

DCAF
a centre for security, development and the rule of law

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ON STRATEGY

Valeri R. RATCHEV

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A former senior government official, Valeri Ratchev is now an expert at the Center for Security and Defence Management at the Bulgarian Academy of Sciences.

Prior this, he served as a Chief of Staff of the Minister of foreign affairs (2009-13). Since 2005 he is accredited ambassador of Bulgaria to Iraq with residence in Sofia. In his 34 years of military career, colonel (res.) Valeri Ratchev has served as an army officer including as Deputy commandant of *G. S. Rakovski Defence and Staff College* and Dean of *National Security and Defence Faculty*, Editor-in-chief of *Military Journal*, Deputy director of *Center for National Security Studies (MoD)*, and Deputy director for *Defence Planning Directorate* at MoD.

He is also an associated senior research fellow at Geneva Centre for DCAF.

His most recent works are on security, defence and police legislation (2013), cyber security (2013), scenarios for future EU global security roles (2012).

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Food for discussion

- I. Framing “the strategic”**
- II. Strategic theory and thinking**
- III. Strategy, plan and process**
- IV. Analyses at strategic level**
- V. Drafting strategy**

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I. Framing “the strategic”





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I. Framing ‘the strategic’ (1)

- **“Framing”** (Ex.: How do you frame *the Black sea area?*):
 - **Precise selection** of certain aspects of an issue in order **to answer specific questions/requirements**;
 - Using framing we may **balance** within the strategy model;
 - Using framing we may **focus** on the key (for us) variables;
 - Framing provides better opportunity to **communicate** analysis, strategy, plans.

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I. Framing ‘the strategic’ (2)

Characteristics (ex.: how do you frame the national security issue?):

Characteristics	Framing options
Scope (number of aspects)	1. International, economic, and defence 2. N1 + demography, climate, internal order, organised crime, health, food, ...
Depth (number of levels in hierarchy)	1. Strategic, regional, national 2. N1 + societal, groups, individual
Time (the horizon of change)	Ever, 30-40, 20-25, 5-10, 3
Actors (central, partners, opponents)	1. State only 2. N1 + society c. Declared enemy d. Strategic allies



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I. Framing “the strategic” (3)

Strategy: definition

- Classical:** The Art of the General
- Clausewitz:** “The art of the employment of battles as a means to gain the object of war”
- Liddell-Hart:** “The art of distributing and applying military means to fulfill the ends of policy”
- Russian:** Официально признанная система стратегических приоритетов, целей и мер в области внутренней и внешней политики, определяющих состояние национальной безопасности и уровень устойчивого развития государства на долгосрочную перспективу
- Webster:** The science and art of employing the political, economic, psychological, and military forces of a nation or group of nations to afford the maximum support to adopted policies in peace or war
- GLOBAL:** **A Government’s plan about how to gain and sustain competitive advantages**

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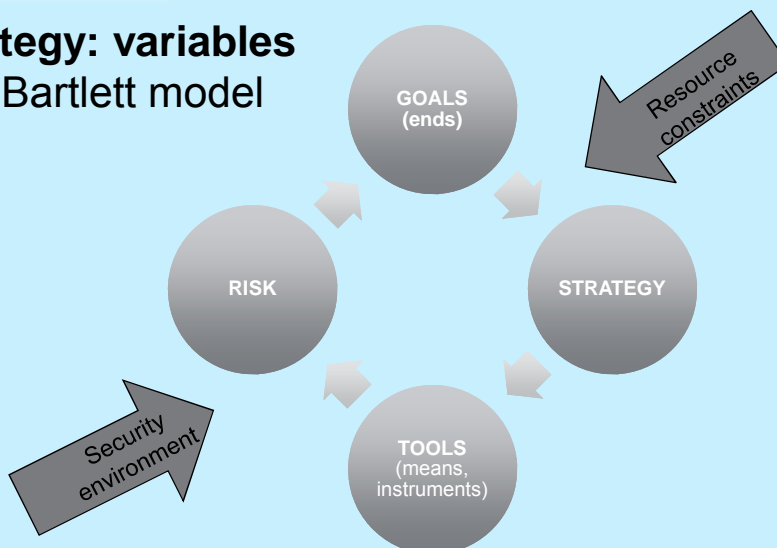


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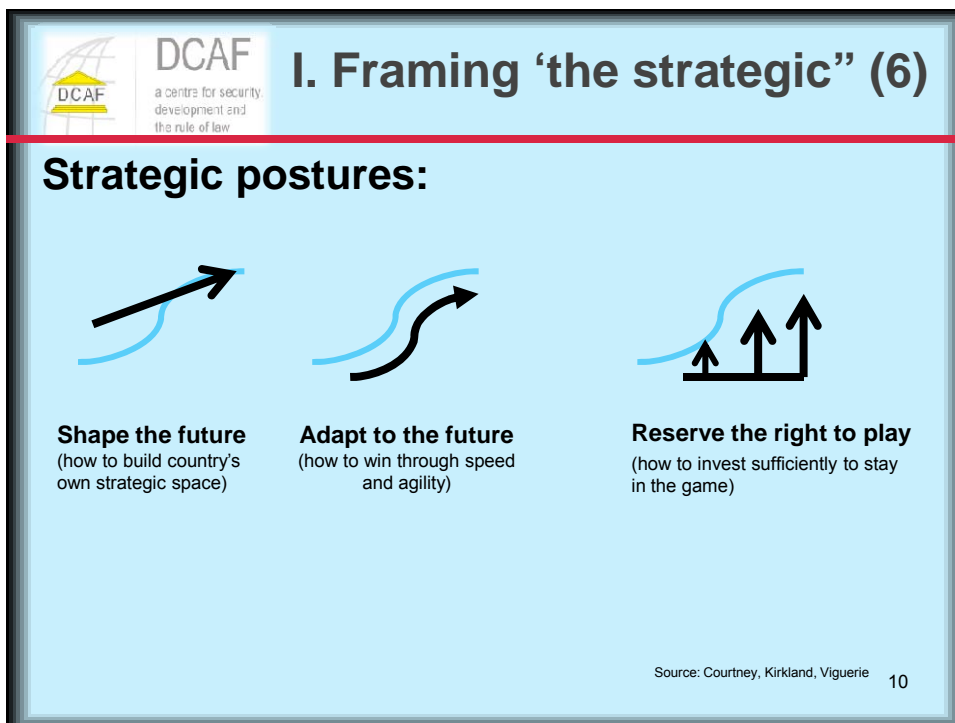
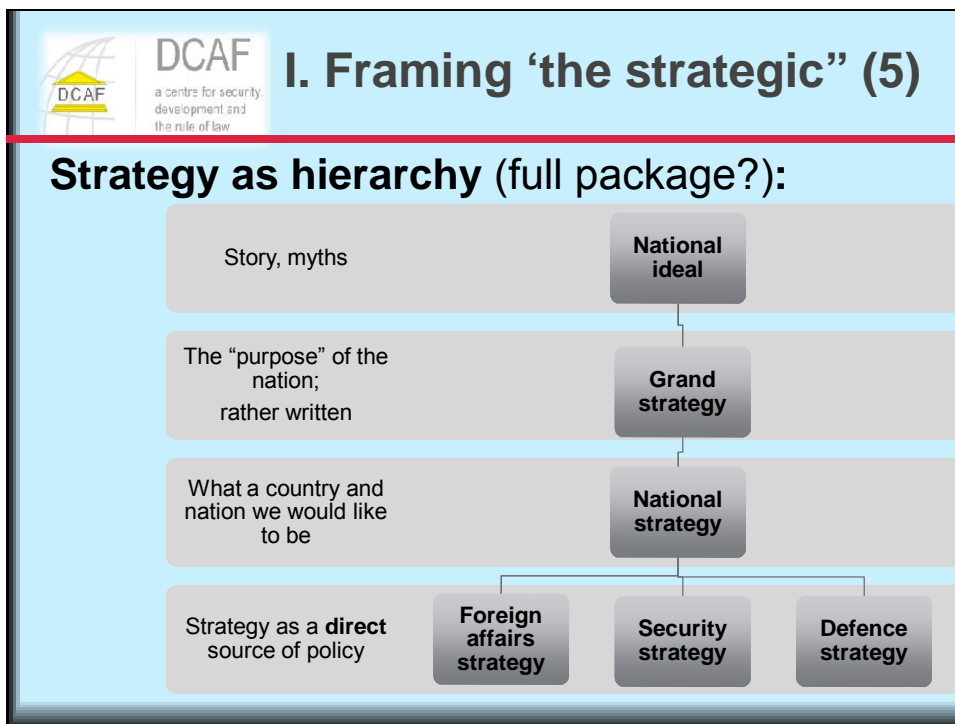
I. Framing ‘the strategic’ (4)


Strategy: variables

The Bartlett model



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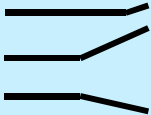


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I. Framing ‘the strategic’ (7)

Portfolio of strategic actions:

Alternative strategy	Value
Strategy 1	Positive
Strategy 2	Positive
Strategy 3	Positive



Alternative strategy	Value
Strategy 1	Positive
Strategy 2	Negative
Strategy 3	Negative

With positive payoffs in any alternative strategy

With positive payoffs in some alternatives and small negatives in others

(Focused) strategy with “+” payoff in one but very important alternative and “-” in the others

Source: Courtney, Kirkland, Viguerie

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II. Strategic theory and thinking





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II. Strategic theory and thinking (1)

Strategic theory: the core assumptions

<ol style="list-style-type: none"> 1. Strategy is proactive and anticipatory but not predictive. 2. Strategy is subordinate to political purpose. 3. Strategy is subordinate to the nature of the environment. 4. Strategy demands comprehensive consideration 5. Strategy creates a security dilemma for the strategist and other actors 6. Strategy strongly reflects the strategic culture of its leader 7. Strategy focuses on root purposes, causes, and approaches only 	<ol style="list-style-type: none"> 1. Strategy is hierarchical 2. Strategy exists in a symbiotic relationship with time 3. Strategy is cumulative (effect oriented, not results) 4. In strategy, efficiency is subordinate to effectiveness 5. Strategy provides a balance among the objectives, operations, and resources 6. Risks are inherent to all strategies
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Adapted from: Harry Yarger

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II. Strategic theory and thinking (2)

- (What is) “Thinking”?
- The impact of **uncertainty**
- The impact of **information tsunami**
- **Prescriptive** schools:
 - Design school (top-down, leader instructs, all others implement)
 - Planning school (a formal process, staffers are the most important)
 - Positioning school (an analytical positioning to other country, issues)
- **Descriptive** schools (selected):
 - Visionary school (leader with broad vision)
 - Cognitive school (constructivist creative interpretation)
 - Learning school (strategy emergent within organisations)
 - Power school (organisations use the power of the leader)

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II. Strategic theory and thinking (3)

Core elements of strategic thinking (as a hub between strategy and strategic planning and strategic process!):

- **Intent** (vision, goal) **focused**
- **A systems perspective** (only list the systems we are living in!)
- **Thinking in time** (keep from our past + lose from that past + create in the present = to get to the future)
- **Intelligent opportunism** (know yourself + environment = never ending SWOT)
- **Hypothesis-driven** (what if... + if...than = hypotheses based on analysis and experience, renewed in time)

(Source: Dr. Jeanne M. Liedtka)

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III. Strategy, plan, process





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III. Strategy, plan, process

Strategy

➔

Strategic
plan

➔

Strategic
Process

- A solution to **develop** (the country, society, institution) from current situation or status to a new one that is desired or concrete.
- Strategy does not explain "how" you will achieve the goal
- Strategy deals with uncertainty to avoid principal mistakes
- Strategy should build environment for success
- Strategy helps to reach the goal in a good shape

- A solution **how** to implement the strategy.
- Plan provides an acceptable balance of risk and reward
- Plan elaborates the instruments of strategy
- Plan gives ideas where the resources will come from

- The process is a defined way of **doing a task**
- Process is how better to execute the plan
- Process is about coordination, support, immediate reaction, crisis management, coordinated strategic capabilities, norms

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III. Strategy, plan, process (2)

• Strategy planning and implementation process

Monitoring

Review

Guidance

SWOT,
Net
assessment

Strategic
Matrix

Alternative
strategies

Choose

Strategic
master plan

Supporting
plans

Performance
criteria

Monitoring
and review

Adjustments:
- The plan
- The strategy

Wild cards
responses


Resources, organisations

Strategic (security,
defence) review

Crisis
management

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IV. Strategic analysis (1)

- **No unified method, but a set of questions: Why, what, how, where, when, and who.**
- **Aim:**
 - To identify country's **competitive advantages**
- **Key determinants:**
 - Complexity (material factors)
 - Scope of actors (human factors)
 - Distance in time
 - Dynamics
 - Uncertainty


} Require a set of
different analytical
methods
- **Methods depend on the purpose of the analysis**
 - To identify the need of strategy
 - To determine the parameters of strategy
 - To argue/analyse a strategic choice
 - To analyse and improve a blueprint strategy
 - To analyse and assess the implementation of strategy

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 DCAF <small>a centre for security development and the rule of law</small>		<h2>IV. Strategic analysis (2)</h2>
<h3>Methodology:</h3>		
Tasks	Methods	
To scan the space	Monitoring , data collection, information, clusters of information, data base	
To orient and focus the leaders and staffs	Strategic issues list	
To identify the starting position	Positioning approach, using a system of situational analysis	
To identify sustainable factors and conditions (MT strategy)	Trend analysis (mid-term)	
To identify current and future impact of strategic relations	Strategic relationship analysis (allies, partners, rivals, situational strategic factors)	
To identify the direction of strategy	Net Assessment, SWOT analysis (SWOTT) + Critical success factors	
To introduce the human factor	Actor-specific theory	
To reflect uncertainty (LT str.)	Contextual Scenarios (Alternative futures)	

 DCAF <small>a centre for security development and the rule of law</small>		<h2>IV. Strategic analysis (3)</h2> <h3>Levels of (security) analysis</h3>
Global level of analysis		
<ul style="list-style-type: none"> • Global regions • Contradictions North-South • Imperial like behavior 	<ul style="list-style-type: none"> • Religious fundamentalism • Strategic terrorism • Global environment 	<ul style="list-style-type: none"> • Technology, incl. military • Info-communication rev. • Global business, finance
Regional analysis		
<ul style="list-style-type: none"> • Power, parity, reciprocity • Alliances • History 	<ul style="list-style-type: none"> • Geopolitics, military • Open conflicts • Agreements 	<ul style="list-style-type: none"> • Economic developments • Diplomatic capacity • Inter-gov organisations
National level		
<ul style="list-style-type: none"> • Political profile • Governance • Internal geopolitics 	<ul style="list-style-type: none"> • Public opinion • Economy • Security sector, incl. military 	<ul style="list-style-type: none"> • Civil society • Critical specifics • Demography
Individual level of analysis		
<ul style="list-style-type: none"> • Great and mad leaders • Performance in crisis 	<ul style="list-style-type: none"> • Declared perceptions • Cognitive capacity 	<ul style="list-style-type: none"> • Citizens political culture and perceptions



 **DCAF** V. Drafting strategy
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Before to begin:

- What is **the reason** to draft strategy? (objective, subjective, legal, social, international)
- Is there a **tradition** or this is the **first attempt**?
- Is there a **package** of strategic documents?
- Are there **correlated** strategies?
- How much **educated** is the public, politicians, and professionals on the subject matter of the strategy?
- What is **the role** of the document? (symbolic, guide for planning, message to the foreign, part of an internal debate)
- **Hierarchical** method of drafting or **horizontal**? Who leads?
- Are there **experienced people, consultants**?
- Engagement of **non-state** contributors
- **How** do you expect to proceed:

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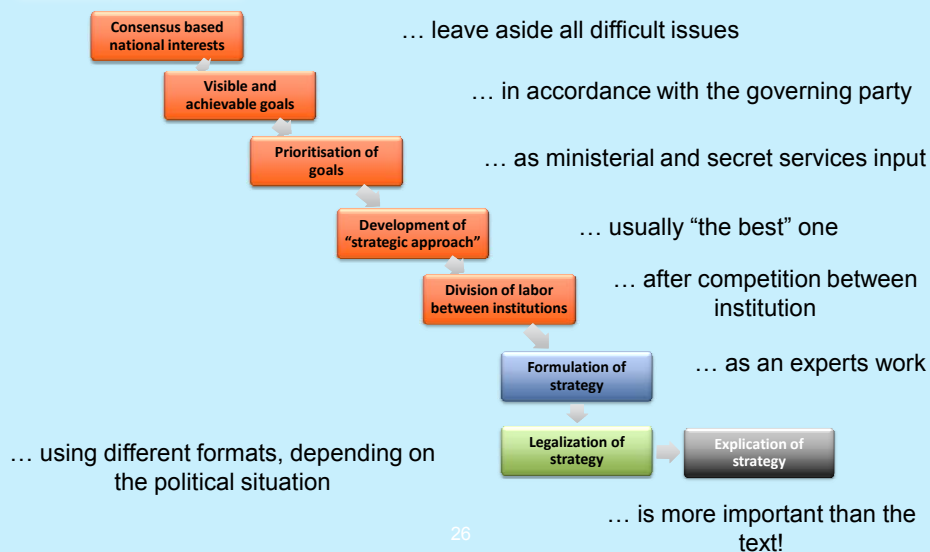
V. Drafting strategy (1)

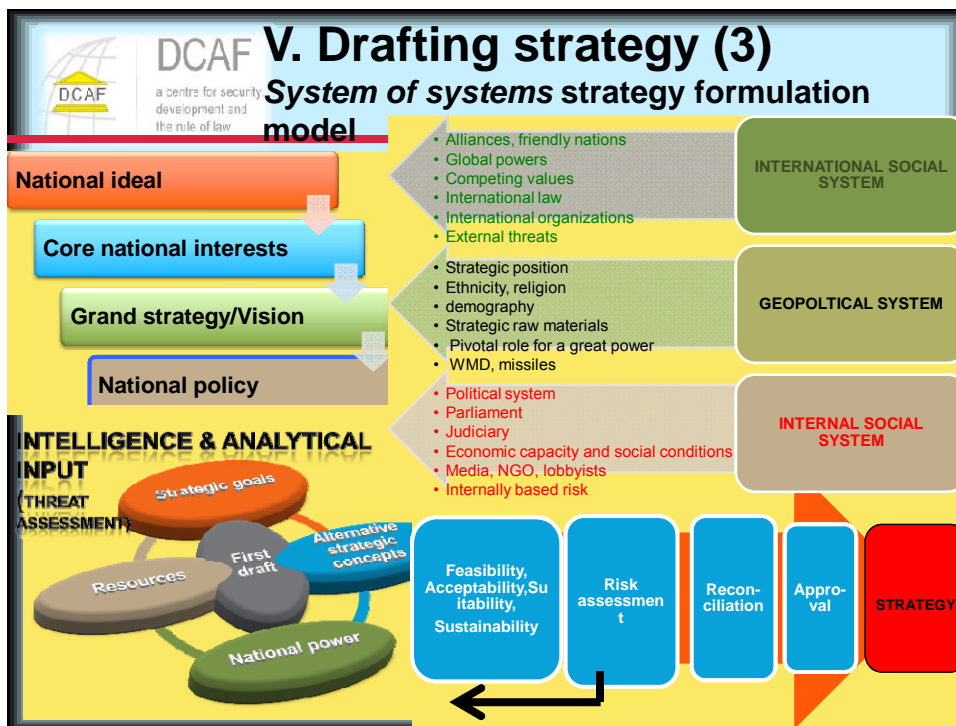
- Strategy is **not a science**
- There are **strategic concepts** based on theories with coherent terminology, method, and procedures depends on the pol. sector
- Strategy is **the art of their implementation**
- Drafting strategy depends on **variety of factors and conditions** – different for country to country
- No unified method; we consider **two formulation models** – formal and social ²⁵



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IV. Drafting strategy (2) Formalistic strategy formulation model





DCAF V. Drafting strategy (4)
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Inputs for strategy formulation

- **National ideal**
 - Historical, philosophical and moral base of the nation (nation's *purpose*); rarely written
 - A reference mark for the strategic direction
 - Core point for the risk assessment



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V. Drafting strategy (5)

- **Core national interests**

- Strategy's "final destination", criteria;
- In strategy: used to be "strategic objectives"
- May be categorised by their intensity

<u>USA</u>	<u>UK</u>	<u>Russia</u>
<ul style="list-style-type: none"> • Physical security of the territory and people; • Promotion of values; • Stable international order; • Economic prosperity. 	<ul style="list-style-type: none"> • Prosperity; • Freedom; • Security. 	<ul style="list-style-type: none"> • Democracy and civil society; • Economic competitiveness; • Constitutional order; • Territorial integrity; • Sovereignty; • World power.



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V. Drafting strategy (6)

- **Strategic vision (Grand strategy)**

- How does government intent to achieve the national interests?
- The essence of GS is the **security paradigm**

<u>USA</u>	<u>UK</u>	<u>"Russia</u>
<p>"The United States will lead the international order as a nation first among equals to encourage stability, foster economic growth, promote democratic values, and protect global strategic interests."</p>	<p>"Our strategy reflects the country that we want to be: a prosperous, secure, modern and outward-looking nation, confident in its values and ideas. ... We must be a nation that is able to bring together all the instruments of national power to build a secure and resilient UK and to help shape a stable world."...</p>	<p>"... Effective participation in global division of labour, improved global competitiveness of the national economy, of defense potential, and of the level of state and social security."</p>




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V. Drafting strategy (7)

- **“National” policy**
 - A set of political guidance how the vision will be realised

USA	UK	Russia
<p>Strategically limiting American hard power to maximize our effectiveness while not constraining our ideals and aspirations of making the world safe for democracy will increase flexibility in assuring our national security.</p> <p>Our strength... rests with the ability to persuade rather than coerce.</p> <p>The.. most capable armed forces in the history of the world...</p> <p>.. will lead the international order through our ideals and cooperation ...</p>	<p>“Ensuring a secure and resilient UK – protecting our people, economy, infrastructure, territory and way of life from all major risks that can affect us directly; and shaping a stable world – actions beyond our borders to reduce the likelihood of specific risks affecting the UK or our direct interests overseas.”</p>	<p>“... national defense, state and social security.</p> <p>... guaranteeing individual security, high standards of living, economic growth; science, technology, education...</p> <p>ecology;</p> <p>strategic stability and equitable strategic partnership</p> <p>active participation in multipolar model of the international system.</p>



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V. Drafting strategy (7)

Goals, concepts, power, resources

- **Strategic goals:**
 - Should derive from the national policy and core national interests
 - Clear, but not narrow
 - Achievable, but significant
 - Understandable from the public and institutions
 - Should be clear what depends on us, what we intent to do with allies, what we will fight for.

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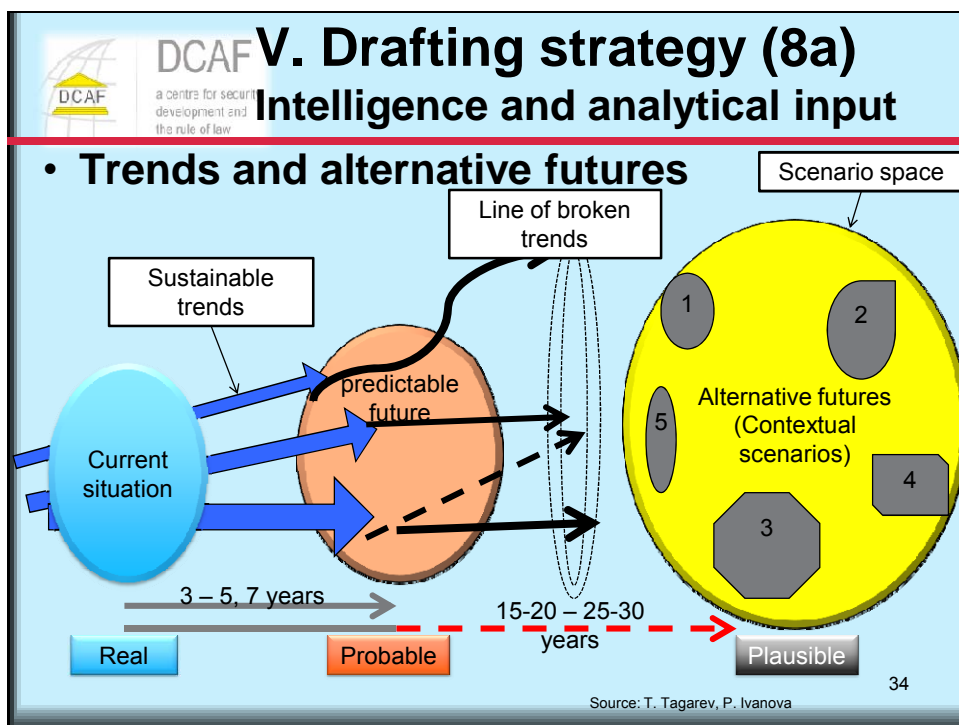
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V. Drafting strategy (8)

Intelligence and analytical input

- **Threat assessment**
 - Two criteria:
 - **Likelihood** over time
 - **Impact** in terms of casualties and political, economic, financial, and social consequences
 - Assessment and criteria should be relevant to domestic and foreign threats
 - Should be clear what national values are under risk from these threats
- **Opportunities identification**
 - For problem solving and risk reduction
 - For enhancement of national influence
 - For building positive strategic environment

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V. Drafting strategy (9)

- **Strategic approaches (concepts, tasks)-**
Alternative ways to achieve the goals,
sufficiently distinct, realistic, and realisable.

UK:

- 1 Identify and monitor national security risks and opportunities.
- 2 Tackle at root the causes of instability.
- 3 Exert influence...
- 4 Enforce domestic law and strengthen international norms.
- 5 Protect the UK and our interests...
- 6 Help resolve conflicts and contribute to stability...
- 7 Being prepared for all kinds of emergencies.
- 8 Work in alliances and partnerships..."

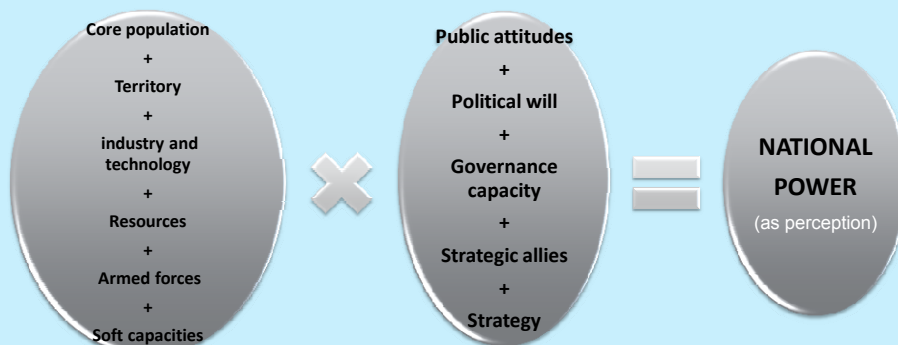
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V. Drafting strategy (10)

- **National power**



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V. Drafting strategy (10a)

- **National power within the strategy**



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V. Drafting strategy (11)

- **Resources**
 - Resources may NOT be an issue of the strategy as it is top-down and vital interests driven
 - The necessary resources used to be generated during the implementation of strategy
 - However, resources should be calculated to provide strategy with realism

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V. Drafting strategy (12)

Strategy approval

- **Feasibility, Acceptability, Sustainability**
 - Political, public
- **Risk assessment**
 - Foreign, national, governmental
- **Reconciliation**
 - More supporters than opponents
- **Approval**

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V. Drafting strategy (13)

Strategy presentation

- **Institutional**
- **Political**
- **Public**
- **International**

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Instead of conclusion: what makes the job difficult?

Critical dichotomies

- Global-regional, regional-national; external-internal
- Strategies and threats
- Strategy and goals
- Strategy and capabilities
- Strategy and strategy

Critical alternatives

- Widening or Deepening
- Competition or resignation
- Alliances or ad-hoc coalitions
- All spectrum capabilities or niche capabilities – syndrome 95% vs 5%

Critical mistakes

- Reliance on:
- ANY theory,
- ANY concept,
- ANY principle,
- ANY paradigm,
- ANY political ambition

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Learn the art of whispering in the ears of power!



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