



国家安全战略制定：程序与方法
**FORMULATING NATIONAL SECURITY STRATEGY:
PROCEDURES AND METHODS**

国防大学战略教研部教授 杨育才

Prof. Yang Yucai

Teaching and Research Department of Strategic Studies, NDU





学习目的 Objectives

了解国家安全战略制定的基本依据

-- **Understand the basis of formulating national security strategy**

了解国家安全战略制定的程序、方法和影响因素

-- **Understand the procedures , methods, and influencing factors for formulating national security strategy**

提高参与国家安全战略筹划的能力

-- **Enhance the capability of participating in national security strategy planning**





内 容

Scope



制定国家安全战略的基本依据

I. Basis of formulating national security strategy

制定国家安全战略的程序与方法

II. Procedures and methods of formulating national security strategy

制定国家安全战略需关注的问题

III. Points of attention in the process of formulating national security strategy





制定国家安全战略的基本依据

I. Basis of formulating national security strategy





安全战略按照一定的程序和方法制定，其制定过程有主客观依据

Security strategy is formulated according to certain procedures and methods, and the process of making national security strategy contains subjective basis and objective basis.



制定国家安全战略的基本依据

I. Basis of formulating national security strategy

法律法规

i. Laws and regulations



制定国家安全战略的基本依据

I. Basis of formulating national security strategy

法律法规

i. Laws and regulation

文化传统

ii. Cultural tradition



制定国家安全战略的基本依据

I. Basis of formulating national security strategy



在古代，国家安全战略通常被当作一种“将道”，是极少数精英的特权

In ancient times, national security strategy normally was considered as “the art of general”, which was a privilege possessed by the elites.



《孙子兵法》中包含了国家安全战略思想，成为影响中国国家安全战略的文化因素。如新中国军事战略严格遵守孔慎战和速战思想

The concept of how to make national security strategy, suggested by the Art of War, becomes a cultural factor affecting Chinese national security strategy.



制定国家安全战略的基本依据

I. Basis of formulating national security strategy

在现代，国家安全战略被看作是国家安全规划的“顶层设计”，战略参与的群体急剧扩大。这可说是现代政治文化对安全战略的影响

In modern times, national security strategy is considered as the “top design” of national security plan. The factors affecting formulating national security strategy rapidly increase.



一些国家每过一段时期便会发布《国家安全战略》报告，反映的是国家安全战略的公开性和规范性。

Some countries regularly release national security strategy reports, which reflect the openness and normalization of its national security strategy.





无论是大国还是小国，为更好地对国家安全加以筹划，都有必要制定适合本国的国家安全战略，其制定过程也必然受本国文化和战略传统的影响。

A country, big or small, in order to better its planning of national security, must make an appropriate national security strategy, and the process of formulating national security strategy is subject to the influence of its cultural and strategic tradition .





国家安全体制及运行机制主要受政治文化的影响

National security system and its running mechanism are mainly affected by political culture.

体制是组织机构

- **System refers to organization**

机制是组织的运行程序

- **Mechanism refers to the operational procedure of organization**

各国的安全决策机制不同，中国是安全专项会议，美国是安全会议，英国是内阁会议，俄国是联邦安全会议，以色列内阁会议

--Different country has different security decision-making mechanism. For China, it is the Special Conference on Security, for the US, it is Security Conference, for UK, it is Parliament Conference, for Russia, it is Federal Security conference, and for Israel, it is Parliament Conference.





制定国家安全战略的任务由最高决策机构负责，一般由掌握国家实力的高级安全与军事机构承担，包括：国会（议会）、国家安全委员会（中国是国家安全领导小组）、国防委员会（国防部，中国的中央军委）、三军联合参谋部（含军种参谋部，中国的总参谋部及各总部、军种领导机构）、国家经济委员会（财政部）、外事（外交）部门等。

--It is up to the supreme decision-making organ to make national security strategy.

Congress/Parliament, National Security Council (for China, is National Security Leading Group), National Defence Committee (Ministry of National Defence, CMC of China), Joint Chiefs of Staff (including the HQ of General Staff of military services, China's HQ of the General Staff, other HQs, and leading organ of military services), National Economic Committee (Ministry of Finance), foreign affairs (Ministry of Foreign Affairs) agencies.



制定国家安全战略的基本依据

I. Basis of formulating national security strategy

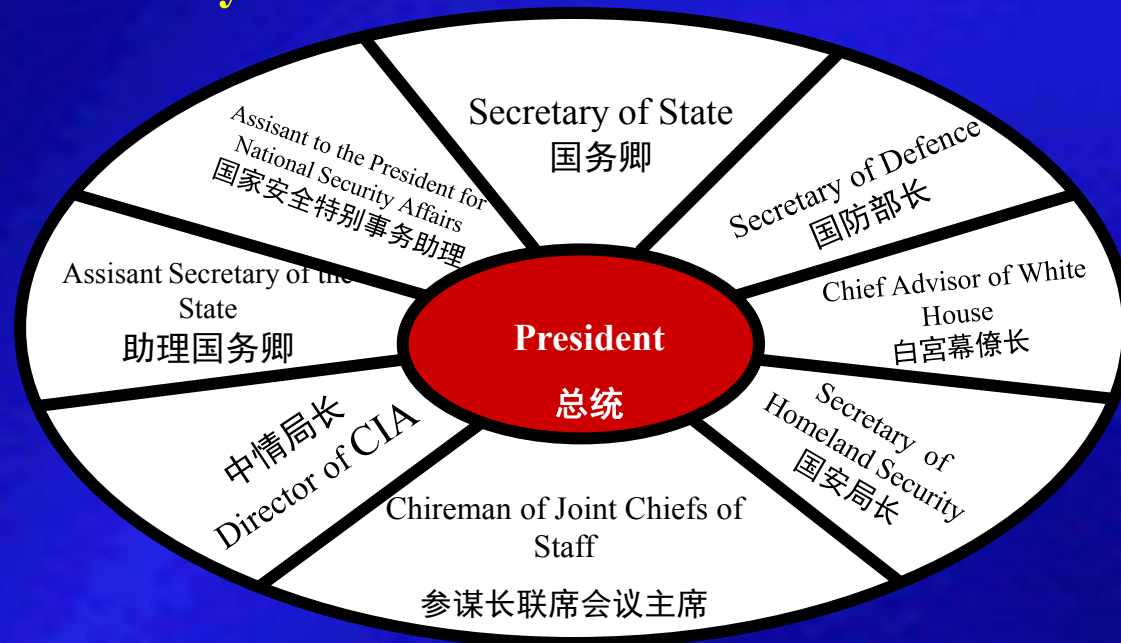
美国的安全决策机构：国家安全委员会

The decision-making organ of the US: National Security Council.



美国国家安全决策当局主要成员

Key members of the US National Security Council.



美国国家安全战略决策核心

The Core of US national security strategy decision-making





中国的安全决策机构 Security Decision-Making organ of China



De facto head of military.
(Vice president of the CMC)

军队实际负责人 (军委副主席)

Head of National Security Agency

国家安全部门负责人

GS

总书记

(Chairman of the CMC 军委主席)

MSC, CPCCPB

中共中央政治局常委

(Member of the NSLG 国家安全领导小组成员)

Major leaders of SC (premier) 国务院主要领导 (总理)

Central Foreign Affairs Leading Group 中央外事工作领导小组

Major leaders of military. 军队主要领导 (军委委员)

Major leaders of MOFA 外交部主要领导 (外长)

Others 体系其他重要成员

人大委员
Member of the NPC

政府要员
GO

军队要成员
SO M

公安部门要员
SP

新闻媒体
Media

Sketch of mechanism of national security strategy decision-making in China

中国国家安全战略决策机制示意图





制定国家安全战略的基本依据

I. Basis of formulating national security strategy



法律法规

i. Laws and regulations

文化传统

ii. Cultural tradition

领导人意志

iii. Leader's will

决策模式

Model of decision-making





国家安全战略制定的程序和方法

II. Procedures and methods of formulating national security strategy





程序是规定的工作顺序与步骤

Procedure refers to the defined working orders and steps

方法是手段和资源的具体运用，是每一个步骤的具体实现方式

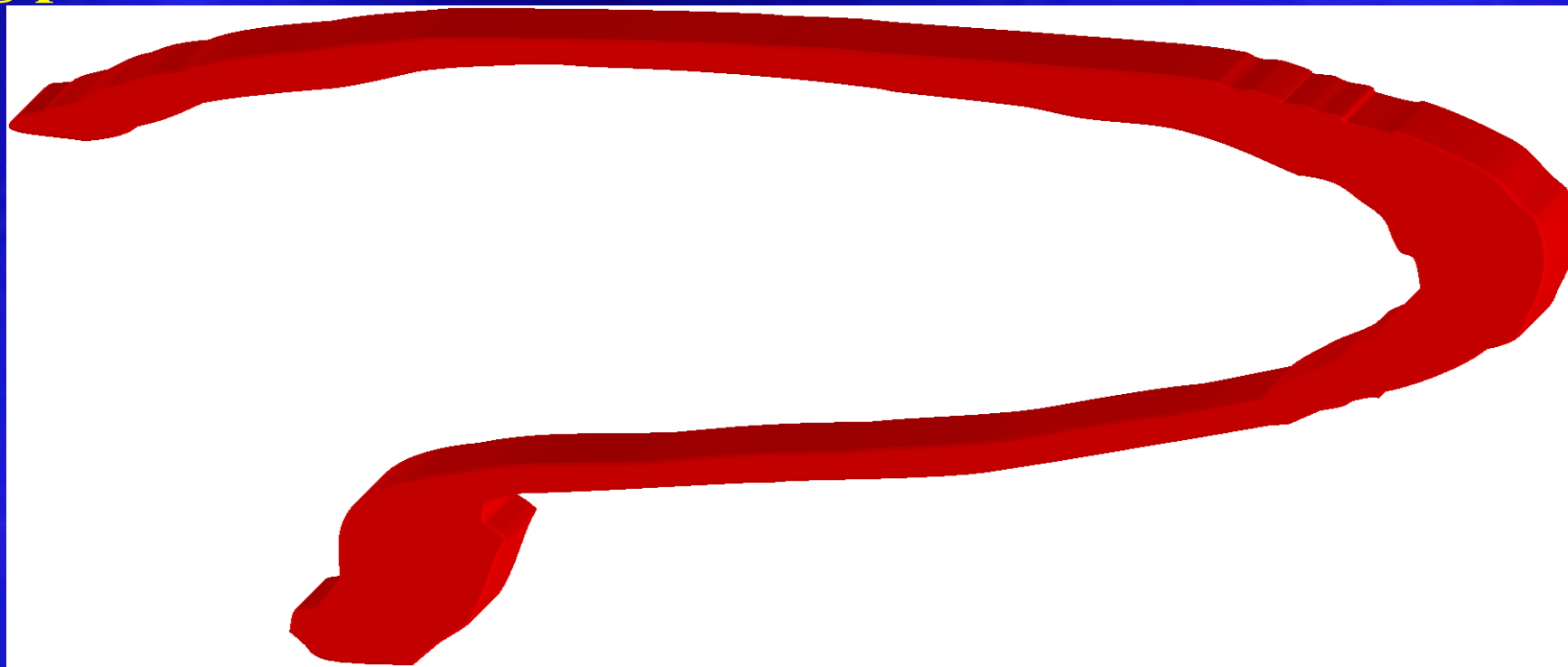
Method refers to the application of means and resource, also is the way of realization of every step





工作程序

Working procedure





工作程序

Working procedures

制定安全战略的一般程序

1. General procedures of formulating national security strategy

确立制定安全战略的议程

—— setting the agenda of making security strategy

制定安全战略的方案

—— making security strategy plans

通过方案

—— adopt plans





工作程序

Working procdures

制定安全战略的方案

2、 Making security strategy plans

确定议题

— — **set agenda**

确定目标

— — **set objectives**

提出政策方针

— — **put forward policy guidance**

拟制战略行动方案

— — **make strategic action plan**

进行风险和可能的效果评估

— — **conduct risk evaluation and possible effectivness evaluation**



II. Procedures and methods of formulating national security strategy



II. Procedures and methods of formulating national security strategy





分析判断安全形势

i. Estimate security situation

国际安全形势

- ▲ international security situation
地区（周边）安全形势
- ▲ regional (peripheral) security situation
面临的安全环境
- ▲ security environment





中国《2013年中国武装力量的多样化》国防白皮书中对“安全形势”的评估

▲The estimate of security situation in China's white paper "The Diversified Employment of China's Armed Forces".

**Year of 2013
The Diversified
Employment of China's
Armed Forces**

**2013年
中国武装力量的多样化
运用**

**The Diversified
Employment of China's
Armed Forces**

**2013年
中国武装力量的多样化运用**





国际安全形势分析要点

Key points of the estimate of international security situation

第一，国际格局、地缘政治，以及整个国际形势的总体表现

First, international pattern, geo-politics, and overall international situation.

第二，对当前局势，尤其是一些突出矛盾或危机的基本看法

Second, current situation, especially the basic views toward some prominent contradictions and crises.

第三，传统与非传统安全领域的一些突出问题及其带来的主要挑战

Third, prominent problems and challenges in traditional and non-traditional domains





国际安全形势

International security situation

和平与发展仍然是时代的主题，国际力量对比朝着有利于维护世界和平的方向发展，国际形势保持总体和平稳定的基本态势。

(1) Peace and development still remain the theme of the current era, the balance of forces is shifting in favor of maintaining world peace, and on the whole, the world remains peaceful and stable.

世界仍不安宁，霸权主义、强权政治和新干涉主义有所上升。

(2) The world is still far from being tranquil, and there are signs of increasing hegemonism, power politics and neo-interventionism.

局部动荡频繁发生，热点问题此起彼伏，传统与非传统安全挑战交织互动，国际军事领域竞争更加激烈。

(3) Local turmoils occur frequently. Hot-spot issues keep cropping up. Traditional and non-traditional security challenges interweave and interact. Competition is intensifying in the international military field.

国际安全问题的突发性、关联性、综合性明显上升。

(4) International security issues are growing noticeably more abrupt, interrelated and comprehensive.





地区安全形势分析要点

Key points of the estimate of regional security situation

第一，对地区形势的总体判断

First, overall estimate of regional situation

第二，对地区较为突出的一些矛盾，以及可能引发地区冲突或危机热点问题的基本看法

Second, basic views on some prominent contradictions and hot-spot issues which will cause regional crisis or conflict.

第三，对大国介入可能带来的问题，以及相关同盟间关系的发展等进行分析

Third, the estimate of problems brought by the major countries' intervention and the development of related alliance relation.





亚太地区日益成为世界经济发展和大国博弈的重要舞台

(1) The Asia-Pacific region has become an increasingly significant stage for world economic development and strategic interaction between major powers.

美国调整亚太安全战略

(2) The US is adjusting its Asia-Pacific security strategy

地区格局深刻调整

(3) The regional landscape is undergoing profound changes

地区矛盾与冲突上升

(4) Regional contradictions and conflicts are on the rise.

地区安全形势
Regional security
situation





国家面临安全环境分析要点

Key points of the estimate of national security environment

第一，维护国家主权或政治稳定所面临的主要安全挑战

First, main security challenges to maintain national sovereignty or political stability.

第二，维护国家利益所面临的传统与非传统安全问题

Second, traditional and non-traditional security issues to maintain national interest.

第三，外部势力对一些问题的介入可能带来的安全影响等

Third, security influence brought by some external forces





中国面临的安全环境

Security environment faced by China

中国海洋权益复杂化，日本在钓鱼岛问题上制造事端

◆ **China's maritime rights and interests are faced with increasingly complicated situation, and Japan is making trouble over the issue of Diaoyu Islands.**

恐怖主义、分裂主义、极端主义“三股势力”威胁上升。“台独”分裂势力及其分裂活动仍是两岸关系和平发展的最大威胁

◆ **The threats posed by “three forces”, namely terrorism, separatism and extremism, are on the rise. The “Taiwan independence” separatist forces and their activities are still the biggest threat to the peaceful development of cross-Straits relations.**

重大自然灾害、安全事故和公共卫生事件频发，影响社会和谐稳定的因素增加

◆ **Serious natural disasters, security accidents and public health incidents keep occurring. Factors affecting social harmony and stability are growing in number.**

国家海外利益安全风险上升

◆ **The security risks to China's overseas interests are on the increase.**

机械化战争形态向信息化战争形态加速演变，主要国家大力发展军事高新技术，抢占太空、网络空间等国际竞争战略制高点

◆ **Changes in the form of war from mechanization to informationization are accelerating. Major powers are vigorously developing new and more sophisticated military technologies so as to ensure that they can maintain strategic superiorities in international competition in such areas as outer space and cyber space.**





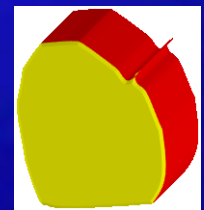
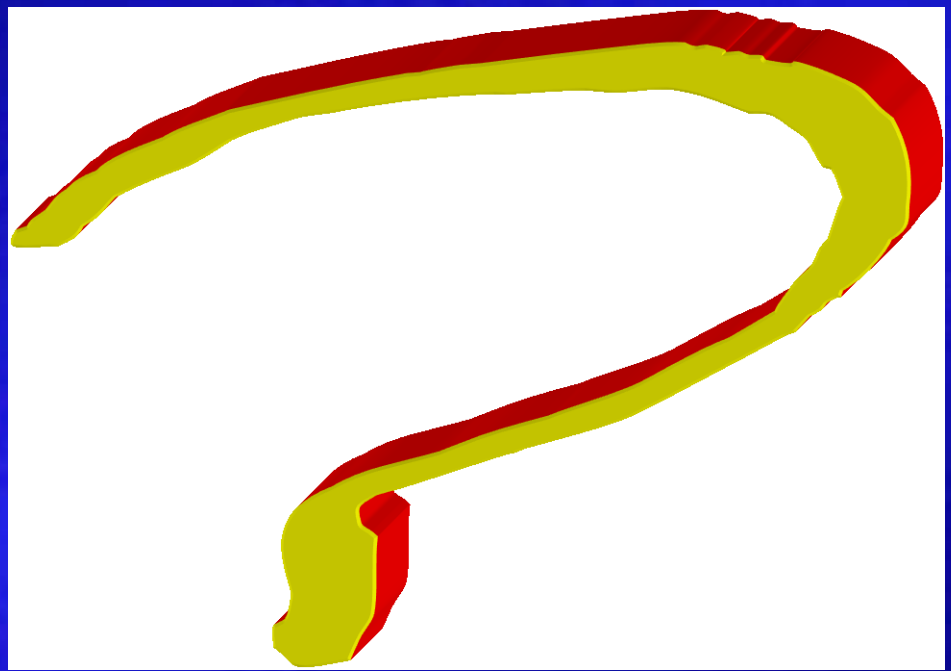
确定国家安全目标

ii. Set national security goals



怎样确定国家安全目标

How to set national security goals?





确定国家安全目标

ii. Set national security goals



安全战略=目标（目的）+行动方案（途径）+实力（手段）

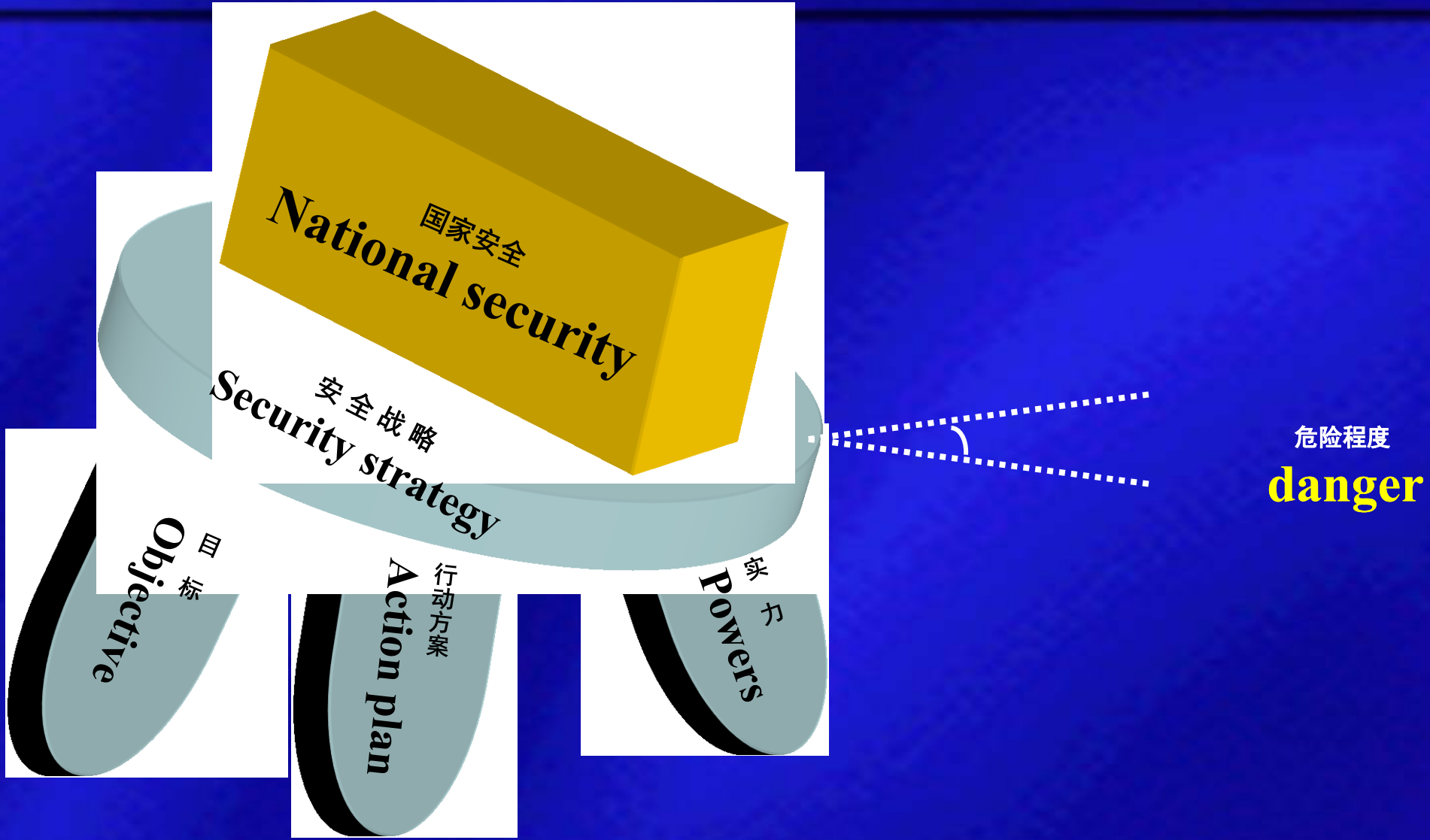
Security strategy = objectives + action plan (ways) + strength (means)





确定国家安全目标

ii. Set national security goals



危险程度
danger





确定国家安全目标

ii. Set national security goals



确定国家安全目标的几种方式

Methods of setting national security strategy goals

依据战略目标实现的时间远近，确定阶段目标与长远目标

1. According to time span, they can be divided into stage objectives and long-term objectives.

阶段目标

● stage objectives

长远目标

● long-term objectives





确定国家安全目标 ii. Set national security goals



根据战略目标本身的重要程度，确定核心目标、重要目标和一般目标目标

2. According to the importance of strategic objectives, they can be divided into core objectives, main objectives and common objectives.

核心目标

● **core objectives**

重要目标

● **main objectives**

一般目标

● **common objectives**





确定国家安全目标

ii. Set national security goals



安全目标划分应考虑各国的具体情况

The division of security goals should be based upon practical national conditions:

不同类型国家的实际情况存在差异，安全需求不可能雷同

▲ The national conditions and security demand differ from country to country.

即使同样是发展中国家，国家安全战略的核心目标仍会千差万别

▲ Even among the developing countries, the core objectives of national security are different.

不同时期的安全战略目标重点也会不一样

▲ The emphases of security strategy in different periods are different.





确定国家安全目标

ii. Set national security goals



从地理空间的角度考虑，确定为外部安全目标和内部安全目标

3. According to geographical space, the strategic objectives can be divided into internal security goals and external goals

外部安全目标

- external goals

内部安全目标

- internal security goals





确定国家安全目标

ii. Set national security goals



根据涉及领域，确定政治、经济、军事、科技、文化和社会安全目标等

4. According to the fields of security, strategic security goals can be divided into political, economic, military, scientific, cultural and social security goals, etc..





确定国家安全目标
ii. Set national security goals



国家安全
National security

世界安全
World security

地区安全
Regional security

生态、社会、政治、军事、信息、经济、文化.....等安全

Ecologic, Social, Political, Military, Information, Economic, Culture.... security

社会安全
Social security

人的安全
Individual security



ii. Set national security goals



社会安全目标：捍卫本国在社会领域的安全利益，保证内部稳定

Social security goals: defend the security interests in the social field, and ensure the internal stability.

缩小贫富差距、城乡差距，避免两极分化

--narrow the gap between rich and poor, urban and rural, and avoid polarization

加强民族和谐与民众团结

--enhance ethnic harmony and unity of people

保障国民正常生活、工作、生产秩序不破坏

--guarantee a normal order of people's life, work and production

避免内部落后观念和极端行为的影响

--avoid the influence of internal backward perception and extreme actions.





确定国家安全目标

ii. Set national security goals



根据战略目标的影响范围，确定全局性目标和局部性目标

5. According to the scope of influence, strategic security goals can be divided into overall objective and partial objective.

全局目标

● overall objective

局部目标

● partial objective





确定国家安全目标
 ii. Set national security goals



高举中国特色社会主义伟大旗帜
 为夺取全面建设小康社会新胜利而奋斗
 -- 在中国共产党第十七次全国代表大会上的报告
 (2007年10月15日)
 胡锦涛

中国国家安全战略目标
China's national security strategy goals

统筹经济和国防建设，在全面建设小康社会进程中实现富国强军的统一
Taking both economic and national defense development into consideration and making our country prosperous and armed forces powerful while building a moderately prosperous society in all respects

中国的和平发展
 (中华人民共和国国务院)
 新闻办公室
 2011年9月6日

力求做到“对内求发展、求和谐，对外求合作、求和平”
To promote development and harmony domestically and pursue cooperation and peace externally.





中国国家安全战略目标的主要精神:

Main principles of China's security strategy goals

加快转变经济发展方式，并进一步挖掘自身资源和市场优势

● **Accelerating the shifting of the model of economic growth and further exploring China's domestic resources and its market strengths.**

加快构建和谐社会，并加强社会主义民主政治建设

● **Accelerating the building of a harmonious society and strengthening the building of socialist democracy.**

实现互利共赢的开放战略，并创造和平国际环境和有利外部条件

● **Implementing the opening-up strategy of mutual benefit and creating a peaceful international environment and favorable external conditions.**





确定国家安全战略目标是达成国家政治目标的一种手段，与国家安全政策的制定密切结合

Setting national security strategy goals is a means to achieve national political objective, which will play an integral role together with the making of national security policy.

制定安全政策包括提出安全战略方针和制定具体的安全政策

Making security policy includes: putting forward security strategy guidance and making security policy.





深挖洞、广积粮、不称霸

Dig tunnels deep, store grain everywhere, and never seek hegemony.

——Mao Zedong

国家的主权、国家的安全要始终放在第一位

To place top priority on national sovereignty and national security.

—— Deng Xiao-ping





制定国家安全政策
iii. Make national security policy



制定国家安全政策
Make national strategy policy

制定安全战略
Make security strategy

提出安全战略方针
Propose security strategic guidance
 制定具体安全政策（以军事安全领域为例）
Make security policy (with military security area as an example)

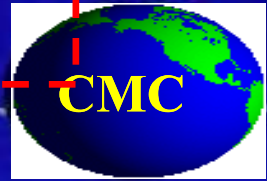
制定军事战略方针 / 国防政策
Make military strategic guidance / defence policy

制定军事战略
Make military strategy



制定作战战略 / 作战计划 / 方案
Make operation strategy / action plan / plan

制定战场战略 / 具体战术
Make combat strategy / tactics





中国国家安全政策

China's national security policy

中国奉行防御性的国防政策

▲ China pursues a national defence policy which is defensive in nature.

同时也强调，加快中国特色军事变革、做好军事斗争准备、提高军队应对多种安全威胁、完成多样化军事任务的能力，坚决维护国家的核心利益

▲ It also emphasized to accelerate the revolution in military affairs with Chinese characteristics, ensure military preparedness, enhance the military capability to respond to various security threats and accomplish diverse military tasks, and resolutely safeguard China's core national interest.





制定国家安全政策

iii. Make national security policy



新时期中国国防的目标和任务

Goals and task of China's national defence in the new era

维护国家主权、安全、发展利益

▲ **maintaining national sovereignty, security and development interests.**

维护社会和谐稳定

▲ **maintaining social harmony and stability.**

推进国防和军队现代化

▲ **Promoting modernization of national defence and armed forces.**

维护世界和平稳定

▲ **maintaining world peace**





iii Make national security policy





制定国家安全战略需关注的问题

III. Points of attention while making national security strategy





制定国家安全战略需关注的问题

Points of attention while making national security strategy

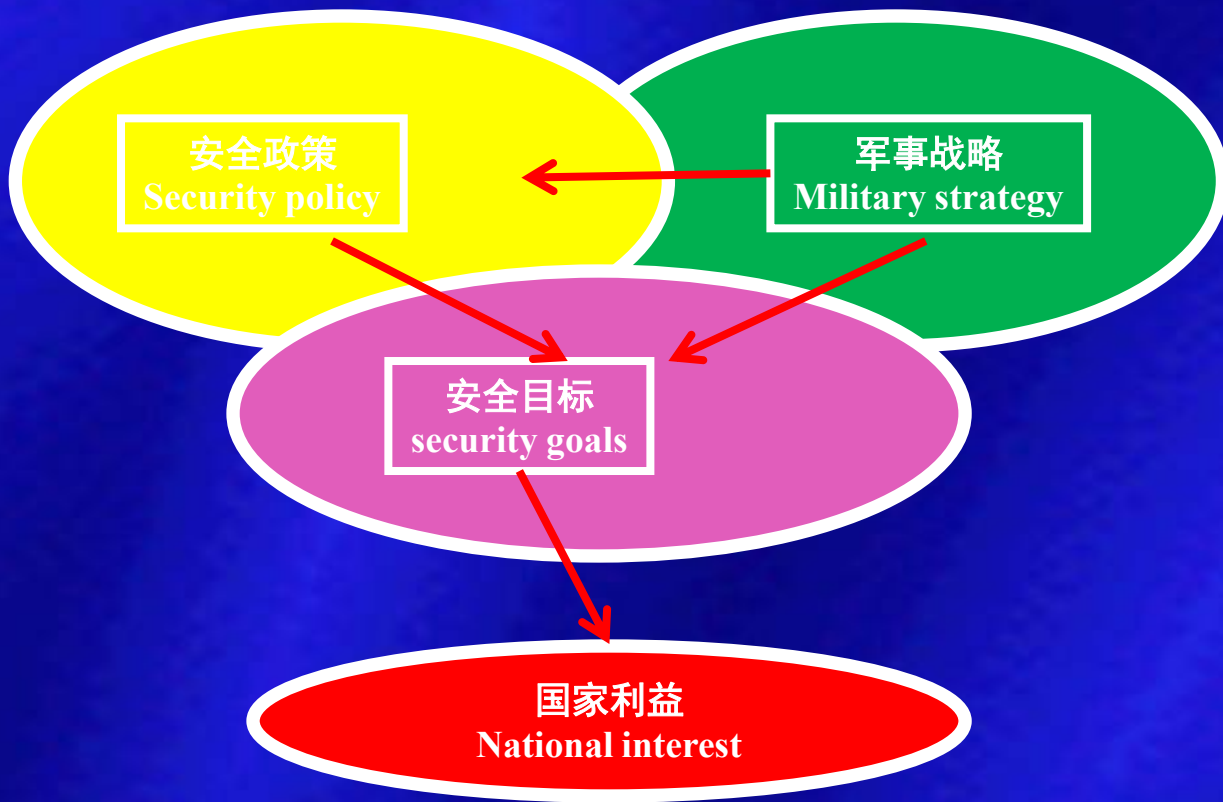




处理好安全目标、安全政策和军事战略之间的关系

1. Properly handle the relationship among security goals, security policy and military strategy





安全目标的确定以国家利益为基础
政策是行动准则，安全政策反映安全目标的内在要求
军事战略作为最重要的安全领域体现安全目标和安全政策
他们之间既相互联系，又各有侧重

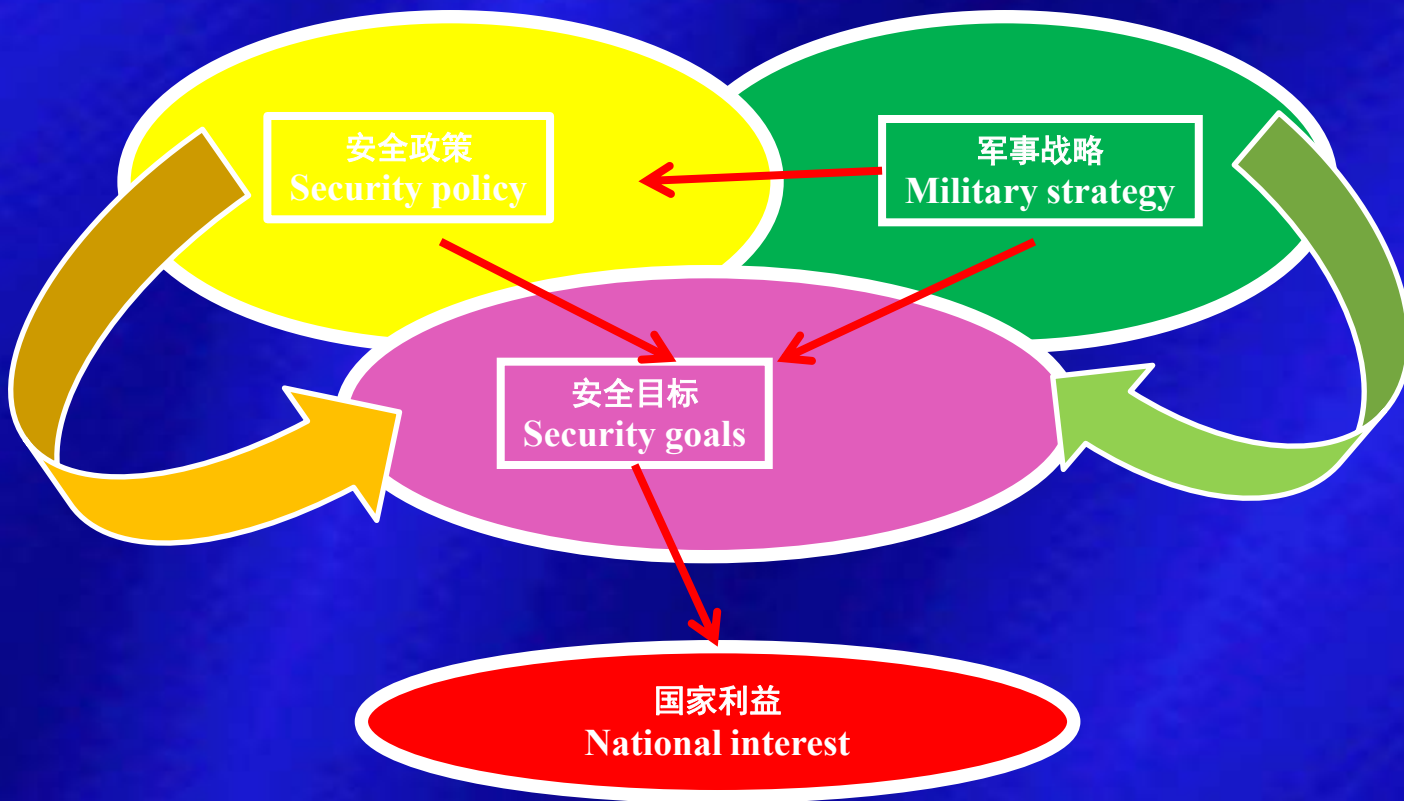
National interest is the foundation of setting the security goals.

Policy is the tenet of action and security policy is a further reflection of the inherent demands of security goals.

Military strategy reflects security goals and security policy.

They are interconnected with each and have different focuses.





国家安全的政策取向或军事战略的实施，会对国家安全目标的实现产生重大影响

National security policy priorities or military strategy implementation will exert great influence on achieving national security goals.





美国干预中东事务的不恰当政策以及军事手段均无助于达成其在中东的安全目标。

美国以“反恐”为名，过多干预中东地区事务，尤其是在以巴间和中东地区不同国家间搞“双重”标准，结果反而导致了中东地区局势的进一步动荡，使得美国的“大中东”战略目标的实现更加困难。

US holds improper Middle East policy of intervention. Its military means will do no good to achieving its security goals in the Middle East.

Under the name of “anti-terrorism”, the US excessively intervened in regional affairs of Middle East and practised a double standard between Israel and Palestine, and between different Middle East countries. As a result, the Middle East situation has seen continued turbulences. And US finds it harder to achieve its “Grand Strategy in the Middle East.”





2010年底以来，北非和中东地区相继发生颜色革命，美国政府积极干预。这个干预过程仍在影响着巴以和平。

Since the end of 2010, “Color Revolutions” have swept the Middle East and North Africa, and the US government has actively intervened in those revolution. Such intervention still influences Israeli-Palestinian peace till now.

2013年8月下旬，传闻叙利亚政府军在大马士革郊区发动化学武器攻击，美国考虑对叙利亚进行军事干预。

At the end of August, 2013, it was alleged that Syrian government force launched chemical attack in the suburb area of Damascus, and the US government thought about a military intervention against Syria.

不恰当的干预给伊斯兰极端势力创造了条件。2014年6月以来，“伊斯兰国”快速崛起，成为影响中东局势的重要因素。

Improper interventions brought about conditions for the Islamic extremists. Ever since June 2014, the Islamic State has took worldwide attention and become new and key factor in the Middle East situation.





发挥好领导体制和组织运行程序的作用

2. The leading system and organization operational procedures should play their due role

要根据各国自身的实际，按照既有的决策程序，将各项工作都纳入规范的组织运行程序中，以提高工作效率

Based on each country's national conditions, every country should follow the set procedures of decision-making. They should integrate all works into standardized organization operational procedures, so as to raise working efficiency.





解决好因利益集团、民众、反对派别或同盟诉求产生的影响

3. Properly address the influence of concerns extended by interests groups, publics, oppositions or allies

不同利益集团、国内民众、反对派别或国家同盟，出于不同动机，都会对国家战略目标及安全政策产生影响。国家安全目标切不可为某一集团利益所绑架。美国安全目标为庞大的军工集团绑架是造成美国频频发动战争的主要因素之一。

Due to different purposes, different interests groups, domestic publics, oppositions or allies would exert influence on national strategic goals and security policy. Therefore, such national security goals should never be manipulated by a certain interests groups. The US' national security goals were quite often manipulated by huge military industry groups.



基本的应对策略

Basic measures:

冷静看待来自不同社会团体、民众或派别（含同盟）的“特殊要求”，不被其左右基本立场

--Calmly treat “special demands” presented by different social groups, publics or other groups (including allies) with no biased position.

要关注相关诉求中的一些“合理因素”，积极汲取来自各方面的有价值咨询建议

--Pay attention to “reasonable factors” of related demands, and actively collect valuable advices from all aspects.

坚持个人参与安全战略制定的原则

--Adhere to the principle of individual participation in security strategy decision-making





结 论

Conclusion



国家安全战略制定是一种国家最高当局实施的国家安全总体筹划行为，是决定国家安全的基本环节

1. The national security strategy formulation is the overall planning of national security by the highest decision-making authorities. It is a basic link (step) to maintain national security.

安全形势分析、战略目标确定和安全政策制定是制定国家安全战略中的关键步骤

2. The estimate of security situation, setting of strategic objectives and security policy formulation are the core steps of formulating national security strategy.





结 论 Conclusion

国家安全战略制定由国家多个权威部门共同协作实施，最高决策当局发挥最终决定作用

3. The national security strategy is worked out by the coordinated actions of several authoritative departments of the country, and the highest decision-making authority has the final say.

国家安全战略制定受多种因素的影响，军队精英应最大限度地代表国家利益，发挥积极作用

4. The national security strategy formulation is affected by various factors, military elites should represent the national interest to the maximum and play an active role.





讨论:

Discussion:

如何理解国家安全目标、安全政策和国家利益之间的关系?

How to understand the relations among national security goals, security policy and national interest?





谢谢！

Thank You!

