

Sebastian Bruns | Sarandis Papadopoulos [eds.]

Conceptualizing Maritime & Naval Strategy

Festschrift for Captain Peter M. Swartz,
United States Navy (ret.)



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Sebastian Bruns | Sarandis Papadopoulos [eds.]

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*For the cohort of naval strategists and maritime history
scholars worldwide who have learned to collaborate from
this volume's honoree.*



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Foreword

A *Festschrift* as a collection of essays in honor of an individual is a distinct mark of respect among academics. Sometimes collections use the Latin equivalent of *Festschrift*, *Liber Amicorum*, or have subtitles in modern languages such as “*Mélanges en l’Honneur de*” or “Essays in honour of” a particular individual. Friends and colleagues typically present such works to another scholar or savant to mark the attainment of a certain age, a stage of life, a notable achievement, anniversary, or on retirement from a career.¹ The practice of presenting a volume of essays as *Festschriften* to honor individuals began in the 1870s in Germany and Austria. With no equivalent word in the English language, the German word has prevailed in modern English usage. As *Libri Amicorum* in manuscript form as books or albums of keepsakes and mementos of friends, they date back even further to the Middle Ages.

At the time this volume was in production, Worldcat, the worldwide network of library catalogues, recorded that one most commonly finds *Festschriften* among practitioners in the academic fields of Language and Linguistics, followed by History, Philosophy and Religion. That catalogue records that there are six or seven thousand different *Festschriften* in libraries around the world for each of those three broad fields. Much further down the list of topics, one may find them among books on Political Science with just over one thousand one hundred titles listed.² A *Festschrift* for a career naval officer is highly unusual.

This volume honors Peter M. Swartz, who served as an officer in the United States Navy and retired as a captain in 1993. An unusual education for a naval officer combined with unusual experiences mark Peter Swartz’s career and brought him into working contact with some of the leading naval officers of his time in the political-military world. A graduate of the Naval Reserve Officers Training program at Brown University, he served as an unrestricted line officer with two tours of duty as an adviser to the South Vietnamese Navy, where his talents were recognized by rising naval

1 “Festschrift | festschrift, n.” *Oxford English Dictionary* Online (Oxford University Press, September 2019), <https://www.oed.com/view/Entry/69578>, accessed 26 October 2019.

2 WorldCat, https://www.worldcat.org/search?qt=worldcat_org_bks&q=Festschrift&fq=dt%3Abks.

Foreword

officers such as Vice Admiral Elmo Zumwalt and Captain, later Vice Admiral Emmett Tidd. While on active service, Swartz earned a Master of Arts degree from The Johns Hopkins University's Paul Nitze School of Advanced International Studies and had a further three years at Columbia University, where he earned a Master of Philosophy degree. With this educational background, Swartz had two tours of duty in the Office of the Chief of Naval Operations' Strategy, Plans, and Policy Division (OP-60). During the Reagan Administration with John Lehman as Secretary of the Navy, Swartz was assigned to the Strategic Concepts Branch (OP-603) under Captain Roger Barnett. There, he soon became the Action Officer for the Navy's Maritime Strategy at a key point in 1983-84.³ He worked with Secretary Lehman as well as many influential officers, including Admiral James A. Lyons, Admiral Frank Kelso, Admiral Jerome L. Johnson, and Admiral Henry H. Mauz, Jr. When the Berlin Wall fell in 1989, Swartz was serving as the senior naval officer with the U.S. Mission to NATO at Brussels, where he worked with Admiral James R. Hogg, who was the U.S. Military Representative to the NATO Military Committee. At the end of his career in uniform, Swartz served as a special assistant to the Chairman of the Joint Chief of Staff, General Colin Powell. Following his years of active naval duty, Peter Swartz continued to have close connections with the U.S. Navy as a research analyst at the Center for Naval Analyses in Alexandria, Virginia. In that role, he gathered both historical and current information, producing numerous influential briefings and reports that influenced naval officers in their thinking about current and future naval strategy.⁴

As a junior officer, Peter Swartz was noted among fellow American naval officers for his understanding of the Vietnamese language; later, in the Pentagon, he was a master of discourse by PowerPoint presentation, the principal means by which the U.S. Navy's staff offices and headquarters share ideas. Unlike most other recipients of a *Festschrift*, Peter Swartz is not the author of a shelf of widely read books and articles, but, in his unique way, he has been highly influential among American naval strate-

3 John B. Hattendorf, *The Evolution of the U.S. Navy's Maritime Strategy, 1977-1986*, *Naval War College Newport Papers* 19 (Newport, RI: Naval War College Press, 2004). References to Swartz's work are on pages v, 76-79, 86, 89, 99-100, 185, 188, 272, 277, 295. See also, John B. Hattendorf and Peter M. Swartz (eds.), *U.S. Naval Strategy in the 1980s: Selected Documents*, *Naval War College Newport Papers* 33 (Newport, RI: Naval War College Press, 2008), 4-5, 45-47, 203-205.

4 Christopher Nelson, "A Naval Strategist Speaks," in *U.S. Naval Institute Proceedings* vol. 145/5/1,395 (May 2019), <https://www.usni.org/magazines/proceedings/2019/may/naval-strategist-speaks>.

gists, commentators, and multi-national students of American naval strategy since the 1980s.

Deeply knowledgeable about naval strategic thinking within the service as well as a prominent and well-known figure among the working staff and action officers who formulated the U.S. Navy's strategic ideas, Peter Swartz has served as an invaluable intermediary between strategic thinkers inside the U.S. Navy and those outside the Navy. A collector and consumer of naval strategic ideas, Swartz made authoritative bibliographies of books and articles, while also collecting internal studies, briefing slides, and correspondence and even email messages that document and explain how, why, and when the Navy's strategic thinking developed in the 1980s and 1990s as well as who the key people were. Generously sharing his recollections as one of many actors in the story, he has led other naval officers, government officials, analysts, commentators, and academics to sources and individuals that they would not otherwise have found. In this way, and as this collection amply shows, he has had widespread influence. Most importantly, Peter Swartz has been a loud voice in support of the study of naval history and the use of historical insights to inform current and future policy and strategy.

All the friends and colleagues of Peter Swartz, who have contributed to this volume—ranging from government officials and practitioners of naval strategy to academics, analysts, and commentators—have been influenced, informed, and benefited from Peter's passion and knowledge of recent American naval strategy. In the best tradition of *Festschriften*, contributors to this volume not only celebrate Peter at the time of his retirement after a quarter-century of work with the Center for Naval Analyses but also move forward the areas of his interests with new thoughts and perspectives.

John B. Hattendorf

