



**White Paper:  
Evolution of Department of Defense  
Directive 5100.01  
“Functions of the Department of Defense  
and Its Major Components”**

**Office of the Secretary of Defense  
Chief Management Officer  
Organizational Policy and Decision Support**

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This white paper is the product of a research project supporting the 2020 update to DoDD 5100.01 and future roles and mission reviews.

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# Evolution of Department of Defense Directive 5100.01

## “Functions of the Department of Defense and Its Major Components”

### Executive Summary

Since its initial formal issuance in 1954, Department of Defense Directive (DoDD) 5100.01, “Functions of the Department of Defense and Its Major Components” has undergone both minor and substantial revisions as it outlines the primary functions of the Department of Defense. The directive derived from roles and missions discussions, following World War II, which aimed to delineate the purposes of, improve joint operations between, and inform resourcing the Military Services. To date, major organizational and functional changes within the Department of Defense have been almost exclusively due to specific and significant Congressional or Secretary of Defense direction in response to notable failures in coordinated operations between the Military Services. There have been no updates during major conflicts. The most recent major update of December 21, 2010, which reflected the results of the Congressionally-directed DoD 2009 Quadrennial Roles and Missions Review, primarily recorded the evolution of the Department’s mission areas rather than promulgating any major adjustments.

The Office of the Chief Management Officer (OCMO) had been preparing a comprehensive revision of DoDD 5100.01 for publication in early 2020, in close coordination across the Department. However, leadership changes, emerging priorities, and the proximity to a Presidential election made an “Administrative Change” a more executable option. Additionally, and to that end, in July 2019, the Deputy Secretary of Defense approved a Congressionally-mandated “Report on Highest-Priority Roles and Missions of the Department of Defense and the Armed Forces,” which affirmed that the functions captured in the current version of DoDD 5100.01 constitute a largely enduring framework, yet called for corrections of outdated material. Accordingly, the Administrative Change to DoDD 5100.01, currently being finalized, will reflect conforming organizational changes within the Department, such as the establishment of the Chief Management Officer (CMO), the Under Secretary of Defense for Research and Engineering (USD(R&E)), the Under Secretary of Defense for Acquisition and Sustainment (USD(A&S)), U.S. Cyber Command (USCYBERCOM), and the U.S. Space Force – but not substantive, contentious alteration. For those adjustments, this corrected version of DoDD 5100.01 will serve as an accurate baseline and support future DoD roles and missions reviews driven by necessary adjustments brought on by the stand-up of the U.S. Space Force, concerns regarding air and missile defense, or Defense funding contraction.

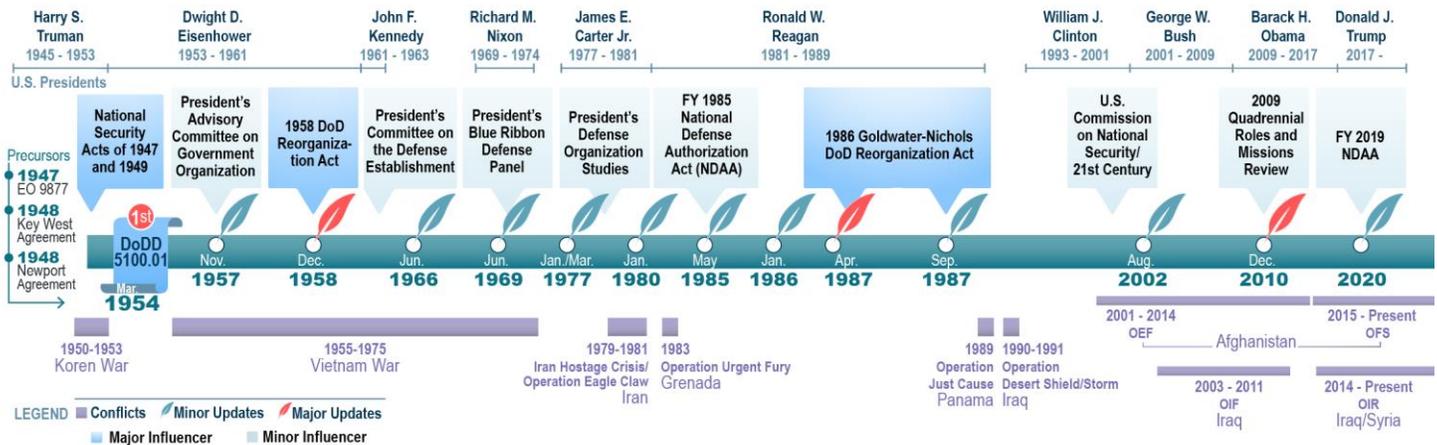
Understanding DoDD 5100.01, and the roles and missions of the Department of Defense, is best informed by knowledge of their shared history. The modern era predecessor of DoDD 5100.01, the *Joint Action of the Army and the Navy*, issued in 1927, later revised in 1935, was a non-binding agreement that outlined the “general” and “secondary” functions of each Service. The agreement’s inadequacies and the need for defense reform evidenced in Military Service operations during World War II, led to its replacement through the passage of the National Security Act of 1947 and the signing of Executive Order 9877, “Functions of the Armed Forces,” by President Harry S. Truman that same year. These actions exacerbated friction between the Military Services over the assignment of roles, missions, and attendant resources, thus necessitating further guidance. Consequently, the Key West and Newport Agreements, along with amendments to the National Security Act passed in 1949, shaped Military Service functions, and were directly incorporated in the first publication of DoDD 5100.01 in 1954.

The first DoDD 5100.01 also captured the significant defense reforms directed in the 1953 Defense Reorganization Plan No. 6. Subsequently, following a minor update to the Directive in 1957, President

Dwight D. Eisenhower’s major defense overhaul in 1958 led to substantial changes to DoDD 5100.01 in late 1958, by assigning the Combatant Commanders operational responsibilities previously assigned to the Military Services. Throughout the revisions in the second half of the 20<sup>th</sup> Century, the Military Services resisted reforms that might diminish their prerogatives and authorities. However, repeated imperatives for a more joint, ultimately prevailed.

For several decades, the Directive continued to undergo minor fact-of-life and Administrative Changes, including in 1966, 1969, 1977, 1980, 1985, and 1986. Then, in 1987, the first of two DoDD 5100.01 revisions reflected the fundamental organizational changes directed in the Goldwater-Nichols Defense Reorganization Act of 1986. Further modest revisions reflecting additional legislative mandates were also issued, in 1987 and then in 2002, before the Roles and Missions Review driven 2010 update.

In summary, this paper examines the history of DoDD 5100.01 (*see Timeline below*), and provides details of its modifications and the factors leading to each change, including the Administrative Change underway. In doing so, it identifies the key leaders who spearheaded reforms and describes the legislation that drove many revisions of the Directive.



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## 1. Introduction

Since the country's beginnings, the roles, missions, and functions of the Armed Forces of the United States have been the subject of much debate. Shortly before the close of the Revolutionary War, General George Washington penned "Sentiments on the Military Peace Establishment," which outlined his ideas for post-war military structure, roles, missions, and functions. These remained relatively unchanged from those early days of the new nation until the advent of aviation and engagement in two World Wars. Indeed, upon observing the American military establishment at the start of World War II, a British general wrote back to London, "The whole organization belongs to the days of George Washington."<sup>1</sup> By war's end, however, military and political change was taking root in the minds of leadership.

Tracking the history of the Armed Forces of the United States, this paper follows the evolution of Department of Defense Directive 5100.01, "Functions of the Department of Defense and Its Major Components" (DoDD 5100.01).<sup>\*</sup> It will review modifications made to the Directive, describe the events and factors that led to each revision, and identify the individuals who helped bring about each revision. Over time, those factors and individuals guided the evolution of U.S. military roles and missions to meet the needs of our Nation – in turn naturally feeding, and often dictating, the functions described in the Directive. Therefore, this paper will also include a discussion of these functions and associated roles and missions as they have evolved over time.

DoDD 5100.01 serves as a comprehensive departmental framework by codifying functions of the Military Services and other components in the Department of Defense. Since its initial issuance in 1954, the directive has captured sometimes contentious changes in these functions, as have been directed in Congressional mandates, Presidential Executive Orders, and Secretary of Defense policies.

To begin, a clear understanding of the related but distinct terms, "**roles**," "**missions**," and "**functions**" is necessary in reading this paper. The DoDD 5100.01 exclusively codifies functions, however the assessments which drive changes in these functions commonly address those functions in terms of roles and missions.<sup>2</sup> Recent examples of roles and missions reviews include work in preparation of the 2018 National Defense Strategy and subsequent analysis supporting the Congressionally directed "Report on Highest-Priority Roles and Missions of the Department of Defense and the Armed Forces."<sup>3</sup> Throughout the paper, as the current version of DoDD 5100.01 and the following definitions affirm, "functions" are treated as encompassing "roles" and "missions."

The DoD Dictionary defines function as "the broad, general, and enduring role for which an organization is designed, equipped, and trained."<sup>4</sup> The 2009 Quadrennial Roles and Missions Review (QRM) Report defined roles as "the broad and enduring purposes for which the Military Services and U.S. Special Operations Command were established by law."<sup>5</sup> The DoD Dictionary defines mission, as, "the task, together with the purpose, that clearly indicates the action to be taken and the reason therefore."<sup>6</sup> Further, the 2009 QRM Report indicated that missions are executive-directed "military activities required to achieve strategic objectives."<sup>7</sup>

Finally, the paper will note overarching trends and draw conclusions about the conditions necessary for changes to DoDD 5100.01 to occur and prospects for future revisions. Though the quest for joint effectiveness has been persistent since the forming of America's Armed Forces, this paper will focus on the turn of the twentieth century onward.

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<sup>\*</sup> Due to a numbering convention change for DoD Issuances, a zero was inserted after the decimal point. Originally designated 5100.1, this Directive is now known as DoDD 5100.01.

## 2. Preceding the First DoDD 5100.01: The Pursuit of Joint Military Effectiveness (1900 to 1947)

Formal efforts to define distinct roles of the Army and Navy, and guide their joint operation, followed the Spanish-American War early in the 20th century. These efforts continued post-World War I, took on renewed emphasis during World War II, and laid the foundation for a unified Department of Defense in the aftermath of World War II. President Truman achieved the reorganization of the military under a single executive department as codified in the National Security Act of 1947 and Executive Order 9877. The objectives of that reorganization were to better coordinate the Military Services in a joint construct, minimize duplication, and guide resource allocation by further defining their respective individual responsibilities. Figure 1 illustrates these events, which are discussed in detail below.

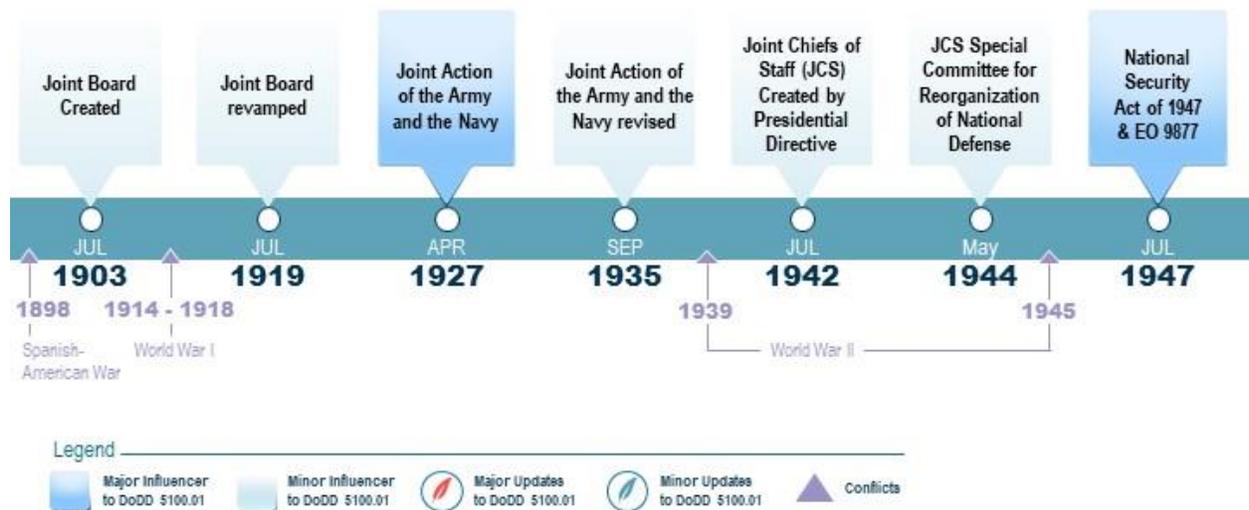


Figure 1

### a. Department of War and Department of the Navy

The Army, Navy, and Marine Corps were originally established in 1775, during the American Revolution. The War Department was established in 1789 as civilian oversight of the Army, and in 1798 the Department of the Navy was similarly founded. The two Departments were independent of one another, and each was answerable directly to the President. The Secretaries were members of the President's Cabinet, and though they engaged in joint committees and conferences, the Military Services seldom planned or operated in a coordinated manner.<sup>8</sup>

The imperative for increased joint effectiveness and alignment of the Military Services under one Department led to the eventual creation of the National Military Establishment in 1947. During this reform, the War Department was renamed the Department of the Army and fell under the new National Military Establishment along with the Department of the Navy and Department of the Air Force. While the Army and Navy Secretaries retained their positions in the Cabinet for another two years, an amendment to the National Security Act further consolidated the national defense structure by withdrawing cabinet-level status from the Service secretaries, leaving only the Secretary of Defense as a cabinet member.<sup>9</sup> These and other reform efforts throughout the 20<sup>th</sup> century, which required the Military Services to relinquish autonomy, faced persistent resistance from inside and outside the Military Service.

## b. The Joint Board

The Joint Board, created in 1903 and often referred to as the Joint Army and Navy Board, was the first inter-Service body formed to institutionalize coordination between the Army and the Navy.<sup>10</sup> The Spanish-American War (1898) revealed a lack of cooperation between the Military Services and resulted in a rivalry that led to confusion and conflict.<sup>11</sup> This was demonstrated during the siege of Santiago when the Navy virtually abandoned the Army, after which the Army seized Spanish vessels, a move the Navy protested.<sup>12</sup> Following public criticism of the military's handling of the war, the Secretaries of the Army and Navy, as well as their chief planners, formed the Joint Board in an effort to improve joint cooperation and avert the kind of disagreements that hindered joint action during the war. However, because the Joint Board had no formal authority or legislative mandate, its impact on joint effectiveness was negligible.

The performance of the U.S. military in World War I demonstrated the minimal influence the Joint Board had in achieving effective cooperation between the Military Services, due to the body having little impact on the planning and prosecution of the war. As a result, in 1919 the Service Secretaries revamped the board and increased its staff,<sup>13</sup> though with no additional legal authority or mutually conferred responsibilities, the revamped board achieved little additional impact.

The Joint Board did, however, take the first step toward defining distinct roles and missions for the Military Services, in 1927, by drafting a policies and procedure paper entitled *Joint Action of the Army and the Navy*. This non-binding agreement published for "information and guidance" outlined the "general" and "secondary" functions of the Army and the Navy, specifically to settle disputes between the Military Services in areas of overlapping duties and interests. There were especially pronounced disagreements with respect to air power. In fact, two full pages of the five-page document were dedicated exclusively to defining the functions of each Military Service's air components. The paper was revised in 1935 with the intent to more clearly define the roles and missions of each Military Service.<sup>14</sup>

## c. World War II: The Emergence of the Joint Chiefs of Staff (JCS) (1942)

*"We must never fight another war the way we fought the last two. I have the feeling that if the Army and the Navy had fought our enemies as hard as they fought each other, the war would have ended much earlier."—President Harry Truman<sup>15</sup>*

In the lead up to World War II, *Joint Action of the Army and Navy* had done little to advance the United States military's appetite for operating jointly. Continued Service resistance to coordinated execution in World War II demonstrated again the need for effective joint planning, well-defined Service functions, and a dedicated staff of military advisors to the President.

With authority granted by Congress in 1939, President Roosevelt created the Executive Office of the President, which placed "the offices of the Chief of Naval Operations and the Chief of Staff of the Army, to include the strategic planners of the Army and the Navy, under his direct control."<sup>16</sup> Further, in 1942, after a conference with British Prime Minister Winston Churchill and the British Combined Chiefs of Staff, President Franklin D. Roosevelt created the Joint Chiefs of Staff (JCS) by executive direction, having come to understand from his British counterpart the importance of joint planning and unified senior military advice.<sup>17</sup> However, many political and military leaders concluded that the responsibility for navigating turmoil and brokering compromises between the Army and the Navy should not fall directly on the President, but should be delegated to a dedicated senior official. Accordingly, the National Security Act of 1947 established the position of Secretary of Defense, who was fully empowered by the 1949 amendment, as the sole military member for the President's Cabinet.

World War II required an historic scope and scale of military power, the effectiveness of which depended on joint planning and coordinated execution. *Joint Action of the Army and the Navy* proved insufficient to align military commanders during the planning of Operation Torch, the joint allied invasion of North Africa in 1942, at the onset of US involvement in the war.

The Army's Operations Planning Division (OPD), insisted on unilateral Army planning for Operation Torch, with eventual coordination with the Navy. This approach was consistent with the *Joint Action of the Army and the Navy*, which stated "authority and responsibility are vested in the Commander of the force whose function and requirements are of greatest importance."<sup>18</sup> OPD felt that the operations on the beachhead and thereafter were of greatest importance, and therefore kept control of planning solely within the Army. When the War Department's OPD provided the strategy and planning for the Mediterranean to the Joint Chiefs of Staff for their review, the Joint Chiefs of Staff identified the need for a joint planning team.

Consequently, the Joint Chiefs of Staff assigned planning responsibility for Operation Torch to the new Commander-in-Chief of the Allied Expeditionary Force, General **Dwight D. Eisenhower**,<sup>19</sup> thus shifting military operations planning from the Military Services to a joint theater commander. Throughout the course of the war, Gen. Eisenhower witnessed firsthand the necessity of joint and unified command, saying later as President, "If ever again we should be involved in war, we will fight it in all elements, with all services, as one single concentrated effort."<sup>20</sup> Eisenhower's experiences as Army Chief of Staff, a member of the Joint Chiefs of Staff, an Allied (joint, unified) Commander, an informal Chairman of the Joint Chiefs,<sup>21</sup> and subsequently as President uniquely positioned him to have an enduring and authoritative impact on defense reform and the move toward a joint fighting force.

In 1944, the Army pushed for a new document to address overlapping roles, while the Navy advocated revision of the existing document, showing the divide between the Services. As they could not agree, they recommended the matter be referred to the Joint Chiefs of Staff,<sup>22</sup> re-confirming the importance of a joint governing body, and signaling a shift away from Military Service autonomy. The President and numerous senior military officers and members of Congress considered defense organizational reforms necessary to improve efficiency in planning and running operations and to cope with expected force and budget draw downs in the postwar period. This was the first time a unified national defense program was seriously entertained, and the rivalry between the Military Services intensified.

While planning challenges existed between the Military Services, there had been little competition for resources between the Army and the Navy as each had separate legislation, Service Committees, and Appropriations Subcommittees.<sup>23</sup> While the Joint Board called for Service cooperation in strategic planning, neither the process nor its results required immediate resourcing and thus sparked little controversy over resource allocations. Consequently, until serious mid-war debate began on housing the military establishment under a single executive department, the two Military Services rarely clashed politically.<sup>24</sup>

The leaders and benefactors of both Cabinet Departments—the War Department and the Department of the Navy—held different views on how the military establishment should be reformed. The War Department advocated unification in the form of a single military Department with air, sea, and land elements, a plan that would be favorable to Army resourcing and command. The Army's position was widely known, and as the Office of the Secretary of Defense (OSD) Historical Office wrote, "...in 1943 the Army attempted to create a single military department, in place of the War...and Navy Departments...However, disputes between the Army and the Navy were so contentious that the idea of unifying the two military Departments had to be put off until after the war."<sup>25</sup>

In April 1944, the House Select Committee on Post-War Military Policy was formed and held hearings on a “Proposal to Establish a Single Department of Armed Forces.”<sup>26</sup> The Committee concluded that an executive department coordinating the Military Services was a good idea, but that they would have to wait until the war was over to make any reforms. The plan, faced fierce opposition from the Navy and Marines – the Navy to preserve its own air elements, the Marine Corps to maintain its existence.

Secretary of the Navy James Forrestal needed an alternative plan and, on the advice of members of Congress, asked his friend and respected wartime resource manager Ferdinand Eberstadt to conduct a study. Thereafter, the Navy countered with a new plan drawing from Eberstadt’s study – a single executive department coordinating three military Departments: Army, Navy and Air Force. This plan would leave naval aviation and the Marines intact within the new Department of the Navy but would allow for the formation of a new Air Force Department and its status as a separate Military Service. It would also create a weak Secretary of Defense and preserve Cabinet-level status for the Secretaries of each Military Department.

The Joint Chiefs of Staff also sought to influence the discussion of defense reform. In May 1944, they established a working group called the Joint Chiefs of Staff Special Committee for Reorganization of National Defense. Roughly a year later, after holding hearings and interviewing stakeholders, the Committee issued a Report favoring the establishment of a unified Department of the Armed Forces,<sup>27</sup> which was delivered to the President for consideration. The Special Committee’s Report, however, was not unanimous with the Navy’s representative dissenting.

The plan President Truman proposed to Congress left mission overlaps and questions of reporting structure, among other issues, to the first Secretary of Defense. President Truman believed that a unified national defense structure was necessary, and he sent a message to Congress stating his belief that “there is enough evidence now at hand to demonstrate beyond question the need for a unified department.”<sup>28</sup>

Proponents of a national defense department, one with civilian leadership, viewed the cause as necessary to avoid duplication of effort by the Military Services and to allay fears of a general military staff. Using efficiency as a key argument for a national defense department easily won over President Truman who had risen to national prominence leading a Special Senate Committee charged with eliminating waste, fraud, and program cost overruns in the National Defense Program.<sup>29</sup> With tighter budgets, the country could not afford to waste funds on duplication of efforts (for example, two Services developing, fielding, and maintaining similar forces).

The German military’s involvement in the initiation and perpetuation of both World Wars and Japanese militarism during the 1930s and 1940s reinforced the longstanding American opposition to powerful military machines, or general staffs, that could take control of, or unduly dominate American decision-making.<sup>30</sup> This deeply rooted antipathy towards military influence, born out of the nation’s founders’ historical memory of Napoleon and Oliver Cromwell, and strengthened during the oppressive period of British colonial rule, was validated by the Axis powers in World War II.<sup>31</sup> Consequently, Presidents Roosevelt, Truman, and Eisenhower, as well as congressional leadership, sought organizational means of maintaining and strengthening civilian oversight and decision-making over the military.

World War II demonstrated the need for significant changes in the U.S. defense establishment by improving civilian control, joint planning, unity of command, and efficiency in joint operations. By war’s end, however, the country’s leadership – political and military – was engaged in a heated debate over how the defense establishment should be reformed.

#### d. The National Security Act of 1947

*“It is now within our power to give the President the help he so urgently needs, and to replace the security organization of 1798 with the organization of 1947.”—Senator John Chandler Gurney, then-Chairman of the Senate Armed Services Committee<sup>32</sup>*

In the immediate postwar years, there was a substantial activity aimed at defense reform. Various congressional committees held hearings\* while President Truman tried to iron out disagreements between the Army and the Navy. The ensuing legislation, the National Security Act of 1947, represented a compromise between all the competing interests and various stakeholders.

Convincing Congress to pass defense reform proved challenging for several reasons. First, congressmen had their own self-interests in mind. Diffused authority over military affairs gave legislators greater leverage over decisions regarding where defense industries and military bases would be located.<sup>33</sup> Second, members of the House and Senate feared relinquishing any of their authority over military matters to the Executive Branch. They worried that, by creating a single executive department to handle military affairs, they could eventually see the diminution of their own power and oversight. Third, divisions between the Military Services also played themselves out in Congress; both the Army and the Navy had veterans and other supporters in Congress that sympathized with the divergent views of each Military Service.

For his part, President Truman worked hard to see the reforms through. In addition to pushing Congress forward, he worked closely with the Service Secretaries to help resolve areas of disagreement. As late as May 1946, the two Services continued to argue over several major areas of reform, the most serious of which was the Navy’s continued opposition to full integration under one department, insisting that civilian Secretaries should continue to enjoy Cabinet rank. The two other contentious issues concerned the role of the Marine Corps and authority over aviation and air resources. Ultimately, Congress accepted a draft bill for unification proposed by President Truman and agreed upon by the Secretaries of War and Navy, and by the Joint Chiefs of Staff.

On July 26, 1947, President Truman signed the National Security Act into law and issued Executive Order 9877. Together they created the structure of the new national military establishment and assigned roles to the Military Services that would form the foundation of the Department of Defense for decades to come.

The National Security Act of 1947 codified and established many important institutions. The legislation accomplished the following:

- ▶ Officially created the “National Military Establishment,” the organizational predecessor to the Department of Defense. While the Military Services were finally unified under a single department, the way the roles and missions were defined allowed each Military Service to retain much of the power and autonomy it had previously enjoyed. This was reinforced by each Military Service maintaining its own Cabinet-level civilian Service Secretary.
- ▶ Created the Air Force as a separate Department. The Army Air Forces, including the Army Air Corps, were transferred to the newly established Department of the Air Force.

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\* Congressional Committees involved in the reform process included the House Select Committee on Post-War Military Policy, the House Committee on Naval Affairs, the House Committee on Expenditures in the Executive Department, the Senate Committee on Naval Affairs, the Senate Committee on Military Affairs, and the newly created Senate Committee on Armed Services.

- ▶ Created the position of Secretary of Defense. This position established civilian oversight of the National Military Establishment, although enumerated powers and a small staff guaranteed that the position would remain weak. President Truman would select Secretary of the Navy James Forrestal as the first Secretary of Defense, making the biggest critic of unification its biggest advocate.
- ▶ Legally codified the Joint Chiefs of Staff. The informal Joint Chiefs Staff established during World War II was institutionalized as a formal military advisory group. However, no Chairman was created and all advice offered was to be based on consensus.<sup>34</sup>

Executive Order 9877, signed July 26, 1947, supplemented the legislation’s general statements about Military Service functions with more specific roles and responsibilities. It also included common Military Service functions. A significant portion of the language detailed in Executive Order 9877 is found in the first and subsequent versions of DoDD 5100.01.

While these documents were meant to settle jurisdictional disputes and create clear boundaries between the functions of each Service, many issues were left unsettled. The Services claimed that ambiguous language in the regulations created inconsistencies between them, and thus the disputes over Service-specific functions continued.

### 3. Issuing the First DoDD 5100.01 (1948 to 1954)

The Department of Defense’s formation in 1947 required an organized structure and clearly identified Service roles and missions. A series of meetings and talks started to shape the organization and the functions of the Services within the new Department. Once elected in 1953, President Eisenhower was in a position of authority from which he could implement the defense reforms he had long sought. Events culminated in the first issuance of DoDD 5100.01 in 1954 (Figure 2).

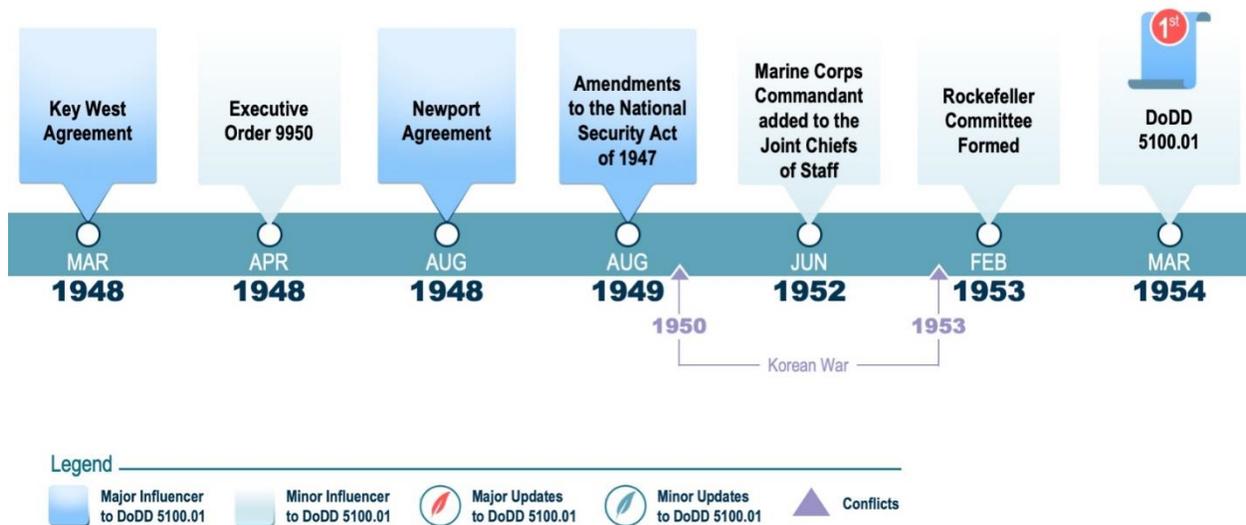


Figure 2

#### a. The Key West Agreement (1948)

To resolve ongoing conflicts between the Military Services, Secretary of Defense James Forrestal brought the Service Chiefs together in Key West, Florida, in March 1948. The resulting document, known as the

Key West Agreement, came to replace Executive Order 9877, which President Truman revoked on April 21, 1948 by issuing Executive Order 9950. On the same day, the President directed Secretary Forrestal to “issue the statement of functions of the Armed Forces and the Joint Chiefs of Staff” (the Key West Agreement). Secretary Forrestal did so, also on April 21, 1948, under the title “Functions of the Armed Forces and the Joint Chiefs of Staff,” a similar phrasing to the current title of DoDD 5100.01. It was intended to more clearly define the primary and collateral missions of each Military Service.<sup>35</sup>

The document limited previously broad Service functions, but preserved their right to collateral mission forces. For example, whereas Executive Order 9877 tasked the Navy with providing “naval combat and service forces, [and] naval aviation, ...for prompt and sustained combat at sea,” the Key West agreement added the caveat, “and for air and land operations incident thereto.” It also added to the Marine Corps land combat function, “which shall include...such aviation as may be organic therein.” These and other changes reduced conflicting mission-based claims over broad segments of the defense establishment, while allowing the Military Services to continue to possess assets that might otherwise belong to the primary role of another Service (e.g. Navy and Marine aviation).

While the Key West Agreement sought to set forth the most clearly delineated set of roles and functions to date, it fell short. Instead, the Agreement reinforced the traditional prerogatives and individualism that it sought to overcome. The Military Services were still, in large measure, free to pursue almost any capabilities they desired. As historian David E. Johnson wrote:

What is particularly striking about the Key West Agreement is that it essentially assured the retention by each service of its traditional turf, thereby virtually guaranteeing, at best, duplication of effort and, at worst, incompatibility. The services were virtually autonomous because each retained its authority to “organize, train, and equip forces for joint operations” and “conduct research, to develop tactics, techniques and organization, and to develop and procure weapons, equipment, and supplies each service coordinating with the others in all matters of joint concern.”<sup>36</sup>

The Key West Agreement also failed to address the increasingly contentious issue of nuclear weaponry and as a result, to address the matter, the Newport Conference was convened by Secretary Forrestal just a few months later.

### b. The Newport Agreement (1948)

Another series of talks was held at the Naval War College in Newport, Rhode Island, from August 20-22, 1948, which resulted in the Newport Agreement. This and the Key West Agreement, are the two accords collectively considered to be the most direct predecessors of DoDD 5100.01.<sup>37</sup> Secretary of Defense James Forrestal and the members of the Joint Chiefs of Staff once again took on the responsibility for crafting the new agreement, under which the Navy agreed to drop its opposition to the Armed Forces Special Weapons Project being placed under the Air Force temporarily, in return for the Air Force recognizing the Navy's requirement for nuclear weapons.

This brief accord included two significant changes to existing policy. First, it clarified the term “primary mission,” a phrase that was used in previous iterations of documents outlining the functions of each Military Service. The Newport Agreement concluded that a Military Service with the “primary mission” over a certain area of responsibility “must have exclusive responsibility for planning and programming as well as the necessary authority.” This was meant to preclude the Military Services from claiming incidental authority over functions primarily assigned to another Military Service, however, other Military Services were permitted to perform “collateral functions” out of resources provided for their “primary mission.”

The other significant change the Newport Agreement contributed to roles and functions doctrine was spelling out authority over the interim “control and direction of atomic operations,” by vesting in the Chief of Staff of the U.S. Air Force the responsibility for overseeing the atomic weapons program until an ongoing study conducted by the Military Liaison Committee could determine the most appropriate long term strategy. In the end, the Newport Agreement represented an important step, but debate over roles and missions and their necessary evolution continued.

### c. Amendments to the National Security Act (1949)

Defense Secretary Forrestal continued to see the Office of Secretary of Defense as hindered by the Office’s lack of clear authority over the military.<sup>38</sup> In early 1949, not long before Secretary Forrestal resigned his post, President Truman asked Eisenhower to return to active duty to preside over and set agendas for the Joint Chiefs of Staff.<sup>39</sup> Eisenhower stayed less than a year, but he confirmed and furthered the recommendations Secretary Forrestal had made previously, specifically his belief that the position of Chairman of the Joint Chiefs of Staff (CJCS) must be formalized and further empowered with a Joint Staff of expanded size and responsibility. Disputes between the Services and competition for resources were some of the greatest barriers to reform, and issues were often escalated to Congress or the White House for resolution.

The declining defense budget caused increased competition among the Military Services for limited resources and heightened scrutiny of forces in light of roles and missions. At the same time, the Military Services were loath to relinquish control over any areas in which they previously had authority. A notable example was the “revolt of the admirals” in 1949 when Secretary of Defense Louis A. Johnson decided to cancel the acquisition of the supercarrier *United States* in favor of funding for the B-36 bomber program and announced the transfer of Marine air assets to the Air Force. The Navy feared it would lose naval aviation entirely, and Secretary of the Navy John Sullivan and a number of ranking admirals resigned in protest.<sup>40</sup>

As a result, Cedric Worth, the Special Assistant to the Under Secretary of the Navy, acting with the promise of anonymity, provided documents\* to a member of the House Armed Services Committee initiating an investigation into the B-36 program. A round of congressional hearings then examined roles and missions of the Navy and Air Force, with regard to aviation.<sup>41</sup> Ultimately, the Navy lost the battle for the carrier, and then-CJCS General of the Army General Omar Bradley characterized the problem as the Navy refusing to conform to unification.<sup>42</sup>

As civilian and military leadership interpreted, tested the limits of, and gauged the effectiveness of the new defense structure, amendments were introduced to improve upon the 1947 defense architecture. This resulted in the National Security Act of 1949, which established additional senior positions in the defense organization, strengthened the power of its leadership, and included:

- ▶ Renaming the “National Military Establishment” as the “Department of Defense.”
- ▶ Strengthening the power of the Secretary of Defense within the Department and over the Military Departments. This included removing Cabinet-level status of the Secretaries of the Military Departments.<sup>†</sup>

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\* Worth later admitted that he had fabricated these documents. Source: The Air Force Office of Special Investigations 1948-2000, by USAF Office of Special Investigations, p. 61

<sup>†</sup> While previously the Army, Navy, and Air Force were “Executive Departments,” the 1949 amendments changed their status to “military departments.”

- ▶ Formally establishing the position of Chairman, Joint Chiefs of Staff.
- ▶ Expanding the duties of the Joint Chiefs of Staff and the size of its staff.
- ▶ Establishing the position of Deputy Secretary of Defense to assist the Secretary.
- ▶ Renaming “Special Assistants” as “Assistant Secretaries of Defense” and requiring that one be designated as Comptroller.

Despite the 1949 amendments, the Department and the Military Services continued struggling to improve efficiency and develop cooperative working relationships. In 1950, North Korea invaded South Korea, and U.S. Armed Forces involvement in the war took defense organizational reforms out of the spotlight. As a result, few reforms were enacted during this time. Notably, however, the Marine Corps Commandant was authorized to meet with the Joint Chiefs of Staff as a coequal member in matters of concern to the Marine Corps, in accordance with Public Law 416, enacted on June 28, 1952. Additionally, language was added to the National Security Act specifying the composition and strength of the Marine Corps. Generally, however, legislation then – as during other major conflicts – centered on operational concerns.

#### d. The First DoDD 5100.01 (1954)

Dwight D. Eisenhower assumed the presidency in January 1953, just five months before the armistice between North and South Korea, and immediately pursued historical changes in the defense establishment. In February 1953, Eisenhower’s new Secretary of Defense, Charles E. Wilson, appointed a seven-man committee, the Rockefeller Committee, to produce a comprehensive plan for streamlining the Department of Defense.<sup>43</sup> Secretary Wilson forwarded the Committee’s recommendations to the President, and, on the heels of armistice that year, President Eisenhower introduced his [Defense] Reorganization Plan No. 6 of 1953.<sup>44</sup>

Secretary of Defense Wilson issued changes to the Key West Agreement in October 1953, which reflected legislation passed since the 1948 agreement, as well as Eisenhower’s Reorganization Plan No. 6. Changes included the Commandant of the Marine Corps JCS status,<sup>\*</sup> validating the Defense Secretary as head of the DoD, clarifying the chain of command, and providing for the resourcing of unified commands. That revised document, still commonly known as the “Key West Agreement,” was reissued in 1954 as the first Department of Defense Directive (DoDD) 5100.01, “Functions of the Armed Forces and the Joint Chiefs of Staff” and signed by Secretary Wilson at the “direction of the President.”<sup>45</sup>

## 4. Toward the First Revision of DoDD 5100.01 (1955 to 1958)

*“Separate ground, sea, and air warfare is gone forever. If ever again we should be involved in war, we will fight it in all elements, with all services, as one single concentrated effort.” — President Dwight D. Eisenhower in a message to Congress on April 3, 1958.*

During the latter part of the 1950’s, Eisenhower’s Administration continued to keep defense reform and reorganization as a top priority. Technological advancements, improved efficiency and further unification of the Department were addressed in new policies and recommendations to Congress. Defining the Air Force’s roles and missions was also a major factor in the late 1950’s with the need to clarify support to the Army, and to focus on missile development and defense.

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<sup>\*</sup> “The Commandant of the Marine Corps has co-equal status with the members of the Joint Chiefs of Staff on matters which directly concern the Marine Corps.”

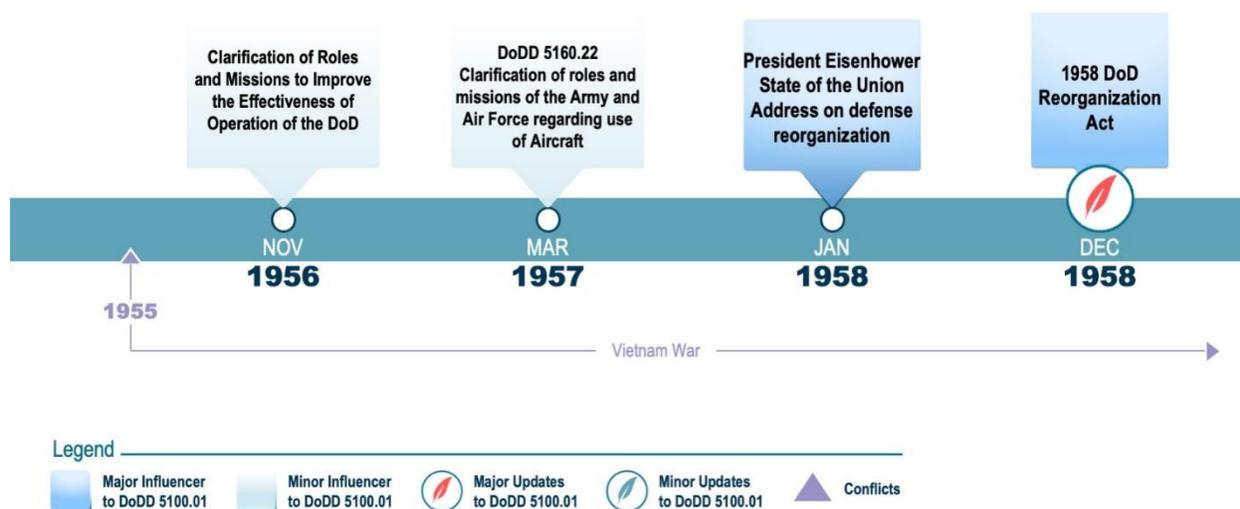


Figure 3

### a. Clarification on Roles and Missions Memo

In 1956, Defense Secretary Wilson issued a memorandum, “Clarification of Roles and Missions to Improve the Effectiveness of Operation of the Department of Defense,” in which he indicated that DoDD 5100.01 is the implementation of legislation. In the same memorandum he also stated that, while no major changes to roles and missions of the Armed Services seemed necessary, “clarification and clearer interpretation” of said roles and missions might become necessary because of “the development of new weapons” and “new strategic concepts.”<sup>46</sup> He follows with a discussion of five problem areas, including Army aircraft use, airlift adequacy, air defense, Air Force tactical air support for the Army, and Intermediate Range Ballistic Missiles.

Further direction and changes provided in legislation and executive issuances did little to dispel inter-Service rivalries. Debate continued between the Army and Air Force on their respective responsibilities for Close Air Support (CAS). In 1957, Secretary of Defense Wilson issued DoDD 5160.22, “Clarification of Roles and Missions of the Departments of the Army and the Air Force Regarding Use of Aircraft,” to further clarify responsibilities. The directive outlined necessary uses of aircraft, including tactical reconnaissance and CAS by Army and Air Force. However, the Air Force still believed the use of CAS by the Army was redundant, and overlapped their efforts and execution. Additionally, the Air Force did not approve of the use of helicopter gunships for CAS by the Army.<sup>47</sup> DoDD 5160.22 was later cancelled in 1971 (see call out box on page 16).

### b. President’s Advisory Committee on Governments Organization (PACGO)

President Eisenhower made defense reorganization a top priority of his Administration and spearheaded the process by presenting recommendations to Congress. Scientific and technological advances, as well as increased competition from the Soviet Union, intensified by the 1957 launch of *Sputnik* and reports of a U.S. “missile gap,” led once again to discussion of defense organizational reform.<sup>48</sup>

He believed strongly that the peacetime military structure had to prepare the Nation for unified war fighting, and he advocated strengthening unified commands, enhancing the power and control of the Secretary of Defense, streamlining the chain of command, and improving military efficiency while

promoting Military Service cooperation and interoperability. He also proposed strengthening the military advisory staff to the Commander-in-Chief and Secretary of Defense and restructuring the research and development components of the Department. President Eisenhower's proposals, however, would lead to a protracted battle with Congress over how to best reorganize the Department.

President Eisenhower had long been the driving force behind this reorganization process. The President's Advisory Committee on Government Organization (PACGO), which he created in 1953, was Chaired by Nelson Rockefeller and tasked with crafting recommendations on the topic of "International Security: the Military Aspect." By the end of 1957, PACGO encouraged the President to begin drafting proposals to set the parameters of the discussion, and the President agreed, using his State of the Union Address to launch the national debate.<sup>49</sup>

### c. 1958 Reorganization Act

Congress unanimously passed the 1958 Reorganization Act (Public Law 85-599 (72 Stat. 514)) on July 18, 1958. It became the basis for many of the changes in the revised version of DoDD 5100.01, released later that year. President Eisenhower made progress on defining roles and missions with changes to the chain of command and a more empowered Secretary of Defense (see paragraph d. just below); however, failed to move Congress on appropriating funds to the Secretary of Defense instead of individually to the Services.

President Eisenhower believed that it would increase efficiency and reduce overlap if Congress made a lump sum allocation to the Department of Defense and allowed the Secretary of Defense to distribute the resources according to the strategic needs of the Department, rather than having the Services individually appeal to Congress for appropriations. Congress rejected the lump sum idea outright. Another major area of disagreement was over congressional access to Pentagon testimony. While Congress wanted to continue having unfettered access to any civilian or military official it wished to question, the President felt strongly that discussions of national security should take place within the Department of Defense, and that the Department should then speak with one voice.<sup>50</sup>

President Eisenhower was undeterred by congressional opposition. He met frequently with Congressional leaders and Pentagon officials, held breakfasts for Republican Congressmen, reached out to influential friends and the heads of private companies asking them to lobby Congress, and provided each of his Cabinet members with sample letters and encouraged them to write letters to Congress. When asked what he would do to see the reorganization pass, the President commented, "I would get onto the air as often as the television companies would let me on. I would keep it up until I would have the United States understanding that it is their pocketbook...more than that, it is their safety."<sup>51</sup>

While the matter was initially characterized as a bout between branches of government, it later devolved into a partisan fight with Congressman Carl Vinson (D-GA), Chairman of the House Armed Services Committee, leading the opposition against the President. Accordingly, President Eisenhower sought to instill strict party discipline and enlisted the support of the Republican leadership to help pass the legislation in its final compromised form.

### d. 1958 DoDD 5100.01 Revision

The 1958 revision of DoDD 5100.01 contained some of the most significant changes to the document to date. These changes further empowered the Secretary of Defense and diminished the authorities of the Military Departments. The changes, based on the Reorganization Act and reflected in the amended directive, accomplished the following:

- ▶ **Modified the chain of command.** The Military Services were removed from the operational chain of command, allowing the Combatant Commanders to bypass the Military Services and communicate directly through the Joint Chiefs of Staff with the President and the Secretary of Defense.
- ▶ **Empowered the Secretary of Defense.** The Secretary of Defense was given the power to exercise full authority, direction, and control over the Department.<sup>52</sup> This allowed for the establishment of new agencies or positions, the reassignment of responsibilities among members of the Department, and reorganization of the Department. The directive also cited the Office of the Secretary of Defense for the first time, and included within the Office the Director of Defense Research and Engineering, a position newly created by the 1958 Reorganization Act.
- ▶ **Enhanced the role of the Joint Chiefs of Staff.** The Joint Chiefs of Staff came to “constitute the immediate military staff of the Secretary of Defense” and the Chairman of the group now had a formal vote. The Joint Chiefs of Staff was also directed to provide joint intelligence for use within the Department and to “prepare” integrated logistic plans instead of “reviewing” the plans formerly drafted by the Services.
- ▶ **Empowered the unified and specified commands.** The common functions of the Military Departments and Services narrowed to “Organize, train, and equip forces *for assignment to unified and specified commands.*” (*Emphasis added*). This limited the Military Services to force development and planning missions and transferred force employment missions to the Unified and Specified Commands, as the Combatant Commanders were given “full operational control over the forces assigned to them.” In addition, the Military Services were directed to prepare and submit their budgets to the Secretary of Defense based partly on the advice of the Commanders of the Unified and Specified Commands. The Unified and Specified Commanders also had a more direct line within the chain of command as the Military Services were removed. The Unified Command Plan appears for the first time in the document and is designated as a source prescribing Unified and Specified Command functions.
- ▶ **More clearly delineated certain roles and functions.** The Air Force lost its role of maintaining “forces” for land-based air defense. The Marine Corps was assured of its survival by securing language in the Reorganization Act of 1958 (and several subsequent revisions of DoDD 5100.01, but removed in the 2010 version) that the Corps would include “not less than three combat divisions and three air wings and such other land combat, aviation, and other services as may be organic therein.” The Army became responsible for domestic emergencies and the “authorized civil works program.”

### Close Air Support: World War II through the Cold War

Close air support (CAS) persists as a point of contention between the Military Services. The current joint definition of CAS is “air action by aircraft against hostile targets that are in close proximity to friendly forces and that require detailed integration of each air mission with the fire and movement of those forces.”<sup>53</sup> Pioneered by the German Luftwaffe during the Second World War, CAS quickly proved its speed and efficiency in comparison with ground artillery in supporting Blitzkrieg advances. The American CAS function, begun under the U.S. Army Air Forces, was assigned to the U.S. Air Force at its inception. The Air Force has had difficulty balancing strategic mission requirements with tactical CAS mission requirements.<sup>54</sup>

Beginning with the Key West Agreement of 1948, limits were placed on aircraft maintained as part of the organic Army force structure to prevent the blurring of roles and missions. With the development of helicopters, the Army introduced the air cavalry concept, which it employed during the Korean War. CAS, neglected in capability and

capacity by the Air Force in favor of strategic and air superiority missions, was insufficient to meet Army CAS needs.<sup>55</sup> The F-86 Air Force jets employed for CAS in Korea had been designed for aerial combat and were less effective against ground troops. Additionally, air-ground communications deteriorated after World War II such that, as late as the second year of the Korean War, Army and Air Force radios were not interoperable.<sup>56</sup> As a result, the Army began to develop air mobility in fixed- and rotary-wing aircraft. The combination of all these factors has historically caused friction between the Army and the Air Force over the CAS and intra-theater airlift missions.

Three agreements between the Army and the Air Force were negotiated in 1949, 1951, and 1952. The first, signed by the Chief of Staff of the Army (CSA) Omar Bradley and Chief of Staff of the Air Force (CSAF) Hoyt Vandenberg, set parameters on Army organic aircraft by affixing specific weight limits for rotary-wing and fixed-wing aircraft.<sup>57</sup> Army Secretary Frank Pace and Secretary of the Air Force Thomas Finletter then removed the weight limitations and attempted to define “organic” aircraft as those used within a certain distance of ground combat in their first agreement. This agreement also significantly stated that the Army could not duplicate Air Force capabilities in CAS, among other capabilities.<sup>58</sup> The second Pace-Finletter Agreement returned the weight restriction, this time with a higher ceiling and expanded the distance portion of the “organic” aircraft definition.<sup>59</sup>

Following the first iteration of DoDD 5100.01 in 1954, Secretary of Defense C.E. Wilson signed a Memorandum and a Directive specifically addressing Army aviation. The 1956 Memorandum for Clarification of Roles and Missions reiterated the weight limit for Army fixed-wing aircraft, affixed a new weight limit for rotary-wing, and set airlift stipulations for Army aviation.<sup>60</sup> The 1957 DoDD 5160.22, “Clarification of Roles and Missions of the Departments of the Army and Air Force Regarding Use of Aircraft,” authorized specific non-airlift purposes for Army aircraft, limited Army airlift capacity, and made explicit expectations of the Air Force with regard to airlift and evacuation.<sup>61</sup>

In 1966, the Air Force, suspicious of what appeared to be the development of another tactical air force, negotiated the Johnson-McConnell Agreement, signed by CSA Harold Johnson and CSAF John McConnell. The agreement removed rotary-wing aircraft as an Air Force CAS and tactical mobility platform. In exchange, the Army relinquished current and future fixed-wing tactical airlift aircraft.<sup>62</sup>

The Air Force insisted on keeping the CAS mission but continued to neglect it, prompting investigations by the House Armed Services Committee in 1965, 1966, and 1971.<sup>63</sup> Despite the need demonstrated in Korea, the Air Force still had insufficient air controller aircraft during the first years of the Vietnam conflict, forcing the Air Force to procure or transfer Army light observation aircraft and Navy attack aircraft to carry out CAS.<sup>64</sup> In frustration, the Army developed the attack helicopter. Toward the close of the Vietnam conflict, the Army began developing the Cheyenne, a powerful, agile attack helicopter.<sup>65</sup> The Air Force, concerned about losing the CAS mission and sharing its air role, reluctantly fielded the A-10, the first and only aircraft designed specifically for CAS. The Cheyenne was cancelled and the Air Force tried to pull back on A-10 procurement, but Congress forced continuation of the procurement.<sup>66</sup>

Goldwater-Nichols legislation and inter-Service discussions attempted to solve the CAS problem. For several years, the Air Force attempted to retire the A-10 from service. Engagement between the Army and Air Force culminated in the development and adoption of AirLand Battle Doctrine and the agreement known as “31 Initiatives” between CSA John Wickham and CSAF Charles Gabriel, paving the way for joint training and operations. In 1986, during the Goldwater-Nichols debate, the Air Force considered transfer of the A-10 and the CAS mission to the Army. However, the Army, finally satisfied with the Air Force CAS capability in the A-10, was not interested in funding its own procurement, training, and manpower requirements for CAS.<sup>67</sup> The Goldwater-Nichols Act provided additional guidance aimed at jointness in CAS, and the new language was subsequently introduced in DoDD 5100.01. The A-10 and Air Force CAS mission persists to this day to include expansion to bombers with the addition of precision targeting pods, and unmanned air systems (UAS).

## 5. The Enduring Defense Structure (1959 to 1980)

After the Defense Reorganization Act of 1958, the functions of the Department of Defense and its major components were left largely unchanged for almost three decades (Figure 4). Although DoDD 5100.01 was updated several times during this period, the changes made were generally minor. However, this was not for lack of initiative on the part of senior leaders. Successive Administrations called for defense reform and set up their own committees to study reorganization.

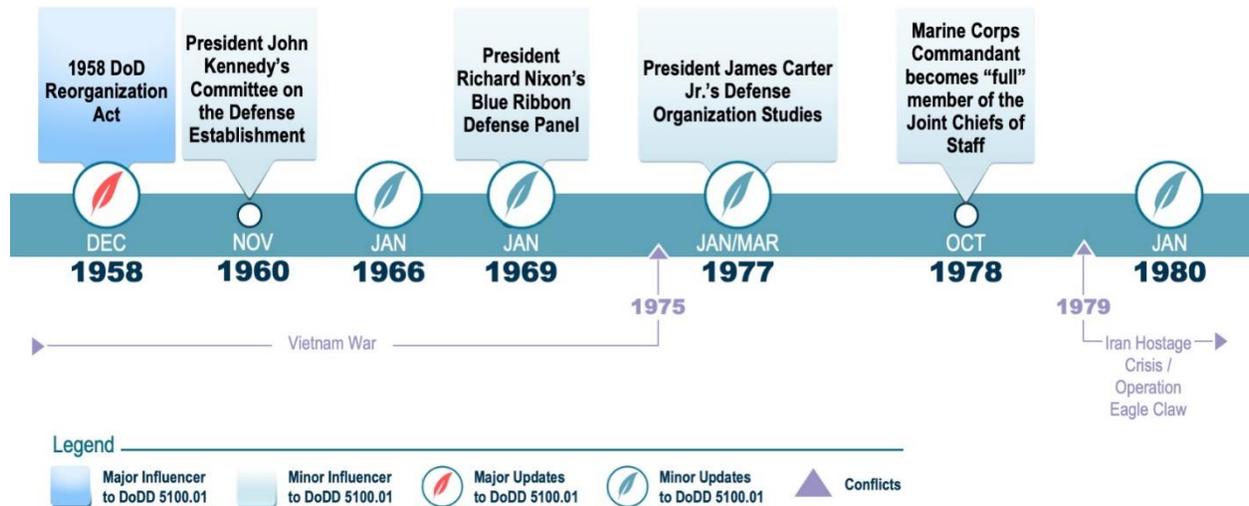


Figure 4

### a. Minor Updates to DoDD 5100.01

A series of nominal changes made to the Directive between 1966 and 1980 are described below. These include changes emanating from President-elect Kennedy's Committee on the Defense Establishment,<sup>\*</sup> headed by Stuart Symington, President Nixon's Blue Ribbon Defense Panel, and President Carter's Defense Organization Studies.

**June 1966 Change:** Two new clauses were added to the Directive. One directed the Joint Chiefs of Staff to include the Defense Supply Agency in the preparation of integrated logistics plans, and the other made the Joint Chiefs of Staff responsible for providing military guidance for use by the Defense Agencies. The only other change in this edition of the Directive was the addition of a Section at the end of the document listing Defense Agencies and their chartering directives. This period saw a considerable expansion of Defense Agencies and the Office of the Secretary of Defense under Secretary of Defense Robert McNamara.

**June 1969 Change:** This update altered language regarding the logistics responsibilities of the Joint Chiefs of Staff. For example, it made the Joint Chiefs of Staff responsible for reviewing and recommending appropriate logistics guidance for the Military Services to the Secretary of Defense. It also assigned the Military Services responsibility for recommending logistics guidance for their respective Departments to the Secretary of Defense.

<sup>\*</sup> The Symington Report was actually commissioned by Senator John F. Kennedy while he was the Democratic Presidential nominee. The Report was issued November 1960, two months before Kennedy officially assumed the Office of the President.

**January 1977 Change:** Minor updates included the names of two Defense Agencies and addition of the following to the list: Defense Advanced Research Projects Agency (DARPA), Defense Audit Service (DAS), Defense Civil Preparedness Agency (DCPA), Defense Investigative Service (DIS), Defense Mapping Agency (DMA), Defense Security Assistance Agency (DSAA). Signed by: Director, Correspondence and Directives Roche.

**March 1977 Change:** This revision offered no substantive changes. It merely changed Defense Support Agency to Defense Logistics Agency in the list of Defense Agencies found at the end of the document. It did not alter the functions of any entity within the Department.

**January 1980 Revision:** In one of the few significant changes to DoDD 5100.01 during this time period. In accordance with Public Law 95-485 (1978), the Marine Corps Commandant became a full and equal member of the Joint Chiefs of Staff. While the Marine Corps Commandant previously had a voice only in discussions that directly pertained to the Marines, he was now a coequal on the Joint Chiefs of Staff, participating fully in every aspect of decision-making. This change was a direct result of lobbying done by, and on behalf of, the Marine Corps after the Commandant had been snubbed and passed over for the opportunity to serve as Acting Chairman of the Joint Chiefs of Staff when all other members were out of town.<sup>68</sup>

### Defining the Role of the Marine Corps

Throughout its history, there have been several attempts to “legislate, administrate, or remodel the Marine Corps out of existence.”<sup>69</sup> President Herbert Hoover first suggested merging the Marines with the Army in 1930 as a means to save money during the Great Depression, but as a result of a public relations campaign conducted by the Marines, they were able to deliver more than 10,000 supportive telegrams to the White House mailbox, effectively deferring the issue until after World War II. As President Harry Truman sought to reorganize the defense establishment, the question of eliminating the Marine Corps once again surfaced. In an effort to save his Service, Commandant of the Marine Corps General Alexander A. Vandegrift appeared before the Senate Commission on Naval Affairs on May 6, 1946, and delivered his famous “bended knee” speech stating:

“Sentiment is not a valid consideration in determining questions of national security. We have pride in ourselves and in our past, but we do not rest our case on any presumed ground of gratitude owing us from the Nation. The bended knee is not a tradition of our Corps. If the Marine as a fighting man has not made a case for himself after 170 years of service, we must go.”<sup>70</sup>

Vandegrift’s testimony, in conjunction with additional support from friends in Congress, helped save the Marine Corps from extinction, but the National Security Act of 1947 left out any mention of Marine Corps roles and functions and did not include the Marines in the Joint Chiefs of Staff. General Vandegrift was quite perturbed that the Marines’ roles and functions were left undefined, as he felt this omission rendered any mention of the Marine Corps meaningless.<sup>71</sup>

The Marine Corps’ roles and missions were more clearly outlined during the Key West Conference in 1948, to which the Commandant, General Clifton B. Cates, was not even invited. As a result, the Marines were relegated principally to conducting amphibious operations.<sup>72</sup>

In August 1950, Representative Gordon L. McDonough (R-CA) wrote to President Truman requesting consideration to allow the Commandant of the Marine Corps to serve on the Joint Chiefs of Staff. President Truman replied, “For your information, the Marine Corps is the Navy’s police force, and as long as I am President that is what it will remain.”<sup>73</sup> The Congressman made the letter public, forcing Truman to make a public apology.

A more sustained effort at gaining a position on the Joint Chiefs of Staff took place in 1952 with the proposal of Public Law 416, which also sought to give additional legal recognition to the Marine Corps to prevent any future possibility of disbanding it. The Secretary of Defense, Joint Chiefs of Staff, and Chief of Naval Operations all testified against the legislation.<sup>74</sup> The bill ultimately passed and established in law that the Marine Corps “includes not less than three combat divisions and three air wings,” language describing the Marine Corps in DoDD 5100.01 until 2010. However, the law still only permitted the Commandant of the Marine Corps to participate in Joint Chiefs of Staff proceedings when issues being considered were directly related to the Marine Corps.

This status persisted until 1978. Circumstances brought the issue of the Commandant’s status to a head, when in August 1977, then-Commandant General Louis Wilson was passed over to assume the position of Acting CJCS when all other members of the Joint Chiefs of Staff were to be out of town. The other Service Chiefs declared that General Wilson was not a full member, and they designated the Vice Chief of Staff of the Air Force as the Acting Chairman instead of the Marine Corps Commandant. Infuriated, General Wilson committed himself to changing the National Security Act and Title 10 of the U.S. Code to obtain truly equal status for the Commandant of the Marine Corps in the Joint Chiefs of Staff.<sup>75</sup> Using his personal connections on Capitol Hill and calling together the “Congressional Marines,” former Marines serving in or working for Congress, General Wilson garnered the necessary support for his reform. Despite some bumps along the road, including an overridden presidential veto from President Jimmy Carter, on October 20, 1978, the Commandant of the Marine Corps officially became a “full” member of the Joint Chiefs of Staff with the passage of Public Law 95-485.<sup>76</sup>

On September 30, 2005, General Peter Pace became the first Marine Corps general officer to serve as the Chairman of the Joint Chiefs of Staff. Notably, he was also the first Marine to serve as Vice Chairman, a position he held from October 1, 2001 through August 12, 2005. Defense reform legislation has a history of seeking to relegate the Marine Corps to an inferior status among the Services, or to try and eliminate the Marines outright. Not surprisingly then, the Marine Corps approaches reorganization cautiously and seeks the inclusion of specific language that will guarantee its continued role as co-equal among the Services.

## 6. Progress Toward a Joint Force in the 1980s

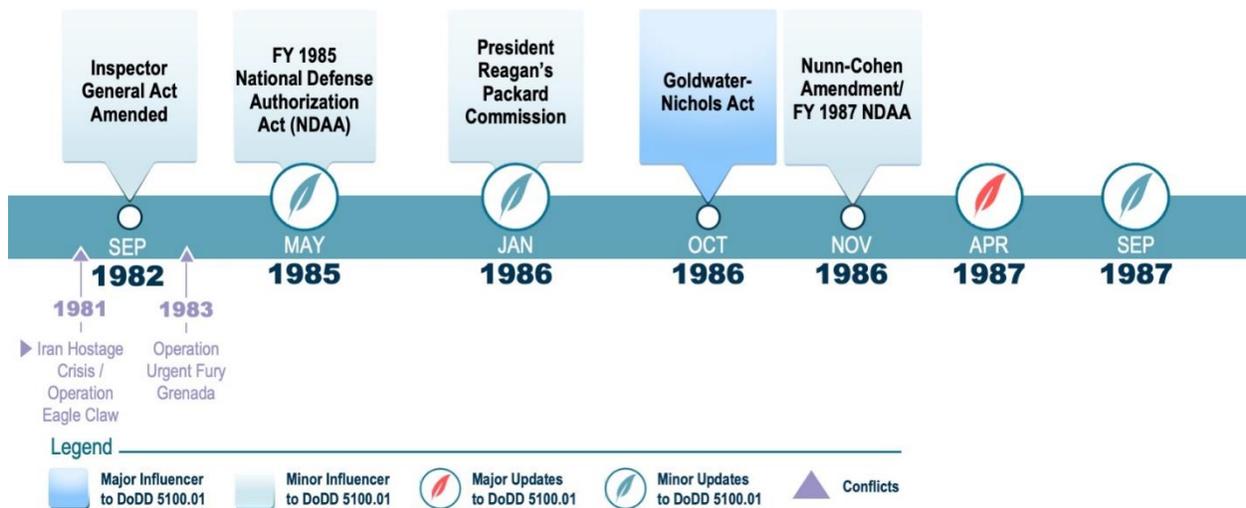


Figure 5

The Goldwater-Nichols Act of 1986 directed the most sweeping adjustments to the military perhaps in the nation’s history. A string of operational failures proved that despite repeated efforts throughout the 20<sup>th</sup>

Century, the Services were still organizing and operating independently of one another, and with dire consequences. Increasingly, congressional and military leaders came to realize that only a change in law could overcome the embedded institutional barriers to effective joint operations.

### a. The Push for Joint Effectiveness in the 1980s

Between the major defense organizational overhauls of 1958 and 1986, a string of operational failures led some senior military leaders and members of Congress to advocate for reforms tackling the biggest problems – problems not new to the American defense establishment, but highlighted by recent events and subsequent examination of the Department. Discussion of reform focused in particular on the inability of the Military Services to operate jointly, the lack of unity of command, and the diluted military advice being delivered to political leadership.\* President Ronald Reagan and many in the Department initially opposed the changes, but later supported significant reforms leading up to the passage of legislation. After several years of hearings, commissions, and studies, the Goldwater-Nichols Defense Reorganization Act became law in 1986. Statutory changes directed in this legislation account for nearly all the changes reflected in the April 1987 revision of DoDD 5100.01.

The event generally accepted as the impetus for the Goldwater-Nichols Act was the 1979 Iran Hostage Crisis. The failed high-profile joint rescue mission, Operation Eagle Claw/Evening Light in April of 1980, renewed the call for defense reform later that year.<sup>77</sup> The Holloway Report, the Joint Chiefs of Staff official investigation of the catastrophe at Desert One during the rescue attempt,<sup>†</sup> resulted in the deaths of eight U.S. servicemen and highlighted the lack of sound military advice being delivered to senior leaders, the disunity of command, and a serious lack of joint interoperability.<sup>78</sup>

Earlier events, including the seizure of the *USS Pueblo* in 1968, the chain of command problems evidenced during strategic bombing campaigns of the Vietnam conflict, and the costly attempted rescue of the *USS Mayaguez* crew in 1975, highlighted the need for better military advice, joint interoperability, and a direct, clear, and joint chain of command. Still, it was not until almost two years after the Iran Hostage Crisis that real change in the Department of Defense began to be seriously considered.

In early 1982, then-CJCS Air Force General David Jones shocked the political and defense establishments when he published an article pointing out problems in defense organization and presenting his recommendations to fix them. In February 1982, just five months before the end of his tenure, during testimony before the House Armed Services Committee (HASC), General Jones presented his argument for reform. As the first sitting senior military leader in decades to call for change, he stated, “The system is broken. I have tried to reform it from inside, but I cannot. Congress is going to have to mandate necessary reforms.”<sup>79</sup>

His plan for moderate reform included strengthening the role of the CJCS and creating a Four Star Deputy to the Chairman, senior to the Service Chiefs. Further, the CJCS would be able to interface with civilian authority, as well as specified commanders. By amplifying the role of the CJCS and appointing a new deputy, the CJCS would have a more direct line to the Secretary of Defense and President limiting Military Service staff involvement in joint processes. General Jones also hoped to improve joint training, experience, and incentives. These suggestions for reform sparked intense debate.<sup>80</sup> General Jones’ continued advocacy after retirement is credited by some as the “most important factor in ultimately bringing about the Goldwater-Nichols Act.”<sup>81</sup>

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\* Reforms also focused on areas not discussed here including personnel management, acquisition cost overruns, and waste.

† Desert One refers to the operation’s staging area in a remote desert location in Iran.

Calls for defense reform by senior military leaders, in conjunction with other testimony supporting reform, led to congressional jockeying between the HASC and Senate Armed Services Committee (SASC). In response to the failure at Desert One, and the increased calls for reform from senior military leaders in the spring of 1982, the HASC Investigations Subcommittee began five months of hearings on “Joint Chiefs of Staff reform” under its new Chair, Representative William Nichols (D-AL). During these hearings, General Edward Meyer, Chief of Staff of the Army, promoted his own plan for reform requiring even greater change to existing defense organization and functions than advocated by General Jones.<sup>82</sup> In particular, General Meyer called for abolishing the JCS and replacing it with a National Military Advisory Council. This Council would comprise senior flag officers and one civilian from each Service, and the Chairman. He also argued that the Office of the Secretary of Defense should relinquish its leading role in policy and program development, assuming only an implementation role.<sup>83</sup> Congressman Ike Skelton (D-MO), an ardent and vocal supporter of reform, introduced a resolution that directly paralleled General Meyer’s plan.<sup>84</sup>

In the end most of these ideas were not adopted, but Meyer’s support for reform the case for a greater discussion. The HASC Investigations Subcommittee produced a Joint Chiefs of Staff reform bill that passed the House later that year, but the bill was not entertained by the SASC because of strong opposition by Senators John Tower (R-TX) and John Warner (R-VA). Senator Tower had close ties to the Navy and harbored aspirations of becoming the Secretary of Defense, while Senator Warner, a former Secretary of the Navy, saw the reforms as undue criticism and interference by the Congress.<sup>85</sup>

In June 1983, Senator Tower, the SASC Chairman, launched a series of hearings on defense reform, including Joint Chiefs of Staff reorganization. In August, the House again passed a Joint Chiefs of Staff reform bill introduced by Congressman Nichols’ HASC Investigations Subcommittee, but Senator Tower once again did not allow the bill to be considered in the SASC. It appeared that defense reform was destined to languish in committee.

In October 1983, soon after Senator Tower appointed staffer James Locher to oversee a defense reorganization study, two events demonstrated the urgency for defense reform. On October 23, 1983, the U.S. Marine barracks in Beirut, Lebanon, was bombed. The Long Commission, appointed by the Secretary of Defense one month after the bombing, criticized the “tortured chain of command” and the dangerously restrictive rules of engagement responsible for the disaster. Additionally, inter-Service tensions surfaced over the transport of wounded Marines flown by the Air Force to West Germany for treatment rather than to a closer hospital at a naval base in Italy.

Two days later on October 25, 1983, Operation Urgent Fury, the invasion of the Caribbean island of Grenada, commenced. U.S. Forces defeated the vastly inferior Cuban force (in Grenada to support the short-lived revolution there), in spite of an almost total lack of communication between the Military Services during the planning and execution of the operation. Historian Gordon Lederman stated that the two events: “...revealed a weak Joint Chiefs of Staff lacking influence on military policy and a confused chain of command.... [And] symbolized the U.S. military’s glaring failure to plan and execute effective joint operations.”<sup>86</sup>

Yet despite the growing agreement on the need for defense reorganization, senior leaders in the Executive Branch remained opposed to the idea of reform. In an effort to defend against critics, President Ronald Reagan and Secretary of Defense Casper Weinberger supported the findings of Weinberger’s own in-house Joint Chiefs of Staff study that claimed significant reform was unnecessary and could have detrimental consequences. Secretary Weinberger, who saw calls for reform as an attack on his management of the Department remained steadfast in his opposition, and was one of the last significant

stakeholders to agree to reform. Additionally, the Service Chiefs, with the exception of General Meyer, opposed reform.

The arguments against reform as affirmed by Secretary Weinberger and the majority of the Service Chiefs can be summarized as follows: “(1) the risk of a single entity usurping civilian control (CJCS), (2) the importance of providing a wide variety of views to the Secretary of Defense and President, and (3) the need to maintain the direct linkage between the role of the Service Chief and the Joint Chiefs of Staff principal functions, which served to enhance capabilities.”<sup>87</sup> Secretary Weinberger proposed to make the CJCS the principal military advisor to the President and Secretary of Defense. Among others, the Secretary of the Navy, John Lehman, publicly opposed organizational changes and suggestion of reform, rallying enough support to derail action on the drafted legislation.<sup>88</sup>

Overall, the mid-1980s were marked by widespread dissatisfaction with the Joint Chiefs of Staff and confidence in the Service-dominated process, stemming in no small part from General Jones’ criticisms.<sup>89</sup>

Finally, Representative Nichols and other House members were able to attach language to the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 1995 making the CJCS the spokesman for the Combatant Commanders on operational requirements.

#### b. DoDD 5100.01 Updates in 1985 and 1986

With a key change of leadership in the SASC and new support from the White House, opposition to reforms diminished. Senator Tower retired on January 3, 1985, and Senator Barry Goldwater (R-AZ) assumed the position of Chairman of the SASC, allowing more reform debate and legislation out of the committee and onto the floor. The Center for Strategic and International Studies (CSIS) released a report that mirrored the proposals of General Jones,<sup>90</sup> and the much-anticipated Locher Report, a SASC Committee Staff Study, completed its findings.

The SASC study led to a Joint Chiefs of Staff review of Joint Chiefs of Staff Publication 2, *Unified Action Armed Forces (UNAAF)*, the results of which fed into Executive inputs and recommendations for the Goldwater-Nichols Act, which would be passed in October, 1986.<sup>91</sup> President Reagan also appointed the Packard Commission to examine problems and make recommendations. Secretary Weinberger initially opposed the idea of the President’s Commission, until President Reagan reassured him that the Commission was not related to Weinberger’s job performance.<sup>92</sup> Also in 1985, the President nominated Admiral William Crowe, who was open to defense reform, to be the new CJCS. With the President’s support, defense reforms were finally achievable.

**May 1985 Revision:** The Coast Guard was first introduced in this revision of the Directive, which stated that during times of war, the Coast Guard was to function as a Military Service under the Department of the Navy in accordance with 14 U.S. Code Sections 2, 3, and 145. The relationship between the Coast Guard and the Navy had been formalized through the establishment of the NAVGUARD Board in November 1980 to ensure greater interoperability, since the Coast Guard had significantly contributed to the U.S. efforts in Vietnam, and might be expected to perform similar functions in future operations. This iteration also named the Inspector General of the Department of Defense (IG DoD) and the Director, Operational Test and Evaluation for the first time. Additional language on the role of the IG DoD would be added later in the September 1987 revision. Both roles were identified as vital to improving efficiency and eliminating waste. The May 1985 revision also assigned the CJCS the role of spokesman for the Commanders of the Combatant Commands on operational requirements.

**January 1986 Revision:** In this revision, space operations was introduced as a Military Department function for the first time. Each Military Service shared equal responsibility for space operations and had space included within their primary functions. The Department became increasingly focused on space during the 1980s because of the Soviet space threat, the escalating dependence of the United States on space systems, and a growing desire to leverage space capabilities more effectively.<sup>93</sup> To address these issues, in 1985 the U.S. set up a Combatant Command, the United States Space Command, which was subsequently merged into United States Strategic Command. A new U.S. Space Command was established on August 29, 2019, and the U.S. Space Force, became the sixth branch of the U.S. Armed Forces on December 20, 2019.

### c. Passage of Goldwater Nichols (1986)

The Packard Commission released recommendations that were immediately implemented by President Reagan through National Security Decision Directive (NSDD) 219 on April 1, 1986. The President then decided to expand upon NSDD 219 and addressed further DoD reforms in a message to Congress later that month. Much of the substance of NSDD 219 and the President's recommendations to Congress were incorporated into the Goldwater-Nichols Act, which finally passed the House and Senate with wide margins and was signed into law on October 1, 1986.

James Locher, the lead SASC staffer who helped draft Goldwater-Nichols language and author the previously mentioned Report, stated that the objectives of this historic legislation were to:

1. Strengthen civilian authority.
2. Improve military advice to the President (in his constitutionally specified capacity as Commander-in-Chief of the Armed Forces), Secretary of Defense, and National Security Council.
3. Place clear responsibilities on the unified commanders-in-chief for mission accomplishment.
4. Ensure that a unified commander's authority is commensurate with his responsibilities.
5. Increase attention to strategy formulation and contingency planning.
6. Provide for the more efficient use of resources.
7. Improve joint officer management.
8. Enhance the effectiveness of military operations.
9. Improve Department of Defense management and administration.<sup>94</sup>

The Goldwater-Nichols Act was the most far-reaching defense reorganization instituted since the passage of the National Security Act of 1947, and it accounts for the majority of changes made in the April 1987 revision of DoDD 5100.01. The extensive changes made generally fall into three broad categories:

- ▶ **Empowered the CJCS.** The Chairman became the principal military advisor to the President and Secretary of Defense. The Organization of the Joint Chiefs of Staff and the Joint Staff were also placed under the Chairman's exclusive direction, and the position of Vice Chairman of the Joint Chiefs of Staff was created. This considerably reduced the role and influence of the Service Chiefs.
- ▶ **Empowered the Combatant Commanders.** Functions previously held by the Military Services were transferred to the Combatant Commanders.

▶ **Increased and improved joint coordination and efficiency among the Services.\***

Following the increase in authority and responsibility assigned the Combatant Commanders by Goldwater-Nichols, the NDAA for FY 1987 (Public Law 99-661),<sup>95</sup> which incorporated the Nunn-Cohen Amendment to Goldwater-Nichols, established a Unified Combatant Command for Special Operations Forces. The law allowed the DoD 180 days from date of enactment to establish the U.S. Special Operations Command (USSOCOM).<sup>96</sup> On April 16, 1987, USSOCOM was officially activated, with the principal function to: “prepare special operations forces to carry out assigned missions [and] special operations activities.”<sup>97</sup> The inclusion of USSOCOM to DoDD 5100.01, however, did not occur until the December 2010 revision.

**d. The 1987 Revisions to DoDD 5100.01**

The April 1987 Revision to DoDD 5100.01 included much of the Goldwater-Nichols legislation verbatim, as well as language derived to implement the legislation. Other changes included an added emphasis on special operations and functions associated with advances in technology, e.g., space operations and electronic warfare. Changes also reflected official Service and Department lessons learned for psychological operations, operations other than war, and special operations.

One interesting note about this April 1987 revision of DoDD 5100.01, (updated version dated 25 September 1987) is that the line in “Functions of the Department of Defense” Section 3 stating that one of the common functions of the U.S. Armed Forces is to, “Safeguard the internal security of the United States” was removed. This statement was contained in all previous versions, as well as some preceding documents. Further, after a review of legislation, scholarly works, and internal documentation, its removal cannot be accounted for and therefore has been a cause for speculation on why it was removed.

This omission is particularly curious given the heightened interest in the 1980s to increase the military’s role in providing support of civil authorities as evidenced by the later revision of the Posse Comitatus Act and the Military Cooperation with Civil Law Enforcement Officials Act, both passed in 1981.<sup>98</sup>

Scholars have questioned this deletion, speculating that it may have been a deliberate attempt to remove the language for reasons other than redundancy to the first clause of that Section, which reads: “1. Support and defend the Constitution of the United States against all enemies, foreign and domestic.” One suggestion is that the statement was removed to clarify that the function of “internal security,” was not within the Department of Defense’s scope. Further, it is possible that a legal assessment found this language on “internal security” to be in conflict with federal law, including the standing Posse Comitatus Act of 1878 barring the use of the military for domestic law enforcement.

The September 1987 revision of DoDD 5100.01 included a new paragraph on the function of the IG DOD as directed in the 1982 Amendment to the IG Act of 1978. This addition was the only change in the revision from April, apart from technical writing and formatting updates. The language identifies the role of the IG DOD as “provid[ing] staff assistance and advice to the Secretary of Defense.”

Secretary of Defense resistance to having an IG within the Department kept an IG DoD from being added to the 1978 IG Act. The deferral was based on the Secretary’s commitment to establish a task force to review associated security implications of placing an independent entity within the Department. While the task force ultimately determined that a IG DoD was necessary, the 1982 amendment to the IG Act did modify the position for DoD, specifically by having the IG act as the principal advisor to the Secretary of

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\* For more information on Joint Operations, see p. 24.

Defense in matters of Department fraud, waste, and abuse, and enabling the SD to limit IG engagement in issues impacting operations and security.<sup>99</sup>

## Joint Operations

*“Joint doctrine’s roots reach back to the commanders who first dealt with the timeless problems of coordinating military operations among land, sea and, later, air forces. The challenges inherent in coordinating different military forces have existed since armies became distinct from navies.” —Joint Military Operations Historical Collection*

The focus on joint operations during the Goldwater-Nichols reform process was not new. In fact, coordinating Military Services for joint action dates as far back as the Nation’s founding when, during the Revolutionary War in the Battle of Yorktown, the American Army worked with the French Navy to bring about the final surrender of British forces through a coordinated land campaign and naval barrage and blockade. While a handful of operational disappointments during the 1970s and 80s led to a review of joint planning and doctrine, American military history is replete with examples of successful joint action that have positively demonstrated the benefits of combined operations, as described below.

The Mexican-American War provides an early example of joint operations between the U.S. Military Services. The first major U.S. joint amphibious action was the war’s landing and siege of Veracruz in March 1847.<sup>100</sup> U.S. Forces used specially designed landing craft to land and deploy over 10,000 troops during a 15 month Veracruz-Mexico City campaign.<sup>101</sup> President James K. Polk praised the operation saying, “There was concert between the heads of the two arms of the service...By these means their combined power was brought to bear successfully on the enemy.”<sup>102</sup>

Using Government records from the Mexican-American War to draw doctrinal guidance, Union military leaders made joint operations a part of their strategy during the Civil War.<sup>103</sup> Several campaigns in North Carolina demonstrated this cooperative approach. The first joint operation of the war took place at the Hatteras Inlet, considered the gateway to vital sea lanes and the location of North Carolina’s “Mosquito Fleet.” Here the Navy was to fire upon the forts guarding the Inlet while the Army disembarked from the ships and prepared for a ground assault. In the end, naval forces overwhelmed the Confederate forces, obviating the need for a land campaign; however, the very notion that the Military Services had conducted joint planning was revolutionary.<sup>104</sup> A truly joint operation took place at, and in the lead up to the battle of New Bern. This was one of the first times a “creeping barrage” was employed, whereby gunboats helped pave the way for land forces.<sup>105</sup> During the battle, the Navy supplied firepower while the Army advanced. The success of the campaign demonstrated the benefit of joint action and the need for its employment in later campaigns.

Despite the success of joint action throughout the Nation’s history, it has been said that joint operations did not come of age until World War II.<sup>106</sup> It was during this time that the first joint commands were created,<sup>107</sup> and the military establishment came to highly value unity of command, a key principle in Operation Overlord, the full-scale invasion of Europe.<sup>108</sup> However, despite this novel approach to military organization, Military Service rivalries and parochialism continued throughout the war, which led to the passage of the National Security Act of 1947.

Despite the challenges of joint operation during World War II, one area in which jointness was hailed by some as a success was in the field of intelligence. Joint intelligence was active in every theater and improved the collection, production, and dissemination of critical information throughout the war effort.<sup>109</sup> It also reduced duplication of effort and conflicting assessments of conditions. The Military Services also found that Army and Navy intelligence supplemented the other, helping to provide a larger picture of current realities. This positive cooperation was exemplified by the Joint Intelligence Committee (J.I.C.) Daily, a unified intelligence publication that was prepared for senior decision-makers. J.I.C.s came to be so highly valued that they were left intact to continue serving the Joint Staff and government policymakers after hostilities had ceased.<sup>110</sup>

Another noteworthy joint operation during World War II was the Doolittle Raid on Japan that took place on April 18, 1942. The air attack was conducted by Army twin-engine bombers that were launched from a Navy ship, the aircraft carrier Hornet.<sup>111</sup>

The Inchon Invasion during the Korean War was another successful joint operation undertaken by the Army, Navy, Marines, and South Korean forces. Considered a major turning point in the war, the campaign required the cooperation and smooth integration of the Military Services. Despite its overwhelming success in retrospect, the Military Services demonstrated intense resistance to the initial plan due to its perceived riskiness. As the Naval Historical Center wrote, “It took all of MacArthur’s unparalleled powers of persuasion to sell his concept to doubting Army, Navy, and Marine Corps commanders.”<sup>112</sup> The first phase of the battle was an early morning assault by the Marines to guard the approach to the harbor at Inchon, followed by Army forces and additional Marine reinforcements. The Navy’s Gunfire Support Group worked in conjunction with aircraft Task Force 77 to attack the shore defenses before a ground invasion. Within another three days, Marine and Army forces had advanced far enough to have captured the nearby airfield, allowing Marine aircraft to begin flight operations from the site. Within roughly a week’s time, the Navy had delivered over 25,000 people, 4,500 vehicles, and 14,000 tons of cargo.<sup>113</sup> The collaborative operation allowed the U.S. to turn the tide of the ongoing conflict.

The U.S. Military has been coordinating joint actions for centuries. While each operation has had varying degrees of success, the Goldwater-Nichols Act sought to legislatively solidify and improve upon the most successful practices for the conduct of joint operations in the future.

## 7. Organizing for 21<sup>st</sup> Century Challenges



Figure 6

### a. Chairman of the Joint Chiefs of Staff Recommendations and Calls for Change

Recommendations on roles and functions from the CJCS, required by Goldwater-Nichols, were submitted in 1989, 1993, and 1997, but did not result in major changes to DoDD 5100.01. A few days before his retirement in 1989, Admiral William Crowe submitted his recommendations as CJCS which included, among other things, that the Air Force be assigned primary responsibility for defensive and offensive space operations.<sup>114</sup>

Just a few days later the new CJCS, General Colin Powell, made recommendations that reversed positions on several issues, including on the longstanding and contentious issue of CAS. In a memo to Secretary of Defense Dick Cheney, General Powell expressed his opinion that there was no reason to change DoDD 5100.01 with regard to the assignment of the CAS mission.<sup>115\*</sup>

Following the 1993 recommendations from General Powell, Congress established the Commission on Roles and Missions in the NDAA for FY 1995 to “review the efficacy and appropriateness for the post-Cold War era of the current allocations among the Armed Forces of roles, missions, and functions.” The Commission, Chaired by Dr. John White (later to become Deputy Secretary of Defense), was charged with making “recommendations for changes in the current definition and distribution of those roles, missions, and functions.”

In 1995, after studying 26 (later reduced to 25) issues, the Commission released its recommendations.<sup>†</sup> However, Secretary of Defense William Perry indicated that the Department of Defense had significant concerns with several of the recommendations including those regarding outsourcing, deep attack, and Reserve Components.<sup>116</sup>

Subsequently, in light of continued calls for new reforms in Defense organization that reiterated the need for improved efficiency within the Department, in 1998, Secretary of Defense William Cohen chartered the U.S. Commission on National Security/21<sup>st</sup> Century (USCNS/21). Also known as the Hart-Rudman Commission after its Co-Chairs Gary Hart and Warren Rudman, this Commission charge was to analyze the international security environment and develop innovative strategies to improve U.S. national security policy.

The Hart-Rudman Commission’s Report, released in three phases, made specific recommendations regarding Department of Defense structure and alignment aimed at improving the acquisition process, resource allocations, and overall Departmental efficiency.<sup>117</sup>

### b. 2002 Revision to DoDD 5100.01 and the Rumsfeld Commission on Space

Following the significant 1987 revision of DoDD 5100.01 reflecting the changes instituted by the Goldwater-Nichols Act, the 2002 revision included only one noteworthy change of direct interest to the Secretary of Defense. The Directive assigned space operations to the Air Force as a primary function, while space operations continued to be a collateral function of the other Services. Then-Secretary of Defense Donald Rumsfeld was particularly focused on the space domain and had, in fact, previously served as the Chairman of the Commission to Assess United States National Security Space Management and Organization shortly before assuming the position of Secretary of Defense.

The Report of the Commission, which was released on January 11, 2001, (just 10 days before Rumsfeld assumed the position of Secretary) recommended that, “The Department of the Air Force... be designated as the Executive Agent for Space within the Department of Defense, with Department-wide responsibility for planning, programming and acquisition of space systems.”

It further suggested that, “The Department of the Air Force... be assigned responsibility to organize, train, and equip for prompt and sustained offensive and defensive space operation.” The Space Commission also addressed the longstanding issue of how space responsibilities are shared between the defense and intelligence communities, and whether or not they should be integrated. While the Commission made

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\* For more information on Close Air Support, see pages 16 and 30.

† Commission recommendations included focus on operations other than war including humanitarian assistance, civil affairs, information warfare, peace operations, and other functions.

several recommendations for improved alignment, full integration was not recommended, and thus the Directive only describes Air Force space roles and missions as they relate to strategic military objectives.<sup>118</sup>

The 2002 revision also removed explicit reference to the Comptroller as this position became an Under Secretary of Defense covered by other more general language, as well as substituted “Combatant Commands” for all references to “unified and specified commands.”

Another substantive change made in the 2002 revision was the unintentional omission of “electronic warfare” as a primary function of the Army, while the Departments of the Navy and Air Force continued to retain this responsibility. While there seems to be no legislative or internal Department documentation to account for the removal of this function, following the end of the Cold War, the Army allowed its electronic warfare capabilities to degrade, although this area has since been addressed and reinvigorated.\*<sup>119</sup> Specifically, with strong advocacy from OSD, electronic warfare was added into the 2010 revision of DoDD 5100.01 as a common Military Service function.

In 2004, the Center for Strategic & International Studies (CSIS) launched a project entitled “Beyond Goldwater-Nichols,” outlining their recommendations for reforms to the national security apparatus. The Report, released in four phases between 2004-2008, addressed the full range of defense issues including organizational structure, effective resource allocation, joint procurement, strengthening civilian defense personnel, improved interagency and coalition operations, strengthened congressional oversight,<sup>120</sup> officer management and education, improved organization for space and cyberspace operations,<sup>121</sup> and many other issues of relevance to the Department.

The Report released in the third phase of this effort included recommendations on the possible roles, missions, and structure of the Reserve Components.<sup>122</sup> In 2009, two of the principal authors of these studies, Michele Flournoy and Kathleen Hicks, took on senior leadership positions within the Department of Defense, under President Barack Obama, becoming the Under Secretary of Defense for Policy and Deputy Under Secretary of Defense for Strategy, Plans, and Forces, respectively. Other authors and contributors included former DoD and industry leaders.

### c. Quadrennial Roles and Missions (QRM) Reviews

The first QRM Report was released in January 2009, as mandated by the NDAA for FY 2008, recording an official study of DoD roles, missions, and functions. It reflected a new focus on interagency cooperation, intratheater airlift, unmanned aerial vehicles or systems (UAVs/UAS),<sup>†</sup> cyber warfare, and irregular warfare. U.S. Special Operations Command (USSOCOM) also received special attention given its unique functions, responsibilities, and authorities similar to those of the Military Services. The 2009 QRM Report effort developed the first working draft of DoDD 5100.01 leading to the final 2010 revision, discussed immediately below. The Department submitted a second QRM in July 2012, but only answered, in a very cursory manner, a portion of the questions posed by QRM legislation.<sup>‡</sup> This version reiterated the 10 primary missions of the U.S. Armed Forces, as noted in the 2012 Defense Strategic Guidance. Further,

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\* *With no direct competitor and a change in the type of operations being executed, electronic warfare lost priority among other competing interests. It was not until the early days of Operation Iraqi Freedom in 2003 that the Army recognized the danger and severity of its capability gap. The Army has since reinvigorated its recruitment and training in this area.*

† *UAVs have been a source of contention primarily between the Army and Air Force, especially as the Air Force sought to become executive agent for all UAV operations. The Army, along with the other Military Services, sees UAVs as organic air assets necessary to perform their roles and functions. Operational problems, such as adequate and direct UAV support to ground forces and air space management, fuel the two positions. Agreements in 2008 called for more UAV missions to be flown by the Air Force in support of ground forces alleviated these underlying operational issues. Osborn, Kris and Michael Hoffman, “Air Force, Army Near Agreement on UAV Pact,” *Air Force Times*, September 30, 2008.*

‡ *Removed from Title 10 by Public Law 113-291, December 19, 2014*

Congress expressed concern about its short comings and directed the Government Accountability Office (GAO) review the conduct of the 2012 QRM. Similarly, the NDAA for FY 2014, which was signed into law by President Obama in December 2013, then included a Section which tasked the Comptroller General/Government Accountability Office with examining the DoD's lack of compliance in conducting a fulsome QRM and in submitting a capabilities-based budget.

The CJCS recommendations\*, the 2009 and 2012 QRMs, and think tank and commissioned studies all validated the need to continuously update DoDD 5100.01 to either institutionalize needed DoD reforms or to simply update the Directive to reflect changes that have already occurred. While the NDAA for FY 2017 ended dedicated QRMs, it added a similar requirement into the National Defense Strategy review.

#### d. 2010 Revision to DoDD 5100.01

Although DoDD 5100.01 was updated in 2002, and certified as current in November 2003, those changes were relatively minor or narrowly focused, as previously described. Effectively, there were no major changes to, or comprehensive review of, the Directive in the two decades after the Goldwater Nichols Act. During that hiatus, the attack on September 11, 2001 and subsequent two wars placed substantially new demands on the U.S. Armed Forces. Roles and missions would adapt to meet the nation's security challenges. The Department was adopting to new functions such as cyber warfare and a renewed interest in underemphasized functions such as counterinsurgency, antiterrorism, building partnership capacity, critical infrastructure protection, and contributions to whole of government efforts. The 2010 update addressed these changes.

The terms of reference for the 2009 QRM called for the output to feed a revised DoDD 5100.01. Most notably, the QRM described how the Department will increase investments in certain capabilities such as select airborne reconnaissance platforms and Special Operations Forces, and ensure the ability to project power abroad in the face of anti-access and anti-denial capabilities.

Consequently, the version of DoDD 5100.01, signed by Secretary Gates in December 2010, includes Sections on several "major components" of the Department that were not included in previous iterations of this document. For example, while the functions of the OSD had not been detailed in DoDD 5100.01 before, the first substantive Enclosure of the 2010 Directive is now devoted to OSD and has several pages outlining its role within the Department. Similarly, the IG DoD which had previously only been defined in a sentence or two, was given its own Enclosure. Components added not previously mentioned, include USSOCOM, which has its functions described over three pages within the Section dedicated to Common Combatant Command Functions, and the National Guard Bureau (NGB), which is described as a joint activity of the Department of Defense.

Another notable change to the Directive was in its language. Previous revisions generally kept most of the wording of previous iterations, adding contemporary references or clauses as needed. The 2010 version, however, contained substantially new wording, most conspicuously within the Military Service Sections. Most of the Directive's previous language was taken from law, whereas much of the 2010 language was not, but rather used language reflecting how the Military Services describe their functions. The 2010 wording also adopted inputs from Military Services via the QRM process to address the updated technology, capabilities, and realities of cyberspace,<sup>†</sup> as well as homeland defense, counterterrorism,

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\* The Goldwater-Nichols Act calls for the CJCS to submit recommendations on roles and functions, though, as noted previously, such has only occurred in 1989, 1993, 1997, and 2009.

<sup>†</sup> According to a December 2008 White House white paper, the U.S. government was still struggling with its determination as to who should handle the cyber mission—the military under its Title 10 authorities or the Intelligence Community under its Title 50 authorities.

unconventional warfare, and counter-insurgency. Clearly these areas had taken on greater prominence since the issuance of the 2002 version and thus merited mention in DoDD 5100.01. Additionally, inputs from OSD sought to standardize the structure of Military Department Sections as much as possible, consolidate common functions into the appropriate section of the Directive, and incorporate or revert to enduring language, rather than language of the day (e.g. Global War on Terror (GWOT)).

Finally, the overall structure of DoDD 5100.01 changed in 2010. Much of the introductory language was changed, and the Section outlining “Organizational Relationships in the Department of Defense” was significantly expanded. While previous Directives had cited up to 6 “references” from which much of the Directive language was derived, the 2010 version lists over 50. Moreover, while the Directive previously included lists of Defense Agencies and DoD Field Activities at the end of the document, the 2010 version added a general description of the purpose of Defense Agencies and DoD Field Activities.

### Historical Congressional Interest on DoD’s Roles and Missions

"I believe that the next few years will be very dynamic – both in world events and how our military can and should respond – and that the next QRM review will be very important to capturing the consequences of those changes."  
(Secretary of Defense Chuck Hagel, response to Advance Policy Question, 1/28/2013)

Prior to the current Quadrennial Roles and Missions Review (QRM) several statutorily required assessments of the Department of Defense’s roles and missions were conducted. The Goldwater-Nichols Act of 1986 directed the Chairman of the Joint Chiefs of Staff to perform a roles and missions review to be submitted to the Secretary of Defense. This Report was to be completed approximately every three years, or upon request of the President or the Secretary of Defense; however, there was no requirement to submit this review to Congress.

The National Defense Authorization Act for fiscal year (FY) 1994 established a Commission on the Roles and Missions of the Armed Forces (CRMAF) and required submittal of a report by the CRMAF to Congress. In the NDAA for FY 2002 the CJCS roles and missions review was retained as part of the Chairman’s assessment of the Quadrennial Defense Review (QDR). The Chairman’s roles and missions assessment focuses on the roles and missions of the Armed Forces and the assignment of functions to them, along with any recommendations for changes in assignments to achieve maximum efficiency and effectiveness. Additionally, this new requirement made the Roles and Missions Report quadrennial and required its submission to Congress as part of the QDR. The NDAA for FY 2005 established the Commission on the National Guard and Reserves, which also required a review of the National Guard and Reserves roles and missions. The Defense Science Board, in April 2005, issued a Report stating that DoD should give serious attention to the roles and missions among the functional Combatant Commands needed serious attention.

The NDAA for FY 2008 contained the first statutory requirement for the QRM, conducted by the Secretary of Defense in coordination with the CJCS. This requirement was codified in Title 10 United States Code (U.S.C.) §118b until its removal in 2014. This was the first time the Secretary was responsible for an all-encompassing roles and missions review and for submitting a report to the Congressional Armed Services Committees. In response the Secretary of Defense initiated the QRM on May 8, 2008. The U.S. House of Representatives Committee on Armed Services - Panel on Roles and Missions, at the same time that the new QRM requirements were signed into law, published initial perspectives of the roles and missions of the National Security System.

Contained in the NDAA for FY 2017, is provision Section 941 which requires each National Defense Strategy (NDS) to include the priority missions of the Department of Defense, a strategic framework prescribed by the Secretary of Defense that guides how the Department will prioritize threats, and the roles and missions of the Armed Forces to carry out missions. Pursuant to that, then- Secretary of Defense James Mattis’ NDS team included a roles and missions working group. Similarly, the NDAA for FY 2019, Section 1075 directed a Report on Highest-Priority Roles and Missions of the Department of Defense and the Armed Forces. Both this Report and the NDS affirmed that the Department’s roles and missions were satisfactorily described in the 2010 version of DoDD 5100.01.

## Close Air Support since the Cold War

Since the Cold War, some senior leaders have advocated for the transfer of the Air Force CAS mission to the Army. However, this would represent a departure from longstanding military roles and the Army is not in favor because it would compete for funding from other priorities. Innovations and recent issues in CAS – particularly the advent of UAVs – during operations in Operation Iraqi Freedom (OIF) and Operation Enduring Freedom (OEF) have extended the debate over CAS.

According to a 2003 General Accounting Office Report, inadequate coordination of training and planning persists, as do equipment issues.<sup>123</sup> The Navy and Marines have, in large part, provided their own CAS. While the Navy did expand its CAS to the Army during OIF and OEF, the Air Force remained the primary CAS provider to the Army.

Two Chairmen of the Joint Chiefs of Staff and the 1994-1995 Congressional Commission on Roles and Missions made recommendations to solve the CAS problem. Following passage of Goldwater-Nichols, then-Chairman of the Joint Chiefs of Staff Admiral Crowe, in his recommendations on roles and functions, asserted that, by classifying Army helicopters as CAS platforms, there was adequate CAS capacity among the four Services.<sup>124</sup> Both the Army and the Air Force dissented, stating that attack helicopters lacked characteristics (speed, lethality, and flexibility) vital for CAS.<sup>125</sup> The next Chairman of the Joint Chiefs of Staff, General Colin Powell, submitted a reversal of Crowe's position on CAS just two months after Crowe's submission.<sup>126</sup>

Later in his tenure as Chairman of the Joint Chiefs of Staff, General Powell recommended that Air Force CAS be realigned under the Army. The Congressional Commission on Roles and Missions studied CAS (as well as other issue areas) and recommended in its 1995 Report that CAS and related functions continue to be performed by the Military Services as already assigned and that joint CAS training be increased. The Commission further noted that realignment would not lead to any loss of CAS capability, nor would it realize significant cost savings. Critics of the Commission's recommendations argued that the professed solution maintained the status quo across the Military Services, and that it simply allowed a continuation of the longstanding, inter-Service clash over CAS.<sup>127</sup>

Operations in Iraq and Afghanistan rekindled the debate over CAS. Despite a number of platforms new to CAS, including UAVs, B-52s, and B-1Bs armed with new bombs and sensors, there are still reports of insufficient or ineffective CAS. Problems include inadequate response time, friendly fire, and collateral civilian casualties due in part to the large number of deployed ground forces, the nature of counterinsurgency operations, and longstanding inter-Service integration issues. Reports following the failure at Tora Bora (where Osama bin Laden escaped capture) and other incidents highlighted both the insufficiency of current CAS given deployed force levels and lack of integration between ground forces and CAS providers in planning, training, and execution.<sup>128</sup>

Incidents of friendly fire and civilian casualties have led ground commanders to opt out of CAS except where air controllers are embedded in ground units or where land forces exercise direct control of CAS.<sup>129</sup> Currently, the Air Force and Marines are exploring development of new CAS platforms to replace existing systems including the AC-130. UAVs are used across the Military Services and demonstrate an effective, integrated, and cheap CAS capability. UAVs could make the transfer of the CAS mission to the Army palatable in resourcing terms, although this scenario would represent a further encroachment on the Air Force's air role.

## 8. 2020 Update to DoDD 5100.01

### a. The 2020 Revision

In the years leading up to 2020, the Department has been working on a full revision to DoDD 5100.01 intended to incorporate substantial fact of life organizational and management policy changes that have occurred in the Department of Defense since the 2010 version of the Directive was issued. Additionally, the intent was to reflect outcomes from two Congressionally-mandated reviews, the National Defense Strategy (NDA for FY 2017, Section 941) and Report on Highest-Priority Roles and Missions of the

Department of Defense and the Armed Forces (NDAA for FY 2019, Section 1075). Both, however, affirmed that the Department's roles and missions were satisfactorily described in the 2010 version of DoD 5100.01, which reduced the necessity for a full roles and missions review prior to revising DoDD 5100.01.

However, for a number of reasons a full revision was not completed. Instead, a limited "Administrative Change" to DoDD 5100.01, was adopted to reflect the current state of the Department by incorporating the numerous changes to correct inaccuracies in DoDD 5100.01 that have accrued from legislated and major organizational policy changes over the past nine years. These include:

- The stand-up of the Office of the Chief Management Officer of the Department of Defense, which merged the Deputy Chief Management Officer, the Office of the Director of Administration and Management, and the Office of the Assistant to the Secretary of Defense for Intelligence Oversight into a single organization.
- The split of the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics into the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment.
- The title change from Office of the Assistant Secretary of Defense for Networks and Information Integration/DoD Chief Information Officer, to the Office of the DoD Chief Information Officer.
- The establishment of the USCYBERCOM, U.S. Space Force, and Principal Cyber Advisor.
- Disestablishment of the Defense Business Transformation Agency.
- The establishment of the Defense Health Agency and disestablishment of the TRICARE Management Activity
- The establishment of the Defense POW/MIA Accounting Agency, and disestablishment of the Defense Prisoner of War/Missing Personnel Office.
- The Retitling of the Defense Security Service as the Defense Counterintelligence and Security Agency.
- Establishment of the Space Development Agency
- The addition of the Chief, National Guard Bureau to membership of the Joint Chiefs of Staff.
- The removal of references to the Quadrennial Defense Review, and Quadrennial Roles and Missions Review.
- The renaming of the Deputy's Advisory Working Group as the Deputy's Management Action Group.
- The update of Chairman of the Joint Chiefs of Staff functions to include providing advice on global military strategic and operational integration.
- The update of Assistant Secretary of Defense for Special Operations and Low-Intensity Conflict functions to include coordinating on Military Department and Military Service personnel management policy and plans.

This Administrative Change establishes an accurate baseline document for future roles and missions reviews, as well as provides an accurate chartering directive for the Department of Defense.

## b. Moving Forward

Revisions to DoDD 5100.01 reflect a drive to update Military Department roles and functions, especially as technology and warfare evolve, new operational challenges emerge, and Defense budget constraints

underscore a standing need to reconsider the assignment of functions within the U.S. Armed Forces. Revisions also reflect how the Military Services describe their functions as they adjust their doctrine and internal organization to meet those challenges.

Historically, major overhauls of the document have not occurred during periods of high intensity military conflict, although changes have often occurred in their wake. Further, beginning with the National Security Act of 1947 and Executive Order 9877, the Defense Reorganization Act of 1958, and up to the present, major updates to DoDD 5100.01 have usually occurred when driven by the President or senior Defense leadership and supported by Congress. Consequently, most changes to the Directive have directly reflected the language of Executive Orders or legislation. Notably, James Forrestal was the only Secretary of Defense to spearhead a major roles and missions reform process independently.

More frequent, regular updates to, or reviews of the document would ensure that DoDD 5100.01 keeps pace with continually evolving DoD major component functions. However, major revisions to DoDD 5100.01 have been rare throughout its history and have often reflected the interests of those outside the Department. As a 1993 Congressional Research Service Report entitled, “Roles and Functions of U.S. Combat Forces,” concluded:

“Paper reforms, however, produce best results only if common practices conform. As it stands, U.S. armed Services, past and present, have always felt free to acquire personnel, weapons, equipment, and supplies regardless of roles and functions.\* *Title 10 and DoD Directive 5100.01* accordingly will remain less useful than architects intend until congressional committees and the Secretary of Defense use both documents more consistently than their predecessors did to help shape the U.S. military establishment.”<sup>130</sup>

While DoDD 5100.01 has historically reflected major reforms as a result of Presidential and Congressional initiatives, as well as evolutionary changes, after they have taken effect, the Secretary of Defense also can use DoDD 5100.01 to lead the change in roles, missions, and functions of the Military Services. Nonetheless, the Secretary of Defense is empowered to revise DoDD 5100.01 at any time, to better reflect the present and to anticipate the ever-changing needs of the Department.

### c. Other Considerations

Future revision of DoDD 5100.01 should consider how the Directive is perceived and used within and outside of the Department of Defense. The Directive continues to be taught in military staff colleges, employed in training, cited in Joint and Service-specific publications, and used as the basis for the development of doctrine and procedures within the Department of Defense. Outside the Department of Defense, the Directive plays a key role in explaining to audiences in all three branches of government, their staffs, various government agencies, and private companies, what the Department of Defense and its major components do.

In light of the declining percentage of senior leaders and elected officials that have military or DoD experience, DoDD 5100.01 may become an increasingly important tool in helping decision-makers navigate the complexities of the organization and better understand the responsibilities and capabilities of its major components. Additionally, as the Department works closely with other Executive

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\* While this criticism is accurate, some acquisition and employment peripherally outside prescribed roles and functions – just as with overlaps – may be prudent. “The military planner sees this as a prudent hedge and a provision of complementary capabilities to defeat complementary threats; outside observers probably see it as typical Pentagon waste” or, in this case, perhaps disregard for direction. Kuehl and Miller, p. 104.

Departments and Agencies and external actors, this Directive may serve a coordinating and descriptive role, providing government and non-governmental partners with information about the Department and the responsibilities of each of its major components. DoDD 5100.01 is and will increasingly be relevant to internal and external DoD audiences, and is therefore best kept up to date.

### Outside View of DoDD 5100.01

In January 2014 the Center for a New American Security (CNAS) issued a Disruptive Defense Paper, *Zone Defense: A Case for Distinctive Service Roles and Missions*. The authors argue for a serious reexamination of roles and missions in an era of rapidly changing fiscal and strategic circumstances. They zero in on DoDD 5100.01 as a driver of change.

“DoD Should Revise DODD 5100.01 to draw distinctions and add enforcement based on the Roles and Missions Review. Codifying the results of the secretary of defense’s roles and missions review into a revised DoDD 5100.01 “Functions of the Armed Services and Its Major Components” is the most important step in delineating the Service roles and missions. Although the current version of DoDD 5100.01 was updated in 2010, it did not provide the kind of distinction among Service functions that the current fiscal and strategic environment demands. This revised directive should task the Services to provide specific capabilities rather than give broad or open-ended permissions to do so. Additionally, the directive should provide specific restrictions among the Services from encroaching on the mission areas of the other Services. As part of the Joint Capabilities Integration and Development System (JCIDS) process, the Services should be required to explicitly link a particular capability to a DoDD 5100.01-assigned mission as part of their Initial Capability Developments. The JCIDS gatekeepers must then ensure that the Services are maintaining the established lanes before validating the Service solution. Furthermore, the directive must hold the Services accountable for fulfilling their assigned functions. DoD should consider implementing periodic reviews and establishing a joint process to assess compliance. This enforcement aspect must be part of the directive to preclude the Services from neglecting their roles and missions responsibilities to one another. The new directive would provide the appropriate filter to better enable the Joint Requirements Oversight Council (JROC) processes to eliminate unnecessary duplication and ensure that gaps do not exist.”<sup>131</sup>

*"First, everything we must do must contribute to the increased lethality of our military. We must never lose sight of the fact that we have no God-given right to victory on the battlefield."*

Secretary of Defense James Mattis  
Remarks at Association of the U.S. Army Exposition on Building  
Readiness  
9 October 2017, Washington, DC

*"Everything we do must be aimed at achieving the goals and objectives of [the National Defense Strategy]. If something does not, then we should question why we are doing it in the first place."*

Secretary of Defense Mark Esper  
Remarks speaking at AFA's Air, Space & Cyber Conference  
18 September 2019, National Harbor, MD

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## Appendix A: Modifications to Department of Defense Directive 5100.01 (DoDD 5100.01)

DoDD 5100.01 was first issued in 1954 with major and minor revisions following in 1957, 1958, 1966, 1969, 1977 (twice), 1980, 1985, 1986, 1987 (twice), 2002, 2010, and 2018. The following summarizes the recognized precursors to DoDD 5100.01, and the issuance and revisions of the Directive.

### Precursors to DoDD 5100.01

**April 1927:** The “Joint Action of the Army and the Navy” assembled all joint policies, agreements, and instructions between the War and Navy Departments and delineated basic functions of the Navy, Army, and Marines. Signed by: SecWar Davis and SecNav Wilbur.

**July 1942:** With the creation of the Executive Office of the President, authorized by the Reorganization Act of 1939, President Roosevelt brought Admiral Leahy out of retirement to become Chief of Staff to the Commander-in-Chief, working as an intermediary between the Joint Chiefs of Staff and the President. “Leahy’s tenure established the heritage of independent advice from the Joint Chiefs of Staff (Joint Chiefs of Staff) while retaining civilian control of the U.S. military establishment.”

**July 1947:** The National Security Act of 1947 created the Secretary of Defense and National Military Establishment (NME), institutionalized the Joint Chiefs of Staff, and codified their basic purposes and relationship (Public Law 80-253). On the same day, President Truman issued Executive Order 9877 providing more detail to military functions. However, it also created discrepancies with the National Security Act causing contention between the Military Departments. Signed by: President Truman.

**April 1948:** (SD: Forrestal/USD: vacant) This precursor to DoDD 5100.01 known as the Key West Agreement listed the common functions of the U.S. Armed Forces, the functions of Joint Chiefs of Staff, and the individual functions of the Services. “Secretary of Defense James V. Forrestal gathered the Service Chiefs at Key West, Fla. in an attempt to settle the contentious issue of roles and missions,” focused mainly on questions about airpower. Signed by: Secretary of Defense Forrestal.

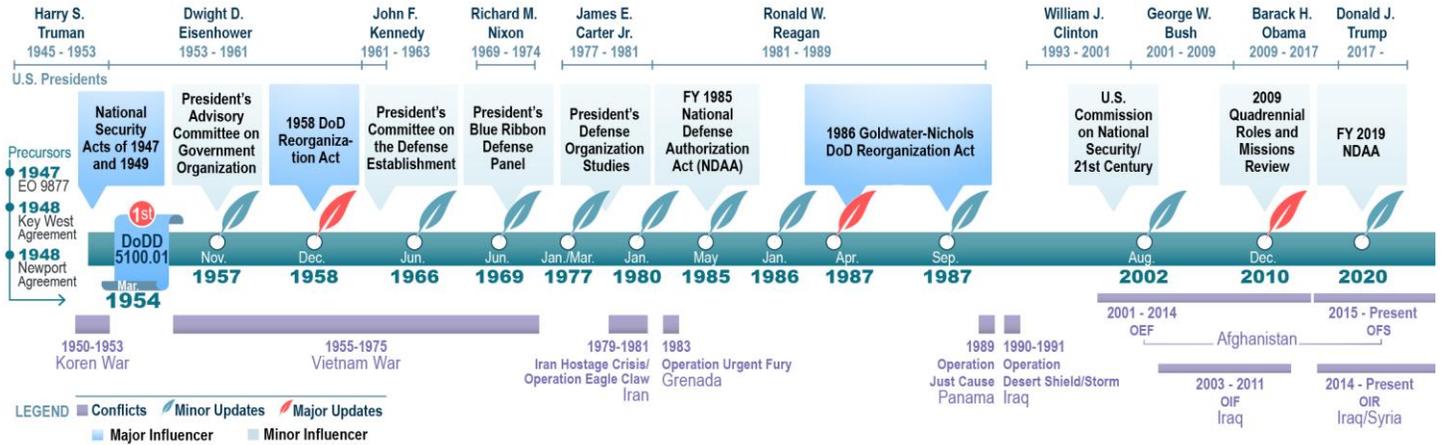
**August 1948:** (SD: Forrestal/USD: vacant) The Newport Agreement resulted from tension between the Military Departments over budgetary constraints, ambiguity of the term “primary mission,” and control and direction of atomic operations. Conferees clarified the term “primary mission” and agreed that the Air Force would take on the atomic strategic mission, but allowed all Military Departments to continue other atomic development and employment. Signed by: SATSD Only.

**August 1949:** Amendments to the National Security Act renamed the “National Military Establishment”, the “Department of Defense”, the “Under Secretary of Defense”, and the “Deputy Secretary of Defense”. They also established the Chairman of the Joint Chiefs of Staff, three Assistant Secretaries of Defense, and the DoD Comptroller. Amendments also removed the Chief of Staff to the Commander-in-Chief from the Joint Chiefs of Staff, expanded the Joint Staff, and added Title IV providing uniform budgetary and fiscal procedures. Public Law 81-216.

**October 1953:** (SD: Wilson/DSD: Kyes) This precursor to DoDD 5100.01 entitled, “Functions of the Armed Forces and the Joint Chiefs of Staff” maintains the body of the Key West Agreement, but reflects National Security Act language changes quoted in the introduction. The leadership of the Secretary of Defense

became more clearly established. President Eisenhower’s military experience led him to advocate for stronger civilian control over the military. Signed by: Secretary of Defense Wilson.

## The First DoDD 5100.01 and Subsequent Updates



**March 1954:** (SD: Wilson/DSD: Kyes) This first version of DoDD 5100.01 was the Key West Agreement as shaped by decisions from 1948 through 1953 and expressed in the October 1953 document, “Functions of the Armed Forces and the Joint Chiefs of Staff.” Signed by: Administrative Secretary Rouche.

**November 1957:** (SD: McElroy/DSD: Quarles) Minor changes are made to the first two pages. Signed by: Administrative Secretary Rouche.

**December 1958:** (SD: McElroy/DSD: Quarles) This revision debuted the “Office of the Secretary of Defense” and the Unified Command Plan (UCP) in DoDD 5100.01. It also empowered unified commanders by transferring operational missions from the Services to the Unified and Specific Commands on a geographical and functional basis. Eisenhower’s time as CJCS led him to advocate for these changes. Signed by: SD McElroy.

**June 1966:** (SD: McNamara/DSD: Vance) A Section is added in this revision listing Defense Agencies and their chartering directives. It also includes two additions increasing Joint Chiefs of Staff role in logistical planning and military guidance with respect to Defense Agencies. Signed by: SD McNamara.

**June 1969:** (SD: Laird/DSD: Packard) Language was added in this revision that specified Joint Chiefs of Staff and military Department functions for preparing joint logistic plans and assigning logistic responsibilities. Signed by: Administrative Secretary Roche.

**January 1977:** (SD: Brown/DSD: Duncan) Minor updates included the names of two Defense Agencies and addition of the following to the list: Defense Advanced Research Projects Agency (DARPA), Defense Audit Service (DAS), Defense Civil Preparedness Agency (DCPA), Defense Investigative Service (DIS), Defense Mapping Agency (DMA), Defense Security Assistance Agency (DSAA). Signed by: Director, Correspondence and Directives Roche.

**March 1977:** (SD: Brown/DSD: Duncan) Updated subsection VI, “Functions of Department of Defense Agencies” to accurately reflect agency titles and associated charter issuance dates. Signed by: Director, Correspondence and Directives Roche.

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**January 1980:** (SD: Brown/DSDs: Carlucci and Claytor) Pursuant to Public Law 95-485 (1978), the Marine Corps Commandant becomes a full and equal member of the Joint Chiefs of Staff. Under Secretaries appear in DoDD 5100.01 for the first time. Signed by: DSD Claytor.

**May 1985:** (SD: Weinberger/DSD: Taft) The Coast Guard appears in the document for the first time. During times of war, the Coast Guard functions as a Military Service under the Department of the Navy. This document also enumerates the Coast Guard's specific functions. Signed by: DSD Taft.

**January 1986:** (SD: Weinberger/DSD: Taft) Space operations are introduced to Military Department functions and are shared as collateral functions among the Services. Signed by: DSD Taft.

**April 1987:** (SD: Weinberger/DSD: Taft) As a result of Goldwater-Nichols, this revision included many significant updates, including emphasis on joint coordination between the Services, and the empowerment of the CJCS and the Combatant Commands. Space functions are specifically enumerated within each Service. Additionally, this revision includes the first appearance of missile defense, electronic warfare, psychological operations, and special operations. The DoD function to "[safeguard the internal security of the United States]" is eliminated from the document. Signed by: DSD Taft.

**September 1987:** (SD: Weinberger/DSD: Taft) The Inspector General of the Department of Defense receives its own paragraph in the Organizational Relationships Section. Signed by: DSD Taft.

**August 2002:** (SD: Rumsfeld/DSD Wolfowitz) The Air Force takes on space as a primary function. Signed by: DSD Wolfowitz.

**December 2010:** (SD: Gates/DSD: Lynn) The 2008 Quadrennial Roles and Missions (QRM) process led to the revision of the Military Department Sections and addition of Sections for the U.S. Special Operations Command and the U.S. Coast Guard. Also added were new Sections delineating the functions of OSD, the Office of the Inspector General of the Department of Defense, and the National Guard Bureau; the existing Defense Agency and DoD Field Activity Sections were also expanded. Signed by: SD Gates.

**2020:** (SD: Esper/DSD: Norquist) This proposed Administrative Change corrects inaccuracies by adding the U.S. Space Force, Chief Management Officer (CMO), Undersecretary of Defense for Acquisition and Sustainment (USD(A&S)), USD for Research and Engineering (R&E), Defense Health Agency (DHA), and Defense POW/MIA Accounting Agency (DPAA), and conforming other organizational changes directed in law or by the Secretary of Defense.

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