



The Reformation of the Naval Strategy

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ABSTRACT

The research title “The Reformation of the Naval Strategy” has 2 objectives, 1) to study and analyse Thailand Naval and Maritime Strategies and study their imbalances and relevancies. 2) To study how to reform the current Naval Strategy to meet the new strategic environment and maritime interests and to determine the suitable Naval and Maritime Forces. This research is a Qualitative Research writing in a Descriptive manner.

Research findings: The Thailand Naval Strategy is imbalanced between Force Planning and the Use of Force. The Naval Strategy planners used to formulate the strategy only in the aspect of the force planning without the use of force aspect. This causes a lacking of the future use of force and Future Naval Operational Concepts (FNOC) in the formulation. The Threat-Based Strategic Planning must be transformed to the Capability-Based Strategic Planning to meet current strategic security environment especially in the existing of ASEAN Community rather than imposing threat and distrust among all neighbour countries. The introduction of International Relations, Preventive Diplomacy, Naval Diplomacy and Confidence Building Measures (CBMs) should be included

in the formulation process of making Naval Strategy and Naval Policy which related to the Government Policy.

Selective Engagements will be the concept of implementation clearly applied to all neighbours and countries from peacetime to the time of conflict or war according to the Spectrum of Conflicts. The Ring-Fenced Strategic concept of area divisions applying the Employment Contexts (EC) to each area with different political and military relations can be the new strategic formulation approaches to make force planning more effective. The findings propose new models of rebalancing and reformation of Naval Strategy according to the Pic. 1, Pic. 2 and Pic. 3.

Recommendations: Royal Thai Navy should cooperate with National Security Council in order to generate the new reform of the Naval Strategy through this thesis findings emphasize the relevancy of both Naval Strategy and National Maritime Security Plan 2015-2021 regarding the Future Use of Naval and Maritime Forces and the possibility of the combination into only one strategy of Maritime Strategy including the making of Future Naval Operational Concept (FNOC) implementing the Naval/Maritime Strategy will make the strategy balance and support future force planning effectively.

Keywords: Naval Strategy, Maritime Strategy, Future Naval Operational Concept, Threat - Based Strategic Planning, Capability - Based Strategic Planning

Introduction

The Royal Thai Navy (RTN) is a naval security agency with three key roles: military/ naval operations, constabulary operations and benign operations. All these operations are implemented according to the national security policy, maritime national security policy and the plan stipulated by the government, as well as the military policy and strategy established by the Ministry of Defence (MOD) and the Royal Thai Army (RTA). In particular, the RTN is responsible for defining the naval strategy to serve the aforementioned security policy and strategy.

Naval strategy is a strategy at forces level focusing on planning, preparation and implementation of naval warfare in the future using naval power as the tool. Naval strategy usually covers the term of 5 or 10 years in advance. Naval strategy is associated with the concept of maritime strategy which concerns protection, safeguarding, making use of and conservation of the sea, with the emphasis on the national maritime interests. Naval strategy is the guideline practice of the whole picture to gain victory in naval battles. The guideline practice involves two parts: use of force and preparation of force. 1) **Use of force** refers to naval preparation and operations mainly for normal situations, large scale warfare at the level of campaigns using the navy deployment and combat to take advantage of and beat the

enemy. 2) **Preparation of force** refers to planning and preparing/allocating personnel and budget to form an effective and modern force ready for continued battles.

Maritime strategy is a branch of national strategy concerning maritime economy and protection of the national maritime interests such as protecting, safeguarding, making use of and conservation of the sea using maritime/ sea power. The forces are from the Royal Thai Navy and naval forces from other maritime agencies to collaborate in maritime security operation in maritime strategy. This concerns military operations other than war (MOOTW). However, in some countries like the US, navy maritime security agencies such as the US Coast Guard and the US Marine Corps use only one single maritime strategy (there is no naval strategy) to define the ways of warship and MOOTW. In such cases, there is no need for a naval strategy. Nevertheless, the US maritime strategy needs to support other strategies such as national security strategy, national defines strategy and national military strategy. In case of the USA, since naval strategy and maritime strategy is the same, there is no issue with inconsistency between the two.

Thailand, so far, has never had a national strategy. There have been just proposals by students from the Thailand National Defence College. Then again, there has never been a

maritime strategy. As a result, RTN had to establish its own naval strategy based on the development plans of the National Security Council (NSC). From RTN's perspective, naval strategy and maritime strategy are at two different levels. Naval strategy is the main responsibility of RTN second only to military strategy done by Royal Thai Armed Forces Headquarters (RTAFH). Therefore, the RTN needed to establish its own naval strategy to serve military strategy and has been trying to propose a maritime strategy. Later, NSC established the Maritime Strategy B.E. 2558 – 2564 (2015 – 2021). On 21 October 2014, the Cabinet approved that it should be renamed as the “National Maritime Security Plan”. Since then, it could be said that Thailand has an official maritime strategy plan. However, the naval strategy and maritime strategy were established at different times and for different purposes. As a result, there is an issue with disagreements. Moreover, in establishing naval strategy, there is a problem with the form and process of defining the strategy that needs to be revised to acknowledge many operations including naval strategic warfare, naval MOOTW, constabulary operations and benign operations by RTN. As a consequence, naval strategy lacks effective force and has the force that does not cover MOOTW.

As such, this research aims to investigate, analyse and discover the guideline or approach to establish a new naval strategy which is more effective and able to serve the National Maritime

Security Plan or the maritime strategy of Thailand so that RTN can find the appropriate force for battle, to effectively support operations of the National Maritime Security Plan and to effectively protect national maritime interests worth over 24 trillion baht a year.

Objectives of the Research

1. To investigate, analyse and define the national strategy for maritime security that includes naval strategy and maritime strategy and to study the problems, obstacles, incompleteness or disagreements between both strategies and with the context of maritime security in the future
2. To find the approach to reform maritime strategy to agree with the changed context of maritime security and to protect national maritime interests according to Thailand's National Maritime Security Plan in order to establish an appropriate naval force allocation.

Expected Results

1. Problems, obstacles, incompleteness or disagreements between naval strategy and maritime strategy and the changed context of maritime security in the future are recognised.
2. The approach to reform maritime strategy to agree with the changed context of the National Maritime Security Plan (maritime strategy) and an appropriate naval force allocation are discovered.
3. The research findings will make RTN and the maritime security agencies of Thailand

have the approach to establish naval strategy and the National Maritime Security Plan (maritime strategy) which are complete and balanced for war and Military/Naval Operations Other Than War: M/NOOTW)

Literature Review

The following theories and concepts were reviewed:

1. Levels of strategy: It was found that naval strategy was ranked at the lowest level (theatre strategy/operational strategy).

2. In this research, the following theories from many strategists are reviewed.

2.1 Strategic management by Thomas L. Wheelen & J. David Hunger.

2.2 The strategy planning by Dixon.

2.3 The strategy and force planning framework by Liotta P.H. and Richmond M. Lloyd.

2.4 The strategy and force planning by Henry C. Bartlett, G. Paul Holman, Jr., and Timothy E. Somes.

2.5 The strategy and force planning by Mackubin Thomas Owens.

2.6 The strategy and force planning by Harry R. Yarger.

2.7 The strategy and force planning by USAF Air War College Model.

2.8 The strategy and force planning of the United States by Department of National Security and Strategy, U.S Army War College.

2.9 The national strategy planning by National Defence College as classical model or

the model for national strategy planning.

2.10 The national strategy planning/military strategy by Ministry of Defence and Royal Thai Armed Forces Headquarters (RTAFH).

2.11 The naval strategy theory.

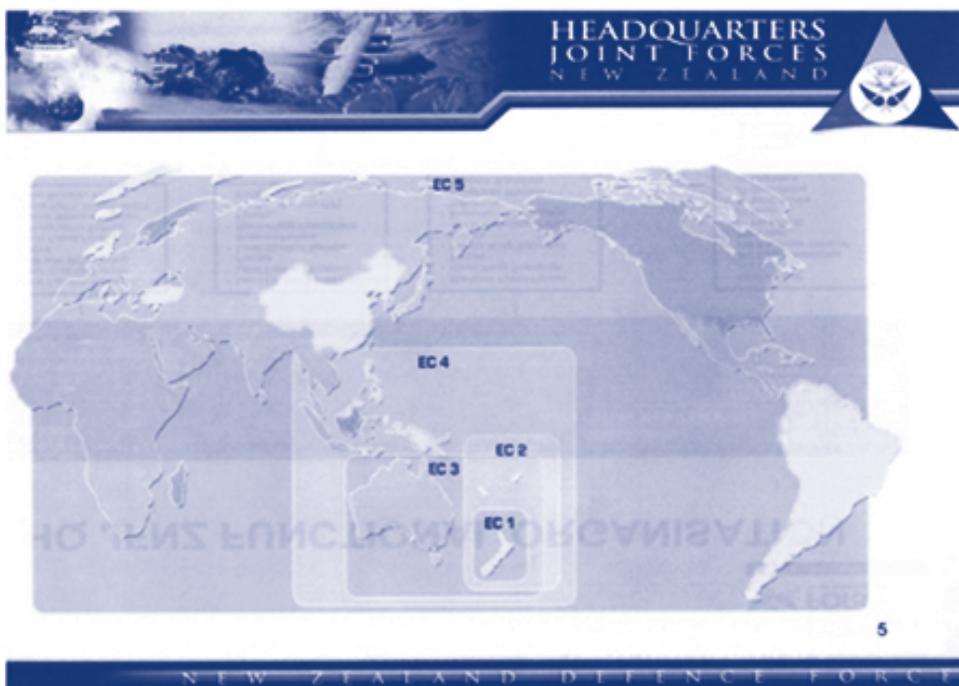
2.12 The maritime strategy theory.

2.13 Major Groups of Elements Common to All Strategies used to verify coverage and flaws in the established strategy including, 1) context, 2) objective, 3) assumptions, 4) capability and 5) cost.

2.14 Maritime strategy planning or National Maritime Security Plan: The Cabinet approved the National Security Strategy Draft for B.E. 2558 – 2562 (2015 – 2019) which covers 6 strategies. The first strategy aims for developing the capability of national maritime security. The second strategy involves protection of sea exploitation. The third strategy concerns orders and promotion of sea exploitation. The fourth strategy addresses balance and sustainability of sea resources and environment. The fifth strategy is about human resource development, body of knowledge and awareness of the importance of the sea. The sixth strategy involves management of national maritime interests by government agencies. It is considered that the RTN is successful in establishing the National Maritime Security Plan for the first time.

2.15 International relations theory: The researcher reviewed the international relations theory to find the approach to plan the strategy using preventive diplomacy. The theories of

Picture 1 : Ring-fenced Naval Strategy



realism, liberalism, neo-realism and neo-liberalism were reviewed.

2.16 The principles about promoting cooperation such as a confidence building measure (CBM), preventive diplomacy, conflict resolution and maritime security promotion and maintenance.

2.17 The 2015 National Security Strategy (NSS) that focuses on 4 national interests: security, prosperity, value and international order and on 5 key issues: military rebalance in Asia Pacific Region, strengthening alliances, the relationship between USA and China, the impact on Asia Pacific Region and the future trend of USA and the world.

2.18 UK National Security Strategy requires the country to adapt itself to suit 6

strategic contexts including, 1) terrorism, 2) international and NI-related context, 3) the changes in the characteristics of conflicts, 4) the rising number of multi-polar powers and interrelation, 5) scientific development, technology and technology and 6) social trend and population, climate change and natural resources.

2.19 British Maritime Strategy addresses only about maritime strategy. In this strategy British government uses its maritime power as the main tool to guard its national maritime interests. The purpose is to ensure security, rehabilitate UK and influence the stable world (ends). The approach is to use the role of naval forces (ways) and tools (means) are the balance force and concept and quality manpower.

2.20 Ring-fenced naval strategy of New Zealand that focuses on using and deploying forces like multilayer rings that look like fences. Diplomatic policy is used to control each ring on how to launch a policy with a neighbouring country. Accordingly, the navy shall establish naval strategy that suitably meets the predetermined strategy.

2.21 Future naval operation concepts involve military concepts that set forth the principle or means of using specific military forces to achieve the purpose/goal. It is used to explain from the use of military forces with general idea from the top level to specific use of specific technologies/systems or specific training.

2.22 Review of relevant literatures such as research by R.Adm Chart Navawichit, research by Group Captain (position at the time) Khamron Phisonyutthakan and research by Group Captain (position at the time) Patchara Phoomphichet. These studies suggested that strategy planning should be based on realistic a thinking process, does not allow for many possibilities, avoid aggressive planning and have risk assessment.

The literature review, from the theory of strategy planning from national level to minor strategy, especially the ring-fenced naval strategy of New Zealand that applies international relation as a key factor for strategy planning and investigates relevant factors such as preventive diplomacy, confidence building measures,

international relations, future naval operational concepts and a review of relevant literatures can be summarised as follows:

1. Strategy planning process of strategists is usually top-down direction and focuses on means as a result. This results in a problem of too much need for means (hedging). For example, the power of forces in the past, including the navy, were of such high cost that they could not satisfy the need, failing to achieve the strategic goal.

2. Some strategy theorists such as Richmond M. Lloyd and Mackubin T. Owens originated the operational concepts in the thinking process. However, it still lacks clarity because it does not address the use of force in the future.

3. The process of strategy planning at every level does not cover international relations, preventive diplomacy, confidence building measures and a spectrum of conflicts. Most strategies focus only on preparation for battles.

4. Most of the past strategies are threat-based strategic planning which does not suit strategy planning in the future. This is because the security context from now on relies more on cooperation than opposition, especially the cooperation among ASEAN countries. Therefore, in order to get an effective and safe strategy, it is better to apply that of Mackubin T. Owens, which is a capability-based strategic planning. Besides, many countries such as USA, Australia and Canada use this principle to avoid

confrontation and making enemies.

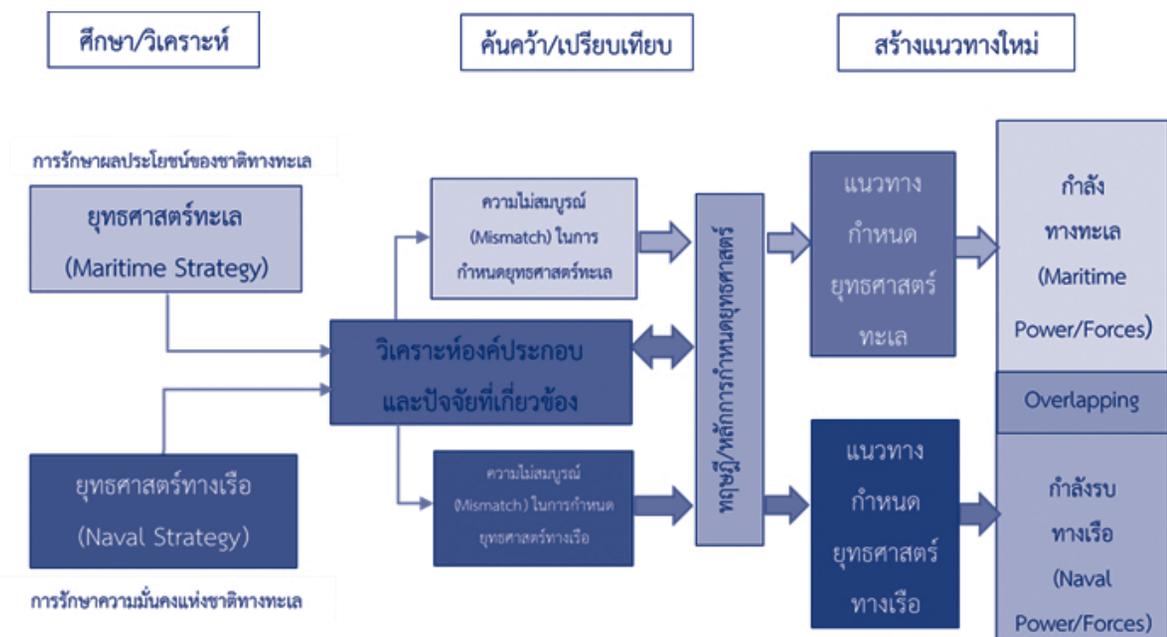
5. In some countries like USA and UK, when Maritime Strategy is decided, Naval Strategy will not be established because Maritime Strategy can cover maritime security factors more than naval strategy which focuses only on military matters. Moreover, different agencies will cause complexity and conflicts.

6. At present, armies have decided that risk assessment is one of the strategy establishment. Concerning naval strategy establishment of the navy, risk assessment and management are used in strategy assessment to balance national benefits, national ends, and ways and means.

7. Concerning current strategy establishment in the navies such as USA, UK and Australia, Future Naval Operational Concepts: FNOOC is established. It is the study of combat strategy and naval preparation in the future which parallel with strategy establishment and the result will be used in combat preparation.

8. Naval strategy establishment is operated by the Navy. Maritime strategy establishment or national maritime security plan are operated by NSC. They are related in naval force of the navy which has a role in sea power and maritime power as well as an operational role besides combat.

Conceptual Framework



Research Methodology

Qualitative Research as well as Descriptive Research is operated as follows.

1. Data Collection

1.1 Secondary data is operated by the study from textbooks and documents.

1.2 Primary data is operated by in-depth interview of strategists of the Navy.

2. Data analysis is operated by context analysis and the analysis, comparison and synthesis of theory data and principles.

Research Findings

1. Analysis result of strategy planning and naval power of the Navy shows that the operation that had been done faced with obstacles and problems in important strategy planning as follows.

1.1 Environmental scanning is the scanning in the view point and influence that we decide.

1.2 Environmental scanning does not cover every part. It is the scanning in global, national and domestic levels but it does not scan environment in the organization which has factors like leadership, policy, organizational behaviour and administration as well as organizational culture and value etc. despite the influence on planning and long-term decisions of the Navy.

1.3 The scanning still focuses on threats which is the method used in the Cold War. It can clearly determine the adversary countries which does not appropriate with

current global and regional security situation.

1.4 The determination of power demand is to respond by hedging because of the fear of not being allocated and not really reflecting combat preparation in the future.

1.5 Risk scanning mainly uses the comparison of the number of naval power but never considers capacity or preparedness of each naval power and other combat power like forces, training, logistics, doctrine etc.

1.6 The reinforcement plan cannot be done within the specified time, resulting that forces on duty do not follow the decided plan or strategic concept. Moreover, the problems result from the specification of high demand, the wrong prioritisation which does not correspond with external environments, budget situation and political resistance like the submarine procurement of RTN.

1.7 There is no revision of mismatch scanning which happens between combat power reinforcement and the risk of operation or between the risk of operation and available power (Ends-Ways-Mismatch)

1.8 The budget management limitation are not considered, but the number of given budgets are considered whether it is large or small or enough or not enough.

1.9 Organisational culture which does not correspond with policy halts the operation according to the specified strategic plan.

1.10 The lack of agency responsible for the establishment and revision of strategy and specifically decides continuous combat

power.

1.11 The supreme commander does not decide strategy and combat power or participate in every planning method. So, the strategy is not really the commander's idea.

1.12 Strategists are often trapped in thinking when they scan the environment because they forget that environmental scanning is the present situation and they do not use future principle in doing so.

2. The analysis result of strategy determination principle and naval power of the Royal Thai Navy

2.1 The Navy clings to 3 ways of theories and concepts which are, 1) from strategy determination and naval power model of Prof. Richmond M. Lloyd and P. H. Liotta, 2) from strategy determination and naval power model of Prof. Henry C. Bartlett, G. Paul Holman, Jr. and Prof. Timothy E. Somes and 3) from strategy determination and naval power model of Mackubin Thomas Owens by adapting them into a Thai model but still mainly focusing on threats.

2.2 The results from naval strategy establishment in the past usually lack balance because it does not cover use of forces. It focuses only on preparation or forces determination which consists of naval operations and Naval Operations Other Than War (NOOTW). The complete naval strategy must balance the two parts according to the Spectrum of Conflicts from peace to war.

2.3 The neighbouring countries have

different relations and problems with our country. Some are good while others are bad. The efficient strategy must use Naval Diplomacy as a tool for determining policy or strategic concept and must be 'Selective Engagements' by using geological strategy of Thailand location as principal and using the principle "naval strategy of the Navy treats the neighbouring countries differently".

Research Discussion

The study result which answers the first research objective is concluded as follows. According to the study of national maritime security strategic determination of Thailand which is naval strategy of the Royal Thai Navy and maritime strategy of NSC (maritime national security plan 2015-2021), problems/obstacles, the disagreements of the two strategies as well as future maritime security situation are known. That is, naval strategy determination lacks balance between naval force preparation and use of naval force. The naval strategists in the past focused only on force preparation or force determination/procurement. They did not implement the future principle of use of naval force. This results in lacking the view point of use of force in the future. While naval strategy and maritime strategy (maritime national security plan) are established without considering strategic concept, naval and maritime forces separately propose. This wastes budget and is irrelevant. The incompleteness of naval strategic establishment in aspect of the

ignorance of use of force in the future must be solved firstly by documenting the Future Naval Operational Concepts (FNOC) to support naval strategic establishment. This will make the naval strategy which is the future plan in 10-20 years complete and reasonable for use of force in the future and also accord with future environment (The establishment of FNOC is taught in courses of the Navy). Moreover, risk assessment must be determined to modify the balance of naval national ends, ways and means to be accord to one another.

The study result which answers the second research objective is concluded as follows. The new problem following the availability of maritime strategy or maritime national security plan is the maritime strategy needs to use maritime forces which means naval force of the Navy together with naval forces of other naval agencies like Marine Department, Marine Police, Department of Fisheries etc. which are marine forces that concentrate on practice in Law Enforcement and Benign Operations. It is the military operations other than war (MOOTW) which uses unnecessary forces with heavy weapons towards non-traditional threats. The result is that the requirement of marine forces of maritime strategy does not accord with naval strategy. It is necessary to integrate the needs of the two strategies to meet a satisfying point that can support military tasks, have capacity in working on MOOTW and support maritime strategy/maritime national security plan without

spoiling main naval combat tasks or supporting maritime strategy tasks.

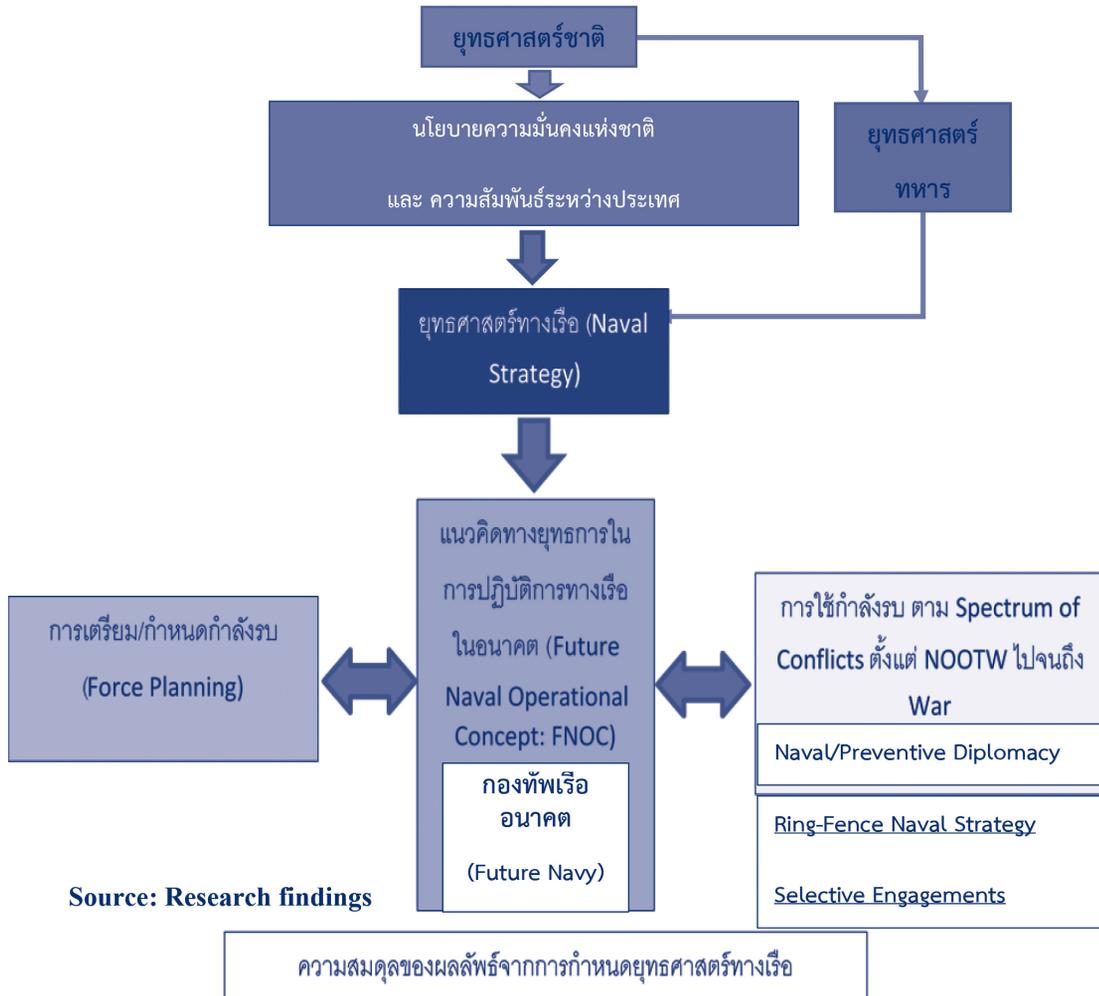
Concerning the reformation method of naval strategy to in accord with current and future global and regional situations as well as the protection of marine national benefits according to maritime strategy or the maritime national security plan 2015-2021 and the acquirement of appropriate naval forces, the followings must be done.

1. Naval strategy must change from Threat-Based Strategic Planning to Capability-Based Planning to be consistent with current and future security environment which needs cooperation especially ASEAN more than oppositions.

2. International relations, preventive diplomacy, naval diplomacy, confidence building measures (CBMs) need to be used in naval strategy establishment to decide the Navy's policy (which corresponds with the government's) towards neighbouring countries and other countries in the region and in the world in selective engagements. This clarifies military operations towards neighbouring countries and other countries when in peace to war according to the Spectrum of Conflicts.

3. The operation according to Selective Engagements needs to use Ring-Fenced Strategy by specifying areas of relations into circles from internal to external part according to Employment Contexts (EC) of each area as well as military response to each EC area which results in military capacity and desired force

Illustration 1. The creation of balance in naval strategy determination (answering the first research objective)



quality.

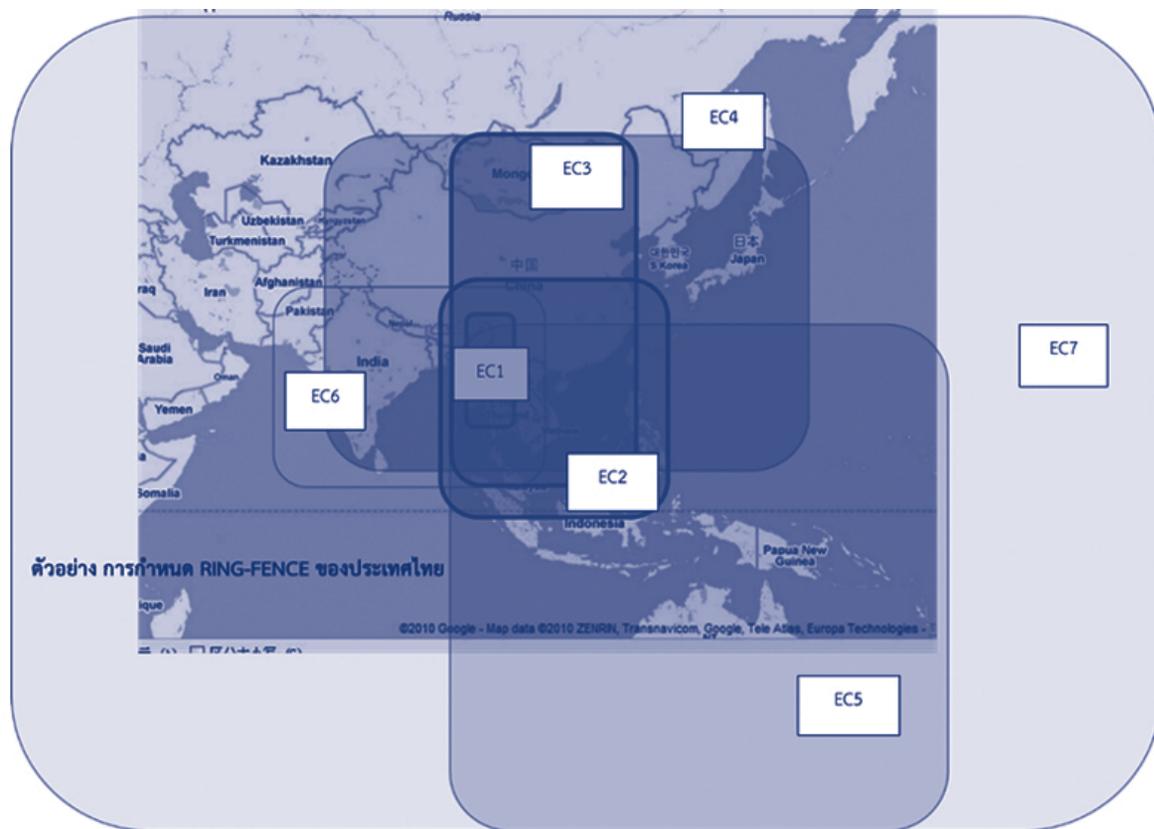
4. Research findings have proposed a model that answers the first research objective according to Illustration 1 which is the creation of balance in naval strategy determination and offer examples of the determination of area of relation in EC (according to Ring-Fenced Strategy) according to Illustration 2. Moreover, it offers a model that answers the second

research objectives according to the Illustration

3. The overview of research findings can answer two research objectives. The principles of naval strategy reformation found can be applied to naval strategy establishment more concretely.

Suggestions according to the research findings, there are suggestions for the operation as follows.

Illustration 2. The example of Ring-fenced Strategy determination (answering the second research objective)



Policy Suggestions

1. The Royal Thai Navy should speed up the modification of new naval strategy to be complete according to this research in cooperation with NSC making it consistent with naval strategy and maritime national security plan. Especially the concept of use of naval and marine forces and force procurement and marine forces from other maritime security agencies.

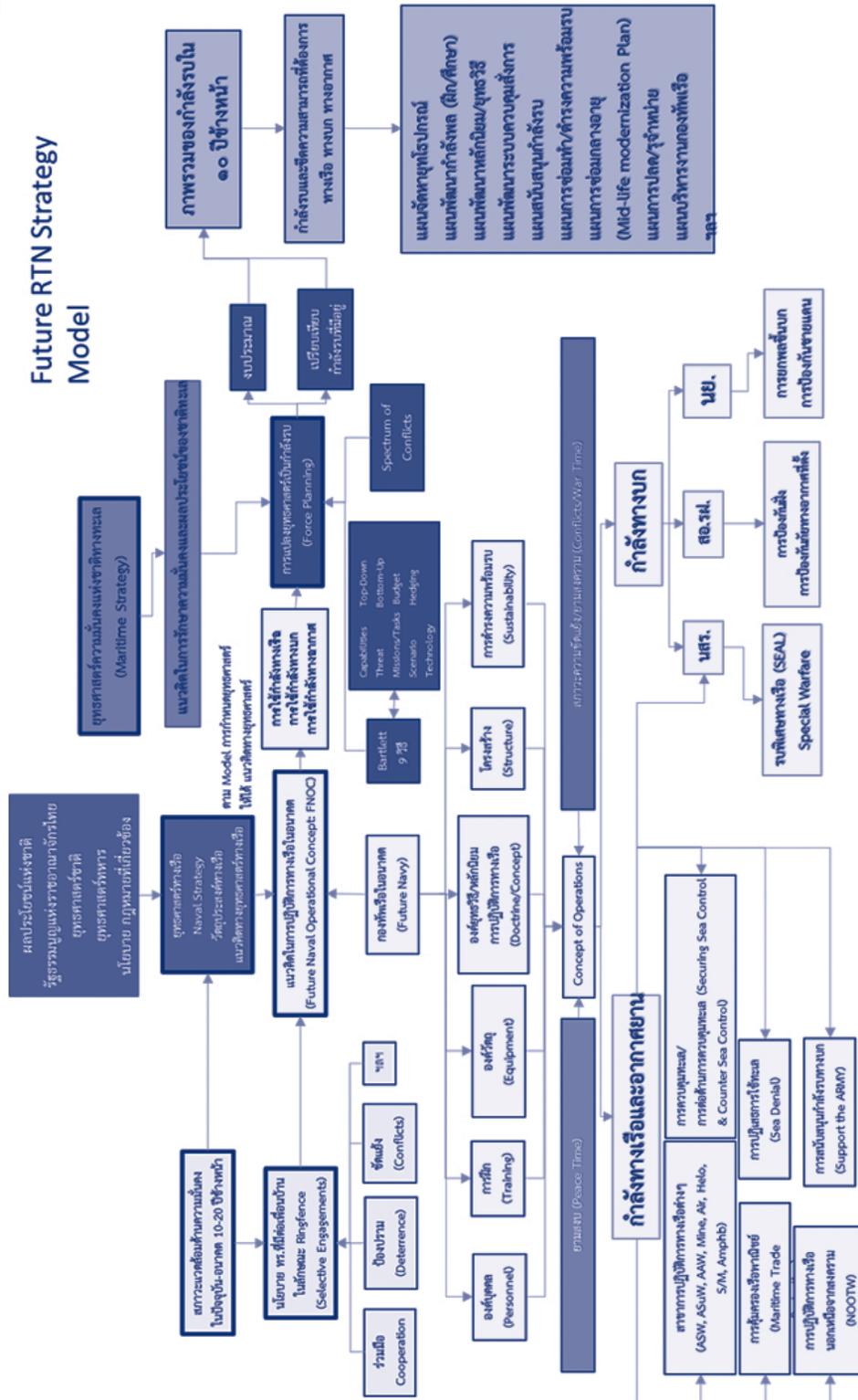
2. The Royal Thai Navy and NSC should confer about the future of naval and maritime

strategy establishment in issue of having only one maritime strategy so that every maritime security agencies can participate in really protecting sovereignty and national benefits.

3. NSC and the Royal Thai Navy should apply Ring-fenced Strategy and Spectrum of Conflicts as well as Selective Engagements in appropriate force preparation and use of naval force.

4. The government and Ministry of Defence should change National Security Strategy (NSS), National Defence Strategy (NDS),

Illustration 3. New naval strategic model which is acquired from the research (answering the first and second research objectives)



National Military Strategy (NMS) and Army Strategy which is Threat-Based Strategic Planning to Capability-Based Strategic Planning to be in the same standard and consistent with one another in every strategic level from national to army levels.

Operational Suggestion

1. Operational agents of naval force of the Royal Thai Navy have to do documents of Future Naval Operational Concept (FNOC) to support strategy establishment of strategy committee in order to balance the preparation and the use of future force.

2. THAI-MECC in the new role of coordination centre have to do documents of Future Maritime Operational Concept (FMOC) to support maritime strategy planning or maritime national security plan in determining the method of preparation and use of marine forces.

3. Operational agents of ground force of the Royal Thai Navy have to do Future Land Forces Operational Concepts (FLFOC) of their individual force and mutual force to be updated and be able to anticipate future combat.

Suggestions for further research: The research findings can be extended into 2 main issues as follows.

1. The issue of the method of naval and maritime strategies determination to be one strategy in the next decade as same as the cooperation of the US security agencies such as Navy, Marine Corps and coast guard who establish strategy together in the name of "A Cooperative Strategy for the 21st Century Sea

Power".

2. The issue of the change of the national security strategy, national defence strategy, military strategy and army strategy from Threat-Based Strategic Planning to Capability-Based Strategic Planning to be implemented in the same standard.