
Peter M. Swartz
with Karin Duggan

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Approved for distribution: December 2011

Dr. W. Eugene Cobble, Jr.
Director, Strategic Initiatives Group

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Contents

- Introduction & guide ........................................1
- Ad hocery has ruled ...........................................2
- Comparing the form of the documents .............3
- Comparing the substance of the documents . . 26

Introduction & guide

- This paper provides comparisons across entire 1970-2010 period, across all 35 or so documents

- Some charts are also reproduced separately in larger, more readable format
  - See inside back cover for complete reference information
Ad hoc-ery has ruled

- Few documents were alike
- Even NWP 1 & NDP 1 were one-off documents, not routinely & systematically updated
  - NDP 1 finally updated . . . after 16 years
- Navy Strategic Plans (NSP) had similar covers and components, but differed greatly in length & detail

“History is not reliably linear”

- “History is not a steady, or even an unsteady and irregular, march toward a brighter tomorrow.
- Instead, the course of history is an occasionally non-linear journey to nowhere in particular.”
- “We cope as best we can with the perils of the era.”

Prof. Colin Gray,
“Coping with Uncertainty: Dilemmas of Defense Planning”
Comparative Strategy (Jul-Sep 2008)
Comparing the documents: Form (I)

- Who tasked them
- Principal target audiences
- What they said they were
- Where they were drafted
- Who drafted them? From what community?
- Some special features
- Who signed them
- When in tours CNOs published them

Comparing the documents: Form (II)

- How long they were
- How they were published
- How they were socialized
- How long they were influential
- Approaches, styles & formats
- The Navy & other maritime services
- Costs of developing documents
- USN officers as naval strategists/visionaries
### Comparing who tasked them (I)

<table>
<thead>
<tr>
<th>Document</th>
<th>Approver</th>
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<tbody>
<tr>
<td>Project SIXTY</td>
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<tr>
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### Who tasked them (II)

- **The Navy**
  - Usually CNO & his staff
  - USN capstone documents are almost always self-generated
  - Little or no demand signal from outside the Navy
  - To meet internally-felt Navy requirements, not externally-driven demands
  - CMC & USMC staffs often push for joint operations concepts
Comparing principal target audiences (I)

| Project SIXTY | SECDEF, OSD, DON, OPNAV |
| Missions of the U.S. Navy | USN officer corps |
| NWP 1 (Rev. A) | USN officer corps, Congress |
| Sea Plan 2000 | SECDEF, OSD, DON, OPNAV, Congress |
| Future of U.S. Sea Power | USN officer corps, Congress |
| The Maritime Strategy | Many, esp. USN officer corps, Soviets |
| The Way Ahead | Many, esp. USN officer corps |
| The Navy Policy Book | USN officers & enlisted |
| ... From the Sea | Many, esp. USN & USMC officer corps |
| NDP 1 | All services’ officer corps |
| Forward ... From the Sea | Many, esp. USN officer corps |
| NOC | USN officer corps |
| Anytime, Anywhere | Many, esp. USN officer corps |
| NSPG I & II | DON planners, programmers, budgeters |
| SP 21 & Global CONOPs | Many, esp. USN programmers |
| Naval Power 21 | USN & USMC leadership |
| NOCJO | USN & USMC officers & enlisted |
| Fleet Response Plan (FRP) | SECDEF, OSD, USN officers; later USN enlisted & families |
| NSP ISO POM 08 | DON planners, programmers, budgeters |
| NOC 2006 | USN & USMC officers & enlisted |
| NSP ISO POM 10 | DON planners, programmers, budgeters |
| A Cooperative Strategy | American people, Congress |
| NSP ISO POM 10 (Change 1) | DON programmers, budgeters |
| NSG ISO PR 11 | DON programmers, budgeters |
| NSP ISO POM 12 | DON programmers, budgeters |
| NOC 2010 | Sailors, Marines, Coastguardsmen, Congress |
| NDP 1 | Sailors, Marines, Coastguardsmen |
| NSP ISO POM 13 | DON programmers, budgeters |

Principal target audiences (II)

- Mostly: The Navy itself
  - Self-advertised exceptions:
    - A Cooperative Strategy for the 21st Century
    - Naval Operations Concept 2009
- Often: The Congress, SECDEF, OSD
- Seldom:
  - The American People
    - Exception: A Cooperative Strategy for the 21st Century
  - The adversary
    - Exception: The Maritime Strategy (1980s)
What they said they were (I)

- “Assessment”
- “Direction”
- “Missions”
- “Strategic concepts”
- “Fundamental principles”
- “Strategy”
- “Way ahead”
- “Policy”
- “Force planning study”
- “White paper”
- “Doctrine”
- “Operational/operations/operating concept(s)”
- “Vision”
- “Strategic planning guidance”
- “CONOPS”
- “Strategic plan”
- Strategic guidance

Comparing what they said they were (II)

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<td>“Force planning study”</td>
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<td>The Maritime Strategy</td>
<td>“Strategic concepts &amp; Fundamental principles”</td>
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<td>The Way Ahead</td>
<td>Strategy”, “Strategic Vision”</td>
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<tr>
<td>The Navy Policy Book</td>
<td>“Way ahead”</td>
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<td>. . . From the Sea</td>
<td>“Policy” (included a “vision”)</td>
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<tr>
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<td>“White paper, combined vision”</td>
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<td>Naval Operating Concept for Joint Operations (NOCJO)</td>
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<td>“Concept, then plan”</td>
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<td>“Strategy”</td>
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## What *they* said they were (III)

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<td>“Strategic concepts”</td>
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<td>The Navy Policy Book (1992)</td>
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<td>“Visions”</td>
<td>...From the Sea (1992)</td>
</tr>
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<td>“Doctrines”</td>
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## What *they* said were (IV)

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<td>“Doctrines”</td>
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<tr>
<td>“Doctrines”</td>
<td>Navy Strategic Plan ISO POM 12 (2009)</td>
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</table>
A way to categorize US Navy capstone documents

1970s
- Maritime strategies

1980s
- Department of the Navy White Papers
- Other CNO Statements
- Navy/naval operational concepts
- Program guidance
- Doctrine
- Other

1990s
- Project SIXTY
- Missions of the U.S. Navy
- CNO Strategic Concepts, Future of U.S. Sea Power
- The Maritime Strategy
- The Way Ahead
- The Navy Policy Book
- ... From the Sea
- Naval Doctrine Pub (NDP) 1: Naval Warfare
- Forward ... From the Sea
- Navy Operational Concept (NOC)
- Anytime, Anywhere
- Navy Strategic Planning Guidance (NSPG) I & II
- Sea Power 21 & Global CONOPs
- Naval Power 21 ... A Naval Vision
- Naval Operating Concept for Joint Operations (NOCJO)
- Fleet Response Plan (FRP)
- Navy Strategic Plan (NSP) ISO POM 08
- Navy Operations Concept (NOC) 2006
- Navy Strategic Plan (NSP) ISO POM 10
- A Cooperative Strategy for 21st Century Seapower
- Navy Strategic Plan (NSP) ISO POM 10 (Change 1)
- Navy Strategic Guidance (NSG) ISO PR 11
- Navy Strategic Plan (NSP) ISO POM 12
- Navy Operations Concept (NOC) 2010
- Naval Doctrine Pub (NDP) 1: Naval Warfare
- Navy Strategic Plan (NSP) ISO POM 13

2000s
- CNO Flag SAs
- NWC
- CNO, OP-60N Working group
- CNO EA
- The Way Ahead
- OP-603, OP-00K
- OP-07
- OP-00K
- Working group, then small senior group
- NAVDOCCOM
- Working group, then N513
- N00K
- Navy Strategic Planning Guidance (NSPG) I & II
- N513
- N00Z, N81
- Deep Blue
- Deep Blue
- Deep Blue, N5SSP
- Navy Strategic Plan (NSP) ISO POM 10
- N5SSC
- NAVDOCCOM
- N5SSG
- N5SSC
- N513
- N513
- N513
- NWDC
- N513

Note: RED = OPNAV N513 + predecessors (OP-603 /N5SC/N513).
Where -- in USN -- they were drafted (II)

- **OPNAV**
  - CNO: 1
  - OP-603/N513/N5SC: 12
  - OP-60N/N5SAG: 2
  - CNO special assistants, EA: 6
  - Deep Blue: 3
  - OP-07: 1
  - N81: 1

- **But also**
  - Working groups: 3
  - Naval War College: 1
  - NAVDOCCOM /NWDC: 3

Who drafted them? From what community?

| Project SIXTY Missions of the U.S. Navy | Surface, Surface |
| Sea Plan 2000 | Surface, Surface |
| Future of U.S. Sea Power | Surface, Surface |
| The Maritime Strategy | Surface, Surface |
| The Way Ahead | Surface, Surface |
| The Navy Policy Book | General URL |
| . . . From the Sea | TACAIR aviator, Surface |
| NDP 1: Naval Warfare | Submariner |
| Forward . . . From the Sea | Surface, MPRA aviator |
| Navy Operational Concept | Surface, TACAIR aviator |
| Anytime, Anywhere | Surface, Intel |
| NSPG I & II | Surface, Submariner |
| SP 21 & Global CONOPS | Surface, Surface |
| Naval Power 21 | Surface, Surface |
| NSOJO | Surface, Surface |
| Fleet Response Plan | Surface, Surface |
| NSP ISO POM 08 | Surface, Surface |
| NOC 2006 | Surface, Surface |
| NSP ISO POM 10 (& CH 1) | Surface, Surface |
| Cooperative Strategy | Surface, Surface |
| NSG ISO PR 11 | Helo aviator, Civ.Contractor |
| NSP ISO POM 12 | Helo aviator, Civ.Contractor |
| NOC 2010 | Surface, Surface, Helo |
| NSP ISO POM 13 | Civ.Contractor (was Surface) |
| N512: Naval Warfare | Submariner |
| N513: Naval Warfare | Submariner |
| N5SAG: Naval Warfare | Submariner |
| N5SAG: Naval Warfare | Submariner |
| CNO special assistants, EA: | Submariner |
| OP-07: | Submariner |
| OP-603/N513/N5SC: | Submariner |
| OP-60N/N5SAG: | Submariner |
| CNO: | Submariner |
| OPNAV: | Submariner |
| CNO special assistants, EA: | Submariner |
| OP-07: | Submariner |
| OP-603/N513/N5SC: | Submariner |
| OP-60N/N5SAG: | Submariner |
| CNO: | Submariner |
Who drafted them? From what community?

- Surface 33
- Aviators 10
- TACAIR (3)
- Helo (4)
- MPRA (3)
- Submarines 4

- General URL 2
- Intel 1
- Civilian 4
- USMC (Ret) (1)
- Surface (Ret) (1)

- Surface Warfare Officers outnumbered all others combined
- Recent surge of Helo Aviator drafters

Who drafted them? From what community?

- Overwhelmingly cruiser-destroyer sailors

Some suggested explanations

- Cruiser-destroyer experience provides more expansive, cross-cutting view of Navy, relationships with others
- Cruiser-destroyer sailors have more time in their career patterns than others for
  - Post-graduate education
  - OPNAV staff duty
- Cruiser-destroyer sailors more likely to have high-quality social science vice hard science degrees (e.g.: political science, international relations, history)
The drafting process: Leaders & drafters

Some special features (I)

- Laid out PPBS process
  - *NWP 1*
- Progressed through a series of standardized maps
  - *Maritime Strategy*
- Provided an annotated bibliography
  - *Maritime Strategy*
- Broad multi-media distribution
  - *Maritime Strategy, Cooperative Strategy*
- Multiple articles & authors
  - *Sea Plan 2000, Maritime Strategy, Sea Power 21*
Some special features (II)

- Published in leading civilian academic journal
  - *Sea Plan 2000, Maritime Strategy*
- Provided a professional reading list
  - *Navy Policy Book, NDP 1*
- Summarized, analyzed naval history
  - *Missions of the Navy, Navy Policy Book, NDP 1*
- Provided risk guidance
  - *NSPG, Navy Strategic Plans, Navy Strategic Guidance*
- Provided illustrative fictional vignettes
  - *NOC 2006*

Some special features (III)

- Development history commissioned while process ongoing/ at end
- Tasked future actions
  - *...From the Sea; Navy Strategic Plans*
- Mechanism created to track tasked actions
  - *Project SIXTY*
- Provided principles of war
  - *Naval Warfare (NDP 1)* (1994, 2010)
Some special features (IV)

♦ Directed or recommended further studies
  ♦ Navy Strategic Planning Guidance; Navy Strategic Plans (2006-9)

♦ Recommended development of future concepts
  ♦ Navy Strategic Guidance in support of Program Review 11

♦ Pocket-sized for portability
  ♦ Holloway “Strategic Concepts” Posture Statements; NOC 2006; Fleet Response Plan (FRP) instruction (2007); NDPs

Some special features (V)

♦ References to earlier documents
  ♦ Way Ahead, …From the Sea, NDP 1, Forward…From the Sea, NOCJO, Anytime, Anywhere, NOC, Cooperative Strategy, Navy Strategic Guidance

♦ SECRET, then UNCLAS versions

♦ Major expenditure of Navy $ for development & disseminations
Some special features (VI)

- "Conversations with the Country"
- A Cooperative Strategy for 21st Century Seapower
- Major expenditure of resources to create
- Sea Plan 2000, . . . From the Sea, A Cooperative Strategy for 21st Century Seapower
- Provided a listing of uncertainties
- The Maritime Strategy
- Accompanied by major public program of Navy-sponsored complementary & supplementary writings

Comparing who signed them

<table>
<thead>
<tr>
<th>Year</th>
<th>Publication</th>
<th>SECNAV</th>
<th>CNO</th>
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</table>
When in their tours CNOs published them

- Zumwalt: 2 mos
- Holloway: 18 mos
- Hayward: 6 mos
- Watkins: 23 mos
- Trost: 6 mos
- Kelso: 10 mos
- Boorda: 6 mos
- Johnson: 12 mos
- Clark: 23 mos
- Mullen: 9 mos
- Roughead: 1 mo

Average: 11 mos
Range: 1-23 mos

Comparing document length (I)

IN 140 CHARACTERS OR LESS, CAN YOU EXPLAIN THE NAVY'S STRATEGIC POLICY?

The collision of Naval Media and Social Media
Cartoon provided courtesy of Broadside Cartoons; Jeff Bacon, Artist 2010
Comparing document length (II)

<table>
<thead>
<tr>
<th>Document</th>
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<tbody>
<tr>
<td>Project SIXTY</td>
<td>30 (plus 44 slides)</td>
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<tr>
<td>Missions of the U.S. Navy</td>
<td>16</td>
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<td>NWP 1 (Rev. A): Strategic Concepts of the U.S. Navy</td>
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<tr>
<td>Sea Plan 2000</td>
<td>(U) 23/ (S) 889</td>
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<td>CNO Strategic Concepts, Future of U.S. Sea Power</td>
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<tr>
<td>The Maritime Strategy</td>
<td>(S) 70, 87, 47(AW), 70, 51/ (U) 40, 4, 9</td>
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<td>The Way Ahead</td>
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<td>The Navy Policy Book</td>
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<td>Sea Power 21 &amp; Global CONOPS</td>
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<td>Naval Operating Concept for Joint Operations (NOCJO)</td>
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<td>Fleet Response Plan (FRP)</td>
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<td>Navy Strategic Plan (NSP) ISO POM 08</td>
<td>(U) 23/ (S) 42</td>
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<tr>
<td>Navy Strategic Plan (NSP) ISO POM 10</td>
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<tr>
<td>A Cooperative Strategy for 21st Century Seapower</td>
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<td>Navy Strategic Plan (NSP) ISO POM 10 (Change 1)</td>
<td>76</td>
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<td>Navy Strategic Guidance (NSG) ISO PR 11</td>
<td>33</td>
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<td>Navy Strategic Plan (NSP) ISO POM 12</td>
<td>76</td>
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<tr>
<td>Naval Operations Concept (NOC) 2010</td>
<td>102</td>
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<td>Naval Doctrine Pub (NDP) 1: Naval Warfare</td>
<td>54</td>
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<tr>
<td>Navy Strategic Plan (NSP) ISO POM 13</td>
<td>19</td>
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</tbody>
</table>

Comparing document length (III)

♦ **Very long (90 pp.+)**: Sea Plan 2000, NSPGs, Naval Operations Concept (2010)

♦ **Long (50-90 pp.)**: The Maritime Strategy, NDP 1, Navy Strategic Plans (2007-10)

♦ **Medium (20-50 pp.)**: Project SIXTY, NWP 1, Navy Policy Book, Sea Power 21, 3 NOCs, NSG


♦ **Very short (3-10 pp.)**: Future of US Sea Power; NOC 1997; Anytime, Anywhere; Naval Power 21; Fleet Response Plan
Comparing document length (IV)

- Length reflects several factors, especially nature and goals of the document
- But . . . arguably, the most important documents have been about 16 pages long
  - VADM Turner’s “Missions of the Navy”
  - CNO ADM Watkins’ “Maritime Strategy” article
  - “The Way Ahead”
  - “. . . From the Sea”
  - “Forward . . . From the Sea”
  - “Cooperative Strategy for 21st Century Seapower”
- 16 pages is easier to publish; divisible by 4

Comparing how they were published (I)

<table>
<thead>
<tr>
<th>Project SIXTY</th>
<th>Briefings, Ltr to Flags</th>
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<tbody>
<tr>
<td>Missions of the U.S. Navy (Rev. A)</td>
<td>NWCN, NIP</td>
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<tr>
<td>Sea Plan 2000</td>
<td>NWP, NIP, Posture statements</td>
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<tr>
<td>Future of U.S. Sea Power</td>
<td>Study document, IS</td>
</tr>
<tr>
<td>The Maritime Strategy</td>
<td>Ltr to Flags, Briefings, NIP, Posture Statement, testimony</td>
</tr>
<tr>
<td>The Way Ahead</td>
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<tr>
<td>The Navy Policy Book</td>
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<tr>
<td>. . . From the Sea</td>
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<tr>
<td>NDP 1: Naval Warfare 1994</td>
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<td>Forward . . . From the Sea</td>
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<td>NOC 1999</td>
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<td>Anytime, Anywhere</td>
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<td>NSPG I &amp; II</td>
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</tr>
<tr>
<td>NSP ISO POM 13</td>
<td></td>
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</tbody>
</table>
How they were published (II)

- Briefings (lingua franca of the Pentagon) (all)
- Letter to Flag officers (2)
- Booklet (9)
- US Naval Institute Proceedings article (14)
- Posture statements (2)
- Other testimony (3)
- Naval Doctrine/Warfare pub (2)
- Naval War College Review article (3)
- Conferences
- Sea Power article (1)
- Inside the Navy article (1)
- Marine Corps Gazette article (4)
- Study document (1)
- Video, DVD, CD-ROM (2)
- Naval messages
- Web (all since 1992)
- Books (2)
- Blogs (2)
- Program Guide chapter (2)

How they were “socialized” in USN (I)

- Official in-house fora
  - 1969-  International Seapower Symposia (NWC)
  - 1973-  Current Strategy Forum (NWC)
  - 1985-9  Navy Long-Range Planners Conferences
    - OPNAV OP-00X, OP-00K lead
  - 1990-95 “Cooke Conferences”
    - NAVPGSCOL (CDR Mitch Brown) & NAVWARCOL (Dr. Don Daniel) lead
  - 1998-2000 “Sestak Conferences”
    - RDML Sestak (OPNAV N51) lead
  - 2005-  Global N5s/N39s Conferences
    - OPNAV N5SP lead
How they were “socialized” in USN (II)

♦ Unofficial DC-area officer discussion fora
  ♦ Late 1970s  “Commanders Cabal”  
    (Convener: CDR Norm Mosher)
  ♦ Early 1980s  “Young Turks” lunches w/ SECNAV  
    (Convener: SECNAV John Lehman)
  ♦ Mid-1980s  Navy Discussion Groups  
    & early 1990s  (“Ancient Mariners”)  
    (Convener: CDR, later CAPT Jim Stark)
  ♦ Mid-1980s  US Naval Institute symposia  
    (Coordinator: Editor Fred Rainbow)
  ♦ 1992-2005  Navy Study Group  
    (Convener: Dr. David Rosenberg)
  ♦ 2008-  Navy Strategy Group  
    (Convener: CAPT (Ret) Robby Harris)

How they were “socialized” in USN (III)

♦ War college & NPS curricula
  ♦ CDR Tritten to NPS (1987)
  ♦ CAPT Byron to NATWARCOL (1988)
How long they were influential

- Project SIXTY
- Missions of the U.S. Navy
- NWP 1 (Rev. 1) Strategic Concepts
- Sea Plans 2000
- Future of U.S. Sea Power
- Maritime Strategy
- The Way Ahead
- Navy Policy Briefs
- ...From the Sea
- Forward...From the Sea
- NWP 1 Naval Warfare
- Navy Operational Concept
- Airpower, Warfare
- NDPS
- Sea Power 21
- Naval Power 21
- Global CONOPS
- RDCOD
- Fleet Response Plans
- Navy Strategic Plan ISO/POM 08
- Naval Operations Concept
- NSPS/POM 10
- A Cooperative Strategy
- NSP ISO POM 10 (Change 1)
- NSG ISO PB 11
- NSPS/POM 12
- Naval Operations Concept
- NDP 1 Naval Warfare
- NSPS/POM 13

Capstone doctrine pubs: The record

- Long shelf life
- But decreasing relevance over time within USN
  - Revised and still in force in 1970
  - Ignored by authors of Project 60 & Missions of the Navy
- NWP 1 (1978)
  - Still in force in 1980s
  - Little used, never updated by Maritime Strategy authors
- NDP 1 (1994)
  - Still in force as of 2009
  - Ignored inside the Navy
Approaches, styles & formats

• Wide variety, e.g.:
  • NWP 1: Rigorous force planning and operational typologies
  • Maritime Strategy: Told a story; had a narrative
  • NDP 1: Abstract principles
  • Sea Power 21: Re-packaged Navy programs

USN & the other maritime services

• Significant USMC influence on documents dates from Sea Plan 2000 (1978)
• Significant USCG influence dates from The Maritime Strategy (1984)
Costs of developing documents

♦ Expenditure of
  ♦ Talent
  ♦ Time
  ♦ Money
  ♦ Education & experience

♦ Opportunity costs
  ♦ Alternative employment of these officers

USN officers as naval strategists

♦ USN strategic planning subspecialty has been famously broken

♦ Yet…an informal system of sorts has worked
  ♦ Periodic flag officer efforts to create a “cadre of USN strategists”
  ♦ Flag officer selection
  ♦ Officer self-selection

♦ Major N513-led effort to rationalize the system & make it work (2009-10)
  ♦ Overseen by VADM Doug Crowder (OPNAV N3/N5) (2008-9)
  ♦ Spearheaded by CAPT Mark Montgomery (OPNAV N513) (2009-10)
Efforts to create USN strategy cadres

1970s
- Fletcher School program (1960s-1980s)
  - Patton, Wylie, Stark, Johnson, Stavridis, Strasser, Ullman, Wylie, Pandolfe, Marfiak, etc.
- VADM Turner at Newport
  - Curriculum & faculty changes
- OP-60N
- RADMs Hilton, Moreau: OP-603 (late 1970s; early 1980s)

1980s
- Strategic Studies Group
- NAVPGSCOL programs

2000s
- VADM Morgan (N3/N5) & the SAG (2005-8)
- VADMs Crowder (N3/N5), CAPT Montgomery (N513)
- OPNAVINST
- “One strategist a year” Ph.D. program at NPS Monterey

USN officers as USN strategists

Q: Who developed the concepts and drafted the strategies?
A: Often Strategic Planning sub-specialists
Some examples (just the Ph.D.s):
- CAPT Roger Barnett, Ph.D.
- CAPT Joe Bouchard, Ph.D.
- CAPT Frank Pandolfe, Ph.D.
- CAPT Jim Patton, Ph.D.
- CAPT Joe Sestak, Ph.D.
- CAPT Ed Smith, Ph.D.
- CAPT Jim Stark, Ph.D.
- RADM Phil Dur, Ph.D.
- RADM Joe Stavridis, Ph.D.
- RADM Joe Strasser, Ph.D.
- CAPT Sam Tangredi, Ph.D.
- CAPT Sam Tangredi, Ph.D.
- CDR Harlan Ullman, Ph.D.
- LCDR Stan Weeks, Ph.D.
Experienced drafters: Examples (I)

- William Cockell
  - *Project SIXTY*
  - *Future of US Sea Power*

- James Stark
  - *Sea Plan 2000*
  - *The Maritime Strategy* (contributor & promulgator)
  - *Navy Policy Book* (oversight)

- Kenneth McGruther
  - *Sea Plan 2000*
  - *The Maritime Strategy* (contributor)

Experienced drafters: Examples (II)

- R. Robinson Harris
  - *The Maritime Strategy*
  - *Anytime, Anywhere*
  - *Cooperative Strategy for 21st Century Seapower* (consultant)

- James Stavridis
  - *...From the Sea*
  - *Naval Power 21*
  - *Sea Power 21 Global CONOPS*

- Ed Smith
  - *... From the Sea*
  - *Anytime, Anywhere*
Experienced drafters: Examples (III)

- Joseph Sestak
  - *The Way Ahead*
  - *Forward...From the Sea*
  - *Navy Strategic Planning Guidance*

- Joseph Bouchard
  - *Navy Operating Concept*
  - *Fleet Response Plan*

- Paul Nagy
  - *NOCJO*
  - *NSP ISO POM 08*
  - *NSP ISO POM 10*

- Bryan McGrath
  - CNO Johnson “Steer by the Stars” speech
  - *A Cooperative Strategy for 21st Century Seapower*

Experienced drafters as future major critics

- Examples
  - ADM Turner & CDR Thibault
    - Drafted *Project SIXTY* & “Missions of the Navy”
    - Public critics of *The Maritime Strategy*
Comparing the documents: Substance

- Relating to the administration
- Principal potential threats identified
- How they were organized & constructed
- Ideas that did have changed
- Other rationales: why were they written
- Constant (or almost constant) themes
- New ideas introduced & maintained
- Ideas that waxed & waned
- Ideas that have changed
- Ideas seldom if ever mentioned

Relating to the administration (I)

- Four kinds of relationships
  I. Efforts to anticipate & guide the new Administration
  II. Efforts to show USN following new Administration lead
  III. Efforts to change Administration policies
  IV. Efforts IAW Administration but focused elsewhere
Relating to the administration (II)

I. Efforts to anticipate & guide a new Administration

- Strategic Concepts of the U.S. Navy (1975-6)
  - Prep for possible new Democrat (or same Republican) Administration
- Future of U.S. Sea Power (1979)
  - Prep for possible new Republican (or same Democrat) Administration
- . . . From the Sea (1992)
  - Prep for possible new Democrat (or same Republican) Administration
  - Prep for new Republican or Democrat administration
  - Prep for new Republican or new Democrat Administration

Relating to the administration (III)

II. Efforts to show USN following new Administration lead

- The Maritime Strategy (1982+)
  - In synch with Reagan (R) Administration
- The Way Ahead (1991)
  - In synch with G. H. W. Bush (R) Administration
- . . . from the Sea (1992)
  - In synch with G. H. W. Bush (R) Administration
- Forward . . . From the Sea (1994)
  - In synch with Clinton (D) Administration
  - In synch with G. W. Bush (R) Administration
  - In synch with G. W. Bush (R) Administration
- Naval Operations Concept (2010)
  - In synch with Obama (D) Administration
III. Efforts to change current Administration policies

- *Project SIXTY* (1970)
  - CNO ADM Zumwalt → Nixon Administration (R)
- Strategic Concepts of the US Navy (1977-8)
  - CNO ADM Holloway → Carter Administration (D)
  - SECNAV Claytor → Carter Administration (D)
  - CNO ADM Hayward → Carter Administration (D)

IV. Efforts IAW Administration but focused elsewhere

- *NDP 1 Naval Warfare* (1994)
- *Navy Operational Concept* (1997)
- *Anytime, Anywhere* (1997)
- *Navy Strategic Plan ISO POM 10 (CH 1)* (2007)
- *NDP 1 Naval Warfare* (2010)
Principal potential threats & challenges identified (I)

<table>
<thead>
<tr>
<th>All documents:</th>
<th>Across the spectrum of military capabilities &amp; intentions</th>
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<tr>
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<tr>
<td>1970s: Soviet Union &amp; Chinese Communists</td>
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<tr>
<td>1980s: Soviet Union, clients &amp; surrogates</td>
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<tr>
<td>1990s: Unspecified regional aggressors</td>
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</tr>
<tr>
<td>2000s: Unspecified rising nations &amp; non-state actors</td>
<td></td>
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</tbody>
</table>
How they were organized & constructed (I)

- **3 main constructs**
  - “Navy capabilities” or “missions”
    - E.g.: ADM Turner’s “Four missions of the Navy”
  - “Spectrum of conflict”
    - E.g.: *The Maritime Strategy*’s “Peacetime crises, war”
  - “Pillars”
    - E.g.: *Sea Power 21*’s “Sea Strike, Sea Shield, Sea Basing”

- **Other constructs**
  - E.g.: *The Maritime Strategy*’s “3 phases of war”
  - *A Cooperative Strategy*’s “6 Strategic Imperatives”
  - *NOC 2006*’s “9 principles, 9 methods, 4 foundations,” etc.
  - *NDP 1 (2010)*’s 3 levels of war; 6 phases of ops; 12 joint principles of war
  - Etc.

How they were organized & constructed (II)

<table>
<thead>
<tr>
<th>Year</th>
<th>Documents</th>
<th>Navy capabilities</th>
<th>Spectrum of conflict</th>
<th>Pillars</th>
<th>Other</th>
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<tbody>
<tr>
<td>1970</td>
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<td>1974</td>
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<td>1978</td>
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<td>Future of US Sea Power</td>
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<td>■</td>
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<td>1980s</td>
<td>The Maritime Strategy</td>
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<td>4 elements, missions list</td>
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<td>The Way Ahead</td>
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<td>1997</td>
<td>Anytime, Anywhere</td>
<td>■</td>
<td>■</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2000</td>
<td>NSPG</td>
<td>■</td>
<td>■</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2002</td>
<td>SP 21 &amp; Global CONOPs</td>
<td>■</td>
<td>■</td>
<td></td>
<td>10-part model</td>
</tr>
<tr>
<td>2002</td>
<td>Naval Power 21</td>
<td>■</td>
<td>■</td>
<td></td>
<td>USMC concepts</td>
</tr>
<tr>
<td>2003</td>
<td>NOC</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Levels of war, challenges, focus areas, levels of war</td>
</tr>
<tr>
<td>2003</td>
<td>Fleet Response Plan</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Multiple constructs</td>
</tr>
<tr>
<td>2006</td>
<td>NSP ISO POM 08</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2006</td>
<td>NOC</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2007</td>
<td>NSP ISO POM 10 + Ch 1</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2007</td>
<td>Cooperative Strategy</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2009</td>
<td>NSG ISO PR 11</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2009</td>
<td>NSP ISO POM 12</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2010</td>
<td>NOC</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
<tr>
<td>2010</td>
<td>NDP 1: Naval Warfare</td>
<td>■</td>
<td>■</td>
<td></td>
<td>3 levels of war, 6 phases of ops</td>
</tr>
<tr>
<td>2010</td>
<td>NSP ISO POM 13</td>
<td>■</td>
<td>■</td>
<td></td>
<td>Strategic imperatives</td>
</tr>
</tbody>
</table>
### Construct #1: “Navy capabilities”

<table>
<thead>
<tr>
<th>Construct</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project SIXTY</td>
<td>4 categories of USN capabilities (&quot;classic 4&quot;)</td>
</tr>
<tr>
<td>Missions of the U.S. Navy</td>
<td>4 missions (&quot;classic 4&quot;)</td>
</tr>
<tr>
<td>NWP 1 (Rev A)</td>
<td>2 functions (SC, PP); 3 roles (incl/ strat nuclear deterrence); presence a side benefit</td>
</tr>
<tr>
<td>Sea Plan 2000</td>
<td>Future of U.S. Sea Power</td>
</tr>
</tbody>
</table>

#### The Maritime Strategy
- sea control, power proj., sealift (1986); deterrence, forward ops, alliances (1990)

#### The Way Ahead
- The Navy Policy Book
- ...From the Sea
- NDP 1: Naval Warfare
- Forward ...From the Sea
- Navy Operational Concept
- Anytime, Anywhere
- NSPG II
- SP 21 & Global CONOPs
- Naval Power 21
- NOCJO
- Fleet Response Plan
- NSP ISO POM 08
- NOC 2006
- NSP ISO POM 10 + Ch 1
- Cooperative Strategy
- NSG ISO PR 11
- NSP ISO POM 12
- NOC 2010
- NDP 1: Naval Warfare
- NSP ISO POM 13

#### The Maritime Strategy
- sea control, power proj., sealift (1986); deterrence, forward ops, alliances (1990)

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- NSG ISO PR 11
- NSP ISO POM 12
- NOC 2010
- NDP 1: Naval Warfare
- NSP ISO POM 13

### Evolution of “navy capabilities” construct (I)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>4 capabilities</td>
<td>4 missions/mission areas</td>
<td>2 functions</td>
</tr>
<tr>
<td>Assured second strike</td>
<td>Strategic deterrence</td>
<td>Sea control</td>
</tr>
<tr>
<td>Control of sea lines &amp; areas/Sea control</td>
<td>Sea control</td>
<td>Power projection</td>
</tr>
<tr>
<td>Projection of power ashore</td>
<td>Projection of power (ashore)</td>
<td></td>
</tr>
<tr>
<td>Overseas presence in peacetime</td>
<td>Naval presence</td>
<td></td>
</tr>
</tbody>
</table>

#### The Maritime Strategy (1986 and 1990)
- Sea control
- Power projection
- Sealift

#### The Way Ahead (1991)
- Major defense policy elements
- Deterrence
- Nuclear
- Conventional
- Forward presence
- Crisis response
- Power projection
- Keep sea lines open
- Force reconstitution

#### Navy Policy Book (1992)
- 4 primary elements
- Deterrence
- Forward Presence
- Crisis response
- Reconstitution
### Evolution of “navy capabilities” construct (II)

<table>
<thead>
<tr>
<th>NDP 1 Naval Warfare (1994)</th>
<th>Forward...From the Sea (1994)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 ways to carry out roles</td>
<td>5 fundamental &amp; enduring roles</td>
</tr>
<tr>
<td>Deterrence</td>
<td>Projection of power from sea to land</td>
</tr>
<tr>
<td>Forward presence</td>
<td>Sea control &amp; maritime supremacy</td>
</tr>
<tr>
<td>Naval Ops other than war</td>
<td>Strategic deterrence</td>
</tr>
<tr>
<td>Sealfit</td>
<td>Strategic sealift</td>
</tr>
<tr>
<td>Joint Operations</td>
<td>Forward naval presence</td>
</tr>
<tr>
<td>Naval Operations in war</td>
<td></td>
</tr>
</tbody>
</table>

#### Anytime, Anywhere (1997)

<table>
<thead>
<tr>
<th>4 broad missions</th>
<th>Seapower 21 (2002)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sea &amp; area control</td>
<td>Sea control</td>
</tr>
<tr>
<td>Power projection</td>
<td>Power projection</td>
</tr>
<tr>
<td>Presence</td>
<td>Strategic deterrence</td>
</tr>
<tr>
<td>Deterrence</td>
<td>Strategic sealift</td>
</tr>
<tr>
<td></td>
<td>Forward presence</td>
</tr>
</tbody>
</table>

### Evolution of “navy capabilities” construct (III)

#### Naval Operations Concept (2006)

13 naval missions
- Forward naval presence
- Crisis response
- Expeditionary power projection
- Maritime security operations
- Sea control
- Deterrence
- Security cooperation
- Civil-military operations
- Counterinsurgency
- Counterterrorism
- Counter-proliferation
- Air & missile defense
- Information operations


6 expanded core capabilities
- Forward presence
- Deterrence
- Sea control
- Power projection
- Maritime security
- Humanitarian assistance & disaster response

#### Naval Operations Concept (2010)

6 core capabilities
- Forward presence
- Maritime Security
- Humanitarian assistance & disaster response
- Sea Control
- Power Projection
- Deterrence

#### NDP 1 Naval Warfare (2010)

6 core capabilities
- Forward presence
- Sea control
- Deterrence
- Power projection
- Maritime security
- Humanitarian assistance/disaster response
Critique of “navy capabilities” construct (2009)

- CAPT Jerome Burke (Ret) et al., *Assessment of Naval Core Capabilities* (IDA, Jan 2009)
  - Assessed naval core capabilities in context of USN & USMC 2007 documents
  - For outgoing SECNAV Winter (via OPPA)
  - Recommended 5 core capabilities
    - Strategic deterrence
    - Maritime security/Irregular warfare
    - Power Projection
    - Sea Control
    - Forward Deterrence/Assurance

Construct #2: “Spectrum of conflict”

<table>
<thead>
<tr>
<th>Project SIXTY</th>
<th>Missions of the U.S. Navy</th>
</tr>
</thead>
<tbody>
<tr>
<td>NWP 1 (Rev. A)</td>
<td>Sea Plan 2000</td>
</tr>
<tr>
<td>Future of U.S. Sea Power</td>
<td>Maintain stability, contain crises, deter worldwide war</td>
</tr>
<tr>
<td>The Maritime Strategy</td>
<td>Peacetime presence, crisis response, global conventional war</td>
</tr>
<tr>
<td>The Way Ahead</td>
<td>Peacetime forward presence operations, crisis response, regional conflict</td>
</tr>
<tr>
<td>The Navy Policy Book</td>
<td>Peacetime engagement, deterrence and conflict prevention, fight and win</td>
</tr>
<tr>
<td>. . . From the Sea</td>
<td>Regional stability, deterrence, timely crisis response, warfighting and winning</td>
</tr>
<tr>
<td>NDP 1: Naval Warfare</td>
<td>Deterring forward in peacetime, responding to crises, fighting and winning wars</td>
</tr>
<tr>
<td>Forward . . . From the Sea</td>
<td>Secure homeland, global stability, deterrence, crisis response,</td>
</tr>
<tr>
<td>Navy Operational Concept</td>
<td>Force build-up in theater, conflict resolution, war</td>
</tr>
<tr>
<td>Anytime, Anywhere</td>
<td>Shape, deter, seize the initiative, dominate, stabilize, enable civil authority</td>
</tr>
<tr>
<td>NSPG II</td>
<td>SP 21 &amp; Global CONOPs</td>
</tr>
<tr>
<td>SP 21 &amp; Global CONOPs</td>
<td>NOCJO</td>
</tr>
<tr>
<td>Naval Power 21</td>
<td>Fleet Response Plan</td>
</tr>
<tr>
<td>NOCJO</td>
<td>NSP ISO POM 08</td>
</tr>
<tr>
<td>Fleet Response Plan</td>
<td>NOC 2006</td>
</tr>
<tr>
<td>NSP ISO POM 08</td>
<td>NSP ISO POM 10 + Ch 1</td>
</tr>
<tr>
<td>NOC 2006</td>
<td>Cooperative Strategy</td>
</tr>
<tr>
<td>NSP ISO POM 10 + Ch 1</td>
<td>NSG ISO PR 11</td>
</tr>
<tr>
<td>Cooperative Strategy</td>
<td>NSP ISO POM 12</td>
</tr>
<tr>
<td>NSG ISO PR 11</td>
<td>NOC 2010</td>
</tr>
<tr>
<td>NSP ISO POM 12</td>
<td>NDP 1: Naval Warfare</td>
</tr>
<tr>
<td>NOC 2010</td>
<td>NSP ISO POM 13</td>
</tr>
<tr>
<td>NDP 1: Naval Warfare</td>
<td>Shape, deter, seize the initiative, dominate, stabilize, enable civil authority</td>
</tr>
</tbody>
</table>
### Evolution of “spectrum of conflict” construct (I)

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>3 primary national security objectives</strong></td>
<td><strong>Range of conflict possibilities</strong></td>
</tr>
<tr>
<td>Maintain stability</td>
<td>Peacetime presence</td>
</tr>
<tr>
<td>Contain crises</td>
<td>Crisis response</td>
</tr>
<tr>
<td>Deter worldwide war</td>
<td>Global conventional war</td>
</tr>
<tr>
<td></td>
<td>• Transition to war</td>
</tr>
<tr>
<td></td>
<td>• Seize the initiative</td>
</tr>
<tr>
<td></td>
<td>• Carry the fight to the enemy</td>
</tr>
<tr>
<td></td>
<td>• War termination on favorable terms</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Wide variety of missions</strong></td>
<td><strong>A continuum of forward operations</strong></td>
</tr>
<tr>
<td>Peacetime situations</td>
<td>Peacetime presence operations</td>
</tr>
<tr>
<td>Crisis</td>
<td>Crisis response</td>
</tr>
<tr>
<td>Conflict resolution</td>
<td>Regional conflict</td>
</tr>
</tbody>
</table>

### Evolution of “spectrum of conflict” construct (II)

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>3 components of the National Military Strategy</strong></td>
<td><strong>Ends</strong></td>
<td><strong>Continuum of warfare</strong></td>
</tr>
<tr>
<td>Peacetime engagement</td>
<td>Regional stability</td>
<td>Deterring forward in peacetime</td>
</tr>
<tr>
<td>Deterrence &amp; conflict prevention</td>
<td>Deterrence</td>
<td>Responding to crises</td>
</tr>
<tr>
<td>Fight &amp; win</td>
<td>Timely crisis response</td>
<td>Fighting &amp; winning wars</td>
</tr>
<tr>
<td></td>
<td>War fighting &amp; winning</td>
<td></td>
</tr>
</tbody>
</table>

67

68
Evolution of “spectrum of conflict” construct (III)


Flexible response
- Secure homeland
- Global stability
- Deterrence
- Crisis response
- Force build-up in theater
- Conflict resolution
- War

NDP 1 Naval Warfare (2010)

Phases of Operations or campaigns
- Shape
- Deter
- Seize the initiative
- Stabilize
- Enable civil authority

Construct #3: “Pillars”

Project SIXTY
- Missions of the U.S. Navy
- NWP 1 (Rev. A)
- Sea Plan 2000
- Future of U.S. Sea Power

The Maritime Strategy
- The Way Ahead
- The Navy Policy Book
- . . . From the Sea
- NDP 1: Naval Warfare
- Forward . . . From the Sea
- Navy Operational Concept
- Anytime, Anywhere

NSPG II
- SP 21 & Global CONOPs
- Naval Power 21
- NOCJO

Fleet Response Plan
- NSP ISO POM 08
- NSC 2006
- NSP ISO POM 10 + Ch1
- Cooperative Strategy
- NSG ISO PR 11
- NSP ISO POM 12
- NOC 2010
- NDP 1: Naval Warfare
- NSP ISO POM 13

C2 & surveillance, battlespace dominance, power projection, force sustainment

Battlespace control, battlespace attack, b-space sustainment, knowledge superiority

Sea strike, sea shield, sea basing, FORCEnet, sea trial, sea warrior, sea enterprise

Sea strike, sea shield, sea basing, FORCEnet, sea trial, sea warrior, sea enterprise

Sea strike, sea shield, sea basing, FORCEnet, sea warrior, sea trial, USMC concepts

Sea strike, sea shield, sea base, sea shaping, sea enterprise, sea trial, sea warrior

Sea strike, sea shield, sea base, FORCEnet, enterprises
Evolution of “pillars” construct (I)

...From the Sea (1992)
4 key operational capabilities
Command, control & surveillance
Battlespace dominance
Power projection
Force sustainment

NDP 1 Naval Warfare (1992)
4 critical operational capabilities
Command, control & surveillance
Battlespace dominance
Power projection
Force sustainment

Ways
Battlespace control
Battlespace attack
Battlespace sustainment
Means
Forward presence
Knowledge superiority

Sea Strike
Sea Shield
Sea Basing
FORCEnet
Supporting triad of organizational processes*
Sea Trial
Sea Warrior
Sea Enterprise

* Labeled “supporting triad of initiatives” in Naval Power 21

Evolution of “pillars” construct (II)

Integrated & complementary concepts
Sea Strike
Sea Shield
Sea Basing

Enabled by
FORCEnet
Expeditionary Maneuver Warfare
Operational Maneuver From The Sea (OMFTS)
Ship-to-Objective Maneuver (STOM)
Sea Warrior
Sea Trial

Navy Strategic Plan ISO POM 08 (2006)
Sea Power 21 Pillars
Sea Strike
Sea Shield
Sea Basing
Sea Shaping
Sea Enterprise
Sea Trial
Sea Warrior

Navy Strategic Plan ISO POM 10 (2007)
Sea Power 21 Pillars
Sea Strike
Sea Shield
Sea Basing
FORCEnet
Enterprises
Alternative & supplemental constructs

Project SIXTY
Missions of the U.S. Navy 4 missions each broken down into tactics
NWP 1 (Rev. A) 6 fundamental warfare tasks; 6 supporting warfare tasks
Sea Plan 2000 8 measures of naval capabilities, keyed to spectrum of war
Future of U.S. Sea Power 8 basic principles to guide structuring, employment of naval forces; 6 conclusions
The Maritime Strategy 6-8 warfare tasks in global conventional war with Soviets; 2-12 uncertainties
The Way Ahead wide variety of missions: humanitarian assit., peace keeping, counternarcotics, etc.
The Navy Policy Book Bush Aspen speech: Deterrence, forward presence, crisis response, reconstitution . . . From the Sea 4 tradit/ capab’ s: Forward deployment, crisis response, strategic deterrence, sealift
NWP 1: Naval Warfare 9 Principles of War, 3 levels of war, 2 styles of war, 5 naval roles
Forward . . . From the Sea
Navy Operational Concept
Anytime, Anywhere
NSPG II 10-part model: Means, ways, ends
SP 21 & Global CONOPs
NOCJIO 3 fundamental pillars: Assure access, fight & win, continually transform to improve
Fleet Response Plan Contrasts old Inter-Deployment Cycle phases w/ new FRP readiness phases
NOC 2006 4 DOD challenges; 3 levels of war; 3 risk guidance categories
NSP ISO POM 08 10-part model: Means, ways, ends
NSP ISO POM 10 + Ch 1 6 strategic imperatives, 3 risk guidance categories
NSP ISO POM 12 6 strategic imperatives, 3 risk guidance categories, 3 levels of war
NOC 2010 6 strategic imperatives
NOC 2011 6 strategic imperatives, 3 levels of war, 12 joint principles
NOC 2013 6 strategic imperatives, 3 risk guidance categories

Organizing & constructing documents

“All of which points to the ultimate futility of trying to describe warfare in terms of definitive categories”

ADM Michael Mullen USN
Chairman, US Joint Chiefs of Staff
Capstone Concept for Joint Operations
15 January 2009
Things that have not changed

- Rationales for writing a capstone document
- Three overarching rationales
  - Explain need for the Navy
  - Explain how the Navy meets that need
  - Explain where Navy is heading

Other rationales (I): Why were they written?

- Address changing world, country, USN
- Implement specific ideas of USN leaders (& drafters)
- Advocate CNO priorities
- Codify current thinking
  - Advocate new directions
  - Influence and respond to higher authority
  - Strengthen budget arguments
Other rationales (II): Why were they written?

♦ Achieve/ maintain consensus: Unify Navy elements in a common conceptual framework
♦ Break down internal Navy community & platform parochialism
♦ Maintain common ground with USMC and USCG
♦ Try to influence internal Navy force structure decisions

Other rationales (III): Why were they written?

♦ Try to influence U.S. government policy debates & academia (sometimes)
♦ Try to win support from allies (sometimes)
♦ Demonstrate USN intellectual capability and/or positive responses to change
  ♦ Avoid externally imposed changes
♦ Try to influence adversaries (sometimes)
♦ Respond to and/or gain advantage over concepts of other services (sometimes)
There is a unity & coherence to USN strategy & policy
- USN is not just a group of disparate specialties

National strategy drives USN strategy
- There are distant & global threats to US, across the spectrum of military capabilities and intentions
- USN is mobile, agile, combat-ready & persistent, & operates (& should operate) powerfully, globally, forward, offensively, & flexibly
  - Encompasses both forward presence & CONUS surge
  - USN sea control as vital sea line protector for other services, allied forward overseas ops (during Cold War)
  - USN power projection as enabling force for other services forward ops (Sea Power 21 an exception) (since 1991)

- USN & USMC operate closely together
- USN operates with joint & international partners
- USN contributes to strategic nuclear deterrence
- USN (and USMC) deploy and operate in mission-tailored and scalable task forces
- USN must have a balanced fleet, for variety of missions
- Sea control is the enabler for power projection
- Uncertainty, risk, & changes in tasking are inherent & inevitable. Naval forces should be – and are -- adaptable
Constant (or almost constant) ideas (III)

♦ USN is critical to US strategic nuclear deterrent posture

♦ USN defends exposed forward US forces, allies and their SLOCs from attack

♦ USN vital for peacetime, crisis response, war

♦ USN is a tool of US perception management

♦ Sea basing confers advantages to US policy
  ♦ US Army & Air Force forward overseas land bases are useful – even vital
  ♦ But they are often insufficient, in jeopardy, vulnerable, dwindling, constrained, entangling, expensive, unavailable

Constant (or almost constant) ideas (IV)

♦ USN operations must transcend individual warfare specialties & platform communities

♦ USN has overarching policy concepts that drive it; not just sum of internal community desires for budget share & new equipment

♦ USN wants to be– & can be– entrusted with defining what it does & managing its own destiny

♦ USN concepts, strategies and visions inform USN program & budget decisions
New ideas introduced & maintained (I)

- US naval operations can be decisive (1978)
- Terrorism recognized as a threat (1984)
- USN provides homeland coastal defense (1984)
- Anti-SSBN operations (1986)
- Forward peacetime submarine intelligence operations (1989)
- Drug traffickers recognized as threats (1989)
- USN conducts humanitarian assistance ops (1989)
- “Non-state actions” are a threat (1989)
- USN as enabling force for other services (1991)

New ideas introduced & maintained (II)

- USN conducts interdiction/interception ops (1992)
- USN conducts ballistic missile defense ops (1992)
- Maneuver warfare style characterizes USN ops (1992)
- Forward presence must be combat credible (1997)
<table>
<thead>
<tr>
<th>New ideas introduced &amp; maintained (III)</th>
</tr>
</thead>
<tbody>
<tr>
<td>✷ <em>Non-state actors</em> discussed as threats (2000)</td>
</tr>
<tr>
<td>✷ USN contributes to <em>homeland defenses</em> (2000)</td>
</tr>
<tr>
<td>✷ USN conducts <em>maritime security operations</em> (2006)</td>
</tr>
<tr>
<td>✷ <em>Riverine &amp; coastal</em> operations &amp; capabilities (2006)</td>
</tr>
<tr>
<td>✷ <em>War prevention</em> is as important as <em>war winning</em> (2007)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ideas that have waxed &amp; waned (I)</th>
</tr>
</thead>
<tbody>
<tr>
<td>✷ Priorities</td>
</tr>
<tr>
<td>✷ Some are clear; some implicit; some not addressed</td>
</tr>
<tr>
<td>✷ Role of <em>forward presence</em></td>
</tr>
<tr>
<td>✷ Relative to <em>surge</em></td>
</tr>
<tr>
<td>✷ Relative to <em>sea control, power projection</em></td>
</tr>
<tr>
<td>✷ Relative to <em>manpower, personnel &amp; retention</em> considerations</td>
</tr>
</tbody>
</table>
Ideas that have waxed & waned (II)

- Priority of "strike warfare"
- Priority of "anti-submarine warfare"
- Mention of "mine warfare"
- Attention paid to "sealift" as a Navy function
- Call for new (e.g.: “adaptive”) naval force packages
- Call for less concentrated, more distributed forward presence
- Attention to joint command of naval forces

Ideas that have waxed & waned (III)

- Specific mention of USAF & USA as partners
- Recognition of USCG as a maritime partner
  - USCG actually discussed less than USAF
- Discussion of effects of globalization
- Citation of global economy & trade
- Recognition of "piracy" as a threat
- Need for USN “transformation”
Ideas that have changed (I)

- Adversaries
  - Certainty to uncertainty
  - Single overarching threat to multiplicity of threats
- Jointness
  - From cooperation to integration
  - Especially with US Air Force
- Battlespace expansion
  - From sea focus to integrated sea-air-land-space-cyberspace continuum
- Navy–Marine Corps relationships
  - From hierarchical to equal

Ideas that have changed (II)

- Navy-Coast Guard relationships
  - From USN disregard to recognition of USCG roles
- Elevation of Maritime Security Operations & Humanitarian Assistance/Disaster Response operations
- Networks and netting
- Fleet capabilities up; fleet size down
- De-emphasis of nuclear deterrence
- Increased attention to inter-agency relations
**Ideas seldom if ever mentioned (I)**

*Irregular warfare/GWOT/MSO (I)*

- Little or no strategic direction or vision re:
  - Coastal warfare
  - Riverine warfare
  - Boats, aviation, sustainment
  - Force protection
  - Civil affairs
  - Expeditionary sailor ops
  - Land-based helo ops
  - MIO/VBSS
  - Anti-piracy and anti-smuggling
  - Foreign Area Officers (FAOs)

- But:
  - All undertaken during Vietnam War
  - Sea change since 2006

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**Ideas seldom if ever mentioned (II)**

- “Blockade” as a discrete naval operation (not since 1970s)
- Naval arms control (never except 1989-90)
- “Convoy” as a discrete naval operation (not since 1994)
  - One exception: *Naval Operations Concept* (2010)
- Navy as a “force-in-being” (not since 1997)
  - Occasionally before then
  - Term “fleet-in-being” never used
Post-war stability ops ("Phase IV" ops)

...and yet:
- Operation Frequent Wind, etc. (1975)
- Operation Southern Watch, etc. (1990s)

US maritime industries
- Merchant marine
- Private industrial base
- Commercial shipbuilding

Non-governmental organizations
CNA studies on U.S. Navy strategies and their context


