Civil Affairs Force Modernization Assessment.



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## LIST OF ACRONYMS AND ABBREVIATIONS

|       |   |
|-------|---|
| AOC   | Area of Concentration                           |
| ARSOF | Army Special Operations Forces                  |
| FAO   | Foreign Area Officer                            |
| CA    | Civil Affairs                                   |
| CAO   | Civil Affairs Operations                        |
| CAQC  | Civil Affairs Qualification Course              |
| CMO   | Civil-Military Operations                       |
| COG   | Center of Gravity                               |
| DA    | Defense Analysis                                |
| DOD   | Department of Defense                           |
| GWOT  | Global War on Terror                            |
| JSOMA | Joint Special Operations Military Academy       |
| NSA   | National Security Affairs                       |
| PME   | Professional Military Education                 |
| SOCoE | Special Operations Center of Excellence         |
| SOF   | Special Operations Forces                       |
| SOF-G | Special Operations Forces Support to Governance |
| VEO   | Violent Extremist Organization                  |

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## EXECUTIVE SUMMARY

This capstone established the Special Operations Forces Support to Governance (SOF-G) Academic Track and Certificate at the Naval Postgraduate School as of Fall 2022 to meet the advanced educational needs of the SOF community.

### **1. Background**

The United States military has supported civil administration in partner nations or provided transitional governance in occupied territories in virtually every conflict since 1776. The requirement for the Army to apply the tenants of governance operations is as valid and relevant as ever. As a military, we must learn from our errors and failures just as much as from our successes. The execution of military operations supportive of long-term governance efforts will continue to play a critical part in our nation’s strategic approach. The ability to support our Allies and Partners to counter adversarial coercion and the influence through applying governance practices in complex contested areas will remain essential.

Challenge: The lack of advanced governance-focused educational options for Civil Affairs personnel has long been a critique of the CA community. The establishment of a new active component Area of Concentration (AOC), designated as a 38S or “SOF Governance Officer” separate from the previous designation of 38A or Civil Affairs Officer, emphasizes the need for formal governance educational opportunities. The Military Occupational Specialty designation change establishes requirements for active-duty CA Officers to be distinctly organized, trained, equipped, and educated in governance to execute operations in denied, politically sensitive, austere, and remote environments. The Civil Affairs Force Modernization Assessment of 2020 further highlights the gap in governance education and provides several key recommendations to include alignment of the FAO and CA pipelines.

### **2. Opportunity**

The SOF-G track, and graduate certificate, created through this capstone, meet the needs of Army Special Operations Forces, with particular emphasis on Civil Affairs



Forces. The SOF-G track and certificate integrates academics with Civil Affairs governance competencies outlined in Field Manual 3-57 Civil Affairs Operations and addresses key findings from the 2020 Army Futures Commanded Civil Affairs Force Modernization Assessment - Functional Solutions Analysis. This track and academic rigor prepare future ARSOF senior leaders with a comprehensive understanding of transitional governance. This includes the theories, methods, and practices to apply governance-based support activities in competition, large-scale combat operations, the consolidation of gains, and in contested, austere, denied, and politically sensitive environments. The SOF-G program combines governance studies with applied sciences, mathematical modeling, visual analytics, and relevant case study. By balancing the coursework and faculty from the Naval Postgraduate School's Departments of Defense Analysis and National Security Affairs, students will experience regionally focused governance-based courses while expanding their professional networks with Foreign Area Officers, academics, and other Unified Action Partners

The SOF-G certificate was approved by the Academic Council in August 2022. The SOF-G Certificate requirements consist of one DA course (DA4038) and two NSA courses. The SOF-G degree track was approved by the NPS Academic Council in September 2022. The initial pilot course of DA 4038 SOF Support to Governance, (run as a DA4900 or a directed study) was conducted in the Summer 2022 with three SOF CA Officers, two Air Force FAOs, two US Army FAOs, and one MARSOC Officer.

## ACKNOWLEDGMENTS

We want to thank Dr. Kalev “Gunner” Sepp for supporting our effort to further professionalize the SOF community, particularly SOF CA. Thank you for your keen insight and guidance on developing a more tailored and operationally focused educational program for SOF and Civil Affairs practitioners. Your knowledge in operational and academic environments enabled this SOF Support to Governance curriculum to become a reality within a timeline that genuinely meets the force’s needs. Your mentorship and instruction have been one of the most rewarding aspects of our time at NPS.

Our second reader, Cecilia Panella, provided incredible insights throughout the process, enabling us to create a more comprehensive, dynamic, and synchronistic approach. Thank you for the unwavering support, guidance, and sanity checks. You are one of the best instructors we have encountered, and we look forward to your continued success.

We want to thank the CA proponent team, LTC Sal Candela, SGM Derek Riley, Mr. Tim Strong, LTC Alex Chung, MAJ Hugo Flores-Diaz, and MSG Richard Bisbal for their support and sponsorship.

Additionally, I, Patrick, would like to thank Dave for joining me in undertaking this effort; I could not have done it alone. This capstone was much more than a thesis paper and required tremendous sacrifice and extra work in addition to the rigorous NPS Defense Analysis curriculum. Thanks for joining me on this project and for being a great teammate.

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## I. PURPOSE AND BACKGROUND

### A. NEED FOR THE SPECIAL OPERATIONS SUPPORT TO GOVERNANCE PROGRAM

This capstone created a long-term, low-cost, and refinable solution to the persistent gap in Professional Military Education options focused on governance for active-duty Civil Affairs personnel. The establishment of the Special Operations Forces Support to Governance (SOF-G) academic track, certificate, and course were undertaken in direct response to the needs of the Special Operations Forces (SOF) operational community. These needs were most recently reflected in the 21 April 2020 Functional Solutions Analysis for Civil Affairs Force Modernization Assessment (FMA) which was subsequently endorsed by the Commandant of the US Army Special Warfare Center of Excellence, MG Patrick Roberson, on 2 January 2021. The findings and recommendations of the 2020 FMA bear striking similarities to previous scholarly works on the need to develop further the capabilities of Civil Affairs (CA) Forces in governance activities, the need for expanded governance education within the active-duty Civil Affairs Force, and the need for greater collaboration between the CA branch, Foreign Area Officers, and academic institutions.

The Master of Science track and graduate certificate in SOF Support to Governance established by this capstone were based on the recommendation of the 2020 FMA and the findings of previous research. These findings are highlighted most clearly in the works by Melanie Collins and Jennifer Jantzi in their 2017 master's thesis, "Civil Affairs Framework for Executing Governance," and the capstone work of Clay Daniels and David Foster, entitled "Friends with Benefits: Optimizing Civil Affairs for Future Engagements."<sup>1</sup> These academic works lay the groundwork for the 2020 FMA by highlighting the educational gaps between the doctrinally defined capabilities of CA forces and the practical outputs that existing training and education provide to CA forces. As noted by Collins and Jantzi,

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<sup>1</sup> Melanie D Collins and Jennifer K Jantzi, "Civil Affairs Framework for Executing Governance" (Master's Thesis, Naval Postgraduate School, 2016).

Across the Army, the CA soldiers are recognized as the governance experts. CA soldiers consistently deploy worldwide to advise civil authorities on how to execute stable and sustainable governance at all levels. Governance proficiency is emphasized throughout CA doctrine and CA mission statements as a foundation of the CA branch. Department of the Army (2014b), Commissioned Officer Professional Development and Career Management (Pamphlet 600-3) and Department of the Army (2014a), Civil Military Operations (FM 3-57), both state the mission of CA is ‘to mitigate or defeat threats to civil society and conduct responsibilities normally performed by civil governments across the range of military operations by engaging and influencing the civil populace.’<sup>2</sup>

Collins and Jantzi go on to note that “despite the emphasis on governance proficiency, CA soldiers receive very little formal training on advising local authorities on governance.”<sup>3</sup> Written in 2017, these findings mirror issues identified by Daniels and Foster in 2014 and hold true to a large extent today. Furthermore, this core finding was echoed by the 2020 FMA, which identified and prioritized 129 doctrine, organizations, training, material, leadership, and education, personnel, facilities, and policy (DOTmLPP-P) recommended solutions.

Subsequently, this capstone focused on two critical educational gaps and solutions highlighted by the FMA:

(c) P2 and P3: Adjusting the CA Officer and NCO Pathways, respectively, increase CA capabilities through providing opportunities for higher levels of education with accredited Universities.

(d) P6: Merge CA with the Foreign Area Officer (FAO) Branch, aligning the CA pipeline with FAO. This enforces increased standards for language and education across CA and FAO positions, enabling successful Soldiers serving in impactful roles across the Department of Defense and Department of State.<sup>4</sup>

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<sup>2</sup> Collins and Jantzi, 1.

<sup>3</sup> Collins and Jantzi, 1.

<sup>4</sup> MG Patrick Roberson, “Memorandum: Request for Approval of the Civil Affairs Force Modernization Assessment (FMA) Functional Solutions Analysis (FSA) Final Report” (Special Operations Center of Excellence, January 4, 2022), 33.

Thus, by moving forward from the gaps highlighted by Collins and Jantzi as well as Daniels and Forster’s analysis and the 2020 FMA, this capstone developed a master’s level governance program that is complementary to and in coordination with the existing DOD Foreign Area Officer training pathway and existing Professional Military Education (PME) options currently available to CA officers. The existing academic structure and programs of the Naval Postgraduate School make it uniquely positioned to support both recommendations in a consolidated program. The NPS National Security Affairs Department is a primary pipeline for the education of new DOD FAOs. Additionally, the NPS Defense Analysis Department is an established PME venue for Army Special Operations Forces (ARSOF) and particularly CA officers. Thus, the capstone was able to take advantage of existing structures within the NPS construct to address the governance related gaps in CA officer PME options.

## **B. THE U.S. MILITARY AND GOVERNANCE BACKGROUND**

The U.S. military has supported foreign civil administration or provided transitional governance in occupied territories in nearly every conflict since its establishment in 1775. The requirement for the Army to apply the tenets of governance activities is as valid and relevant as ever in the current strategically competitive environment.<sup>5</sup> The U.S. Army must capitalize on lessons learned to educate, train, and professionalize SOF personnel on governance principles and its intersection with strategic objectives.<sup>6</sup> Subsequently, the execution of military operations supportive of long-term governance efforts will continue to play a crucial part in our nation’s strategic approach.<sup>7</sup> It is critical to continue to support our Allies and Partners as they counter the influence of malign actors through the application of governance practices in complex contested areas.<sup>8</sup> Special Operations

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<sup>5</sup> Department of the Army, “Field Manual 3-57: Civil Affairs” (Washington, DC, June 2021).

<sup>6</sup> Department of the Army.

<sup>7</sup> White House, *Interim National Security Strategy of the United States of America* (Washington, DC, 2021), <https://www.whitehouse.gov/wp-content/uploads/2021/03/NSC-1v2.pdf>; Nadia Schadlow, *War and the Art of Governance: Consolidating Combat Success into Political Victory* (Washington, DC: Georgetown University Press, 2017).

<sup>8</sup> White House, *Interim National Security Strategy of the United States of America*.

Forces Civil Affairs personnel will continue to be called upon to carry out U.S. national objectives through governance-related activities across the competition continuum.<sup>9</sup>

The U.S. Army Civil Affairs branch is no longer a single Area of Concentration (AOC) branch. The FMA approved by the Special Warfare Center of Excellence Commander in 2021 resulted in the establishment of a new Active Component AOC – designated as a 38S or “Transitional Governance Officer” separate from the previous designation of 38A or Civil Affairs Officer.<sup>10</sup> This formal change establishes requirements for active-duty CA Officers to be distinctly organized, trained, and equipped in governance to execute operations in denied, politically sensitive, austere, and remote environments.

### C. RESEARCH

Based on changes to this Military Occupational Specialty (MOS) designation and recent edits to the Army Civil Affairs Field Manual, FM 3-57, the opportunity arose to pursue the development of a Defense Analysis Department-managed, Governance-focused academic track and a mutually supporting academic certificate. The proposed SOF Support to Governance track and certificate at the Naval Postgraduate School is designed to fill educational gaps in the active-duty CA branch and training pipeline created by the recent shift in doctrinal focus. This research will answer the question:

Can the creation of a Master of Science Program to study how SOF CA elements apply existing methods, practices, and historical examples to support governance in denied, politically sensitive, austere, and remote environments address the persistent capability gaps within the SOF CA force?

Considering the aforementioned formal acknowledgment of Special Operations Forces Civil Affairs as a unique and special skillset, our education necessitates a more robust and specialized Professional Military Education to support the skills and knowledge required of Field Grade SOF CA officers. NPS is well-positioned to provide a viable, tiered solution to meet these knowledge gaps.

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<sup>9</sup> Department of the Army, *Civil Affairs*, FM 3-57 (Washington, DC: Department of the Army, 2021).

<sup>10</sup> Department of the Army, *Officer Professional Development and Career Management*, DA PAM 600-3 (Washington, DC: Department of the Army, 2021), 3.

The following constitutes the current state of CA governance training and the skills required by higher headquarters elements of SOF CA leaders. This research resulted in the improvement of Special Operations Forces governance activities through a refined PME for SOF CA Field Grade Officers that also incorporates DOD Foreign Area Officers in training, Foreign Special Operations Officers, and SOF Officers from across the DOD. The research reaffirmed gaps in educational training, determined the most relevant case studies, theories, and methods, and then established the means for implementing a Governance-focused PME track at NPS and in concurrence with the emerging SOF CA Civil Affairs Qualification Course (CAQC) pipeline governance training.

#### **D. FRAMING THE GAPS**

Recent examples of the use of requirements driving SOF CA support to governance and transitional governance have been seen in Syria, the Southern Philippines, and Mongolia based on locally developed methods and tactics. Special Operations Joint Task Force-Operation Inherent Resolve’s recent operations employed Special Operations Civil Affairs Soldiers to identify and address political dynamics throughout Syria. These forces fostered indigenous collaboration, coordinated humanitarian efforts, and advised the populace through the establishment of local government bodies in Syria following the physical defeat of the Islamic State.<sup>11</sup> Similarly, SOF Civil Affairs forces assigned to Operation Pacific Eagle – Philippines enabled partner forces’ civil outreach. They facilitated violent extremist defection programs to promote the restoration of civil authorities following the IS-Philippines siege of the City of Marawi.<sup>12</sup> In Mongolia, SOF CA teams enable local governance by supporting provincial Governor initiatives ranging from supporting essential needs combating disease outbreaks amongst livestock or providing relevant training to their military, police, and emergency response personnel.<sup>13</sup>

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<sup>11</sup> Department of the Army, *Civil Affairs*.

<sup>12</sup> Teofilo Garcia, “US to Enhance Zambo’s Counter-Extremism, Terrorism Program,” accessed November 27, 2022, <https://www.pna.gov.ph/articles/1046473>.

<sup>13</sup> U. S. Embassy Ulaanbaatar, “U.S. Army Civil Affairs Team Supports Livestock Health,” U.S. Embassy in Mongolia, August 5, 2022, <https://mn.usembassy.gov/pr-080522/>.



These activities demonstrate the recent applications of governance support employed by the operational force through ad Hoc implementation.

Despite these successes, there is a gap in advanced Professional Military Education at the Field Grade level applying governance concepts and theories by SOF operators in denied austere spaces as demonstrated by the ad hoc nature of the activities undertaken above. Transitional governance leans on four stability mechanisms: influence, compliance, control, and support; considering SOF CA units operate in the grey zone and nuanced environments, the specifics of these mechanisms are difficult to quantify. Since 2017, the 95th CA BDE educated the force through contracted governance training, but this education has not fully met the operational needs of the SOF community. Previous curriculum attempts did not solidify as permanent training, and this requirement remains within the CA branch. Lessons from these short-lived contracted solutions demonstrate a need for formal governance education built into PME at the field grade level. Adopting a PME option inclusive of Governance training at the master's degree level assists in cementing the core competencies across the Field Grade population of SOF CA.

Currently, there is no educational program of record to support Field Grade SOF CA officers in the pursuit of fulfilling the practitioner requirements as governance specialists. However, separate organizations are conducting concurrent efforts to address this issue for different sub-population groups within the SOF CA community. For example, the Joint Special Operations Military Academy (JSOMA) is in the early stages of developing a governance certificate to fill this gap, along with a concerted effort from CA Reservists to facilitate governance training. A recently contracted Johns Hopkins University Applied Physics Laboratory Governance course (CA Support to Governance) is not designed as a legacy PME program. Instead, it is built as a 30-day quick reference course.<sup>14</sup> Similarly, the Special Warfare Center consisting of CAQC, is continuously developing an introductory governance module within the CAQC pipeline for future CA CPTs and NCOs. The SOF-G Track and Certificate is designed to build upon the CACQ course once it is formally adopted. The JHU Applied Physics Laboratory training, CA

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<sup>14</sup> Hugo Flores-Diaz and Richard Bisbal, SOFG Briefing: CA Proponent Funding, August 30, 2022.

Irregular Warfare course, and CA Governance Specialist course materials are pending final approval. Once approved, those courses will be reviewed to ensure continuity with SOF-G. These efforts demonstrate that as a branch, SOF Civil Affairs needs additional long-term and sustainable instruction beyond the CAQC to educate the preponderance of mid-career CA Soldiers.<sup>15</sup> To synthesize the SOF-G program of instruction, we have gained access to the current CAQC governance training materials to ensure parallel efforts for the cohesion of instruction across the CA Regiment.

With several options emerging in the educational sphere, further analysis is warranted for the most effective means to educate future senior SOF CA leaders. This research seeks to demonstrate the potential advantages of an NPS-provided SOF Support to Governance Track and associated certificate as part of the existing NPS PME curriculum. These advantages include a supportive Defense Analysis Department, shared classes with future Defense Attaché Officers, and a relevant and available National Security Affairs Department. Additionally, an existing Memorandum of Understanding permits NPS students to take courses at the adjacent Middlebury Institute of International Studies, whose programs focus on International Relations and Governance in complex environments. This research seeks to determine which methods, practices, and historical examples of support to governance in denied, politically sensitive, austere, and remote environments are most relevant to SOF CA leaders and how best to implement a course of study within a PME program at the Naval Postgraduate School.

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<sup>15</sup> Matthew Karrenbauer, Update: CA in IW / Gov Spt Course Contract Is Awarded, Email to author, December 8, 2021.

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## II. DEVELOPMENT

### A. LITERATURE REVIEW

This literature review will move from the broad need for governance education to the previously outlined gaps in existing PME before assessing the current governance-focused training solutions being explored. The need for SOF CA capabilities within the governance realm will be tied to DOD policy, doctrine, and directives as well as to the historical operational needs resulting from U.S. national interests. The previous literature on the gaps in governance education opportunities and PME lacked strong counterpoints arguing against the need for governance focused PME option.

U.S. national security strategies have regularly promoted effective governance in foreign areas traditionally afflicted with conflict to address regional and international instability.<sup>16</sup> These efforts often employ Civil Affairs units or conventional units tasked to conduct Civil-Military Operations (CMO).<sup>17</sup> The negative correlation between effective governance practices and drivers of instability is well-documented and studied.<sup>18</sup> Population-centric approaches to address drivers of instability remain prominent in U.S.

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<sup>16</sup> Center of Military History, *The United States Army in Somalia, 1992-1994*, CMH Publication 70 (Washington, D.C: U.S. Army Center of Military History, 2002); White House, *A National Security Strategy of Engagement and Enlargement* (Washington, DC, 1996), <https://www.hsdl.org/?view&did=444939>; White House, *Interim National Security Strategy of the United States of America*.

<sup>17</sup> Schadlow, *War and the Art of Governance*.

<sup>18</sup> Rufus B. Akindola and Christopher O. Ehinomen, "Military Incursion, Tribalism and Poor Governance: The Consequences for Development in Nigeria," *Mediterranean Journal of Social Sciences* 8, no. 5 (September 1, 2017): 151–57, <https://doi.org/10.1515/mjss-2017-0033>; Tanja A. Börzel and Thomas Risse, "Governance without a State: Can It Work?: Governance without a State," *Regulation & Governance* 4, no. 2 (July 22, 2010): 113–34, <https://doi.org/10.1111/j.1748-5991.2010.01076.x>; Robert I. Rotberg, "Good Governance Means Performance and Results: Good Governance Measures," *Governance* 27, no. 3 (July 2014): 511–18, <https://doi.org/10.1111/gove.12084>; Susan Rose-Ackerman, "What Does 'Governance' Mean?: What Does 'Governance' Mean?," *Governance* 30, no. 1 (January 2017): 23–27, <https://doi.org/10.1111/gove.12212>.

national security strategies.<sup>19</sup> As directed by the Department of Defense (DOD) Directive 2000.13, Civil Affairs soldiers will remain the U.S. military's primary interlocutors with the societal systems. SOF Civil Affairs personnel will continue to be at the forefront of implementing U.S. national security strategies due to their designation as Transitional Governance Officers.<sup>20</sup>

A significant body of literature speaks to the role of military support in post-conflict reconstruction, development, and governance. The Global War on Terrorism also produced volumes on military support to governance activities in the context of counterinsurgency operations and asymmetrical warfare in combat zones. These activities were often labeled “winning hearts and minds” and arguably evolved into ineffective methods to stabilize regions in conflict.<sup>21</sup> Conducting support to governance must be more scientific, methodic, and quantifiable than previously framed in CAQC training modules which still focuses on identifying and targeting the Center of Gravity (COG). The Clausewitzian COG development process can often become rather abstract and theoretical, resulting in difficulties for U.S. forces seeking to execute a targeting process focused on CMO. This may be due to an often default COG of the populace's will. U.S. military staffs have grown accustomed to the defaulting to the local population's will as the COG in large part due to the influence of COIN operations during the GWOT era. This was brought about by the reemergence of COIN doctrine as the prevailing guidance for operations in Iraq and Afghanistan. This updated doctrine had, arguable an overweighted impact on military planning and this military training pipelines such as the CAQC. Many of the

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<sup>19</sup> Biden, Joseph R. Jr., “Interim National Security Strategic Guidance March 2021 NSC-1v2.Pdf,” March 2021, <https://www.whitehouse.gov/wp-content/uploads/2021/03/NSC-1v2.pdf>; United States and Bill Clinton, eds., *A National Security Strategy of Engagement and Enlargement* (Washington, D.C: The White House : For sale by the U.S. G.P.O., Supt. of Docs, 1994); Center of Military History, *The United States Army in Somalia, 1992-1994.*, CMH Pub 70 (Washington, D.C: USArmy Center of Military History, 2002).

<sup>20</sup> Center of Military History, *The United States Army in Somalia, 1992-1994*; White House, *Interim National Security Strategy of the United States of America*; White House, *A National Security Strategy of Engagement and Enlargement*.

<sup>21</sup> Jacqueline L. Hazelton, “The ‘Hearts and Minds’ Fallacy: Violence, Coercion, and Success in Counterinsurgency Warfare,” *International Security* 42, no. 1 (July 2017): 80–113, [https://doi.org/10.1162/ISEC\\_a\\_00283](https://doi.org/10.1162/ISEC_a_00283); Karl E. Nell, *Hearts-and-Minds: A Strategy of Conciliation, Coercion, or Commitment?* (Carlisle, PA: Peacekeeping and Stability Operations Institute, U.S. Army War College, 2012).

counterinsurgency works are rooted in the experiences of the U.S. military over the last twenty years and built upon the theories David Galula promoted in his work, *Counterinsurgency Warfare: Theory and Practice*.<sup>22</sup> These academic and doctrinal literature bodies have influenced U.S. military strategies and U.S. strategic thinking. Dr. Nadia Schadlow's 2017 work provides a much-needed and informative movement beyond the military tactics of counterinsurgency into the practical methods of consolidating gains during and post-conflict. Her book, *War and the Art of Governance*, recounts historical and more recent U.S. military experiences to demonstrate that governance operations are and will remain integral to the American way of war.<sup>23</sup> Schadlow demonstrates that in all significant military interventions in the past, the US Army has faced the need to shape the political outcome of a war.<sup>24</sup> These findings give context to the continuous promotion of effective governance, supported by U.S. military in foreign nations habitually plagued with conflict to support regional and international stability.

Practitioners of Civil Affairs Operations (CAO) find their legal authorities in several Department of Defense Policies and U.S. Code Title 10 and 22. Namely, two DOD Directives provide authority and guidance for CAO within the DOD enterprise. DOD Directive 5100.1 commands the U.S. Army to conduct CAO. As such, DODD 51001.1 is the starting point for understanding literature development in this field of Civil Affairs and military support to governance.<sup>25</sup> The second directive, DOD 2000.13, prescribes the specific DOD requirements for CAO to include “support to stability operations, provide support to governance, provide essential services, and establish civil control for civilian populations in occupied or liberated areas until such control can be returned to civilian or non-U.S. military authority.”<sup>26</sup> These directives are translated into the operational and

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<sup>22</sup> David Galula and John A. Nagl, *Counterinsurgency Warfare: Theory and Practice* (Westport, CT: Praeger Security International, 2006).

<sup>23</sup> Schadlow, *War and the Art of Governance*.

<sup>24</sup> Schadlow.

<sup>25</sup> Department of Defense, *Functions of the Department of Defense and Its Major Components*, DOD Directive 5100.01 (Washington, DC: Department of Defense, 2020), <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/510001p.pdf>.

<sup>26</sup> Department of Defense, *Civil Affairs*, DOD Directive 2000.13 (Washington, DC, 2017), [https://irp.fas.org/doddir/dod/d2000\\_13.pdf](https://irp.fas.org/doddir/dod/d2000_13.pdf).

tactical application through Joint Publication 3-57 and U.S. Army Field Manual 3-57. Both official publications highlight governance, transitional governance support, and support to civil authority as critical tools for applying CAO. These authorities are further refined to the SOF operational level by the United States Special Operations Command Commander.<sup>27</sup>

The United States Special Operations Command distills DOD directives and manuals into Directive 525-38 to authorize and prescribe the use of SOF CA units of action. Directive 525-38 notes, “the persistent disorder will involve certain adversaries exploiting the inability of societies to provide functioning, stable, and legitimate governance. Confrontations involving contested norms and persistent disorder are likely to be violent but also include a degree of competition with a military dimension short of traditional armed conflict.”<sup>28</sup> The directive further demonstrates the need for research to properly define and identify the SOF support to governance methods, and practices for application in the post-GWOT era, particularly because the document highlights SOF CA units of actions to address threats to legitimate governance in contested spaces. SOCOM Directive 525.38 and its conferring directives and policies are only the starting point for an advanced understanding of what constitutes governance and establishing civilian control in contested spaces from the perspective of SOF military support and activities. Furthermore, determining the proper governance education of SOF CA field grade officers is essential to ensure the appropriate interpretation of this directive for the application of governance activities by U.S. military units in a new era of strategic competition.

Spurred by shifting dynamics in global competition, the July 2021 revision of Army FM 3-57 includes new core competencies, which are the foundational requirements and skills for CA practitioners to learn and master as professionals of Civil Affairs Operations. These competencies are:

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<sup>27</sup> Department of Defense, *Civil Military Operations*, Joint Publication 3-57 (Washington, DC: Department of Defense, 2018), [https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3\\_57.pdf](https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3_57.pdf).

<sup>28</sup> Department of Defense, *Civil Military Engagement*, USASOC Directive 525-38 (Washington, DC, 2018), [https://irp.fas.org/doddir/dod/d2000\\_13.pdf](https://irp.fas.org/doddir/dod/d2000_13.pdf).

- Transitional Governance
- Civil network development and engagement
- Civil knowledge integration
- Civil-military integration.<sup>29</sup>

These four competencies are the pillars of CAO activities (See Appendix A). The military’s role in the application of governance can be broken into two broad categories. The first of these is Military Governance, wherein military forces assume the government’s roles to oversee the administration of governance activities.<sup>30</sup> This is akin to the post-WWII U.S. administration of government functions in Japan and Germany. Support to transitional governance or transitional military authority entails the use of military forces for “building or restoring a fragile or failed government during all phases of military operations,” as per the Joint Chief of Staff “Handbook for Military Support to Governance, Elections, and Media”.<sup>31</sup> Additionally, military support to governance entails the activities undertaken by the military to expand and reaffirm the capabilities and authority of existing governance apparatuses against potentially malign actors. An advanced understanding of the activities and operations entailed in each category is required to fully apply the new core competencies outlined in FM 3-57.

## **B. CHARTER FOR INNOVATION**

Using the teachings of leading innovation expert Dr. Peter Denning, the research team employed an innovation process similar to the eight practices introduced by Denning and Robert Dunham in their book, *The Innovator’s Way*.<sup>32</sup> These practices include the

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<sup>29</sup> Department of the Army, *Civil Affairs*, 1–4.

<sup>30</sup> Department of Defense, *Civil Military Operations*.

<sup>31</sup> Department of Defense, *Handbook for Military Support to Governance, Elections, and Media*, Joint Warfighting Center (Department of Defense, 2016), 5, [https://www.jcs.mil/Portals/36/Documents/Doctrine/pams\\_hands/uah\\_2governance.pdf](https://www.jcs.mil/Portals/36/Documents/Doctrine/pams_hands/uah_2governance.pdf).

<sup>32</sup> Peter J. Denning and Robert Dunham, *The Innovator’s Way: Essential Practices for Successful Innovation* (Cambridge, Mass: MIT Press, 2010).



need to sense the needs of the community affected, build consensus, envision a solution, and offer the pathway to that solution. The research team continually referenced themes to ensure this capstone project was adequately addressing the needs of the affected community, properly defining that community, and subsequently offering a tangible vision of a solution that the community could support. By undertaking these practices as a guide, the research team quickly identified previous research and key leaders that had previously validated fundamental gaps in advanced educational programs designed to support the needed capabilities of the SOF CA force. Considering these gaps (referenced in the 2020 FM and the works of Collins and Jantzi or Daniels and Foster) this capstone sought to move past reidentify gaps and rather to execute tangible solutions in a long-term and sustainable manner. This capstone used existing research and recommendations to implement a solution.

The complexity of the project required multiple lines of effort (see Appendix C) to develop a new curriculum, regional certificate, and course. The linchpin of these three items is the DA 4038 SOF Support to Governance course. The format, process, and means to achieve this required planning in conjunction with the academic calendar while remaining conscious of the operational force training cycles. Figure 1 represents the timeline and plan for developing a refined syllabus for the SOF Support of Governance advanced course with Dr. Kalev Sepp. Simultaneously, the research team coordinated with the National Security Affairs department to certify which courses are capable of an influx of one to five (1-5) DA students per quarter. During this time, staff at the Special Warfare Center coordinated and approved the track and certificate, thereby layering SWC and NPS programs through a mutually supporting and cohesive effort.

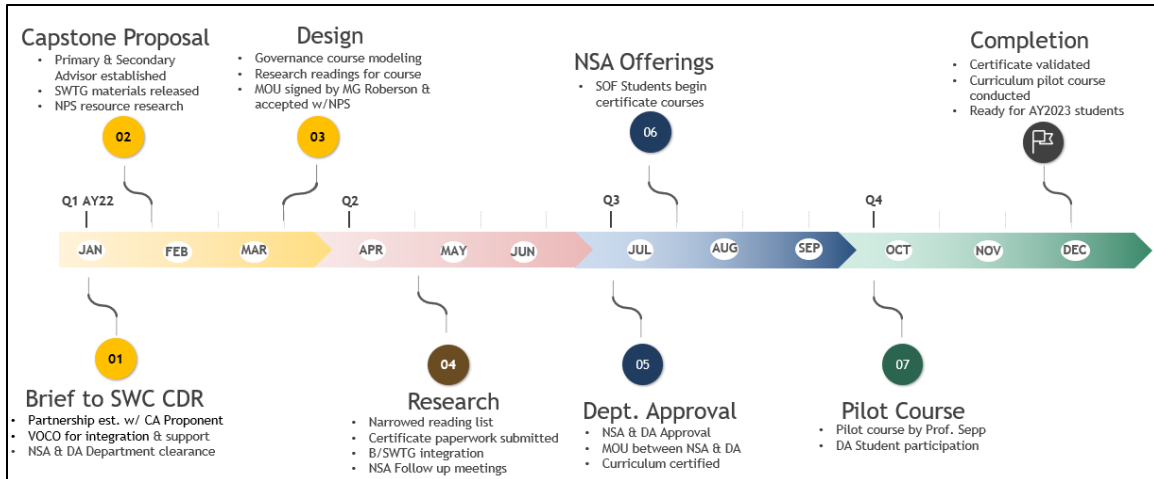


Figure 1. Capstone Project Timeline

This culminated in refined products, a formal letter of support from the Commanding General of USAJFKSWCS and the CA Proponent solidified the capstone project as a vetted, approved, and encouraged educational pipeline. This letter of endorsement was submitted to the Commanding General of USAJFKSWCS for signature on February 7, 2021. Prospective CA officers will begin onboarding into the SOF Support to Governance track in Spring 2022. The Winter 2023 graduates will be the first track cohort to have the track, regional certificate and course available during their time at NPS

### C. CERTIFY SKILLS REQUIRED

By the nature of their occupation, CA Officers need to understand strategic governance concepts with tactical application to meet the requirements outlined in DA PAM 600-3: Commissioned Officer Professional Development and Career Management. Notably, the 2021 publication of FM 3-57 highlights updated skills, attributes, and knowledge required for CA Officers but fails to fully connect these to the practice of governance. Rather, the FM references the components of governance and provides an updated definition. Field Manual 3-57 describes the needed skills: “leader competencies for decisive action will expand to encompass cross-cultural communications, language, and

the ability to enable economic development, governance, and conflict resolution through negotiation.”<sup>33</sup>

The ability to support transitional governance and national objectives is vital for consolidating gains among the civilian populace and government. Should SOF CA units be called upon to execute these skills, many officers would struggle to adequately achieve these objectives, particularly in the operational and strategic contexts of competition with a near-peer adversary. As nations are in a constant flux between stability and conflict, CA Officers must operate in dynamic, austere environments with foreign governments at all levels across the competition continuum. In support of a ground force commander (GFC), CA Officers are expected to give advice, options, and expertise on civil administration. They must be skilled in the methods for degrading influence, control, and support of adversarial entities such as violent extremist organizations (VEO) or competitive, malign nations. Practitioners of CAO require more training on limiting the influence and activities of malign actors within the scope of governance practices. This has been highlighted by the recently published DOD Joint Publication 3-0, 2022, use of the term “Counter Adversarial Coercion” as a means to describe operations short of armed conflict within the competition space. A CAO practitioner’s skills should not be largely determined by his or her previous individual civilian educational experiences or by a specific battalion level unit’s individual training pathway. Instead, these skills should be established, refined, and tested within higher education programs for officers entering the field grade levels and NCOs entering E8 and E9 billets.

#### **D. CAPSTONE OPERATIONAL APPROACH**

A SOF Support to Governance academic track within the Defense Analysis department at the Naval Postgraduate School will now provide a common program of study for SOF CA officers in the advanced practices of transitional governance and governance activities in denied and contested environments. Additionally, establishing a regional governance certificate consisting of one foundational Defense Analysis course, one NSA

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<sup>33</sup> Department of the Army, *Officer Professional Development and Career Management*.

department governance and security course, and one NSA department regional governance course will meet the operational need for a Governance-focused PME for SOF CA officers. Figure 2 shows the operational approach taken in proposing these concepts to the academic body and operational force. The two lines of efforts illustrate the SOF-G track and certificate which are both supported by the newly approved SOF Support to Governance course.

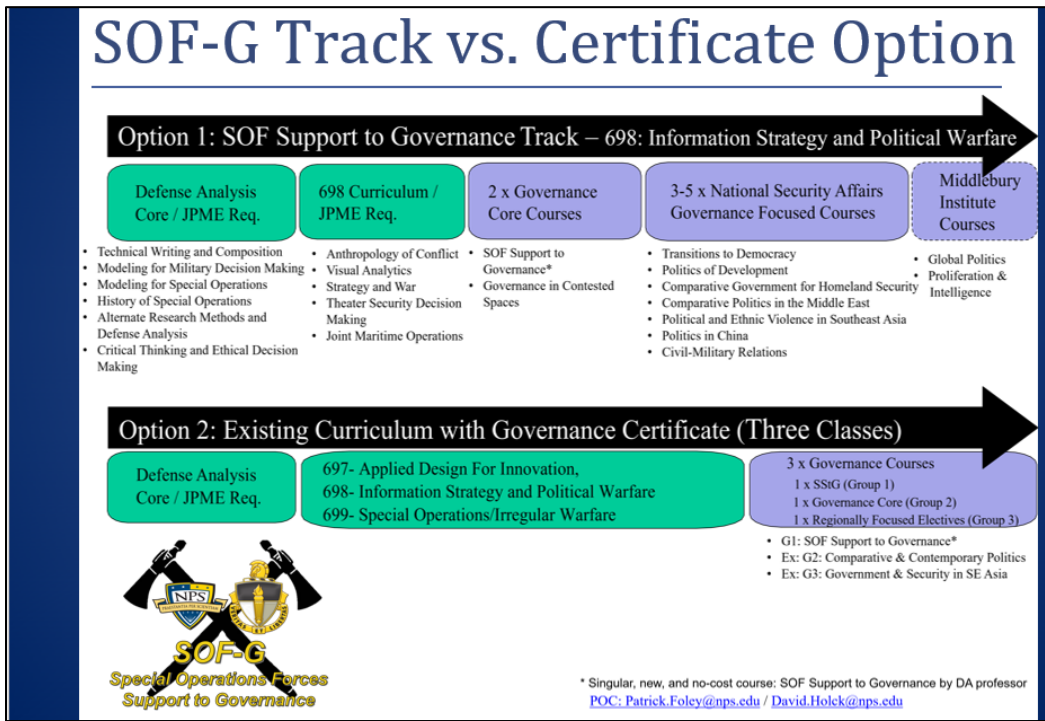


Figure 2. Capstone Operational Approach

This regional certificate provides the flexibility to allow all members of the SOF enterprise to educate themselves in governance and security topics while also giving them the opportunity to pursue additional educational goals based on individual professional interests and evolving force needs. For CA officers with shorter time availability or additional academic objectives, the Governance certificate permits them to utilize the varied options in defense innovation and social network analysis that are unique to NPS while also receiving a master’s level certificate supporting professional development of their core competencies.

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### III. METHODOLOGY

Without a formalized process to begin the official creation of the SOF-G Course, Regional Certificate, and Track, the research team started with recommendations and advice from Defense Analysis Department professors and staff. Often the discussions, briefings, and working groups resulted in additional meetings and a wider understanding of the community of interest invested in or affected by the SOF-G program. This community of interest included key individuals in the NPS academic structure and the U.S. Army's operational force who were interested and invested in the creation of the SOF-G program. Subsequently, the process of creating the SOF-G program involved both formal and informal processes within NPS, the United States Army Special Operations Command, and U.S. Army Civil Affairs branch operational force. This chapter highlights the key individuals who informed and helped produce the SOF-G academic program from the beginning of conceptual brainstorming in October 2021 to the formal approval of the SOF-G Track and the commencement of the first SOF-G DA4038 course in September 2022. The process undertaken is broken into three phases: I. Conception, II. Concurrence, and III. Establishment. Figure 3 highlights the three phased process and methodology of creating the SOF-G program from conception to the program's active status on the NPS campus available to the student body starting the Fall Quarter 2022.

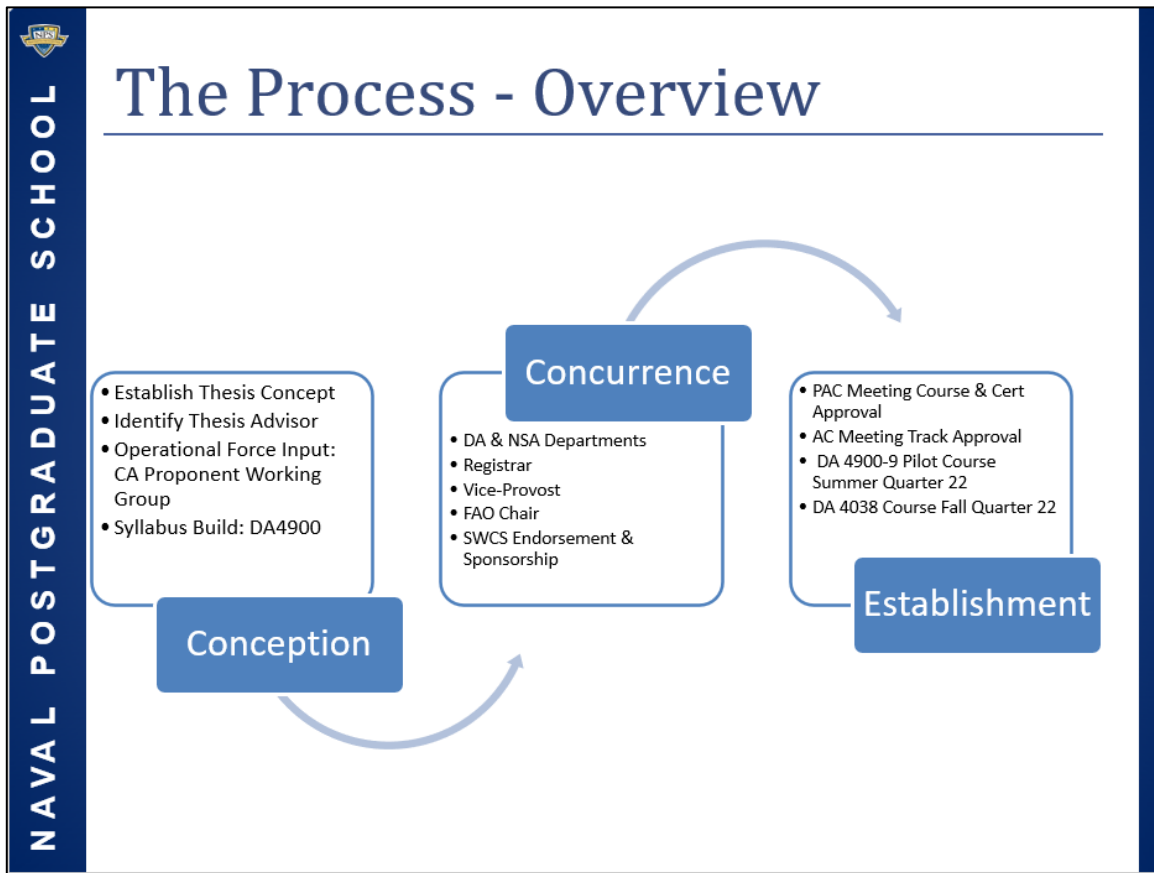


Figure 3. SOF-G Creation Process

**A. PHASE I: CONCEPTION**

In 2021, on the heels of the formal endorsement of the 2020 FAM, the Civil Affairs Military Occupational Specialty (MOS) for Active-duty Civil Affairs officers changed from 38A—Civil Affairs Officer, to 38S—Transitional Governance Officer.<sup>34</sup> This formal change establishes requirements for active-duty CA Officers to be distinctly organized, trained, and equipped in governance to execute operations in denied, politically sensitive, austere, and remote environments. Subsequently, this capstone project was established to create a program of record for future SOF Officers to develop the required advanced

<sup>34</sup> Department of the Army.

academic understanding of the methods, practices, and governance typologies in the environments these forces are called upon to operate.

The conception phase focused on choosing an appropriate thesis advisor who would not only provide professional and academic support through the process but also teach the cornerstone SOF-G course (DA4038) developed as part of the capstone. Receiving operational force input further supported the broader community of interest in this program. Additionally, creating a syllabus supported the other two project objectives: the SOF-G regional certificate and the SOF-G track. Dr. Kalev Sepp (COL RET) and Academic Associate Cecilia Panella became integral enablers of this process by guiding the tasks, initiating conversations, and briefings with NPS faculty and leadership.

Recognizing the potential positive impact a SOF-G program established at NPS could have for SOF Officers and NCOs, the research team met with CA Proponent under the Army Special Operations Center of Excellence to gain a common understanding of the program outcomes and learning objectives, ensuring complementary efforts.<sup>35</sup> The subsequent meeting on 7 December 2021 established the support, approval, and sponsorship by Civil Affairs Proponent for the SOF-G program.<sup>36</sup> After this meeting, the way ahead was outlined to finalize the project's objectives with the faculty in the Defense Analysis and National Security Affairs Departments. Additionally, the research team sought involvement and sponsorship from several entities to include the 1<sup>st</sup> Special Forces Command and United States Army Special Operations Command. Figure 4 represents the dynamic interdepartmental and organizational input resulting in the approval and execution of the SOF-G program.

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<sup>35</sup> Alex Chung, SStG Briefing, Email to author, October 28, 2021.

<sup>36</sup> Alex Chung and Salvatore Candela, SStG Briefing, Phone Call with Author, December 7, 2021.



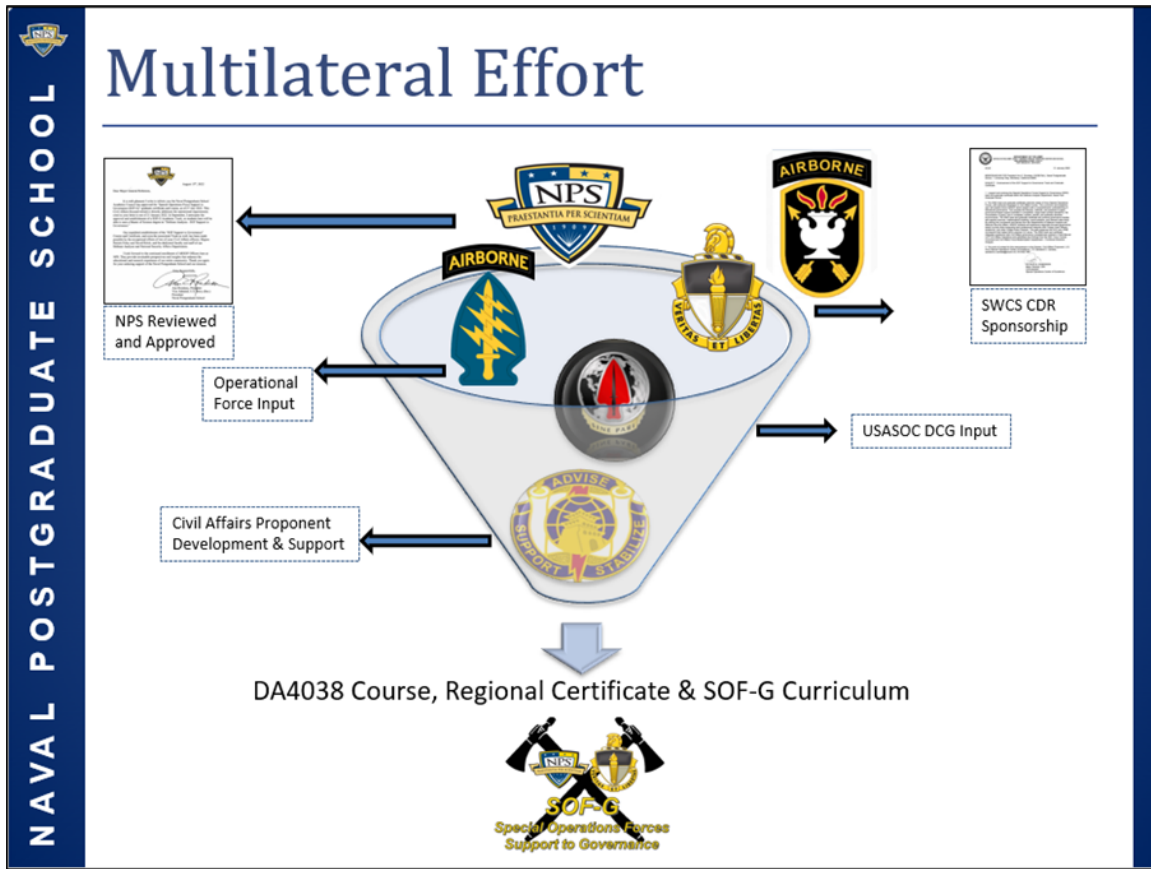


Figure 4. Collaborative Input from Multiple Agencies

## B. PHASE II: CONCURRENCE

Collaboration and synchronization with the National Security Affairs Department was important to ensuring a mutually supportive and beneficial relationship. The SOF-G proposal was well received during the first meeting on January 15, 2022, with Dean Clay Moltz and Dr. Emily Meierding. This set the foundation for positive reinforcement of the exchange between the two departments and future SOF to FAO interactions in and outside of the classroom. Dr. Meierding provided an updated list of NSA courses for consideration in the SOF-G curricular development. This course listing helped shape the curricular strategy and integration with the NSA Department.

Achieving concurrence with key individuals through the NPS academic structure, particularly in the Defense Analysis and National Security Affairs Departments, was instrumental to mapping the various opinions, requests and understanding among the entire

community of interest. These other individuals such as the Dean of Students, Foreign Area Officer Chair, Vice Provost, and Registrar required approval, input, and discussion.<sup>37</sup> Key during this phase was the formal endorsement from the Special Operations academic institution Army Special Operations Center of Excellence (SOCoE). At the conclusion of NPS academic briefings, the research team received the Special Warfare Center and School endorsement letter on 31 January 2022 from MG Roberson, SOCoE Commandant.

The process of developing a long-term, cost-effective solution for active-duty CA Officers PME included socialization and organizational agreements for effective impact on the operational force. Conversations with the CA Proponent and the SOCoE was an integral first step in this proposal's development (See Annex E). This memorandum confirmed that the SOF-G track "will prepare future ARSOF senior leaders with a comprehensive understanding of transitional governance."<sup>38</sup> The combination of visual analytics, mathematical modeling, and applied sciences makes this a relevant and worthwhile effort. By creating an environment in which SOF CA personnel study and work alongside similarly focused military practitioners, such as FAOs and international military officers additional recommendations noted in the 2021 Army Futures Command-led Civil Affairs Force Modernization Assessment – Functional Solutions Analysis were achieved.<sup>39</sup> The endorsement from operational leadership legitimized and supported the development of the SOF-G program of record.

### **C. PHASE III: ESTABLISHMENT**

The final Establishment phase was comprised of NPS Academic meetings to receive official support and recommendations from leadership across the NPS leadership comprising the Provost's Advisory Council and the Academic Council. During this time,

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<sup>37</sup> CAPT Sean Hays, SOFG Briefing, March 19, 2022; Dean Moltz, SOFG Briefing, MS Teams Meeting, January 15, 2022; Leanna Langdingin and Caitlin Richardson, SOFG Briefing, June 6, 2022; Michael Freeman, SOFG Briefing, June 10, 2022.

<sup>38</sup> MG Patrick Roberson, "Endorsement of the SOF Support to Governance Track and Certificate Memorandum" (Special Operations Center of Excellence, January 31, 2022).

<sup>39</sup> MG Patrick Roberson; Civil Affairs Proponent, "Functional Solutions Analysis for Civil Affairs Force Modernization Assessment," Functional Solutions Analysis Final Report (Fort Bragg, NC: Special Operations Center of Excellence, April 21, 2020).

the research team created the DA4038 course outline, learning outcomes, and course objectives to support the requests submitted to these bodies. The DA4038 syllabus was the primary document to legitimize the request before the governing bodies. The syllabus serviced to note the critical role that DA4038 would play to fill an educational gap both at NPS as well as within the SOF CA PME options. This phase concluded with the Academic Council's approval of the DA4038 Course and Regional Certificate on 18 July 2022, and the subsequent approval of the Master of Science SOF Support to Governance track on 14 September 2022. The pilot course occurred during the Summer Quarter of 2022 which comprised of two Army FAO Officers, one MARSOC Officer, two Air Force FAO Officers, and three SOF CA Officers. The joint environment facilitated rich conversation and the breadth of COCOM experiences informed FAO Officers who otherwise would not have gleaned these operationally relevant and nuanced discussions. Immediately, these FAO students graduated and traveled to various U.S. embassies abroad.

Non-academic social gatherings were organized amongst the NPS student body to further support the CA operational force need outlined in the P6 task of the 2021 FAM for alignment and further cross pollination between FAO and SOF CA personnel.<sup>40</sup> These gatherings built upon the practice of sensing and offering as directed by Dr. Denning as critical to the long-term adoption of an innovation. Recognizing that the creation of the SOF-G Program was an innovation with multiple communities holding vested stakes, the socials provided a positive venue to promote the SOF-G program, gain feedback from SOF Officers, FAOs, as well as key NPS staff and professors. These events were organized and provided an informal venue for NPS students to engage outside of class and develop relevant relationships with real-world outputs for future deployments and engagements. Utilizing the available at facilities NPS, the initial social was held on 28 April 2022 with a subsequent social on 25 August 2022 (see Figure 5). These events had 31 and 24 attendees, respectively, and demonstrated the keen interest among the FAO and SOF communities to gain better understanding of the unique duties, and capabilities within each community as well as the strong potential for long term support for a SOF-G program. The SOF-FAO

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<sup>40</sup> Civil Affairs Proponent, "Functional Solutions Analysis for Civil Affairs Force Modernization Assessment."

Exchanges will be continued as a critical aspect of the SOF-G program an unique aspect to an NPS PME experience. The SOF-FAO exchanges resulted in an expanded awareness of the SOF Support to Governance program as well as increased personnel networking between FAOs and SOF personnel. Such network development is reflective of the potential of the SOF-G program to meet FMA recommendations.<sup>41</sup>

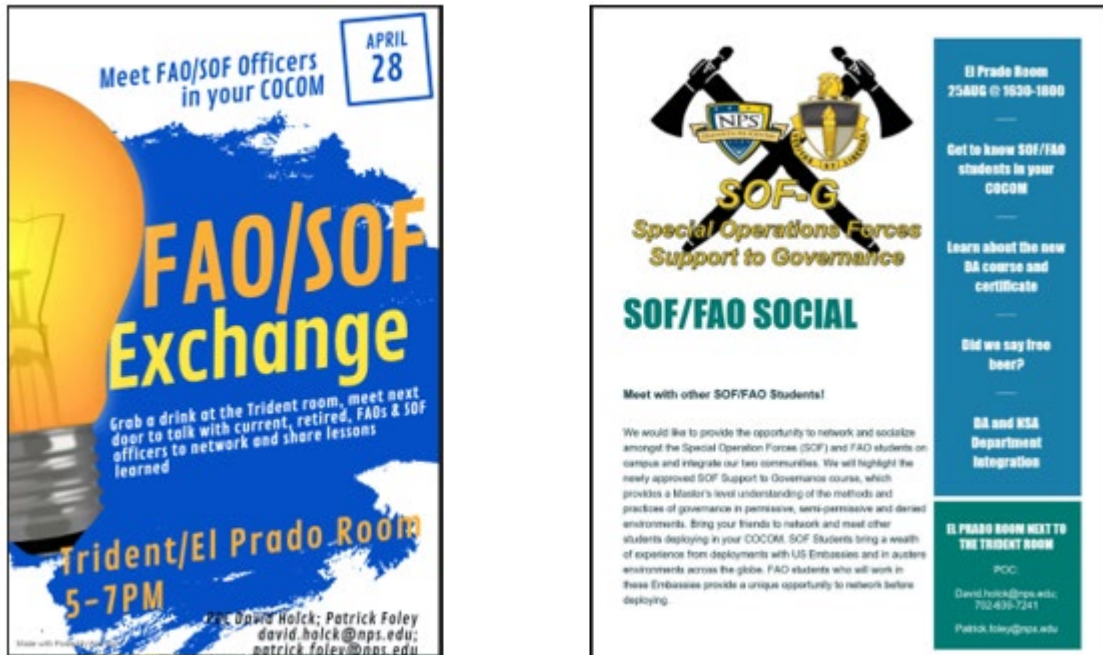


Figure 5. SOF/FAO Social Posters

The research team pursued established guidance on the process for course and track creation only to discover no official process description of guidelines existed. There was no readily available task list or established process for the creation of a new NPS curriculum or course; subsequently, the research team had to utilize formal and informal mechanisms to establish the capstone project. Ascertaining these differences came to light through discussions with the NPS Registrar, department chairs, and faculty involved in other recent curriculum development efforts. Additionally, the recent establishment of the

<sup>41</sup> MG Patrick Roberson, “Memorandum: Request for Approval of the Civil Affairs Force Modernization Assessment (FMA) Functional Solutions Analysis (FSA) Final Report,” 34.

Defense Analysis 697 curriculum informed the research team's preparations, briefings, and course listing process. Formally, the process for a new course starts with the approval and concurrence of a thesis advisor. Once the concept is approved, then the student needs to brief before or concurrently upon the submission of the course in the NPS Registrar SharePoint. The routing chain immediately starts with the relative department chair and their approval furthers the request to the Registrar secretary. Next, the Provost Advisory Council will take up the request at its monthly meeting. During the this meeting the proposal will be briefed to the NPS faculty leadership in an approve/disapprove/modify format. If the course request is approved, then the Registrar updates the SharePoint and places it in the Academic Council approval chain. The next Academic Council meeting (usually once per month) replicates the approve/disapprove/modify format and an approval at this level confirms the course into the NPS course catalog listing.

The informal process (Figure 6) is much less regulated and informed by the new course request mechanics. Informally, it is vital to pre-brief all participants to ensure wide awareness of the new course before it is briefed at the Provost Advisory's Council. Again, the comprehensive understanding of the community of interest and the ability to sense the needs of the various interested parties across this community is critical. Pre-briefing key individuals helps provide input and recommended modifications well in advance of the official Council meetings and subsequently ensure the course can receive approval without interruption. The research team's informal process involved briefing individuals who were not only part of the immediate scope of developing the new course, but also those who were aware of the process and requirements to create and establish a new course. The research team's course and certificate proposals were approved after only one month in the registrar SharePoint and that is a testimony to the importance of seeking out and discussing the proposal with all interested parties both formally and informally.

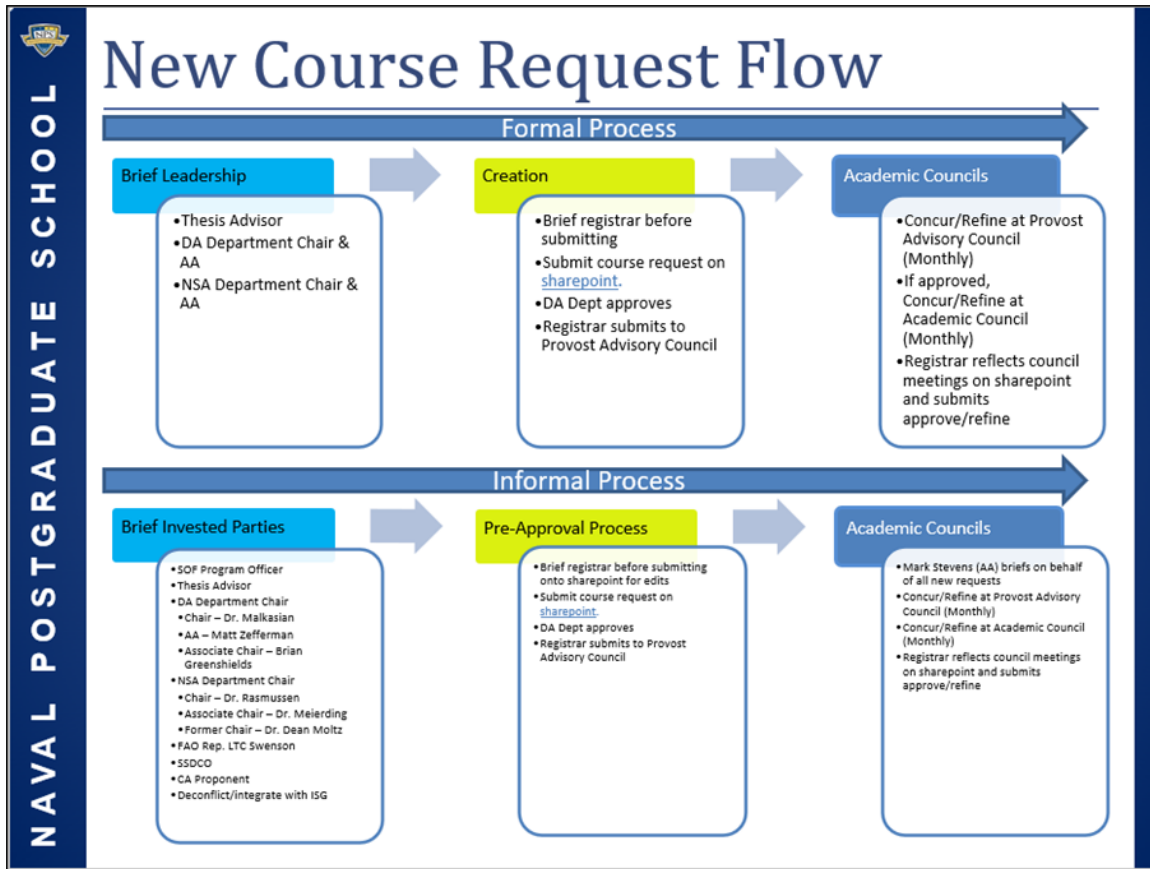


Figure 6. Process for Creating New NPS Course

The formal approval of the SOF-G Masters of Science track was approved by the NPS Academic Council on 14 September 2022 and was preceded in August 2022 by the Academic Council’s formal approval of the SOF-G course and regional certificate. The Academic Council’s official approval confirmed the creation of a Masters level program dedicated to SOF Support to Governance was received positively among the staff due to its joint nature and little to no additional financial costs to the Department of Defense; however, what remains is the long-term obstacle of evolving the SOF-G program’s accessibility to the largest possible portion of the SOF community (particularly SOF CA) to enhance its utility to the operational force to inform continuous refinements and development.

## **D. COURSE CREATION OUTLINE**

The phased progression of course request approval is defined by a different end state and audience represent. Appendix G outlines the decision matrix and formal process for creating a new course at the Naval Postgraduate School. With each step, a modification may require going back into a different phase. First, the concept end state is the creation of a new course or program concept that supports a gap in education. The audience for this stage is a thesis advisor and a second reader. Second, the awareness endstate is briefing NPS academic leadership, including the respective Department Chair, Registrar, and Vice Provost. These briefings ensure the concept does not conflict with existing classes and upcoming courses already in the process of being approved and ultimately facilitate a smooth transition to the formal approval voting at the two council meetings. Third, the council endstate is the approval for the requested course. During this stage, NPS faculty have the opportunity to provide input on the content, course outline, and name of the course or program.

Once the Academic Council has approved the course, it is approved for teaching and moves immediately to the final stage. Lastly, the Establishment stage incorporates the responsibilities of placing the course within the NPS course catalog, the department website, and Python. Coordinating with the Department Deputy Director for Research is an integral part of placing the course correctly in these areas and providing accurate information to incoming students.

## IV. RECOMMENDATIONS

### A. NEXT STEPS

Building on the successful establishment of the SOF-G Program at NPS, additional research and efforts must be undertaken to solidify its value to the operational force. These efforts can be categorized into two lines of effort. The first is the collection of feedback from student participants on the applicability of the program outputs and potential improvements. This effort was undertaken immediately upon the conclusion of the initial SOF-G cornerstone pilot course in the Summer of 2022. While those critiques and inputs were assessed for implementation into the official DA4038 SOF-G course, a dedicated assessment team from the CA proponent would be the ideal implementors of this line of efforts. Such a team would also be able to build upon ongoing advanced governance educational initiatives across the CA proponent and force to enable synchronization and common improvements to the educational plan.

The second line of effort needed is the modification of the SOF-G Regional Certificate to support the wider CA Force through either a Distance Learning (DL), Hybrid, or Mobile Training Team option. Given the limited number of CA personnel, all of whom are officers, that are afforded the opportunity to attend the Naval Postgraduate School in resident status, the need to provide options for access to the SOF-G Regional Certificate to the wider force is critical to both the SOF-G Program but more importantly to the force itself. This wider force includes the over 1,800 personnel assigned to active-duty CA units and potentially the over 13,000 reserve personnel assigned to the U.S. Army Civil Affairs and Psychological Operations Command. While a DL option would be the most accessible, this option lacks the important personal interaction dynamic to build points of contact and common understanding between the SOF and FAO community that an in-resident program offers. Additional research to explore the merging of the Naval Postgraduate School's Stability, Security, and Development in Complex Operations (SSDCO) curricula previously attended by Reserve CA and psychological operations officers may provide a model for such a DL and in-residence option. Building upon a previous recommendation by Daniels and Foster in their capstone work, "Friends with Benefits: Optimizing Civil



Affairs for Future Engagements,” modifying the SSDCO curriculum, in this case, to base it more directly on the SOF-G program, would not only provide a model for distance and hybrid learning options to the larger active-duty CA force but would also provide an opportunity to provide greater touchpoints between the Reserve and active-duty CA force. Both the development of a formal refinement process for the SOF-G program as well as the development of the mechanism to make the SOF-G widely assessable to the larger SOF community are the critical next steps to effective filling of the current SOF CA educational gaps in governance.

## **B. CONCLUSION**

The SOF-G track and graduate certificate meet the needs of Army Special Operations Forces, with particular emphasis on Civil Affairs Forces. The SOF-G track and certificate integrate academics with Civil Affairs governance competencies outlined in Field Manual 3-57 Civil Affairs Operations and addresses key findings from the 2020 Army Futures Command-led Civil Affairs Force Modernization Assessment – Functional Solutions Analysis as well as key academic research captured in the works of Collins and Jantiz, in 2017 and Daniels and Foster in 2014. This track and certificate provide the academic rigor designed to prepare future ARSOF senior leaders with a comprehensive understanding of governance, transitional governance and SOF Support to Governance activities. This includes the theories, methods, and practices to apply governance-based support activities in competition, large-scale combat operations, the consolidation of gains, and in contested, austere, denied, and politically sensitive environments.

The SOF-G program combines governance studies with applied sciences, mathematical modeling, visual analytics, and relevant case study. By sharing the coursework and faculty from the Departments of Defense Analysis and National Security Affairs, students will experience regionally focused governance-based courses while expanding their professional networks with Foreign Area Officers, academics, and other Unified Action Partners. However, the constant reassessment of the program outputs and its operational applicability is required to ensure the course of study does not become stagnant and detached from the regularly evolving operational needs. Additionally, the

further development of the program to expand access to the majority of CA field grade officers and senior NCOs is needed to realize the full potential of the SOF-G program outputs.

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# APPENDIX A. SOF-G COURSE SYLLABUS

Effective as of: October 26, 2022

## DA 4038 / SOF SUPPORT TO GOVERNANCE (SOF-G)

Fall 2022 (AY/FY 23) / 29 September – 8 December 2022  
Thursdays / 1500-1630 hrs. / Root 109 CORE Lab / limited virtual attendance by request  
Kalev I. Sepp / RO-205c / [kisepp@nps.edu](mailto:kisepp@nps.edu) / office hours: available by appointment  
Cecilia Panella / [cecilia.panella@nps.edu](mailto:cecilia.panella@nps.edu) / office hours: available by appointment

*... You will take every step in your power  
to preserve tranquility and order in the city  
and give security to individuals of every class and description –  
restraining as far as possible, till the restoration of civil government,  
every species of persecution, insult, or abuse, either  
from the soldiery to the inhabitants or among each other.*  
-- General George Washington, 19 June 1778

*If America's armed forces have fought  
fewer than a dozen major conventional wars in over two centuries,  
they have, during that same period,  
engaged in several hundred military undertakings  
that would today be characterized as stability operations.*  
-- Dr. Lawrence A. Yates, in *The US Military's Experience in Stability Operations, 1789-2005*

*Intelligence about civil considerations  
may be as critical as intelligence about enemy forces.*  
-- ADP 5-0, *The Operations Process* (2019)

*The US Military's ability to kick down the door  
must be matched by its ability to clean up the mess  
and even rebuild the house afterward.*  
-- Secretary of Defense Robert M. Gates, 2009

### PURPOSE:

The class educates military personnel and civilian officials of the United States, its Allies and Partners to understand the theories, practices, and methods of governance applied in contested and denied operational environments of past and present conflicts by effectively assessing and influencing governance mechanisms.

### COURSE OBJECTIVES:

- Understand Doctrinal definitions and the differences between Government and Governance.
- Analyze and compare governance functions and assess the functions needed for legitimacy
- Assess the role of SOF in setting conditions for consolidation of gains, following the establishment of governance.
- Transition from SOF to active and reserve military governance specialists.
- Sources and means to inform decisions to support local and national governance efforts.

- Identification of the drivers of instability in contested spaces.
- Countering adversarial coercion over legitimate governance in contested spaces.
- Support to governance in denied, politically sensitive, austere, and remote environments.
- Means to degrade, coerce, deter, or usurp an adversary government, and build a shadow government's legitimacy in the populace.
- U.S. national policies, political processes and guiding principles that shape the objectives of civil-military operations.

#### REQUIREMENTS:

(1.) **Participation** in class, as distinguished by *courage* and *intelligence* = 50% of grade; and (2.) a **Reading Notes** summary of the readings and lessons = 50% of grade. These two requirements equal 100% of a student's final grade. Note: late submissions reduce the assessed grade by a point each day of lateness (e.g., an A- would be reduced to B+).

(2.) The objective of the **Reading Notes** writing requirement, for which a format is provided, is to have each student personally summarize all the readings and lessons in the course. I discourage collaboration in preparing Reading Notes. My intent is for each student to develop and hone their personal reading and note-taking techniques. Reading Notes are also your personal archive of the summaries of all the readings in this course.

(3.) **Guest Lectures** may occur during the course to enhance the course material and classroom discussion. In the event (online or in person), we may meet for an additional session during the Defense Analysis or NPS SGL time block of Tuesday/Thursday 1500-1700 hrs.

#### ADMINISTRATIVE INSTRUCTIONS:

**Academic Honesty:** As stated in the NPS Student Information Handbook and Academic Honor Code, all students are expected to complete their own work, understand and avoid plagiarism, and follow NPS policy on academic integrity and honesty. Anyone found willfully violating these standards will be referred to be investigated for academic misconduct. Simply put: Give others credit for their ideas and do not misrepresent others' work, words, or creations as your own. If you have any questions, ask before you submit your assignments. **N.B.:** NPS is a U.S. government organization as well as an academic university. You risk your military career, not just your course grade, if you willfully violate these standards.

**Submission of Reading Notes:** You will submit hard-copy versions of your notes to the instructor. Of course, keep digital copies for yourself.

**Citation Style for Bibliographical Data:** Bookmark this link: [https://www.chicagomanualofstyle.org/tools\\_citationguide.html](https://www.chicagomanualofstyle.org/tools_citationguide.html). Use of this citation style is good practice for your thesis and all academic papers and journal articles.

**Accommodations for Students with Disabilities:** If you need an accommodation due to a **disability** or placement in **quarantine**, contact your instructor to discuss specific needs.

**LESSON SCHEDULE:**

1. Course Introduction

Course objectives, organization, schedule, requirements, SOF Overview  
\*Student-CA Led CA Capability Brief and Overview\*

2. Strategy & CA History

Schadlow, *War and the Art of Governance* (284 pp.)

3. Doctrine & Definitions

USSOCOM Directive 525-38, *Civil Military Engagement*; at:

[SOCOM CME Dir. 525 38 2018.pdf \(nps.edu\)](#)

ATP 3-07.5 Stability Techniques (151 pp.), at:

[https://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/atp3\\_07x5.pdf](https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/atp3_07x5.pdf)

-- Recommended but not Required:

*Stabilization Assistance Review: A Framework for Maximizing the Effectiveness of U.S. Government Efforts To Stabilize Conflict-Affected Areas* (24 pp.) at:

<https://www.state.gov/reports/stabilization-assistance-review-a-framework-for-maximizing-the-effectiveness-of-u-s-government-efforts-to-stabilize-conflict-affected-areas-2018/>

FM 3-57 *Civil Affairs Operations*, chs. 1-5, apps. A-C, (151 pp.) at:

[https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3\\_57.pdf](https://www.jcs.mil/Portals/36/Documents/Doctrine/pubs/jp3_57.pdf)

Clemens, "SOF Civil Affairs in Great Power Competition," (94 pp.) at:

[https://jsou.libguides.com/ld.php?content\\_id=56753304](https://jsou.libguides.com/ld.php?content_id=56753304)

ATP 3-57.80 *Civil-Military Engagement* (123 pp.); at:

<https://irp.fas.org/doddir/army/atp3-57-80.pdf>

ATP-3-57.30 *Civil Affairs Support to Nation Assistance* (64 pp.); at:

[https://armypubs.army.mil/epubs/DR\\_pubs/DR\\_a/pdf/web/atp3\\_57x30.pdf](https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/atp3_57x30.pdf)

4. History

Steil, *The Marshall Plan: Dawn of the Cold War* (397 pp.)

5. Science & Theories

Collier, *The Bottom Billion* (192 pp.)

-- Recommended but not Required:

Reveron, *Exporting Security* (246 pp.)

Acemoglu & Robinson, *Why Nations Fail* (428 pp.)

6. Case Studies: AFRICOM

CMH, *The United States Army in Somalia, 1992-1994* (26 pp.)

Manpilly, *Rebel Rulers* (263 pp.) [Sri Lanka, DRC, Sudan]

-- Recommended but not Required:

Baumann, *My Clan against the World*, chs. 2, 3, & conclusion (232 pp.)

Bowden, *Black Hawk Down*

Hirsch & Oakley, *Somalia and Operation Restore Hope*

Shemella & Tomb, *Security Forces in African States* (264 pp.)

7. Case Study: SOUTHCOM

Waghelstein, *Military-To-Military Contacts: Personal Observations- The El Salvador Case*. (46 pp.) at:

[Naval Postgraduate School CLE : DA4900: SOF Support to Governance \(SU22\\_9\\_KS\) : Resources \(nps.edu\)](#)

Ucko, *Counterinsurgency in El Salvador: The Lessons and Limits of the Indirect Approach*. (28 pp.) at:

[Naval Postgraduate School CLE : DA4900: SOF Support to Governance \(SU22\\_9\\_KS\) : Resources \(nps.edu\)](#)

8. Case Studies: INDOPACOM

Race, *War Comes to Long An*, chs. 1, 4, & 5 [Vietnam]

Malkasian, *War Comes to Garmser* (352 pp.) [Afghanistan]

9. Case Studies: EUCOM

O'Brien, *The Long War: The IRA and Sinn Fein* (383 pp.)

10. Case Studies: CENTCOM

Milton-Edwards & Farrell, *Hamas* (353 pp.)

Cook, *Ruling but not Governing*, ch. 6.

11. Course Overview & AAR

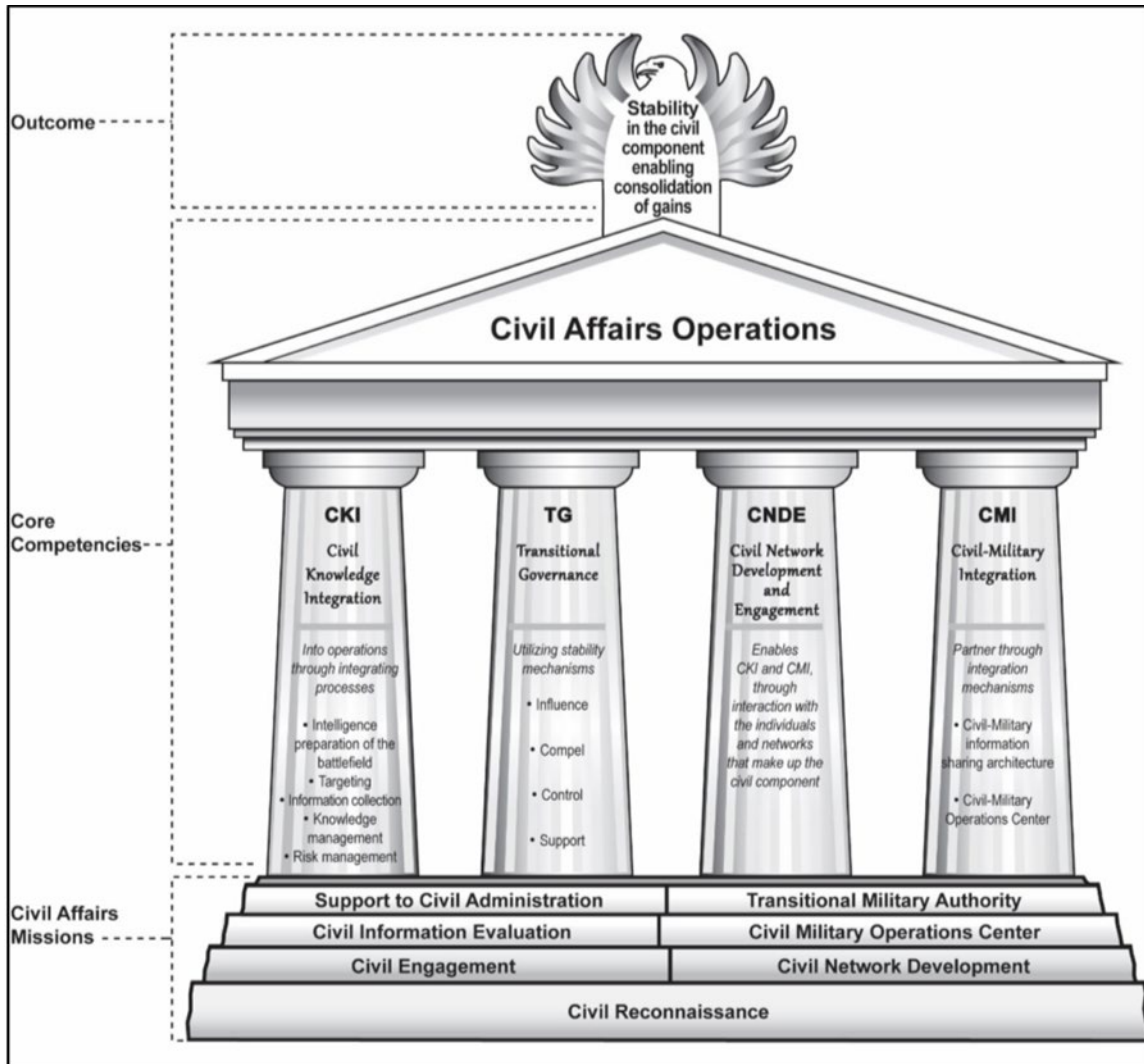
Students review discussed material and provide recommendations for future course.

-- Recommended but not Required:

Gates, *The Exercise of Power*

Nye, *The Future of Power*

## APPENDIX B. CA CORE COMPETENCY DIAGRAM



Source: Department of the Army. "Field Manual 3-57: Civil Affairs." Washington, DC, June 2021.



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# APPENDIX C. CURRICULUM INITIAL PROPOSAL TO NPS STAFF

## SOF Support To Governance Curriculum Proposal

**Mission:** Propose options for "SOF Support to Governance" education and COCOM-specific courses incorporating available educational opportunities at NPS and MIIS.

**Vision:** NPS Defense Analysis Dept. Civil Affairs Track and associated "SOF Support to Governance" Certificate available by January 2023.

**Current State**

- Resignation from 38A to 38S: CA SOF Governance Officer
- Requires governance training at Field Grade officer level
- Currently no participation by CA Senior NCOs
- NPS offers several options for CA officers:
  - Three Defense Analysis M.S. degree tracks
  - National Security Affairs courses
  - Middlebury Institute courses

**LOE 1: CA Track – 698 Program Additions** 1 2 3 4

698 Track Foundation: Pol. Warfare

DA Core Governance Class

National Security Affairs Courses

Middlebury Institute Courses

**LOE 2: Governance Certificate – Four Classes** 3 4

DA Core Governance Class

Ex: NS 3664: Gov & Sec in SE Asia

Ex: NS3620: Survey of Asian Politics

Ex: MIS90843: Conflict, Security & Development

**End State**

- Return to operational force capable of applying advanced governance methodologies
- Meld mathematical and scientific analytics with governance concepts
- Include Governance Certificate in CA Track
- Open to CA Senior NCOs
- Integration across departments and schools enriches learning
- In NSA Dept. courses, engage with future DATIs

**Major Objectives**

- 1 Propose 698 CA Track core and elective courses
- 2 Propose SSDCO curriculum
- 3 Pilot new track and associated courses
- 4 Conduct pilot CA Track program and refine/revise

Course Designs

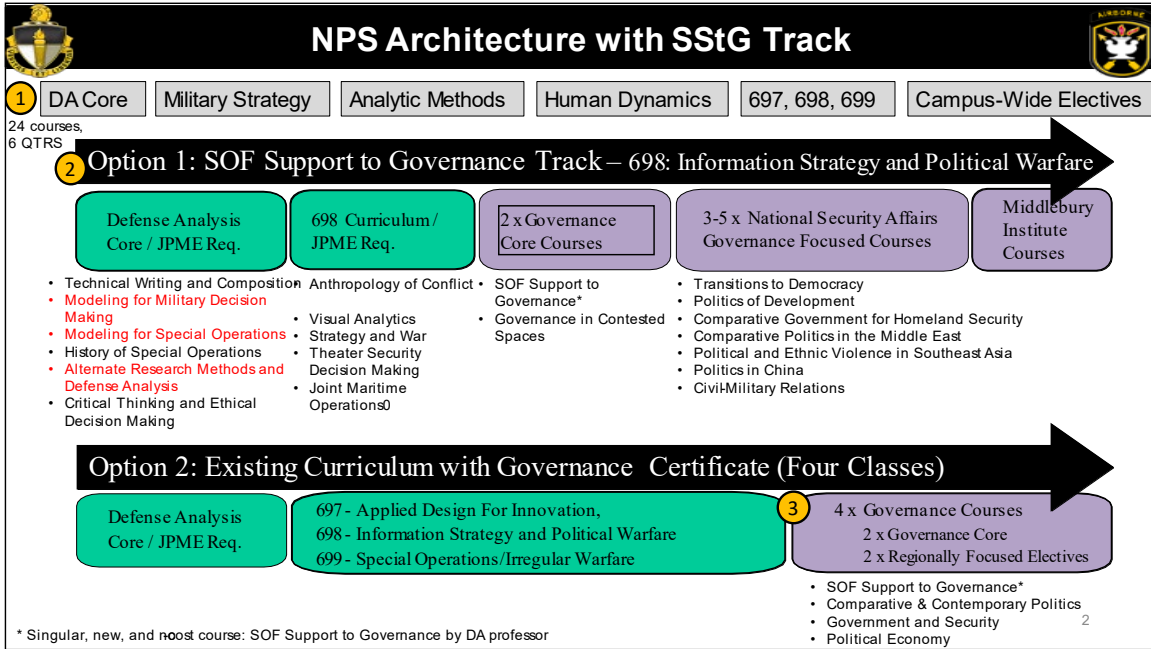
POC: Patrick.Foley@nps.edu / David.Holck@nps.edu

## SSoG Track Course Load

| Q1: Summer |   |                 | Q2: Fall   |  |                 |
|------------|---|-----------------|------------|--|-----------------|
| DA2010     | Technical Writing and Composition                     | DA Core         | DA3410     | Modeling for Special Operations II               | DA Core         |
| DA2410     | Modeling for Military Decision Making, I              | DA Core         | DA3880     | History of Special Operations                    | DA Core         |
| NW3230     | Strategy and War                                      | JPME Req        | NW3285     | Theatre Security Decision Making                 | JPME Req        |
| DA400X     | SOF Support to Governance                             | CA Track Core   | NS3235     | Civil Wars                                       | CA Track Core   |
| DA3882     | Deterrence, Coercion and Crisis Management            | Elective        | DA4302     | Coping with Wicked Problems                      | Elective        |
| Q3: Winter |   |                 | Q4: Spring |  |                 |
| DA4460     | Alternate Research Methods and Defense Analysis       | DA Core         | DA4710     | Critical Thinking and Ethical Decision Making    | DA Core         |
| MIIS/ DA   | Politics of Development                               | CA Track Core   | NS3021     | Defense Capability Development                   | CA Track Core   |
| NS4225     | Civil-Military Relations and Transitions to Democracy | CA Track Core   | DA3260     | Human Intelligence in Irregular Warfare          | CA Track Core   |
| NW3275     | Joint Maritime Operations Part I                      | JPME Req        | NS3668     | Politics and Security in South Asia              | CA Track Elect. |
| DA4102     | Grand Strategy in Global Power Competition            | Elective        | NW3276     | Joint Maritime Operations Part II                | JPME Req        |
| Q5: Summer |   |                 | Q6: Fall   |  |                 |
| DA0810     | Thesis Research                                       | This is         | DA0810     | Thesis Research                                  | This is         |
| DA0810     | Thesis Research                                       | This is         | NS3620     | Survey of Asian Politics                         | CA Track Elect. |
| NS4667     | Political Economy and Security in South Asia          | CA Track Elect. | NS4641     | Political and Ethnic Violence in South East Asia | CA Track Elect. |
| NS3159     | Principles of Joint Operational Intelligence          | CA Track Core   | NS3661     | Politics in China                                | CA Track Elect. |

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# APPENDIX D. CURRICULUM PROPOSAL BY CA PROPONENT TO SWC CDR MG ROBERSON



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# APPENDIX E. ENDORSEMENT MEMORANDUM OF SOF-G BY MG ROBERSON



DEPARTMENT OF THE ARMY  
UNITED STATES ARMY JOHN F. KENNEDY SPECIAL WARFARE CENTER AND SCHOOL  
3004 ARDENNES STREET, STOP A  
FORT BRAGG NC 28310-9610

AOJK

31 January 2022

MEMORANDUM FOR President Ann E. Rondeau (VADM Ret.), Naval Postgraduate School, 1 University Way, Monterey, California 93943

SUBJECT: Endorsement of the SOF Support to Governance Track and Graduate Certificate

1. I support and endorse the Special Operations Forces Support to Governance (SSStG) track and graduate certificate within the Defense Analysis Department, Naval Post Graduate School.

2. The SSStG track and graduate certificate meet the needs of Army Special Operations Forces, with particular emphasis on Civil Affairs Forces. This curriculum and academic rigor will prepare future ARSOF senior leaders with a comprehensive understanding of transitional governance. This includes the theories, methods, and practices to apply governance-based support activities in competition, large-scale combat operations, the consolidation of gains, and in contested, austere, denied, and politically sensitive environments. The SSStG track and graduate certificate will combine governance studies with applied sciences, mathematical modeling, visual analytics, and relevant case study. By sharing the coursework and faculty from the Departments of Defense Analysis and National Security Affairs, ARSOF students will experience regionally focused governance-based courses while expanding their professional networks with Foreign Area Officers, academics, and other Unified Action Partners. This path preserves the AOC and JPME coursework that makes NPS a premier ILE venue. The SSStG track and certificate integrates academics with Civil Affairs governance competencies outlined in Field Manual 3-57 Civil Affairs Operations and addresses key findings from the 2021 Army Futures Command led Civil Affairs Force Modernization Assessment – Functional Solutions Analysis.

3. The point of contact for this memorandum is the Director, Civil Affairs Proponent, U.S. Army Special Operations Center of Excellence, LTC Salvatore E. Candela, [salvatore.e.candela@socom.mil](mailto:salvatore.e.candela@socom.mil), 910-432-7481.

PATRICK B. ROBERSON  
Major General, USA  
Commandant  
Special Operations Center of Excellence

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## APPENDIX F. CONFIRMATION LETTER FROM PRESIDENT RONDEAU TO MG ROBERSON



August 15<sup>th</sup>, 2022

Dear Major General Roberson,

It is with pleasure I write to inform you the Naval Postgraduate School Academic Council has approved the "Special Operations Force Support to Governance (SOF-G)" graduate certificate and course, as of 27 July 2022. This Civil Affairs-focused initiative directly addresses the operational requirements cited in your letter to me of 21 January 2022. In September, I anticipate the approval and establishment of a SOF-G Academic Track, so students here will be able to earn a Master of Science degree in "Defense Analysis - SOF Support to Governance."

Our expedited establishment of the "SOF Support to Governance" Course and Certificate, and soon the associated Track as well, has been made possible by the exceptional efforts of two of your Civil Affairs officers, Majors Patrick Foley and David Holck, and the dedicated faculty and staff of our Defense Analysis and National Security Affairs Departments.

I look forward to the continued enrollment of ARSOF Officers here at NPS. They provide invaluable perspectives and insights that enhance the educational and research experience of our entire community. Thank you again for your enduring support of the Naval Postgraduate School and our mission.

Very Respectfully,

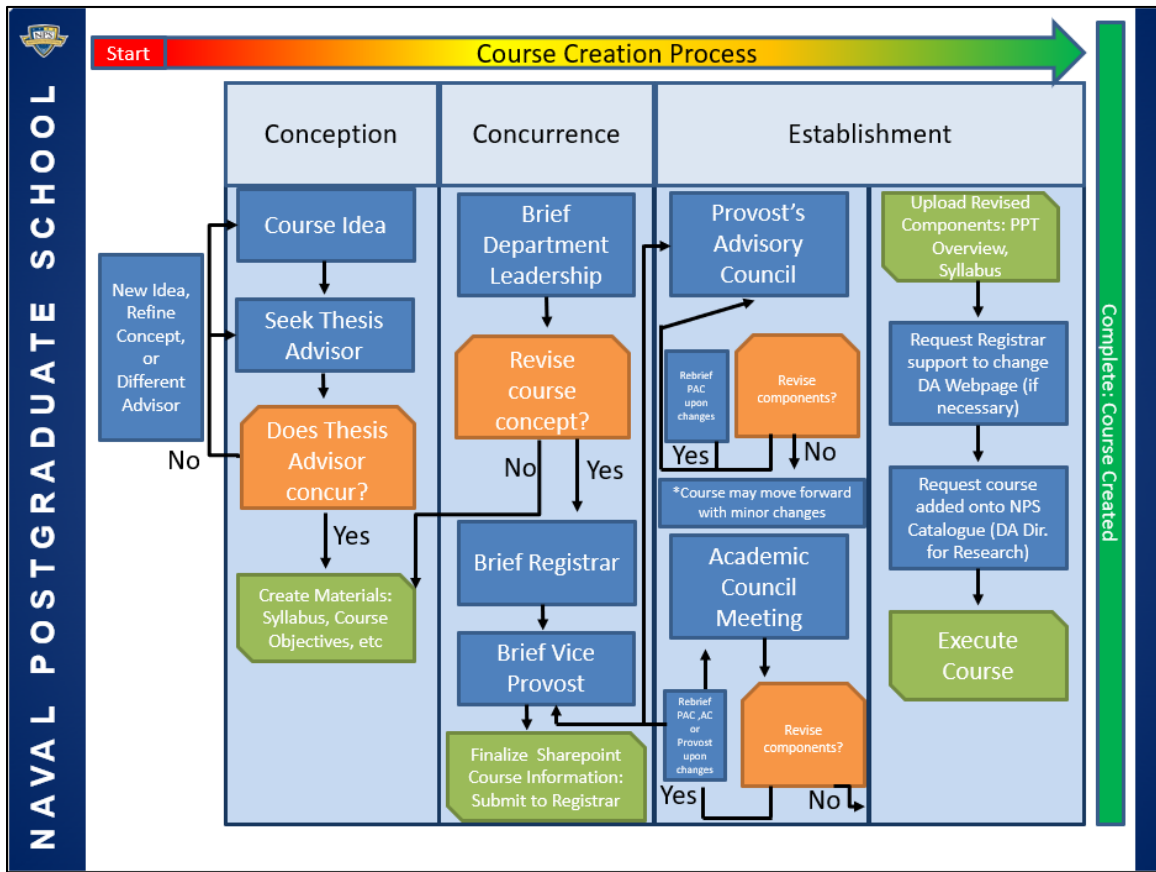
A handwritten signature in black ink, which appears to read 'Ann Rondeau', is written over the typed name and title.

Ann Rondeau, President  
Vice Admiral, U.S. Navy (Ret.)  
President  
Naval Postgraduate School



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# APPENDIX G. COURSE DECISION MATRIX



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