

CHAPTER 20

SEA POWER

Control of the seas means security. Control of the seas means peace. Control of the seas can mean victory. The United States must control the sea if it is to protect our security.

—John F. Kennedy

The United States is in a position of world leadership. Maintaining that position is a never-ending task that becomes harder with each crucial world situation. The Navy has a vital role in protecting world freedom. We can only maintain this freedom through a Navy that has total dedication to that end. You are an important link in our Navy's commitment to freedom.

In the Navy, we, like our forefathers, must make many sacrifices to maintain our goals. That often means being away from our homes for long periods, standing long watches, or doing arduous work. The result is fulfilling the goal of keeping the world free.

As you study for advancement to petty officer, you should begin to realize your importance to the overall mission of the Navy. Advancement will be just one of the rewards you will receive for dedication and sacrifice.

UNITED STATES SEA POWER

Learning Objectives: When you finish this chapter, you will be able to—

- Recognize the importance of sea power in relation to today's world.
- Identify the operational components of the U.S. Navy sea power.

Sea power as a concept means more than military power at sea. Sea power describes a nation's ability to protect its political, economic, and military interests through control of the sea. The principal parts of sea power are naval power, ocean science, ocean industry, and ocean commerce.

Sea power encompasses commercial rivalries in peacetime, diplomatic maneuvering and the clash of fleets in wartime. The concept of sea power has been valid whether the fleets were wooden men-of-war or mighty battleships. It remains sound today, although

technology has caused ship-to-ship battles to become part of history instead of part of contemporary tactics. Captain Alfred Thayer Mahan, USN, was the first person to use the term *sea power*. He used it in his principal work, *The Influence of Sea Power Upon History, 1660-1783*, published in 1890. Mahan proposed that there were six conditions required for a nation to have sea power:

1. An advantageous geographical position
2. Serviceable coastlines, abundant natural resources, and a favorable climate
3. Extent of territory
4. A population large enough to defend its territory
5. A society with an aptitude for the sea and commercial enterprise
6. A government with the influence to dominate the sea.

In the decades immediately following the Civil War, the primary role of the U.S. Navy was as coastal defender and commerce raider. The United States did not exercise sea power, but believed in the concept of national isolation. In effect, the nation stressed naval expansion within its own country. By 1890, however, the nation began naval expansion toward other countries; its concept of national isolation began to ebb.

Those groups in the Navy and in the government who believed in sea power endorsed Mahan's doctrine. They based their endorsement on the belief that history provides clues to achieving maritime supremacy. Mahan's concept, therefore, became the intellectual force behind the United States' development of its Navy into a sea power.

During World War II the emerging effects of aircraft, aircraft carriers, and radar meant we fought fewer battles with ships within sight of each other. In modern naval tactics, we employ gunfire for protection

against aircraft and missiles or for bombarding shore targets. If aimed at ships, the targets will most likely be small, fast, patrol craft. These crafts deliver missile or torpedo attacks in coastal waters.

Sea power today includes many aspects of the naval strength of a nation that did not exist in the last century. Sea power now encompasses maritime industry and marine sciences. These industries and sciences add to our national economy by exploring new resources for food, freshwater, minerals, and even living space.

Figure 20-1 shows a Carrier Task Group, one concept of sea power today. Sea power is a unique resource that nations can use in the oceans. We use it to reach political, economic, and military goals in times of peace and war.

The seas are our lifeline for survival. In addition to being a barrier between nations and a broad highway for ships, the seas are an important source of food, minerals, and metals. We use oceangoing craft to get to these riches. The development of these craft has resulted in the need to provide for their protection.

A well-established theory for the economic advantage of a nation is to produce goods and services

and exchange them with other nations. Throughout history, nations that have traded this way and conducted a strong foreign trade have prospered and grown in economic and political strength. Those that have failed in commerce have also failed as world powers. Throughout history, no country has ever become a world power without a strong foreign trade. All countries generally have raw materials, but they often have limited quantities. Countries then trade with each other to get needed materials. Modern nations with highly complex economies need more raw materials from other countries. We can often obtain many manufactured goods cheaper from other countries than we can produce them locally. As a matter of economic reality, most nations must trade or decline in strength.

Until recently, Americans believed that our raw materials would last forever and that we could live without help from any other nation. With our population growth and the advanced technology of the United States, this concept has changed. Today we rely heavily on trade with our world neighbors for raw materials. We need that kind of trade to keep our economy strong and our work force employed.

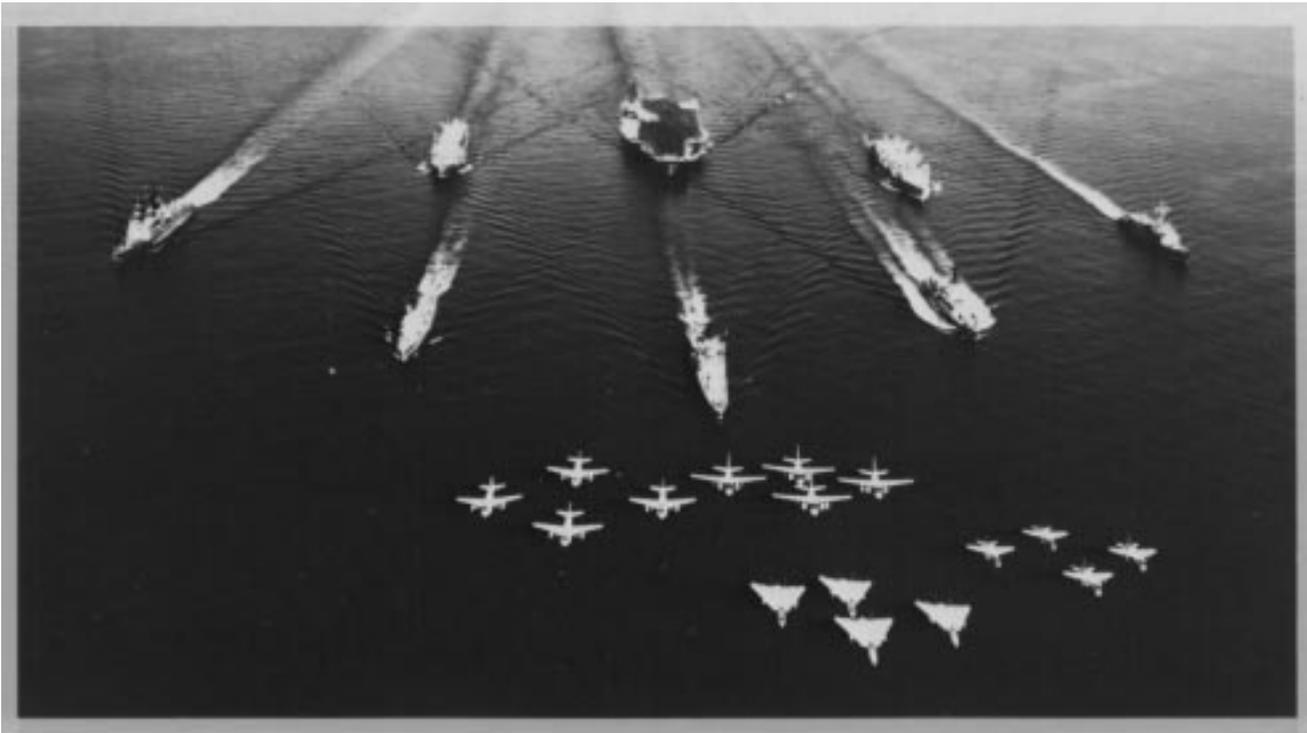


Figure 20-1.—U. S. naval sea power.

Student Notes:

The United States is not as independent as people think. We must import most of our raw materials. Actually, we import no fewer than 77 resources to maintain our present economy. As an example, we import 85 percent of the manganese we need to make steel. We use columbite to make nuclear reactors, stainless steel, rockets, and missiles; we import 90 percent of it. We also import bauxite (used to refine aluminum) and chromite (used to strengthen steel). More than 90 percent of the tin we need in this country we import. At one time, the U.S. consumed more than one-third of the entire world's supply of oil. However, through conservation efforts we have reduced that oil consumption. Half of the free-world mineral production goes into the industrial needs of the United States. Of all our needed minerals, only about 11 are found within our borders; the U.S. is a raw-material-deficient nation. The United States could not possibly produce enough aircraft to move all the goods that now travel by water. Our economy depends on waterborne commerce.

The United States, like all nations of the world, acknowledges freedom of the seas under international law. When fighting wars, nations do whatever is in their power to prevent the enemy from using the seas. They aim to cut commercial shipping lanes to prevent the enemy from receiving critical raw materials for the war effort. Throughout history, the great nations have been those which controlled the seas. From the ancient times of Persia to the World War II days of Japan, loss of sea power has caused many nations to fail.

Before World War I, we were a quiet nation and stayed mostly to ourselves. When we were drawn into World War I, we became the most industrialized nation in the world. Our economy slowed down after the war; when World War II started, we once more became highly industrialized. We have remained that way ever since. Our defense depends on a highly productive industrial system. We must keep the sea-lanes open so that the supply of essential raw material continues to flow in our direction. Halting the flow would be a great blow to the safety and economy of the United States. In the wars of this nation, we have managed to maintain a constant supply of raw materials. But, to keep our troops supplied, we have had to ship over 97 percent of our products overseas.

You should realize the importance of the United States' ability to maintain control of the seas for the use of the free world. To protect our national security and sustain our economy, our nation must continue to take the following actions:

- Import raw materials from throughout the world, convert them into manufactured goods, and export them to the world marketplaces by ocean shipping.
- Keep the sea-lanes open and secure in times of peace and tension, and deny them to the enemy in times of war.

Many areas of sea power are covered in the remainder of this chapter. Keep in mind that no matter where your station is, your job plays an important role in our nation's sea power. Your job helps keep us all free and secure.

REVIEW 1 QUESTIONS

- Q1. What is sea power?
- Q2. List the principal operational components of our nation's sea power.
- a.
 - b.
 - c.
 - d.
- Q3. According to Alfred Mahan, there are six conditions required for a nation to have sea power. List these conditions.
- a.

Student Notes:

- b.
- c.
- d.
- e.
- f.

Q4. In today’s world, what aspects of naval strength exist that didn’t exist in the 19th century.

Q5. As this century closes, no nation is totally independent. To protect ourselves and to keep our economy going, this country must take the following actions:

- a.
- b.

THE U.S. NAVY’S RESPONSIBILITY IN SEA POWER

Learning Objectives: When you finish this chapter, you will be able to—

- Identify the missions and functions of the U.S. Navy in wartime and peacetime.
- Identify the functions of the U.S. Navy to include strategic nuclear deterrence and security of sea-lanes communications.

At this point in your Navy career, if you haven’t done so already, you may soon find yourself asking several questions. Why are we spread out far and wide from our shores? Why do we have a Navy? What is the purpose of this deployment? If you look at the goals of our nation, you will see what our mission is. First, you should understand why we need a strong Navy to

support our national objectives. Some of these reasons are as follows:

- Two of our states are outside the continental United States (Hawaii and Alaska).
- Four U.S. territories lie overseas (Puerto Rico, the Virgin Islands, Guam, and the Northern Marianas).
- Two of our allies (Canada and Mexico) border the United States; the rest of our allies, some 42 of them, are overseas.
- NATO countries and Japan, our principal allies, are highly dependent on U.S. support and imports, the bulk of which comes to them by sea.
- Ninety-nine percent of all U.S. overseas trade is transported by sea lines of communications (world trade routes).
- The U.S. industrial output depends on continued shipments of raw materials and energy-producing resources from overseas.
- Our ability to control the seas is essential in the deterrence of a general war and aggression against any nation or area vital to our interest.

Now, let’s look at the primary functions of the Navy. The Navy and the Marine Corps organize, train, and equip Navy and Marine Corps forces to conduct prompt and sustained combat operations at sea. These operations involve sea-based aircraft and land-based naval air components. These forces have five primary tasks:

1. They must seek and destroy enemy naval forces
2. Suppress enemy sea commerce gain
3. Maintain general naval supremacy
4. Control vital sea areas
5. Protect vital sea lines of communications

The Navy’s business is to clear the way for the operating forces to accomplish their task, whatever it is. The Navy must drive the enemy’s fighting forces off the high seas, out of the air, and across the seas. The Navy

Student Notes:

must block the enemy's sea-lanes and sink its merchant ships and transports.

In recent years, we have exercised control of sea-lanes in the Middle East. During the 1987-1989 "tanker wars" in the Persian Gulf (fig. 20-2), the U.S. Navy protected merchant ships and oil tankers flying the U.S. flag. In 1990, we conducted a naval blockade of Iraq to enforce United Nations sanctions following Iraq's invasion of Kuwait.

The Navy also provides forces for joint amphibious operations. It trains all forces assigned to these operations in amphibious warfare as directed by the Joint Chiefs of Staff. It also conducts naval reconnaissance, antisubmarine warfare, mine laying and controlled mine-field operations, and protects shipping. Operation Desert Shield/Storm is a typical example. The Navy joins with the other services in defending the United States against air attack.

As you can see, the Navy's mission is very complex. As a result of that complexity, the United States is undertaking a massive modernization of Navy ships,

aircraft, and weapons in three forms. The first involves the speedup of research and development to find new weapons. The second entails the laying up of old ships to save operating and overhauling costs and the shifting of that money into new construction. The third consists of the "hi-low balanced mix" concept. That concept involves the purchase of a few highly effective aircraft and ships, such as nuclear propulsion aircraft carriers (CVNs) and submarines (SSBNs). At the same time, we are developing new classes of low-cost ships, such as guided-missile frigates and sea-control ships.

Our nuclear-age world has resulted in a nuclear-age Navy. Although the Navy uses nuclear weapons and guided missiles as its primary destructive weapons, it still maintains, and is improving, conventional weapons. Such weapons enable the Navy and Marines to rapidly deploy and to apply the necessary force to fight a limited war.

The Navy leads the way in scientific projects. In the area of navigation, Navy ships can navigate on and under the oceans for days at a time. They no longer rely on traditional sources such as landmarks and stars to fix



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Figure 20-2.—U. S. ships blowing up an oil platform in the Persian Gulf.

Student Notes:

their position. The Navy continues to improve its propulsion systems. The Navy's continued improvements in propulsion systems allow Trident submarines to operate undetected beneath the oceans. The newer, faster, and quieter fast-attack submarines prowl the oceans at will. These ships have added a new dimension to the world of undersea warfare. We have made great strides in underwater acoustics, oceanography, and other scientific fields.

Throughout history, the shores of the enemy and the range of our ship's guns have limited the Navy's radius of action. Now with the development of long-range aircraft and ballistic missiles, the Navy's radius of action spans the world.

In the past, when ships sailed in a task force, they traveled together in formation. However, that tactic increased the number of losses during an attack. Today, ships are dispersed over a wide area, which increases their chances of survival in the event of a nuclear attack.

Although the tactics of our fleets have changed, the meaning of sea power and the need for sea power have remained constant. The Navy will always seek positive change, using weapons dictated by the times and situation, to protect our nation from enemy invasion. America's sea power will play a vital part in tomorrow's world and will have a great influence on peace.

Our nation and the other countries of our world rely on the U.S. Navy to guard their liberties. We must continue to guard these liberties as an instrument of peace, not as an instrument of terror or offensive threat. We must join with other free nations in promoting freedom throughout the world.

THE U.S. NAVY'S MISSION

Today, the Navy, together with the Army and the Air Force, is a member of the National Military Establishment. Their mission is to be prepared to conduct prompt and sustained combat operations in support of the national interest. As part of the National Military Establishment, the U.S. Navy's mission is to assure continued maritime superiority for the United States. The National Security Act, passed by Congress in 1947, instituted the National Military Establishment. The aim of the National Military Establishment is the

coordination of the security of the United States under the Secretary of Defense.

You have an important part to play in the mission of the Navy. Your responsibility grows as you advance in rate. Before you start to take on that responsibility, you should be familiar with certain terms so that you can fully understand the mission of the Navy. They are national strategy, national interests, and national objectives, as stated in Naval Warfare Publication 1 (NWP-1). Naval Warfare Publication 3 (NWP-3) defines naval strategy. Those publications outline our commitment to the security of the United States.

National Strategy

National strategy is that broad course of action designed to achieve national objectives in support of national interests. To satisfy that objective, the defense forces must have the capability to deter aggression and to prevent coercion. They must also have enough influence to shape world events in favor of U.S. interests. The United States maintains its defense forces to preserve its physical security and protect its political independence.

National Interests

National interests are conditions that are to the advantage of our nation to pursue or protect. These conditions frequently are of a continuing nature. They range from the ultimate interest—national survival—to specific regional interests. Collectively, those interests determine the importance of a particular region to the security of the United States.

National Objectives

National objectives are specific goals our nation seeks to advance, support, or protect. We primarily have political, economic, and security objectives.

Naval Strategy

Naval strategy is our nation's use of naval forces (including naval aviation and Marine Corps forces) to achieve its naval objectives. National strategy determines our naval objectives. Our overall naval strategy objective is control of the seas and the denial of

Student Notes:

an enemy's use of those seas important to our operations.

The Navy's job goes hand in hand with the national interest and the objectives of the rest of the U.S. armed forces. Title 10 of the U.S. Code states that the Navy is to be prepared to conduct prompt and sustained combat operations in support of the national interest. That means we must assure continued maritime superiority for the United States. We must be able to totally defeat any threat to the continued free use of the high seas by the United States. Therefore, we must maintain the ability to destroy hostile aircraft, surface ships, and submarines that threaten our seaborne forces and those of our allies. The national strategy determines the Navy's mission. We carry out that mission in joint coordination with the other armed forces and in combined planning with U.S. allies. In carrying out that mission, the Navy has two major functions—**sea control** and **power projection**.

THE FUNCTIONS OF THE U.S. NAVY

Sea control, total control of the seas for the free movement of all, is the first function of the U.S. Navy. It means control of set air, surface, and subsurface areas,

when and where needed. Sea control is crucial to national strategy. It allows us to use the oceans as barriers for defense and as avenues to extend our influences overseas.

Power projection is the second function of the Navy. It is the ability to use sea power throughout the world in the timely and precise manner needed to accomplish a given goal. This covers a wide area. We accomplish power projection by using a broad spectrum of offensive naval operations. These operations include the tactical employment of carrier-based aircraft and the use of amphibious forces and naval gunfire support forces. They also include the strategic nuclear response by the fleet ballistic missile forces.

The functions of sea control and power projection are closely related. Depending on the type of force we are to use, we need some degree of sea control in the sea areas from which we are to project power. The United States developed the naval forces' capability to project power largely as one means of achieving or supporting control of the seas.

To carry out the functions of sea control and power projection in support of its mission, the U.S. Navy has three functions.

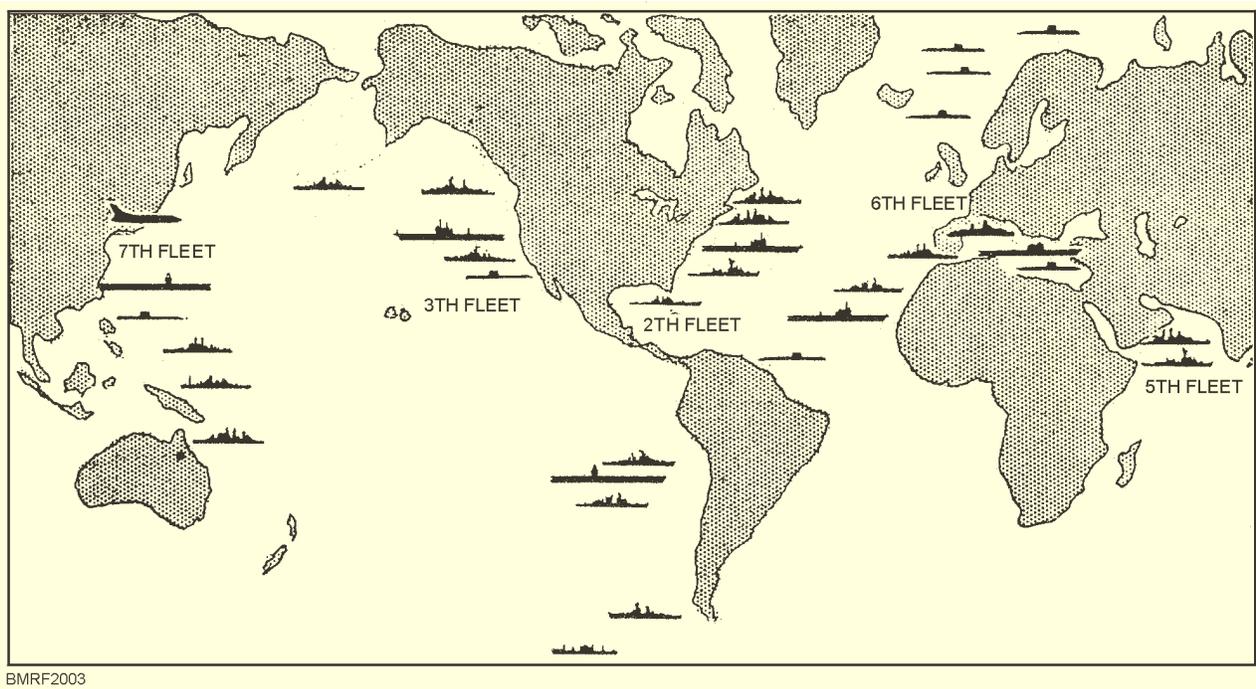


Figure 20-3.—U.S. naval presence throughout the world.

Student Notes:

1. Strategic nuclear deterrence
2. A strong naval presence
3. Security of the sea lines of communications

Strategic Nuclear Deterrence

The effectiveness of the submarine-launched ballistic missile provides the strongest deterrent in our strategic nuclear forces. Thus that deterrent is a stabilizing factor in the strategic nuclear balance.

Naval Presence

To achieve naval presence, the Navy deploys operationally ready naval forces to various overseas locations throughout the world (fig. 20-3). From these locations, our forces can combat hostile forces and support forward-positioned U.S. ground and air forces as well as U.S. allies.

Security of the Sea Lines of Communications

The success of a forward military strategy depends upon the Navy's ability to keep the sea lines of communications open. These lines are between the United States and its forward deployed forces, its allies, and those areas of the world essential for imports. The most vulnerable areas of these sea lines are those closest to potential hostile bases and farthest from friendly territory. Land-based air and patrol combatant craft aid in the protection of shipping in those areas. The protection of the most vulnerable sea areas requires that U.S. Navy forces be present in enough strength to defeat hostile air, surface, and submarine threats. One of the most demanding requirements upon the capabilities of U.S. naval forces is overseas deployment. The deployments place great demands upon both Navy personnel and our multipurpose combatant ships.

REVIEW 2 QUESTIONS

- Q1. List the primary tasks of the Navy's operating forces.
- a.
 - b.

- c.
- d.
- e.

Q2. List three of the ways that the Navy uses to modernize its arsenal.

- a.
- b.
- c.

Q3. As determined by national strategy, what are the missions of the U.S. Navy?

- a.
- b.

Q4. Navy missions are determined by national strategy. List some of the ways the Navy carries out their missions.

- a.
- b.
- c.

THE U.S. MERCHANT MARINE RESPONSIBILITY IN SEA POWER

Learning Objective: When you finish this chapter, you will be able to—

- Identify the missions and functions of the U.S. Merchant Marine in wartime and peacetime.

Our Navy evolved from the American merchant marine. Practically every Navy member of the

Student Notes:

American Revolution was an experienced merchant mariner. The merchant marines were volunteers at that time, as you are today. When it first came into being, the U.S. Navy converted merchant ships into fighting ships by adding cannons to the decks. Through determination and the skills these merchant mariners had learned on the high seas, we won a great war. Congress authorized the first six frigates of the Continental Navy on 27 March 1794. Ex-merchant mariners commanded and manned these frigates. Until World War II, the officers and personnel trained in the merchant marine formed the most important manpower reserve for the Navy.

With the threat of World War II in Europe and Asia, Congress enacted the Merchant Marine Act of 1936. That act provided for a strong merchant marine to service the fleet as a naval auxiliary during times of war and national emergency.

When World War II started, merchant ships were scarce. Since the United States needed to get ships quickly to supply the war effort, we seized the ships of the enemy in our ports. We also took possession of ships from foreign private operators in both domestic and foreign trade. We bought foreign ships and redoubled our U.S. shipbuilding efforts.

Within a year and a half after we entered the war in 1941, shipyards produced ships faster than the enemy could sink them. By mass-producing ships for the war effort, the Kaiser Shipbuilding Company produced a ship a day. Most shipyards built liberty ships that made only one trip to the war zone. If ships did come back, the Navy loaded them and sent them out again. Shipyards also mass-produced larger and faster ships—victory ships and tankers. Many of them were still in service 20 years later. We produced more than 6,000 merchant ships during World War II and somehow found and trained the crews to sail them.

The Army and Navy used many merchant ships as auxiliaries. We used them as hospital ships, repair ships, airplane carriers, and for other special uses. We devised and used new methods of loading and replenishment. Every inch of the ship's cargo holds and topside areas was loaded for increased carrying capacity.

The U.S. merchant marine plays an important part in the sea power of this country. Besides importing essential raw materials for defense of the free world, the

merchant marine transports Army and Air Force personnel during times of war or national emergency. It also transports large amounts of equipment, ammunition, fuel, and other supplies that must follow our forces. In previous wars, we moved most of our troops to the war zone by ship. Although we airlifted most of our forces to the war zone during the Vietnam conflict, the merchant marine transported about 97 percent of needed supplies. We must supply about 5 tons of supplies to take care of each person at the front during war. Getting those vital supplies to the right place is a major task. The experience gained from two World Wars and the Korean and Vietnam conflicts taught us how important the merchant marine is.

PEACETIME MISSION

The merchant marine today consists of all commercial oceangoing vessels flying the U.S. flag. Although the U.S. merchant marine is not part of the armed forces, it serves with them in wartime. It is subject to unified control under the Maritime Administration during times of war. The merchant marine includes all waterborne transportation—combination cargo-passenger ships, tankers, dry-cargo vessels, river barges, and harbor tugs. We have restricted our discussion of the merchant marine in this chapter to oceangoing ships of 1,000 gross tons and over. Ships of that group include the liner fleet (ships operating on regular schedules). They also include ships contracted to carry cargo to all areas of the world and ships in domestic and foreign trade. The term *merchant marine* refers to all these ships and their crews.

WARTIME MISSION

In a war, the mission of the U.S. merchant marine includes the following:

- Transport essential materials and cargo needed for the U.S. economy and needed to aid in supplying the economic needs of overseas allies
- Resupply American and allied military forces overseas
- Provide underway replenishment for wet or dry cargo and other direct services to Navy ships at sea

Student Notes:

- Increase combatant naval forces by being armed to carry out convoy, anti-aircraft, or anti-submarine duties

In wartime or a national emergency short of war, our government can get much-needed ships to perform merchant marine tasks from several sources. These sources include merchant ships flying the U.S. flag or a foreign flag, the National Defense Reserve Fleet, and the Military Sealift Command (MSC).

REVIEW 3 QUESTIONS

- Q1. Describe the peacetime mission of the U.S. Merchant Marines.
- Q2. List the wartime mission of the U.S. Merchant Marines.
- a.
 - b.
 - c.
 - d.

THE U.S. COAST GUARD RESPONSIBILITY IN SEA POWER

Learning Objective: When you finish this chapter, you will be able to—

- Identify the missions and functions of the U.S. Coast Guard in wartime and peacetime.

The multimission nature of the Coast Guard makes it unique among the armed services of the United States. It has an operational peacetime role and is the only U.S. military service outside the Department of Defense.

The Coast Guard is the nation's oldest continuous seagoing service. It was set up in 1790 as the United States Revenue Marine (later renamed the Revenue Cutter Service). The United States Revenue Marine was

an arm of the Treasury Department, under then Secretary Alexander Hamilton. The Revenue Marine was primarily a law enforcement agency. Its responsibility was to collect custom duties from ships entering United States waters.

Although the original role of the service was law enforcement, revenue cutters took part in almost every conflict involving the United States. These involvements showed the military readiness of the service.

In the mid-1800s, Congress set up the U.S. Lifesaving Service, consisting of stations scattered along U.S. coasts. Shortly after the turn of the century, the Lifesaving Service and the Revenue Cutter Service merged to form the U.S. Coast Guard. That merger provided the Coast Guard with its traditional image—the *lifesavers*.

In 1939, the Coast Guard joined the Lighthouse Service and assumed responsibility for setting up and maintaining aids to navigation in U.S. waters. That responsibility has grown to such an extent that today the Coast Guard maintains nearly 50,000 navigational aids, including worldwide electronic navigation systems.

PEACETIME MISSION

The modern-day mission of the Coast Guard is an interesting mixture of duties, including the following:

- Enforcement of maritime laws and treaties
- Search and rescue operations
- Enforcement of U.S. drug and contraband laws
- Installation and maintenance of aids to navigation
- Icebreaking operations that keep commercial vessel traffic moving in domestic waters and support scientific research in the Arctic and Antarctica

As the primary maritime law enforcement agency of the United States, the Coast Guard enforces the following maritime regulatory laws:

Student Notes:

- Safety regulations for all U.S. commercial vessels, offshore structures, and recreational boating
- Port safety and security, including ports, harbors, and their approaches
- The movement of vessels in ports and waterways during crisis situations
- Marine environmental protection to prevent and contain spills of oil and other hazardous substances

Finally, because the Coast Guard is a military service—one that has ships, planes, and boats—it also has a military readiness mission. The Coast Guard works closely with the Navy, undergoes regular refresher training for its major cutters, and participates in joint operational exercises.

The Coast Guard by itself is among the largest navies in the world, ranking 9th or 10th based on the number of armed vessels. Figure 20-4 shows a 378-foot Coast Guard cutter. The Coast Guard gives significantly to the nation’s sea power.

The Coast Guard has continued to grow and shoulder additional responsibilities. In the last 30 years, it has gained responsibilities for polar and domestic icebreaking, cleanup and protection of the marine environment, and recreational boating safety.

WARTIME MISSION

With the start of World War II, the Coast Guard assumed the responsibilities of in-port safety and security and commercial vessel safety. In 1967, the Coast Guard became part of the newly formed Department of Transportation.

In wartime the U.S. Coast Guard has always served with pride. Today, during a wartime condition, the U.S. Coast Guard operates directly under the Chief of Naval Operations. It still has the same mission as it did during World War II, plus added roles. The Coast Guard assumes convoy duties as well as antisubmarine warfare missions. Its cutters are well suited for convoy duties as they have a long cruising range and room for armament. The air search and rescue section of the Coast Guard flies rescue missions. It also flies reconnaissance and antisubmarine aircraft. The Coast Guard’s mission in wartime will strain its limited assets.



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Figure 20-4.—U.S. Coast Guard—an element of sea power.

Student Notes:

REVIEW 4 QUESTIONS

- Q1. List the peacetime missions of the U.S. Coast Guard.
- a.
 - b.
 - c.
 - d.
 - e.
- Q2. List the wartime missions of the U.S. Coast Guard.
- a.
 - b.
 - c.

U.S. MILITARY SEALIFT COMMAND (MSC) RESPONSIBILITY IN SEA POWER

Learning Objective: When you finish this chapter, you will be able to—

- Identify the missions and functions of the U.S. Military Sealift Command (MSC) in wartime and peacetime.

In 1949, the United States set up the Military Sealift Command (MSC) by combining the sealift missions of the Naval and Army Transport Services. (The MSC was originally called the Military Sea Transportation Service.) Today, the MSC is an operating agency within the Department of Defense.

MSC ships fall into two general classes—the nucleus fleet and privately owned ships under charter by MSC (fig. 20-5). The nucleus fleet consists of

government-owned ships and chartered tankers. All of these ships have the title United States Naval Ships (USNS). Most nucleus fleet ships have crews of civilian mariners who have civil service status. They enjoy the normal benefits of federal employees, but their pay and work rules stem from those of the commercial maritime industry. Private contractors with union crews operate some ships of the nucleus fleet (tankers). The bulk of the nucleus fleet consists of special project ships such as research vessels and those involved in direct support of the Navy fleet.

MSC transports dry and liquid cargo primarily aboard chartered ships and tankers of the nucleus fleet. MSC contracts most of these ships as voyage charters but occasionally contracts them as time charters. Voyage charters contract ships to carry specific cargo to a certain destination. Time charters contract for the use of an entire ship for months or years. All chartered ships are operated by their owners and manned with union seamen. This segment of the MSC fleet varies in size depending on the command's current requirements.

The ships of the Military Sealift Command fleet go where and when needed to support our armed forces. On any given day some ships may be operating in both polar regions or sailing to and from Alaskan military bases. At the same time other ships may be delivering cargo for military units in Europe and the Far East. In peacetime and wartime, the MSC fleet is ready to respond immediately if needed to support national, military, economic, and diplomatic policies.

PEACETIME MISSION

In peacetime the Military Sealift Command relies heavily on the U.S. merchant marine. The MSC ships nearly 25 percent of all military cargo on privately owned U.S. flagships and other merchant marine vessels. The small size of the MSC-controlled fleet requires the MSC to add to its available sealift forces during United States involvement in armed conflict.

WARTIME MISSION

During peacetime, the MSC supports the fleet by supplying fuel and supplies. During wartime, MSC ships used in moving troops and supplies to the war zone bear arms for protection. Besides moving troops to

Student Notes:



Figure 20-5.—Civilian-operated MSC oiler refueling an LPH.

the front, these ships provide underway replenishment to allow Navy ships to stay on station. They carry Navy personnel to handle areas such as weapons and communications to allow the civilian crew to continue its normal work. The MSC ships travel alone or in convoys, but they go wherever the fleet goes during a war. They move vital supplies at the front as well as at sea.

REVIEW 5 QUESTIONS

- Q1. What is the peacetime mission of the Military Sealift Command?
- Q2. What is the wartime mission of the Military Sealift Command?

SUMMARY

Sea power is a nation's ability to use the oceans for its political, economic, and military interests to achieve its national objectives. Nations exercise sea power in times of peace and war.

Today, the United States depends on other nations for many goods and commodities needed to keep the economy strong and to keep people working.

The U.S. merchant marine, Military Sealift Command, U.S. Coast Guard, and the U.S. Navy make up the essential ingredients for U.S. sea power. Together they support the United States in its national strategy, interests, and goals. The mission of the Navy is to be prepared to conduct prompt and sustained combat operations. To accomplish its mission, the Navy must perform two main functions—sea control and power projection. Sea control is the basic function of the Navy. Power projection is the ability of the Navy to project military power from the sea worldwide.

To carry out these two functions in support of its mission, the Navy has three main functions: strategic nuclear deterrence, naval presence, and security of the sea lines of communications.

A balanced sea power is the essential ingredient of our national strategy. It is not limited to any one course of action and can meet any type of aggression from the most primitive to the most sophisticated. Today the very survival of our country and of our way of life depends on sea power.

REVIEW 1 ANSWERS

- A1. Sea power is **a nation's ability to protect its political, economic, and military interests by controlling the seas.**
- A2. The principal operational components of our nation's sea power are—
- a. **Naval power**
 - b. **Ocean science**
 - c. **Ocean industry**
 - d. **Ocean commerce**
- A3. The six conditions required for a nation to have sea power according to Mahan are—
- a. **An advantageous geographical position**
 - b. **Serviceable coastlines, abundant natural resources, and a favorable climate**
 - c. **Extent of territory**
 - d. **A population large enough to defend its territory**
 - e. **A society with an aptitude for the sea and commercial enterprise**
 - f. **A government with the influence to dominate the sea**
- A4. In today's world, sea power includes **maritime industry and marine sciences.** Maritime industry and science add to our national economy by exploring new resources for food, fresh water, minerals, and new living spaces.

Student Notes:

- A5. To protect ourselves and to keep our economy going, this country must—
- a. **Import raw materials, convert them into manufactured goods, and transport them to marketplaces throughout the world via shipping**
 - b. **Keep sea-lanes open and safe in times of peace and tension, and deny sea-lanes to the enemy in times of war**

REVIEW 2 ANSWERS

- A1. The primary tasks of the U.S. Navy's operating forces are to—
- a. **Seek out and destroy enemy naval forces**
 - b. **Suppress enemy sea commerce gains**
 - c. **Maintain general naval supremacy**
 - d. **Control vital sea areas**
 - e. **Protect vital sea lines of communication**
- A2. The Navy is modernizing its arsenal by—
- a. **Researching and developing new weapons**
 - b. **Laying up old ships to save the cost of operating and overhauling so money can be shifted to constructing modern ships**
 - c. **Purchasing highly effective aircraft and ships, such as nuclear propulsion aircraft carriers (CVNs) and ballistic submarines (SSBNs), and at the same time, developing new classes of cost-effective ships**
- A3. The missions of the Navy determined by our national strategy are—
- a. **Sea control**
 - b. **Power projection**
- A4. Navy missions, as determined by national strategy, are carried out by—
- a. **Maintaining a ready and capable submarine-launched variety of ballistic missiles**

- b. **Deploying operationally ready naval forces to various overseas locations throughout the world**
- c. **Maintaining an open and secure sea line of communication between the U.S. and its forward deployed forces allies and areas of the world essential for imports**

REVIEW 3 ANSWERS

- A1. In peacetime, the U.S. Merchant Marines **transport essential materials to and from the United States for the defense of the free world.**
- A2. In wartime, the mission of the U.S. Merchant Marines is to—
- a. **Resupply American and allied military forces overseas**
 - b. **Provide wet and dry replenishments and other direct services to ships underway**
 - c. **Increase combatant naval forces by being armed to carry out convoy anti-aircraft, and antisubmarine duties**
 - d. **Transport essential materials and cargo needed for the U.S. economy and the economy of allies overseas**

REVIEW 4 ANSWERS

- A1. The peacetime mission of the Coast Guard includes—
- a. **Enforcing maritime laws and treaties**
 - b. **Conducting search and rescue operations**
 - c. **Enforcing U.S. drug and contraband laws**
 - d. **Installing and maintaining aids to navigation**
 - e. **Icebreaking operations that keep commercial vessel traffic moving in domestic waters and support scientific research in the Arctic and Antarctic**
- A2. The wartime mission of the U.S. Coast Guard includes—
- a. **Maintaining in-port safety and security**

- b. **Maintaining commercial vessel safety**
- c. **Assuming convoy duties as well as antisubmarine warfare duties**

REVIEW 5 ANSWERS

A1. The peacetime mission of the Military Sealift Command is to **support the mission-ready ships at sea by providing fuel and other essential supplies.**

A2. The wartime mission of the Military Sealift Command is to—

- a. **Move troops, equipment, and other supplies**
- b. **Provide replenishment to ships on station and under-way**

CHAPTER 21

LEADERSHIP AND SUPERVISION

To lead, you must first be able to follow; for without followers, there can be no leader.

—Navy Saying

Today's Navy operates with fewer people and resources than before. Therefore, good leadership is more important than ever. You may think that because you are nonrated, leadership doesn't apply to you. You're wrong! Learn as much as you can about leadership. Your leadership skills will have a strong impact on your Navy career and your personal life. It doesn't matter whether you're an apprentice, a chief petty officer, a division officer, or a commanding officer; you will assume responsibility and exercise authority within the chain of command. As you advance to higher rates, you'll assume more authority and responsibility as a leader. Now is the time for you to learn about leadership.

BASIC PRINCIPLES OF LEADERSHIP AND FOLLOWERSHIP

Learning Objectives: When you finish this chapter, you will be able to—

- Recognize the purpose of followership and leadership.
- Identify the fundamentals of leadership, including core values.

The Navy defines leadership as *the art of influencing people to progress towards the accomplishment of a specific goal*. Leadership occurs when one person influences other people to work toward a definite goal.

Leadership is based on personal example, good management practices, and moral responsibility. Every person in the Navy must set an example of military ideals and give personal attention and supervision to personnel below them in the chain of command.

You can determine your leadership ability by—

- Examining your conduct
- Reviewing your duties and responsibilities

- Determining how well you're performing

If you don't measure up to Navy standards, take steps to raise your performance level as well as the performance of the personnel who work for you.

ELEMENTS OF LEADERSHIP

You've heard the expression "leaders are born, not made" or "that person's a born leader." Forget these phrases; no one is a "born leader." Many people are "natural" leaders because of their strong, magnetic personality or because of their natural ability to learn rapidly (fast). However, such people are the exception, not the rule. Because leaders aren't "born," they must be "made" (trained). There are three elements that make an effective Navy leader:

1. Moral principles
2. Personal example
3. Administrative ability

Moral Principles

Moral principles include honesty, integrity, and loyalty. These principles of human conduct provide direction, solidity, and consistency to leadership.

The key to leadership is the emphasis you place on personal moral responsibility. You show personal moral responsibility by being honest and loyal. Your shipmates see those traits as your moral character. And a strong moral character influences others in a positive manner.

Personal Example

Leading by personal examples goes along with moral responsibility. Effective leaders have many different leadership traits, such as know-how, sincerity, and courage. Which trait is the most important is a

matter of opinion. However, if you show weakness in any trait a worker thinks is important, you lose that person's respect.

Respect isn't automatically given to a leader because of authority. You have to earn respect and confidence of personnel working for you by setting a good example. Lead your workers; don't drive them.

Administrative Ability

Administrative ability is more than maintaining logs, records, and other paper work. *Administrative ability* is another term for good management practices. Good management practices include the ability to organize, manage, and work with people. Learn to apply a personal touch in dealing with your workers. Always remember, everyone wants to be treated as an individual who has worth. Emphasize each person's importance in getting a job done.

Giving Orders

When you're the leader of a group, part of your job is to give orders. Give orders that are simple, clear, and complete; and make sure that everyone understands what's to be done.

A good order makes the following facts clear:

- What's to be done.
- When to do it.

Then, as circumstances require or permit, you may add the following information:

- How to do it.
- Why it must be done.

How you give an order is important. The way you speak is important. Speak in a tone that shows you mean business. When you act as though you expect the job to be done well, it usually will be. With experience and when you closely follow the rules for giving an order, you'll develop an effective technique for giving orders.

Praise and Reprimand

Learn when to praise and when to reprimand. Your workers do better work when they know that you appreciate their efforts. Tell them you appreciate their work; that's the only way they'll know. When a person does more than required, show your approval. If possible, show your approval in front of the other personnel.

At times, you'll have to reprimand. You probably don't like to do that, but warning and reprimanding are part of your responsibility as a leader. Remember, the purpose of a reprimand is to teach, not to embarrass. Therefore, give reprimands in private. Always be sure of your facts—the person may have a reason for the behavior that led to the reprimand. Tell the person what was wrong and why it was wrong. Then explain how the person can improve.

Remember to do the following:

- Praise in public.
- Reprimand in private.

Promoting Morale

Morale means different things to different people. If you ask your shipmates about their morale, you'll get different answers. For example, a person who's just been promoted will tell you morale is high. However, a person who's just been restricted will tell you morale is low.

Keeping morale high helps accomplish the Navy's mission. The Navy realizes the need for high morale; therefore, several ongoing programs are conducted to meet the need. These programs include moral and spiritual guidance, educational opportunities, and personal affairs counseling. Encourage your shipmates to take advantage of these programs.

Organized recreation programs, such as ball games, organizational parties, picnics, and sightseeing tours, contribute to good morale. They bring members of the organization together. Let your people know about all of your organization's recreational programs and activities. Showing interest in your people's welfare and morale helps keep morale high.

Student Notes:

PRIDE.—Many Navy units have an outstanding reputation for their professional ability and their ability to get the job done. Other units can't seem to do anything right. What makes the difference? The answer is simple—the outstanding outfit has *esprit de corps*. The members of the unit have pride in self, Navy, and their country!

Help your unit be a winner. Show your pride in self, Navy, and country. Wear your uniform proudly. Compliment personnel working for you on their sharp appearance and good work. By doing this, you help your unit become an efficient, tightly knit crew.

KEEP PERSONNEL INFORMED.—You can boost morale and promote *esprit de corps* and pride by keeping your personnel informed. Everyone likes to know what's going on. When will the ship get underway? What's the workload for tomorrow? When will the squadron deploy? This is the type of day-to-day information you can pass on to your personnel. Let them know about upcoming drills. Explain the reasons for the drills. Letting people know what to expect promotes good morale.

INTEGRITY.—Always be honest with yourself, your shipmates, and your superiors. Make promises only when you can keep them and only when you intend to keep them. Keeping promises earns you respect from your shipmates, and you must have their respect to be an effective leader.

FOLLOWERSHIP

Everyone in the Navy is in a position of followership. No matter how high you go in the chain of command, you still report to someone higher. Even the President, as Commander in Chief, reports to the people of the United States. To be a good leader, you must know how to be a good follower. Always carry out your orders promptly, to the best of your ability, and as cheerfully as possible. Show your workers that even if an order is disagreeable or causes personal inconvenience, you still must carry it out. Loyalty, both up and down the chain of command, is essential to effective leadership.

Commands and Orders

A good follower obeys all orders received from personnel higher in the chain of command. The Navy has two kinds of obedience—immediate and reasoned.

COMMAND.—Immediate obedience is an automatic response to a command. You must follow a command immediately and exactly as given without asking questions. For example, if you receive an order to make a turn while steering your ship, you do so immediately. If you didn't respond at once, you could endanger the ship.

ORDER.—Reasoned obedience is the proper response to an order. An order lets you ask questions if you don't understand. You can use your own judgment in carrying out an order. For example, if your leading petty officer (LPO) tells you to paint your living space, you decide the number of brush strokes to use. Reasoned obedience lets you obey an order while learning from your experience in carrying it out.

Followership Qualities

To be a good follower, try to develop the following qualities:

Loyalty—Always be loyal to the personnel above you in the chain of command, whether or not you agree with them.

Initiative—Do what must be done without waiting to be told. Showing initiative demonstrates your ability to be a leader.

Dependability—Be dependable. The person in charge must have help in carrying out the mission. The leader must be able to depend on the followers to get the job done. Dependable followers increase the efficiency of the leader and the command.

CONTINUOUS IMPROVEMENT PROGRAM

Learning Objective: When you finish this chapter, you will be able to—

- Identify the fundamental concept of the Continuous Improvement Program.

Student Notes:

The primary goal of the Continuous Improvement Program is to increase productivity and produce better quality through leadership. The most important part of this program is the process, or, how the job gets done.

You might ask, “Who is the most familiar with the job?”

The answer should be, “The person doing the job.”

Often, the way the job gets done is complicated or just doesn’t work. In most workplaces, it’s almost impossible for workers to get management to change the way the job is done. Under the Continuous Improvement Program, supervisors make sure that job improvement suggestions are heard and, if practical, made part of the way the job is done.

REVIEW 1 QUESTIONS

Q1. List the elements of a good Navy leader.

a.

b.

c.

Q2. List the principles of conduct that give direction, solidity, and consistency to leadership.

a.

b.

c.

Q3. What is another term used to describe administrative ability?

Q4. True or false. To be a good leader, you must know how to be a good follower.

Q5. List three followership qualities.

a.

b.

c.

Q6. Describe the purpose of a reprimand.

Q7. List the ways you can help build morale.

a.

b.

c.

Q8. What is the primary goal of the Continuous Improvement Program?

SUMMARY

In this chapter, you were introduced to the concepts of leadership and supervision. You learned that in order to be an effective leader, you first need to be a good follower.

Also in this chapter, the idea behind the Continuous Improvement Program was presented. Through this program, valuable suggestions about the work place can be acted on.

Student Notes:

REVIEW 1 ANSWERS

- A1. The elements of a good Navy leader are—
- Moral principles**
 - Personal example**
 - Administrative ability**
- A2. The principles of conduct that give direction, solidity, and consistency to leadership include—
- Honesty**
 - Integrity**
 - Loyalty**
- A3. Another term for administrative ability is *good management practices*.
- A4. **True**, to be a good leader, you must know how to follow orders.
- A5. The three followership qualities are—
- Loyalty**
 - Initiative**
 - Dependability**
- A6. The purpose of a reprimand is **to teach, not to embarrass; therefore, give reprimands in private**.
- A7. You can help build morale through—
- Pride—being proud of what your personnel have accomplished**
 - Integrity—being honest with yourself**
 - Keeping personnel informed—making sure your personnel know what is happening**
- A8. The primary goal of the Continuous Improvement Program is **to increase productivity and produce better quality through leadership**.

CHAPTER 22

SECURITY REQUIREMENTS AND INTERNATIONAL AGREEMENTS

There is no way of estimating how many battles have been lost, how many ships have been sunk, or how many lives have been sacrificed because someone intentionally or unintentionally betrayed a military secret.

—Author unknown

Security is the safeguarding of classified information in the interest of national security. The safety of the United States in general and naval operations in particular depends on protecting classified material.

SECURITY

Learning Objectives: When you finish this chapter, you will be able to—

- Recognize the basic security policies, requirements, and procedures for handling classified material and information to include security classification and protection.
- Recall the procedures and principles involved in applying for personnel clearances.
- Identify the various classified material markings.
- Recognize the purpose of downgrading and declassifying classified material.
- Recall the procedures used to transmit classified material.
- Identify the basic security requirements concerning classified information and material and their security levels.
- Identify the types of equipment/material covered by automated data processing (ADP) security.
- Identify the terms used to describe the compromise of classified material.
- Recognize the procedures used to report a suspected compromise or a security violation.
- Identify the basic personal censorship requirements concerning classified information and material.
- Identify the procedures for reporting subversive activities on station or in a leave or liberty status.
- Identify when and where terrorism can occur.
- Identify the most common forms of terrorism.
- Recognize the terms *bomb threat* and *bomb incident*.
- Recall the procedures to follow when a bomb threat is received.

Security involves more than safeguarding classified printed information, such as photographs, blueprints, manuals, and charts. Security also includes safeguarding communications, such as mail, visual signals, radio transmissions, ship movements, or telephones. It includes anything that affects the security of our government in domestic and foreign affairs. It involves protection against sabotage, subversion, or any other illegal acts designed to weaken or destroy the United States. It's important for you to understand what classified information is and how to safeguard it.

Student Notes:

SECURITY CLASSIFICATION LEVELS

All information or material considered vital to the safety of the United States is given a security classification level. Each security classification level indicates (tells) the amount of protection the information and material requires to safeguard it against unauthorized disclosure. There are only three security classification levels—Top Secret, Secret, and Confidential.

The Secretary of the Navy (SECNAV) or his/her designees have the authority to originally classify information as Top Secret, Secret, or Confidential. The SECNAV's designees are listed in the *Department of the Navy Personnel Security Program*, SECNAVINST 5510.30A and *Department of the Navy (DON) Information Security Program (ISP) Regulation*, SECNAVINST 5510.36.

Top Secret

Top Secret is the classification level applied to information whose unauthorized disclosure could reasonably be expected to cause **exceptionally grave damage** to the national security. Some examples of information that could cause grave damage to national security include—

- Armed hostilities against the United States or its allies
- A disruption of foreign relations vitally affecting the national security
- The compromise of vital national defense plans
- The disclosure of complex cryptographic and communications intelligence systems
- The disclosure of sensitive intelligence operations
- The disclosure of significant scientific or technological developments vital to national security

Secret

Secret is the classification level applied to information whose unauthorized disclosure could reasonably be expected to cause **serious damage** to the

national security. Some examples of information that could cause serious damage to national security include information that could—

- Disrupt foreign relations significantly affecting the nation's security
- Significantly impair a program or policy directly related to the national security
- Disclose significant military plans or intelligence operations
- Compromise significant scientific or technological developments relating to national security

Confidential

Confidential is the classification level applied to information whose unauthorized disclosure could reasonably be expected to cause **damage** to the national security. Some examples of information that could cause damage to national security include information that could—

- Indicate ground, air, and naval forces (such as force levels and force dispositions)
- Reveal performance characteristics, such as design, test, and production data of U.S. munitions and weapons systems

Controlled Unclassified Information

Controlled unclassified information is defined and governed by laws, international agreements, and regulations that address the identification, marking, protection, handling, transmission, transportation, and destruction of controlled unclassified information. Controlled unclassified information includes—

- For Official Use Only (FOUO) information under the Freedom of Information Act (FOIA)
- Department of State (DOS) Sensitive But Unclassified (SBU) information
- DOD and DOE Unclassified Controlled Nuclear Information (UCNI)

Student Notes:

- Drug Enforcement Administration (DEA) Sensitive Information
- Sensitive Information as defined by the Computer Security Act of 1987
- Unclassified information in technical documents requiring distribution statements and unclassified NNPI

SECURITY CLEARANCES

Sailors in many Navy ratings require some access to classified information. The commanding officer (CO) determines your need for a security clearance. The CO bases your need for a security clearance on your assignment at his/her command or potential assignment on transfer. To apply for a security clearance, you must be a U.S. citizen. There is a security investigation made on each Sailor needing a clearance. This investigation determines the Sailor's potential to protect information during the course of his/her duties.

Security clearances are granted to Sailors when their conduct and behavior are such that they can be entrusted with classified information or they can be assigned to sensitive duties. These are Sailors who—

- are loyal to the United States,
- comply with laws,
- have demonstrated dependability in accepting and discharging responsibilities,
- demonstrate good social adjustment and emotional stability, and
- have the ability to exercise sound judgment in meeting adversity.

To receive and keep a security clearance, you must have and maintain a good record. Your commanding officer can suspend a clearance if you don't maintain a good record. According to *Department of the Navy Personnel Security Program*, SECNAVINST 5510.30A, your command must report any of the following to the DON Central Adjudication Facility (CAF) (the DON CAF grants or revokes clearances):

- Involvement in activities or association with people who unlawfully practice or advocate overthrow or alteration of the United States government by unconstitutional means
- Foreign influence concerns or close personal association with foreign nationals or countries
- Foreign citizenship (dual citizenship) or foreign monetary interests
- Bad conduct, such as excessive drinking, gambling, promiscuity, or illegal or improper drug use/involvement
- Conduct involving questionable judgment, untrustworthiness, unreliability or unwillingness to comply with rules and regulations, or unwillingness to cooperate with security processing
- Unexplained affluence or excessive indebtedness
- Apparent mental, emotional, or personality disorder(s)
- Criminal conduct
- Noncompliance with security requirements
- Engagement in outside activities that could cause a conflict of interest
- Misuse of information technology systems
- General inaptitude
- General disciplinary causes—habitual or accumulated discrepancy causes

A security clearance is granted on your need to know and your meeting the standards for the level of clearance required. To get a security clearance, you must undergo a background investigation by an approved federal government agency. The higher the level of security clearance required, the more thorough the investigation. During the investigation, you are asked questions about your military, civilian, and personal conduct. You must answer the background questions completely and correctly.

Student Notes:

Just because you have a clearance doesn't automatically mean you have access to classified information. Having a clearance means you may be granted access if your duties require access to the information. This is called the *need to know*.

Security clearances and access to classified information are based on a *need to know*. Only Sailors who have a real need to know are cleared for access to the appropriate classified material. The command that has the classified material determines who has the need to know.

If you're cleared to work with classified material, censor what you say by keeping what you know to yourself. The following guidelines will help you safeguard classified material:

- Never reveal (talk about) classified information just to show your shipmates how smart you are or to act important. If they don't need to know the information to carry out their duties, don't tell them.
- Don't talk about classified information to unauthorized persons, including family, friends, shipmates, and especially strangers. Classified information can be unintentionally revealed to unauthorized persons in many ways.
- Interest in your own job is natural and desirable, but it must not lead you to reveal classified information to unauthorized persons. Never add to a news story that's incomplete, no matter how much you may know. If you do, you may make public what the Navy has tried to keep secret.

The SECNAV has designated the Department of the Navy Central Adjudication Facility (DON CAF) as the single clearance granting authority for the Department of the Navy. The DON CAF issues final security clearances for civilian and military personnel at the request of DON commands and activities once it has determined that granting the clearance is clearly consistent with the interests of national security. Once issued, a security clearance remains valid provided the Sailor continues compliance with personnel security standards and has no subsequent break in service exceeding 24 months.

SECURITY AREAS

Classified information is always protected at the level of control appropriate with its assigned security classification level. This policy encompasses all classified information, regardless of media.

Personnel who work with classified information, work with it only in a secure facility. They use an accredited automated information system (AIS) under conditions that prevent unauthorized persons from gaining access to the material. If you have classified material in your possession, you are responsible for protecting that information. Lock classified material in an appropriate security container or facility when you're not using it or when it's not under your direct control.

If you work with classified material, you must follow procedures so unauthorized persons do not gain access to the classified information. In a facility that contains classified material, access is restricted and movement is controlled so personnel without a need to know do not have access to classified material. **All personnel must comply with the *need-to-know* policy.**

If you are using classified material, you can't remove it from the designated office or working area except to perform official duties and under conditions providing the protection required by SECNAVINST 5510.36.

Don't discuss classified material with any person that doesn't have a need to know.

STORING CLASSIFIED MATERIAL

The General Service Agency (GSA) sets and publishes minimum standards, specifications, and supply schedules for containers, vault doors, modular vaults, alarm systems, and associated security devices suitable for the storage and destruction of classified information.

When classified information isn't under the personal control or observation of a cleared person, it's guarded or stored in a locked GSA-approved security container or vault, modular vault, or secure room. For

Student Notes:

information about storage requirements, refer to SECNAVINST 1550.36.

MARKING CLASSIFIED MATERIAL

Classified material is marked so that personnel know the classified nature of the material, to make sure the material receives the degree of protection required, and to help extract, paraphrase, downgrade, and declassify the material.

All classified material is marked so you know the following information about the material:

- The level of classification
- The part(s) that contain(s) or reveal(s) classified information
- How long the material is to remain classified
- Additional measures needed to protect the material

Overall Markings

Material is marked so the security markings are easy to see and recognize. Classified documents are marked on their face and back cover and top and bottom center to show the highest overall classification level of the information they contain. (**NOTE:** Titles of classified documents are usually unclassified.) On documents, the classification level is marked or stamped in capital letters larger than the type used in the text to alert anyone handling the document that it is classified. Material is marked as follows:

AUTOMATED INFORMATION SYSTEM (AIS).—Removable AIS (fig. 22-1) storage media and devices used with AIS and word processors are marked using the appropriate SF label to indicate the highest overall classification level of information contained in the storage media.

PHOTOGRAPHS, SLIDES, AND TRANSPARENCIES.—The face of a classified photograph is marked with its highest overall classification level and associated markings. If this is not possible, these markings are placed on the back of the photograph.

These markings are stamped or permanently affixed by pressure tape, labels, or other similar means.

Slides or transparencies (fig. 22-2) are marked with their highest overall classification level and association markings on the image area, border, holder, or frame. Groups of slides or transparencies used and stored together as a set are marked with their highest overall classification level and associated markings. Associated markings “Classified by,” “Reason,” “Derived from,” and “Declassify on” are marked on the image area of the cover slide or transparency only.

MOTION PICTURE FILMS, VIDEOTAPES, AND CONTAINERS.—Classified motion picture films (fig. 22-3), videotapes, and their titles are prominently marked with the highest overall classification level and associated markings of the information they contain. The markings are visible when projected at the beginning and end of the production. Classified films, videotapes, and their containers are marked in the same manner.

SOUND RECORDINGS AND CONTAINERS.—Classified sound recordings (fig. 22-4) have an audible statement at the beginning and end of each recording. This statement identifies the highest overall classification level and associated markings of the recorded information. Containers of classified reels, cassettes, videotapes, and motion picture films are prominently marked with the highest overall classification level and associated markings of the information contained.

ROLLED OR FOLDED DOCUMENTS.—Rolled or folded blueprints, maps, charts, or other large items are clearly marked to show their highest overall classification level (fig. 22-5).

Portion Markings

Each portion such as the title, section, part, paragraph, or subparagraph of a classified document is marked to show its classification level. By doing this, a document is marked so you **know** what part or parts contain or reveal protected information. The classification level of a part of a document is shown by a classification symbol—TS for Top Secret, S for Secret, C for Confidential, and U for unclassified. The symbol

Student Notes:

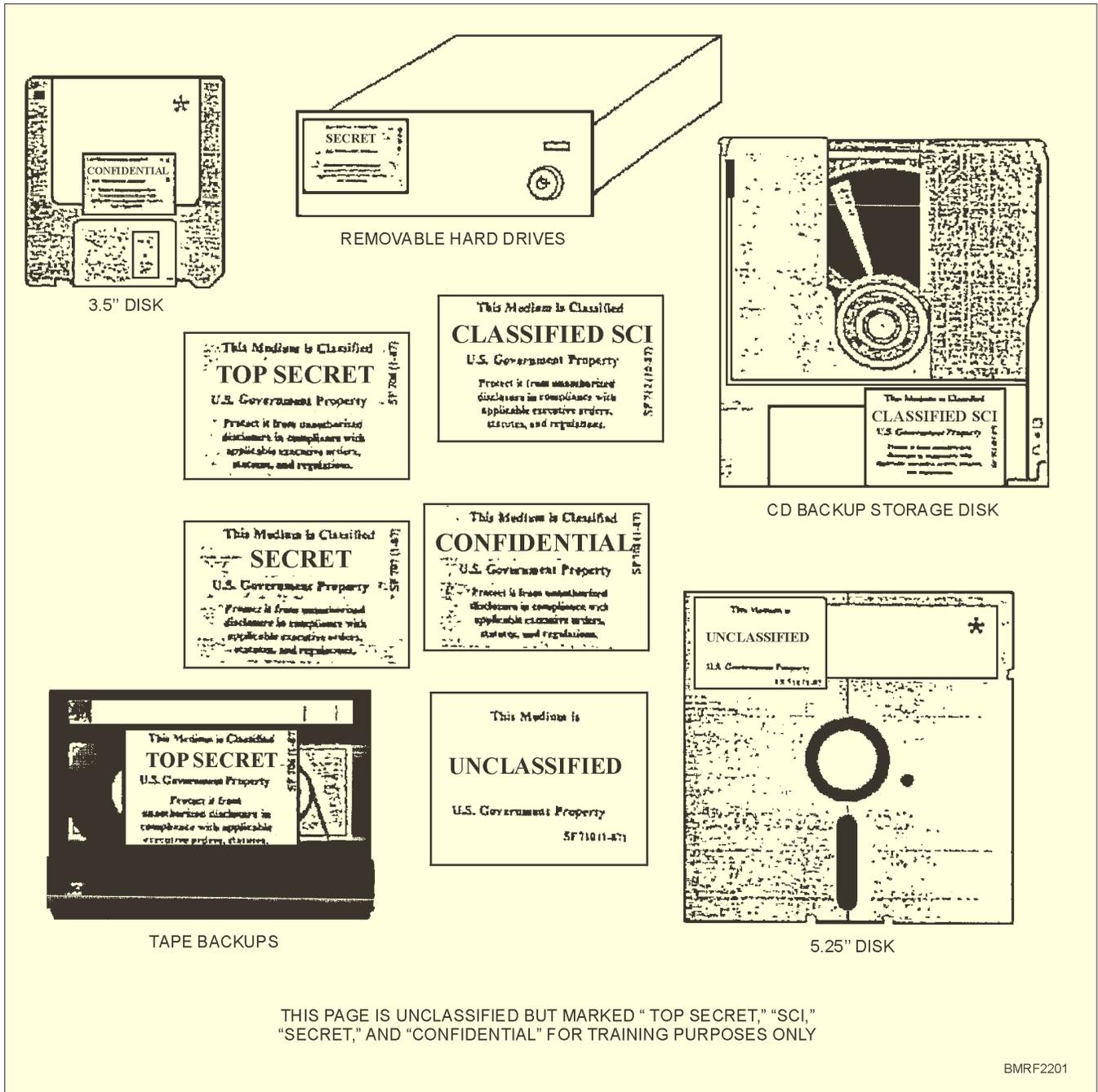


Figure 22-1.—AIS storage media.

is placed in parentheses immediately following the part letter or numbers. If there aren't any part letters or numbers, place the abbreviation immediately before the beginning of the portion.

1. (U) This introductory sentence is Unclassified.

A. (C) This subparagraph is Confidential.

(1) (S) This subparagraph is Secret.

Examples of portion markings are shown in figure 22-6.

Student Notes:

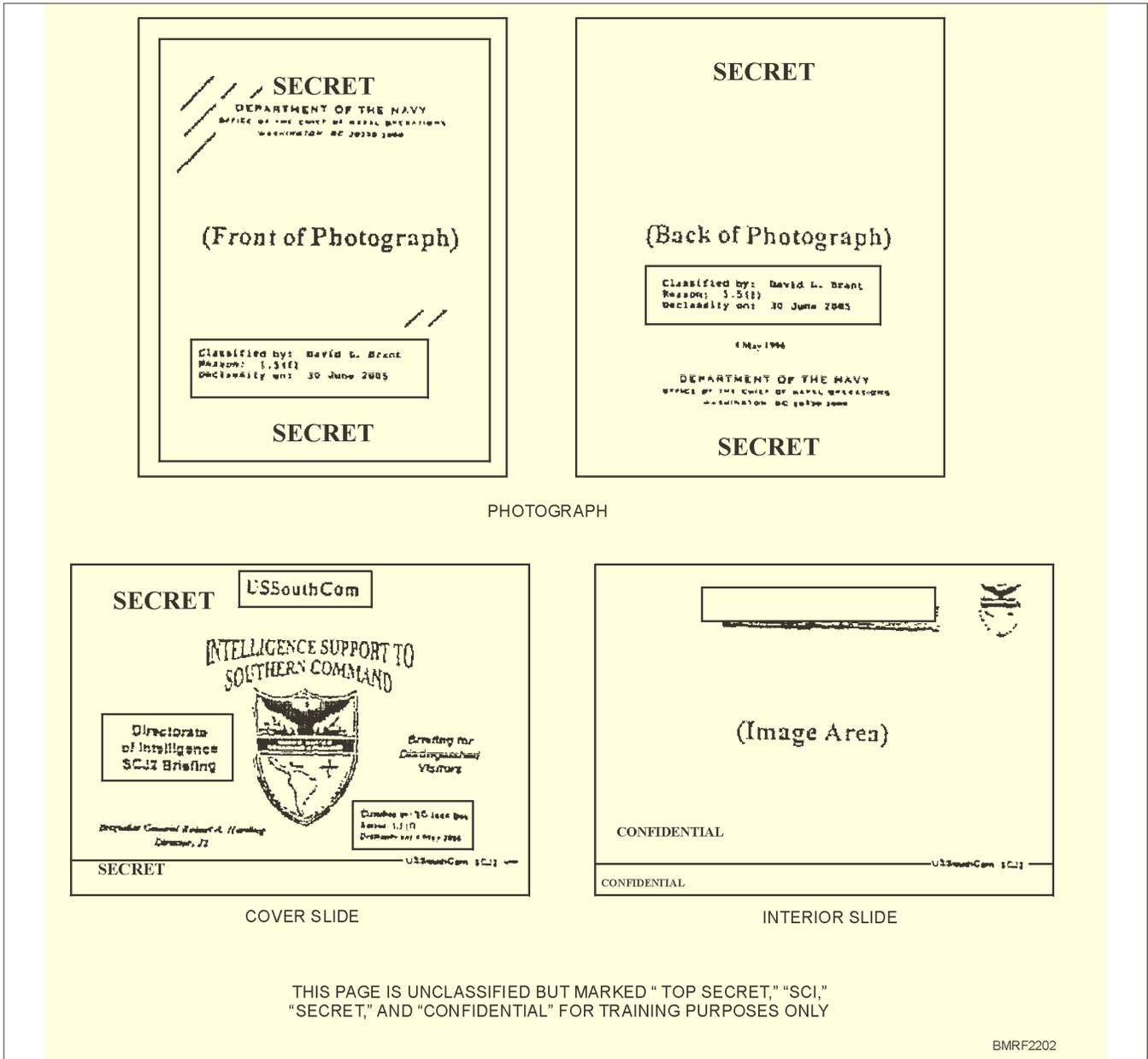


Figure 22-2.—Photographs, slides, and transparencies.

Marking Messages

Messages are marked in a manner similar to documents. They are marked with the highest overall classification level of the information contained in the message. Classified messages are marked to indicate the following:

- The nature of the classification—original or derivative
- The source of classification
- Downgrading instructions (if applicable)
- Declassification instructions (if applicable)

Student Notes:

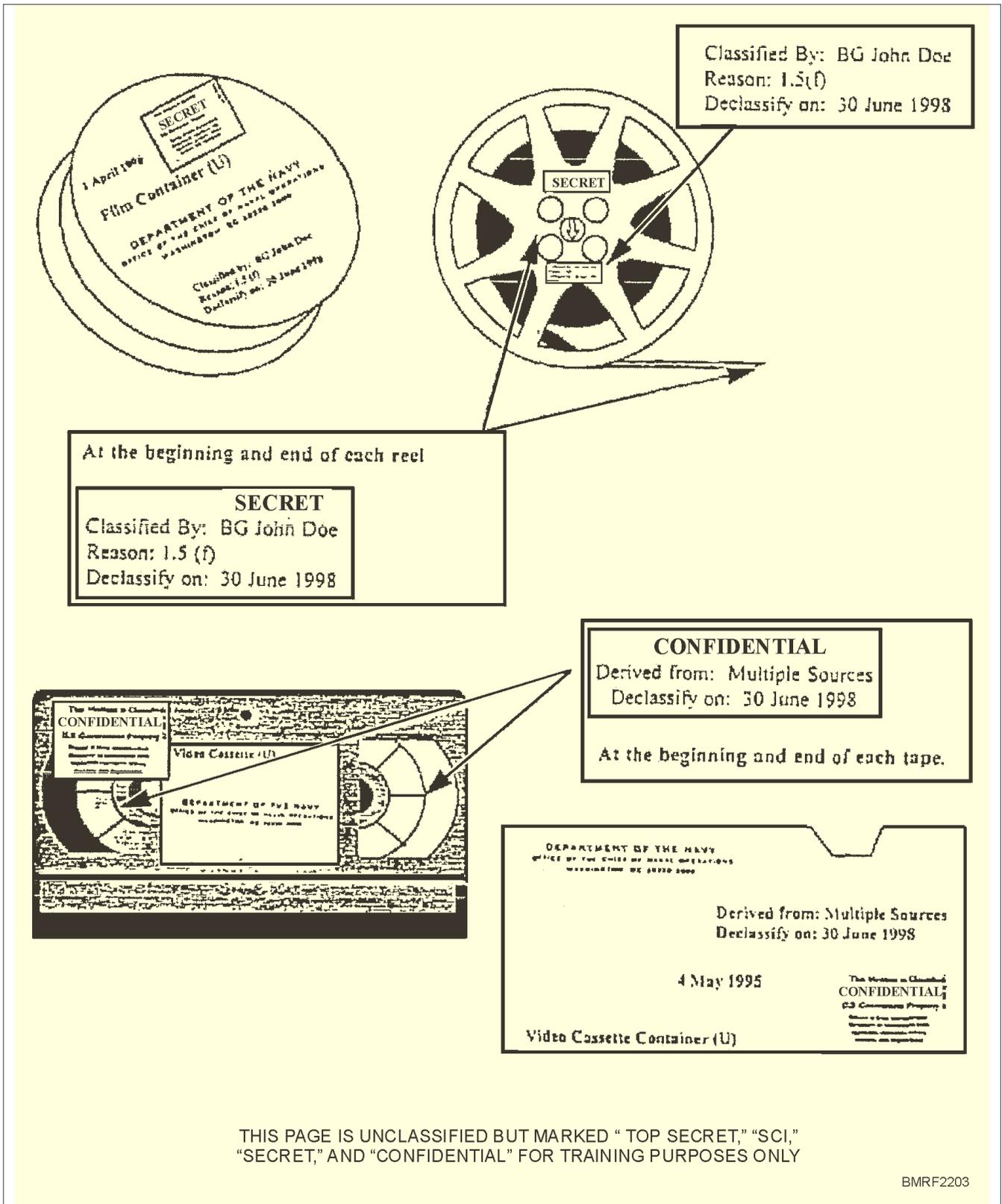
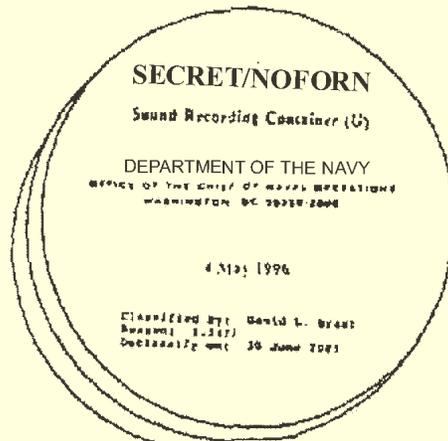
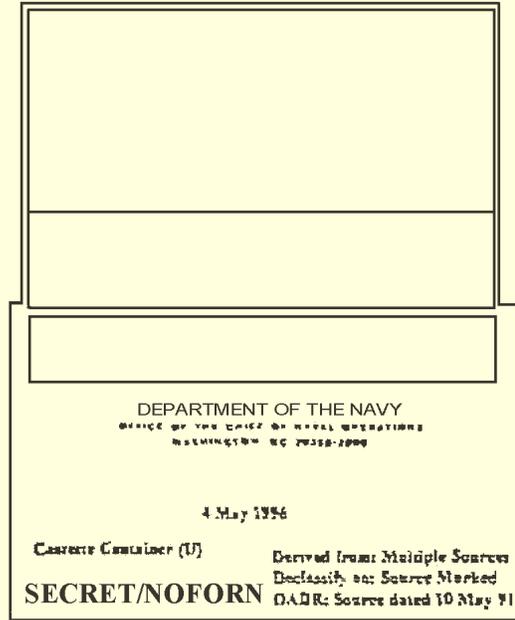
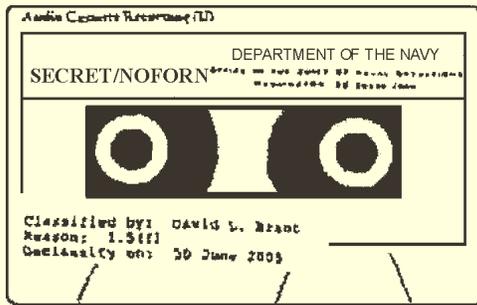


Figure 22-3.—Motion picture films, videotapes, and containers.

For more information on marking classified messages, refer to SECNAVINST 5510.36.



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BMR2204

Figure 22-4.—Sound recordings and containers.

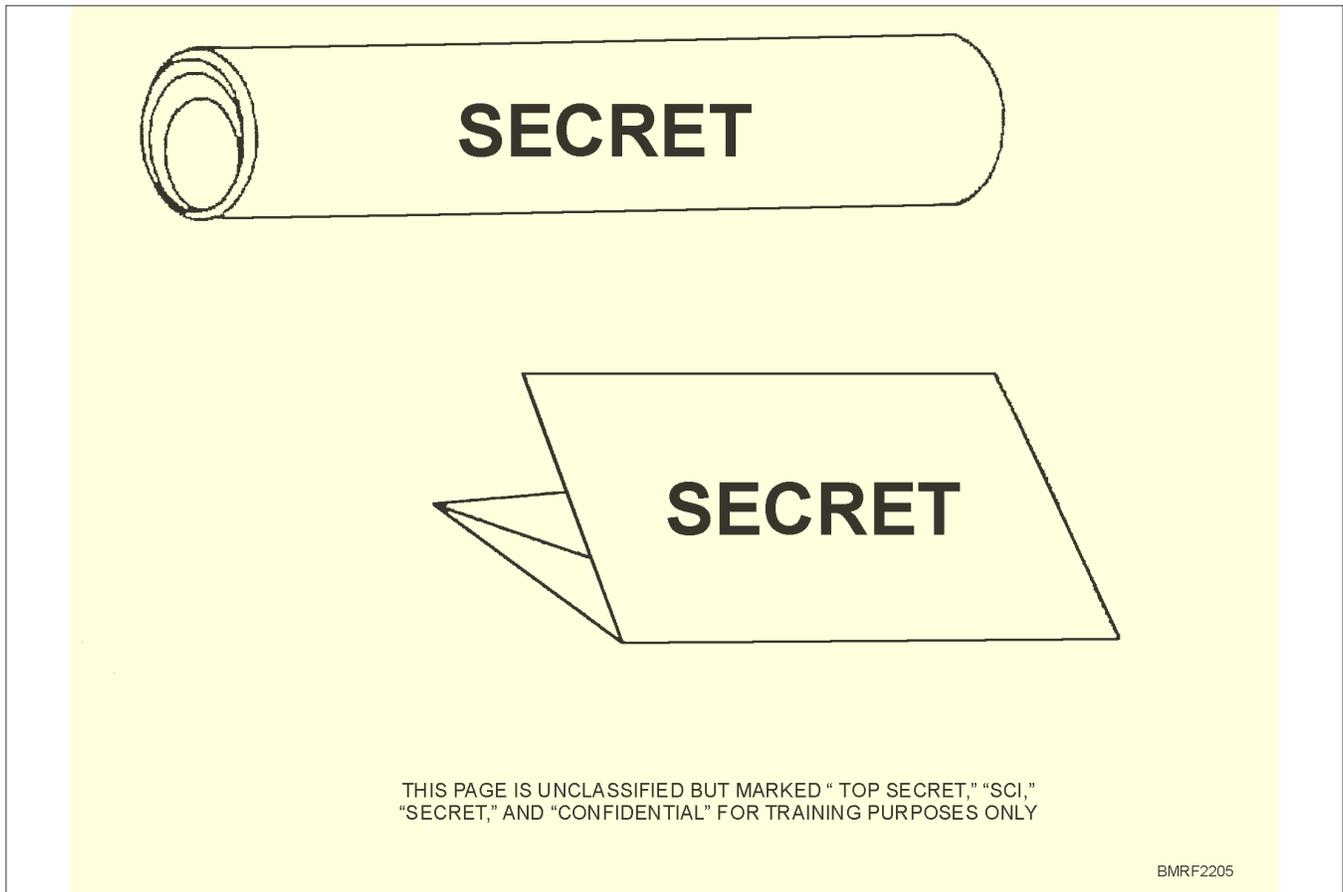


Figure 22-5.—Rolled or folded documents.

Miscellaneous Classified Material

Materials such as rejected copies, typewriter ribbons, carbons, and other similar items used during the production of a classified document are handled in a way that protects the material. Destroy such material when you no longer need it. You don't need to mark this material as classified unless it's necessary to ensure its protection.

TRANSMITTING CLASSIFIED MATERIAL

The rules for transmitting classified material can be found in the *Department of the Navy (DoN) Information Security Program*, SECNAVINST 5510.36. According to SECNAVINST 5510.36, commanding officers must make sure that only appropriately cleared personnel or carriers transmit, transport, escort, or hand-carry classified information. Unless a specific kind of transmission or transportation is restricted, the means

selected should minimize the risk of a loss or compromise while permitting the use of the most cost-effective mode of conveyance.

Classified telephone conversations are permitted only over secure communication circuits. These circuits must be approved for the classification level of the information being discussed. Every attempt must be made to make sure that the classified information is not compromised to unauthorized personnel.

COPYING CLASSIFIED MATERIAL

U.S. classified information can be reproduced only to the extent required by operational necessity. However, the agency that originates the information may restrict reproduction of the material, or reproduction of the information may be restricted because of applicable statutes or directives.

Student Notes:



SECRET

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
Washington, DC 20350-2000

SECNAVINST 5510.36

OCT 16 1999

IN REPLY REFER TO

5510
Ser NO9N2/9C1234556
(Date)

SECRET-CONFIDENTIAL upon removal of enclosure (2)

From: Chief of Naval Operations
To: Director, Special Programs Office

Subj: CLASSIFIED LETTER OF TRANSMITTAL, TRANSMITTING A
CLASSIFIED ENCLOSURE (U)

Encl: (1) CNO ltr 5510 Ser NO9N2/7U123445 of 12 Oct 96
(2) CNO ltr 5510 Ser No9N2/7S12345 of 28 Sep 96

1. (U) A classified letter of transmittal shall be marked as any other classified document with all applicable associated markings.
2. (C) This classified letter of transmittal contains Confidential information and has a Secret enclosure, therefore, its highest overall classification level is Secret, but Confidential when the Secret enclosure is removed. Instructions to this effect are annotated on the face of the letter of transmittal, top let corner, as shown.
3. (U) The declassification instructions, bottom left, reflect the disposition of the Confidential information contained in the classified letter of transmittal after the classified enclosure is removed.

John Boat
By direction

Derived from: OPNAVINST 5513.11B, enclosure (7)
Declassify on: Completion of test or 1 Jan 00

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"SECRET," AND "CONFIDENTIAL" FOR TRAINING PURPOSES ONLY

SECRET

BMRf2206

Figure 22-6.—Portion markings.

DESTROYING CLASSIFIED MATERIALS

Classified material is destroyed in accordance with procedures contained in SECNAVINST 5510.36. Burn bags are used to store classified information awaiting destruction at a central destruction facility.

AUTOMATED DATA PROCESSING (ADP) SECURITY

Automated data processing (ADP) is a Navywide responsibility. It encompasses security aspects that contribute to the protection of the total ADP activity, office information system, or network. ADP security involves the following elements:

- Physical
- Administrative/operating procedures
- Hardware
- Software
- Data

Your command will have an automated data processing security officer (ADPSO) who reports to the CO on matters that concern the protection of electronically generated data. The ADPSO is responsible for the physical security of each computer workstation. The protection of each workstation involves physical security, physical access control, data file protection, and natural disaster protection. Seek out your ADPSO and make sure your workstation complies with Navy and command regulations for the protection of classified material.

Levels of ADP Security

Data processed electronically have three levels of security: Level I, Level II, and Level III. If your command processes Level I and/or Level II data, it must provide a specific degree of protection. The following chart defines the three levels of data:

LEVEL	MEANING
Level I	Classified data

Level II	Classified; requires special protection, such as For Official Use Only and data covered by the Privacy Act of 1974
Level III	All other unclassified data

Marking Removable Classified Automated Information System (AIS)

Pages or portions removed from AIS printouts (fig. 22-7) for separate use or maintenance are marked as individual documents. They are marked with the highest overall classification level and include all the required associated markings for all pages or portions that are removed.

Software used to produce classified material is programmed so that each classified file stored by the system is marked with the highest overall classification level and all associated markings. Also, the outside of AIS media storing classified files is programmed in a readily usable format with the highest overall classification level including all applicable warning notices and intelligence markings. AIS media that contains classified files not programmed in a readily accessible format are marked on the outside with the highest overall classification level and all applicable associated markings (normally a sticker or tag) or have marked documentation kept with the media.

The computer system and its associated peripherals require controlling and safeguarding at all times. This includes the disks, diskettes, disk drives, monitors, printer ribbons, and generated hard copy. Security procedures for electronic data is found in the *Department of the Navy ADP Security Manual*, OPNAVINST 5239.1.

Marking Disks

As a general rule, the two types of electronic media are the working copy media and finished media. Working copy media is temporary information. It stays in your work area and under the control of your activity. After creating a working copy, retain it for 180 days before destruction. Finished media is permanent information. It can be released to other commands and activities. Finished media contains information that doesn't change or is pertinent for more than 180 days.

Student Notes:

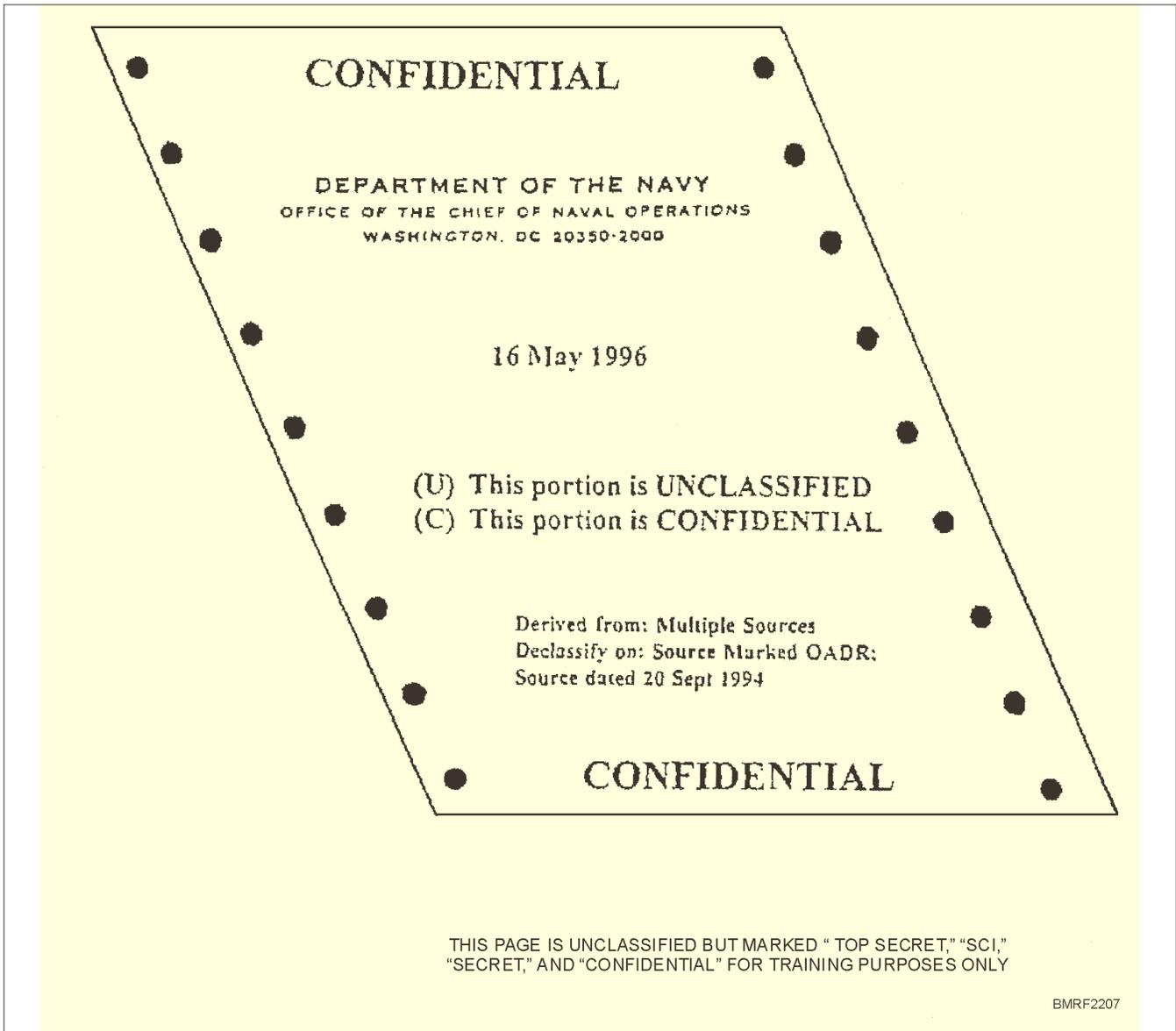


Figure 22-7.—Automated information system printout markings.

Electronic media is dated and the classification marked when it's created. Disks classified as Secret or Top Secret are assigned a sequential identification number so they can be tracked. Electronic media is controlled just like other classified material. Electronic media is protected according to the highest classification ever recorded on the disk.

Disks (see fig. 22-1) are marked with stick-on labels that identify the overall security classification and permanently assigned identification numbers.

The ADP security program protects ADP activities, office information systems, and networks. The management of the ADP security system is continuously monitored and reviewed for effectiveness. The *ADP Security Manual*, OPNAVINST 5239.1, contains a complete description of ADP security policies and procedures.

Student Notes:

COMPROMISE OF CLASSIFIED MATTER

According to SECNAVINST 5510.36, compromise is *An unauthorized disclosure of classified information to one or more persons who do not possess a current valid security clearance*. This means that material is compromised if someone loses, steals, captures, salvages, or sees the material without being cleared. The material is also compromised if a person who has seen the material defects.

The compromise of classified information threatens our national security. How much of a threat the compromise is depends on the nature and classification of the compromised material. If you know that material is compromised or subject to compromise, report the facts to your superiors right away. If you find classified documents where they don't belong, such as lying in the street or on a beach, turn the documents in to your superior or to the nearest military activity. While this doesn't seem possible, it has happened!

A security violation is defined as *any failure to comply with the regulations for the protection and security of classified material*.

If you find an unattended open or unlocked safe or container in which classified material is stowed, a security violation has been committed. You must report the discovery immediately to the senior duty officer. Then, guard the material until the duty officer arrives. After inspecting the material, the duty officer will lock the safe. If it's believed that the material is or may have been compromised, the duty officer will have the person responsible for the material make a detailed inventory.

PERSONAL CENSORSHIP

One form of classified material that can't be physically safeguarded is the information you carry around in your head. You are the only person who can prevent its disclosure. Be constantly on guard to prevent revealing classified information—either by talking or by writing.

A World War II slogan that's still effective is "Loose lips sink ships." Loose talk, even to a person who has the same knowledge you have, may be overheard by unauthorized persons. All of us like to talk about our ships, our jobs, and our travels. However, when we do,

we should be sure we don't discuss classified information in our conversations.

Loose talk in public places can be especially damaging. Intelligence agents are trained to collect bits of seemingly harmless information. Putting all the bits together might produce a comprehensive file of classified information.

Never discuss classified information over telephones, as they constitute one of the least secure systems of communication. Telephones are subject to wiretapping—both physically and electronically. Long-distance circuits use microwave radio transmission, which is easily intercepted. The use of homemade or unauthorized codes, double-talk, or an attempt to talk around a classified subject provides no protection against trained intelligence personnel.

The methods used by foreign intelligence agents take many forms. An agent could be male or female, young or old, or of any national origin or background. Foreign agents exist in our everyday lives as ordinary people. They could blackmail you or make threats against you or members of your family. They may take the friendly approach and offer you friendship, money, or other things of value. They may even promise to assist your relatives living in a foreign country. They may offer any number of things in return for classified material or bits of information that seem unimportant to you. Always remember that people who deal in espionage are experts in dealing with people.

REPORTING SUBVERSIVE ACTIVITIES

Whether you have access to classified material or not, you must report to your commanding officer, through your chain of command, anyone you suspect is involved with espionage, sabotage, or is compromising classified material. If a stranger approaches you asking inappropriate questions when you are on leave or liberty status and you cannot contact your chain of command, report this information to the nearest military activity.

Being security conscious and following security standards and requirements is a big responsibility. However, maintaining proper security can be accomplished if you realize that security really is a personal concern.

Student Notes:

TERRORISM

Terrorism is the unlawful use or threatened use of force or violence against individuals or property. Terrorists intend to coerce (force) or intimidate governments or societies. Terrorism is used for political, religious, or ideological purposes. Acts of terrorism directed against naval personnel, activities, or installations can destroy critical facilities and injure or kill personnel. Terrorism can delay mission accomplishment and cause damage through adverse publicity and public perception (the way people see the action) of incident handling and results.

Terrorists use many methods of operation, which may include bombings, ambush, armed attack, sabotage, or taking hostages. The two most publicized terrorist methods are bombings and taking hostages. The terrorist method generally used toward military forces is bombing. However, at times, naval or military personnel have been taken hostage as a result of an aircraft hijacking or of hijacking personnel using some other means of transportation. Military personnel, and particularly naval personnel, are often stationed in or visit foreign countries. Some of these countries have significant levels of terrorist activity.

Indications and warnings of terrorist activity against naval installations or personnel are normally received from U.S. security authorities or through the security agencies of host countries. These warnings usually come in the form of threat conditions (THREATCONS). Threat conditions range from THREATCON ALPHA (the lowest degree of readiness) to THREATCON DELTA (the highest degree of readiness). Each threat condition contains several measures that must be adopted before that degree of readiness is fully set. When stationed in or visiting foreign countries, you will receive a brief concerning the threat condition in force at that time.

When visiting foreign countries, you must be constantly aware of what is going on around you. The actions of terrorist groups are rarely advertised. Terrorists normally choose places of business that have a high volume of target personnel present (such as nightclubs, restaurants, airports, and shopping centers). Be more careful at night, when the cover of darkness helps the terrorist hide his or her activities. Be alert and

notice anything out of the ordinary and report it to the proper authorities. You could identify a possible terrorist operation.

Although terrorist attacks within the United States aren't as common as in other countries, they have happened. The same levels of awareness that you practice when visiting foreign countries are necessary here as well. Being alert when you are on or around military installations could mean the difference between the success or failure of a terrorist operation, not to mention the lives of your shipmates.

BOMB THREATS

When detonated or ignited, a bomb can injure or kill personnel and damage material. Bombs are classified as explosive or incendiary. An *explosive bomb* causes damage by fragmentation, heat, and blast. The heat produced often causes a secondary incendiary effect. An *incendiary bomb* generates fire-producing heat without substantial explosion when ignited. Bombing occurs when an explosive bomb detonates or an incendiary bomb ignites.

A bomb threat may happen anytime or anywhere. It can be made by a terrorist group or a disgruntled employee. Many bomb threats are unfounded (not real). False bomb threats make people complacent (at ease). Don't assume a bomb threat is a hoax (not real) until you're sure. **Safety is the major concern!**

Bomb threat. A bomb threat is a message delivered by telephone or letter. A bomb may be delivered through the mail as a letter or a suspicious package. A bomb threat may or may not contain the following information:

- The bomb's location
- The time for detonation/ignition
- An ultimatum related to the detonation/ignition or concealment of the bomb

Bomb incident. A bomb incident is the detonation/ignition of a bomb, discovery of a bomb, or receipt of a bomb threat.

Student Notes:

There are a few things you can do to reduce vulnerability of your ship or station to a bomb threat/incident. You can—

- Strictly comply with your command's procedures for personnel identification and access control procedures to department/division spaces,
- Be suspicious of all articles whose origin is unknown or obviously "out of place" within the space,
- Maintain tight control of locks and keys,
- Lock all rooms/spaces when not in use or manned by authorized personnel, and
- Immediately report suspicious personnel and their actions.

Each telephone at your command should have a copy of the Telephonic Threat Complaint, OPNAV Form 5527/8 (fig. 22-8). When a bomb threat is received by telephone, the person receiving the call should take the following actions:

- Try to keep the caller on the line and obtain as much information as possible. Complete the Telephonic Threat Complaint form while the caller is on the line or immediately thereafter.
- Record in writing the exact words of the caller.
- Try to identify the location of the bomb, the type of device, what it looks like, and the expected time of detonation.
- Attempt to determine the sex, approximate age, and attitude of the caller.
- Note any background sounds that may provide clues to the caller's location.
- Note any accent or peculiarity in speech that may help identify the person.

REVIEW 1 QUESTIONS

- Q1. List the security classifications.
- a.
 - b.
 - c.
- Q2. What does FOUO stand for?
- Q3. Who is authorized to initiate a request for a security clearance and background investigation?
- Q4. A background investigation is required for what levels of security clearances?
- Q5. What does a letter in parentheses, such as (S), after a publication title tell you about the publication?
- Q6. How are classified material such as videotapes, cassettes, and computer disks marked?
- Q7. A publication contains Confidential material, except for one paragraph that contains Top Secret material. How is this publication marked?

Student Notes:

DEPARTMENT OF THE NAVY TELEPHONIC THREAT COMPLAINT		IF BOMB THREAT, ASK THE CALLER ● WHEN IS THE BOMB TO GO OFF? ● WHERE IS THE BOMB TO GO OFF? ● WHAT KIND OF BOMB IS IT? ● WHAT DOES THE BOMB LOOK LIKE? ● WHERE ARE YOU CALLING FROM?
1. COMMAND		
a. Name & Address		b. Phone No
2. COMPLAINANT		
a. Name		
3. PERSON RECEIVING CALL		
a. Name		b. Date & Place of Birth
c. Command Name & Address		d. Phone Number (Work) (Home)
4. TELEPHONE CALL RECEIVED ON		
a. Phone Number (Included area code)		b. Location
c. Phone Number listed in ("x" all that apply)		
<input type="checkbox"/> Unlisted <input type="checkbox"/> Other (list) <input type="checkbox"/> Command Directory <input type="checkbox"/> Base Directory <input type="checkbox"/> Local Directory		
5. DETAILS OF CALL		
a. Date	b. Day of Week	c. Time
6. CONTEXT OF CONVERSATION		
a. Recipient		
b. Caller		
c. Recipient		
d. Caller		
e. Recipient		
f. Caller		
7. BACKGROUND NOISES (Describe street sounds, voices, music, etc.. If more space is needed, continue on reverse.)		
8. INFORMATION ABOUT CALLER/VOICE CHARACTERISTICS		
a. Sex	b. Age	c. Race
e. Educational Level		d. Accent
f. Attitude (Calm, Nervous, Serious)		
g. Other		
9. WERE THERE ANY WITNESSES TO THE CALL? <input type="checkbox"/> No		10. DO YOU HAVE ANY SUSPICION AS TO THE IDENTITY OF THE CALLER? <input type="checkbox"/> No
<input type="checkbox"/> Yes (List name)		<input type="checkbox"/> Yes (List name)
11. NOTIFICATION OF AUTHORITY ("x" all notified)		
<input type="checkbox"/> CO <input type="checkbox"/> XO <input type="checkbox"/> OOD <input type="checkbox"/> Security <input type="checkbox"/> NISRA <input type="checkbox"/> Telephone Company <input type="checkbox"/> EOD <input type="checkbox"/> Fire Dept		
OPNAV 5527/8 (12-82)		S/N 0107-LF-055-2740
		BMRf2208

Figure 22-8.—Telephonic Threat Complaint, OPNAV Form 5527/8.

Q8. What type of area is used to keep classified material?

Q9. What type of material is safeguarded through ADP Security?

Q10. You are making your rounds as a roving security patrol and discover that the door to the radio room is unlocked and the room unattended. What action should you take?

Q11. The least secure system of communication should never be used to discuss classified material. What is the least secure communications means and why should it never be used to discuss classified material?

Q12. You are on leave away from your command. You meet someone who starts asking questions about your command and its mission. What should you do?

Q13. What are the two most publicized methods of terrorism?

a.

b.

Q14. Where is the likely spot for a terrorist bombing to occur?

Q15. What form is used to record bomb threats received over the phone?

Q16. If you receive a bomb threat over the phone, what should you do?

INTERNATIONAL AGREEMENTS

Learning Objectives: When you finish this chapter, you will be able to—

- Identify the purpose of international agreements.
- Recall the general provisions of the Status of Forces Agreement, the Geneva Convention concerning treatment and rights of prisoners of war, and the Law of Armed Conflict.

Many agreements are made between the government of the United States and governments of other countries. Some of the agreements that directly affect you are discussed in this chapter. These international agreements are the Status of Forces Agreement (SOFA), the Geneva Convention, and the Law of Armed Conflict.

During your tour of duty in the Navy, you will have the opportunity to visit other countries. You may visit as a member of a ship's company, or you may be assigned to a duty station overseas. In either case, remember that you are a guest of the country you are visiting. A small percentage of people feel because they are members of the U.S. Navy, local laws don't apply to them. **That is not true.** If you are on leave or liberty in a foreign country, you must obey the laws of that country.

STATUS OF FORCES AGREEMENT

It is the policy of the Department of Defense (DOD) to protect your rights as much as possible if you are subjected to criminal trial by foreign courts. To do that, the United States has entered into an agreement with several of our allied countries. That agreement is called the *Status of Forces Agreement (SOFA)*. The SOFA says, in part, that the host country will give up some of

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its jurisdiction to the visiting country in some criminal and civil cases. **The main purpose of the SOFA is to clearly define the status of military personnel of one country stationed in the territory of another.** Some of the topics covered by the Status of Forces Agreement are as follows:

- Freedom of troop movement within the host country
- Passport requirements
- Criminal jurisdiction
- Taxes
- Imposition of customs duties
- Regulations covering driver's licenses

These are just a few of the items covered by the SOFA. (Provisions of the SOFA vary from country to country.) Remember, when you are overseas, YOU are the foreigner. Many customs of the host country may seem strange to you, but you must follow them as well as the local laws. You should receive a briefing on the Status of Forces Agreement that pertains to the country you are visiting. If you have any questions concerning the SOFA while you are in a foreign country, consult your division officer.

GENEVA CONVENTION

Prisoners of war (POWs) have certain rights and are required to observe certain rules, as established by the Geneva Convention of 1949. The Geneva Convention prescribes the following rights of POWs:

- To be treated humanely at all times
- To be protected against insults and public curiosity
- To have decent housing, nourishing food, and adequate clothing
- To be permitted to communicate with their families
- To be given medical care

- To be allowed to worship
- To be allowed to exercise and participate in sports and intellectual pastimes

The Geneva Convention prohibits punishment for refusing to answer questions other than your name, date of birth, rate, and social security number.

A prisoner must salute enemy officers and may be required to perform work if such work is not related to military operations. POWs are subject to the laws, regulations, and orders of the armed forces of the captors and may be punished for violating them. The Geneva Convention recognizes the prisoner's right to try to escape by limiting punishment for such attempts to disciplinary action only, which may consist of 2 hours extra duty daily, loss of half a month's pay (earned as a prisoner), stoppage of any extra privileges, and confinement. A prisoner may not be punished more severely for repeated escape attempts. Prisoners of war are prohibited from renouncing any of the rights to which they are entitled under the Geneva Convention.

Most countries of the world follow the articles of the Geneva Convention. North Vietnam agreed to the convention in 1957 but violated most of its provisions. In 1965, Hanoi violated the convention by announcing the execution of three American POWs in retaliation for the legal execution of Viet Cong terrorists. The Communists also paraded handcuffed Americans through the streets of Hanoi where the people subjected them to ridicule and humiliation. The Geneva Convention expressly forbids such actions. Evidence also indicates that Iraq violated some articles of the convention during the Persian Gulf crisis.

If you have contact with enemy prisoners of war, treat them according to the articles of the Geneva Convention, just as you would expect to be treated by them. If you should become a POW, you should conduct yourself according to the Code of Conduct as well as the Geneva Convention.

LAW OF ARMED CONFLICT

Every nation calls upon its military personnel to defend its national interests by going to war. Our country believes those people involved in armed conflict during war are entitled to fundamental human

Student Notes:

rights regardless of their conduct or beliefs. Because of this belief, our nation has adopted the Law of Armed Conflict to govern the conduct of its military forces engaged in fighting.

Because naval operations frequently involve fighting between major units, you don't need a detailed knowledge of the Law of Armed Conflict. However, you need a basic knowledge of it since even in large-scale naval operations some people may violate the Law of Armed Conflict.

Small-scale operations require a more detailed knowledge of the Law of Armed Conflict by the naval personnel involved. You will receive this detailed knowledge if the need arises.

As a member of a military force, you are allowed during periods of hostilities to attack and even kill the lawful combatants of your enemy. Generally speaking, the term *lawful combatants* means members of the military force and civilian personnel engaged in hostilities.

Just as the Law of Armed Conflict permits certain hostile actions, it limits the way you may conduct these actions. It provides for the protection of certain targets in a war zone to safeguard people and property not directly involved with military activity. For example, it expressly forbids attacking or firing on nonmilitary targets not being used by the enemy for military purposes. The use of illegal techniques and tactics, such as rape, pillage, and plunder, is also prohibited. Unlawful techniques and tactics can backfire on the user because often they are dangerous in themselves. They are also likely to enrage the enemy, causing the enemy to fight harder or respond by using illegal methods, such as killing POWs. Personnel who violate the Law of Armed Conflict will find themselves in serious trouble, including the possibility of trial by court-martial upon return to the United States.

The fundamental terms of the Law of Armed Conflict are as follows:

- Fight only enemy combatants.
- Destroy no more than your mission requires.

- Do not attack enemy soldiers, sailors, airmen, or marines that surrender. Disarm them and turn them over to your superior.
- Never torture or kill prisoners of war and other detainees.
- Collect and care for wounded, sick, or shipwrecked survivors, whether friend or enemy, on land or at sea.
- Protect medical personnel and chaplains, medical and religious facilities, and medical transportation of the enemy. Treat them with respect and do not attack them.
- Treat all civilians humanely and respect their property. Do not attack them.
- Do your best to prevent any violation of these fundamental rules. Report any violations to the appropriate authority promptly.
- Do not violate these rules; an order to do so is illegal.

Discipline yourself to obey these rules during combat. Disobedience of the Law of Armed Conflict dishonors your nation, the Navy, and you. Far from weakening the enemy's will to fight, such disobedience strengthens it. Disobedience of the Law of Armed Conflict is also a crime punishable under the *Uniform Code of Military Justice*.

REVIEW 2 QUESTIONS

- Q1. What is the main purpose of the SOFA?
- Q2. What document dictates the treatment of POWs?
- Q3. What is the purpose of the Law of Armed Conflict?

Student Notes:

SUMMARY

Security of classified material is serious business. Potential enemies are always looking for a chance to gain access to our most guarded secrets. Just one day of failing to safeguard classified material could result in the compromise of extremely sensitive material. The security of classified material not only rests with the personnel that have access to it on a daily basis, but also includes every member of a command. We all have a duty to ensure that only the people requiring access to classified material are allowed to see or use it. The same is true of how we discuss our daily routine. Even if you don't have access to classified material on a daily basis, you could possibly have knowledge of certain exercises or deployment times that would be of benefit to potential enemies. Think carefully before you start talking about upcoming events. Every person in the room is not cleared to have this type of information. Putting pieces of information together to determine what is happening is easy for foreign agents. The same is true when talking on the telephone. Very few phones aboard ship and almost none in the civilian community are secure. Electronic eavesdropping is another way foreign agents collect intelligence data. Be careful of what you say; someone other than the person you called could be listening.

Terrorist activity, particularly when you are visiting a foreign country, should always be of concern. While you should not let it interfere with your enjoyment of visiting a foreign country, you must always be alert to what is going on around you. By taking an extra few minutes to survey your surroundings, you could identify a potentially hazardous situation.

The international agreements discussed were designed to protect members of the armed forces. The Status of Forces Agreement protects you when you are stationed in or visiting foreign countries. The Geneva Convention affords you protection if you become a POW. The Law of Armed Conflict protects you in the event of a war. The articles and rules of these agreements will only protect you if you conduct yourself according to U.S. and international law. You have a duty to conduct yourself in a manner that will not bring discredit upon your country, your service, or yourself.

REVIEW 1 ANSWERS

- A1. The three levels of security are—
 - a. **Top Secret**
 - b. **Secret**
 - c. **Confidential**
- A2. FOUO means **For Official Use Only**.
- A3. **Commanding officers** are authorized to initiate a request for a security clearance and background investigation.
- A4. A background investigation is required for **Top Secret** and **Secret** clearances.
- A5. A letter in parentheses, such as (S), after a publication title tells you **the classification of that publication**.
- A6. Classified material, such as videotapes, cassettes, and computer disks, are **marked by tags, stickers, decals, and so on**.
- A7. Publications carry the security marking of the highest level of material contained in the publication; therefore, **this publication is marked Top Secret**.
- A8. **Security areas** are used to keep classified material.
- A9. ADP security is used to safeguard **data processing equipment (computers) including hardware, software, administrative and operating procedures, communications, and personnel and spaces**.
- A10. If you find an unattended room with an open and unlocked security container, you should **contact the senior duty officer to report a security violation**. Then, **stand guard over the space until the duty officer arrives**.
- A11. The least secure communications means is the **telephone**. **Never use telephones to discuss classified material because they can be physically and electronically wiretapped**.

Student Notes:

- A12. If you meet someone who starts asking questions about your command and its mission, you should **report the incident to the nearest military activity.**
- A13. The two most publicized forms of terrorism are—
- a. **Taking hostages**
 - b. **Bombing**
- A14. Terrorists are likely to bomb **places of business that serve a high volume of people such as airports, nightclubs, and restaurants.**
- A15. To report a bomb threat made over the telephone, use **Telephonic Threat Complaint, OPNAV Form 5527/8.**
- A16. If you receive a bomb threat over the phone, you should—
- a. **Keep the caller on the line and get as much information as possible.**

- b. **Record in writing the caller's conversation.**
- c. **Ask caller where's the bomb, what type of bomb, time of detonation, and what it looks like.**
- d. **Try to determine sex, age, attitude of caller, and accents or speech impediments; try to remember background noises.**

REVIEW 2 ANSWERS

- A1. The main purpose of the SOFA is to **define the status of military personnel of one country stationed in a territory of another.**
- A2. The treatment of POWs is covered by the **Geneva Convention.**
- A3. The purpose of the Law of Armed Conflict is to **govern the conduct of military personnel engaged in fighting.**

ASSIGNMENT 15

Textbook Assignment: Chapter 20 “*Sea Power*,” Chapter 21 “*Leadership and Supervision*,” and Chapter 22 “*Security Requirements and International Agreements*.”

1. Sea power is a nation’s ability to protect which of the following interests?
 1. Political
 2. Economic
 3. Military
 4. All of the above
2. What are the principle parts of sea power?
 1. Naval power, ocean science, ocean industry, and ocean commerce
 2. Ocean science, ocean industry, ocean commerce, and ASW warfare
 3. Ocean industry, ocean commerce, ocean science, and nuclear propulsion aircraft carriers
 4. Naval power, ocean industry, ocean commerce, and ballistic missiles
3. In peacetime, what does sea power encompass?
 1. Clash of fleets
 2. Commercial rivalries
 3. Diplomatic maneuvering
 4. Both 2 and 3 above
4. What person coined the phrase “sea power”?
 1. Secretary Alexander Hamilton
 2. John Paul Jones
 3. Admiral David Farragut
 4. Captain Alfred Thayer Mahan
5. Which of the following is a requirement for a nation to have sea power?
 1. Serviceable coastlines
 2. Favorable climate
 3. Abundant natural resources
 4. Each of the above
6. Immediately after the Civil War, the primary role of the U.S. Navy was to defend the coast and as a commerce raider.
 1. True
 2. False
7. During World War II, fewer battles were fought between ships within sight of each other for which of the following reasons?
 1. There were fewer ships in sea battles
 2. Submarines were usually used to fight battles
 3. The effects of aircraft, aircraft carriers, and radar began to emerge
 4. The convoy system kept enemy ships away from allied battle groups
8. Today, sea power involves which of the following industries?
 1. Marine science
 2. Maritime industry
 3. Both 1 and 2 above
9. The seas are our lifeline for survival. Which of the following factors make this a true statement?
 1. A barrier between nations
 2. A broad highway for ships
 3. A source for food, minerals, and metals
 4. All of the above
10. An economic advantage for a nation is to produce goods and services and to exchange them with other nations. Those that have failed in commerce have also failed as world powers.
 1. True
 2. False
11. What is the determining factor in the United States that changed our point of view about raw materials?
 1. Population growth and advanced technology
 2. Interrelationships between countries
 3. Growing isolationist policy
 4. Increased loss of farmland

12. What amount of minerals does the United States produce?
 1. 4 minerals
 2. 11 minerals
 3. 33 minerals
 4. 48 minerals
13. The United States acknowledges freedom of the seas under what law or treaty?
 1. Federal law
 2. Treaty of Versailles
 3. International law
 4. Treaty of Zurich
14. Which of the following actions must our country take to protect our national security and sustain our economy?
 1. Import raw materials, manufacture goods, and export goods to world marketplace
 2. Keep the sea lanes open
 3. Both 1 and 2 above
15. What states are outside the continental United States (CONUS)?
 1. New Mexico and Alaska
 2. Hawaii and Alaska
 3. New Mexico and Guam
 4. Alaska and Puerto Rico
16. There are a total of how many overseas U.S. territories?
 1. Two
 2. Three
 3. Four
 4. Five
17. The primary functions of the Navy and Marine Corps forces is to seek and destroy enemy naval forces, suppress enemy sea commerce gain, maintain general naval supremacy, control vital sea areas, and protect sea lines of communication.
 1. True
 2. False
18. When did the “tanker wars” occur in the Persian Gulf?
 1. 1986 to 1988
 2. 1987 to 1989
 3. 1988 to 1990
 4. 1989 to 1991
19. Operation Desert Shield/Desert Storm is an example of what type of exercise?
 1. Army operation only
 2. Air Force operation only
 3. Joint amphibious operations
20. What is meant by the term “hi-low balanced mix”?
 1. Speeding up research and development of new weapons
 2. Purchasing highly effective aircraft and ships and developing new classes of low-cost ships
 3. Laying up of old ships to save money
 4. Training personnel in high and low technology areas

- A. NAVAL STRATEGY
- B. NATIONAL INTERESTS
- C. NATIONAL STRATEGY
- D. NATIONAL OBJECTIVES

Figure A

IN ANSWERING QUESTIONS 21 THROUGH 23 SELECT THE TERM FROM FIGURE A THAT DESCRIBES THE QUESTION.

21. A broad course of action designed to achieve national objectives.
 1. A
 2. B
 3. C
 4. D
22. Conditions that are to the advantage of our nation to pursue or protect.
 1. A
 2. B
 3. C
 4. D
23. Use of naval forces to achieve naval objectives.
 1. A
 2. B
 3. C
 4. D

24. Which of the following objectives would fall under the term “national objective”?
 1. Political
 2. Security
 3. Economic
 4. Each of the above
25. Sea control and power projection are the Navy’s mission in support of
 1. naval strategy
 2. national interests
 3. national strategy
 4. naval objectives
26. Which of the following functions allows the Navy to control the sea and project power?
 1. Strategic nuclear deterrence
 2. Strong naval presence
 3. Security of the sea lines of communications
 4. Each of the above
27. On what date did Congress authorize the first six frigates of the Continental Navy?
 1. 27 Mar 1794
 2. 4 Feb 1776
 3. 20 Aug 1775
 4. 19 Jul 1773
28. In what year did Congress enact the Merchant Marine Act?
 1. 1916
 2. 1926
 3. 1936
 4. 1946
29. During World War II, the U.S. built and manned more than how many merchant ships?
 1. 3,000
 2. 4,500
 3. 6,000
 4. 7,500
30. In wartime, the Merchant Marine is responsible for which of the following missions?
 1. Transporting essential materials and cargo
 2. Resupplying allied military forces overseas
 3. Providing underway replenishment to Navy ships at sea
 4. All of the above
31. In peacetime, which of the following military services is not controlled by the Department of Defense?
 1. U.S. Navy
 2. U.S. Marine Corps
 3. U.S. Coast Guard
 4. U.S. Naval Reserve
32. The U.S. Coast Guard was established as the United States Revenue Marine in what year?
 1. 1760
 2. 1776
 3. 1785
 4. 1790
33. What is the traditional image of the U.S. Coast Guard?
 1. Watchful
 2. Vigilant
 3. Lifesaver
 4. Benefactor
34. Which of the following are modern-day Coast Guard duties?
 1. Enforcement of maritime laws and treaties
 2. Search and rescue operations
 3. Enforcement of drug and contraband laws
 4. Each of the above
35. During wartime, the Coast Guard operates directly under the
 1. Chief of Naval Operations
 2. Secretary of the Navy
 3. Joint Chiefs of Staff
 4. Secretary of Defense
36. Which of the following organizations was established by combining the sealift missions of the Naval and Army Transport services?
 1. Merchant Sea Transportation Service
 2. Department of Transportation
 3. Military Sealift Command
 4. U.S. Coast Guard
37. Military Sealift Command ships use which of the following titles?
 1. United States Naval Ships (USNS)
 2. United States Charter Ships (USCS)
 3. United States Coast Guard Ships (USCGS)
 4. United States Transportation Service Ships (USTSS)

38. In peacetime, the Military Sealift Command ships nearly what percentage of all military cargo on privately owned U.S. flagships and other merchant marine vessels?
1. 14%
 2. 25%
 3. 35%
 4. 45%
39. What are the essential ingredients for U.S. sea power?
1. Merchant Marine, Military Sealift Command, Coast Guard, and the Navy
 2. Navy, Marine Corps, Coast Guard, and the Military Sealift command
 3. Merchant Marine, Coast Guard, Military Sealift Command, and the Marine Corps
 4. Navy, Marine Corps, Coast Guard, and the Merchant Marine
40. Which of the following qualities should Navy leadership exhibit?
1. Administrative ability
 2. Moral principals
 3. Personal example
 4. Each of the above
41. When followed, which of the following moral principals provides direction and consistency to leadership?
1. Integrity
 2. Loyalty
 3. Honesty
 4. All of the above
42. To make sure an order to a job will get it done, orders need to be given so they can be followed. Orders should be given in what way?
1. Simple only
 2. Clear only
 3. Simple, clear, and complete
 4. Complex
43. To be a good leader, you need to carry out your orders in which of the following ways?
1. Promptly
 2. Cheerfully
 3. To the best of your ability
 4. Each of the above
44. Immediate obedience is an automatic response to a command.
1. True
 2. False
45. Reasoned obedience lets you obey an order while learning from your experience while carrying it out.
1. True
 2. False
46. What is the primary goal of the Continuous Improvement Program?
1. Increased productivity only
 2. Produce better quality through leadership only
 3. Increase productivity and produce better quality through leadership
47. How many security classifications does the Navy use to identify classified material?
1. One
 2. Two
 3. Three
 4. Four
48. Which of the following security classifications is used for information or material that requires the highest degree of protection?
1. Top Secret
 2. Secret
 3. Confidential
 4. For Official Use Only
49. Having a security clearance automatically grants you access to classified material.
1. True
 2. False
50. To get a security clearance, you must be a United States citizen.
1. True
 2. False
51. Which of the following infractions will cause a Sailor's CO to report that infraction to DON CAF?
1. Criminal conduct
 2. General inaptitude
 3. Noncompliance with security requirements
 4. All of the above

52. Classified material is assigned a security classification for which of the following reasons?
1. To ensure personnel are aware of the classified nature of the material
 2. To ensure the material receives the degree of protection required
 3. To assist in extracting, paraphrasing, downgrading, and declassifying actions
 4. All of the above
53. If a publication contains unclassified, FOUO, Confidential, Secret, and Top Secret information, what security classification is assigned?
1. Top Secret
 2. Secret
 3. Confidential
 4. For Official Use Only
54. If you need to find the rules for transmitting classified material, you should refer to what SECNAV instruction?
1. 5510.36
 2. 5510.30A
 3. 5510.3
 4. 5510.3A
55. Classified information is not transmitted over the telephone except when authorized on approved, secure communications circuits.
1. True
 2. False
56. Which of the following is a concern of ADP security?
1. Hardware
 2. Software
 3. Admin procedures
 4. All of the above
57. What term defines classified material that is lost, stolen, captured, salvaged, or seen by unauthorized personnel?
1. Secure
 2. Abandoned
 3. Compromised
58. What type of communications is one of the least secure communications system?
1. Registered U.S. mail
 2. Telephone
 3. U.S. mail
 4. Courier Service
59. What action, if any, should you take if you suspect someone you know is compromising classified material?
1. Confront the individual
 2. Report it to the command security officer
 3. Report it to your CO through the chain of command
 4. None
60. Terrorists try to force governments or societies to take certain actions for political, religious, or ideological purposes.
1. True
 2. False
61. The greatest publicity is given to which of the following terrorism methods?
1. Taking hostages
 2. Bombing
 3. Both 1 and 2 above
 4. Sabotage
62. Which of the following threat conditions affords the highest degree of readiness?
1. ALPHA
 2. BRAVO
 3. CHARLIE
 4. DELTA
63. The Status of Forces Agreement covers which of the following topics?
1. Taxes
 2. Criminal jurisdiction
 3. Passport requirements
 4. All of the above
64. In what year did the Geneva Convention establish certain rights for prisoners of war?
1. 1948
 2. 1949
 3. 1950
 4. 1951

65. The Law of Armed Conflict prohibits which of the following techniques or tactics?

1. Rape
2. Pillage
3. Plunder
4. All of the above

66. The Geneva Convention recognizes a prisoner's right to try to escape. Which of the following disciplinary actions may be taken when a prisoner is caught in an escape attempt?

1. Stoppage of extra privileges
2. Confinement
3. Both 1 and 2 above
4. Torture

