

U.S. Navy Capstone Strategies and Concepts (1970-2010): Comparisons, Contrasts, and Changes: Volume I

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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 & guide1
- ◆ Ad hocery has ruled 2
- ◆ Comparing the *form* of the documents3
- ◆ 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 *U.S. Navy in the World (1970-2010): Comparisons, Contrasts and Changes, Volume II*
 - ◆ 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)

CNA

- ◆ 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

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Comparing the documents: Form (II)

CNA

- ◆ 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

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Comparing who tasked them (I)

CNA

Project SIXTY	CNO
Missions of the U.S. Navy	PNWC
NWP 1 (Rev. A): Strategic Concepts of the U.S. Navy	CNO
Sea Plan 2000	SECNAV, SECDEF
CNO Strategic Concepts, Future of U.S. Sea Power	CNO
The Maritime Strategy	VCNO, CNO
The Way Ahead	SECNAV
The Navy Policy Book	CNO
... From the Sea	SECNAV
Naval Doctrine Pub (NDP) 1: Naval Warfare	CNO, CMC
Forward ... From the Sea	SECNAV
Navy Operational Concept (NOC)	CNO, CMC
Anytime, Anywhere	CNO
Navy Strategic Planning Guidance (NSPG) I & II	CNO
Sea Power 21 & Global CONOPs	CNO
Naval Power 21 ... A Naval Vision	SECNAV
Naval Operating Concept for Joint Operations (NOCJO)	CNO, CMC
Fleet Response Plan (FRP)	CNO
Navy Strategic Plan (NSP) ISO POM 08	CNO
Naval Operations Concept (NOC) 2006	CNO, CMC
Navy Strategic Plan (NSP) ISO POM 10	CNO
A Cooperative Strategy for 21 st Century Seapower	CNO
Navy Strategic Plan (NSP) ISO POM 10 (Change 1)	VCNO
Navy Strategic Guidance (NSG) ISO PR 11	CNO
Navy Strategic Plan (NSP) ISO POM 12	VCNO
Naval Operations Concept (NOC) 2010	CNO, CMC
Naval Doctrine Pub (NDP) 1: Naval Warfare	COMNWDC, CGMCCDC
Navy Strategic Plan (NSP) ISO POM 13	CNO

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Who tasked them (II)

CNA

- ◆ 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

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Comparing principal target audiences (I) CNA

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

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Principal target audiences (II) CNA

- ◆ 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)

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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)

Project SIXTY	“Assessment & direction”
Missions of the U.S. Navy	“Missions”
NWP 1 (Rev. A): Strategic Concepts of the U.S. Navy	“Strategic concepts”
Sea Plan 2000	“Force planning study”
CNO Strategic Concepts & Future of U.S. Sea Power	“Strategic concepts & Fundamental principles”
The Maritime Strategy	“Strategy”, “Strategic Vision”
The Way Ahead	“Way ahead”
The Navy Policy Book	“Policy” (included a “vision”)
. . . From the Sea	“White paper, combined vision”
Naval Doctrine Pub (NDP) 1: Naval Warfare	“Doctrine”
Forward . . . From the Sea	“Strategic concept”
Navy Operational Concept (NOC)	“Operational concept”
Anytime, Anywhere	“Vision”
Navy Strategic Planning Guidance (NSPG) I & II	“Strategic planning guidance” (including “operational concepts”)
Sea Power 21 & Global CONOPs	“Vision, CONOPS”
Naval Power 21: A Naval Vision	“Vision”
Naval Operating Concept for Joint Operations (NOCJO)	“Operating concept”
Fleet Response Plan (FRP)	“Concept, then plan” “Operational framework”
Navy Strategic Plan (NSP) ISO POM 08	“Strategic plan” (included a “vision”)
Naval Operations Concept (NOC) 2006	“Operations concept”, “vision”
Navy Strategic Plan (NSP) ISO POM 10	“Strategic plan”
A Cooperative Strategy for 21 st Century Seapower	“Strategy”
Navy Strategic Plan (NSP) ISO POM 10 (Change 1)	“Strategic plan”
Navy Strategic Guidance (NSG) ISO PR 11	“Strategic guidance”
Navy Strategic Plan (NSP) ISO POM 12	“Strategic plan”
Naval Operations Concept (NOC) 2010	“Operations concept”
Naval Doctrine Pub (NDP) 1: Naval Warfare	“Doctrine”
Navy Strategic Plan (NSP) ISO POM 13	“Strategic Plan”

What *they* said they were (III)

CNA

“Assessment & direction”

Project SIXTY (1970)

“Missions”

Missions of the Navy (1974)

“Strategic concepts”

NWP 1 (1978)

CNO Strategic Concepts (1979)

Foward...From the Sea (1994)

“Force Planning Study”

Sea Plan 2000 (1978)

“Fundamental principles”

Future of US Sea Power (1979)

“Strategies”

The Maritime Strategy (1982-90)

Cooperative Strategy for 21st

Century Seapower (2007)

“Way Ahead”

The Way Ahead (1991)

“Policy”

The Navy Policy Book (1992)

“White Papers”

The Maritime Strategy (1986)

...From the Sea (1992)

“Visions”

...From the Sea (1992)

Anytime, Anywhere (1997)

Sea Power 21 (2002)

Naval Power 21 (2002)

Naval Operations Concept (2006)

“Doctrine”

NDP 1 Naval Warfare (1994)

NDP 1 Naval Warfare (2010)

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What *they* said were (IV)

CNA

“Operational/Operations/ Operating Concept(s)”

Navy Operational Concept
(1997)

*Naval Operating Concept for Joint
Operations* (2003)

Naval Operations Concept (2006)

Naval Operations Concept (2010)

Navy Strategic Planning Guidance
(2000)

“Operational Framework”

Fleet Response Plan (FRP) (2003)

“Strategic (planning) guidance/ plan”

*Navy Strategic Planning
Guidance* (1999)

*Navy Strategic Planning
Guidance* (2000)

Navy Strategic Plan ISO POM 08
(2006)

Navy Strategic Plan ISO POM 10
(2007)

*Navy Strategic Plan ISO POM 10
(CH1)* (2007)

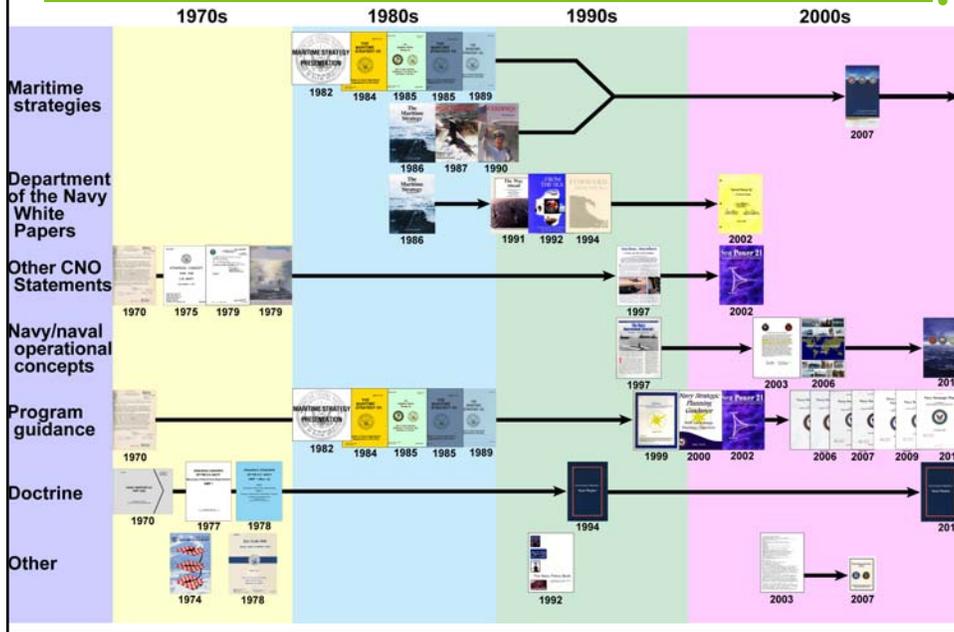
*Navy Strategic Guidance ISO PR
11* (2009)

Navy Strategic Plan ISO POM 12
(2009)

Navy Strategic Plan ISO POM 13
(2010)

A way to categorize US Navy capstone documents

CNA



Where -- in USN -- they were drafted (I)

CNA

Project SIXTY	CNO Flag SAs
Missions of the U.S. Navy	NWC
NWP 1 (Rev. A): Strategic Concepts of the U.S. Navy	CNO, OP-60N
Sea Plan 2000	Working group
CNO Strategic Concepts, Future of U.S. Sea Power	CNO EA
The Maritime Strategy	OP-603, OP-00K
The Way Ahead	OP-07
The Navy Policy Book	OP-00K
. . . From the Sea	Working group, then small senior group
Naval Doctrine Pub (NDP) 1: Naval Warfare	NAVDOCCOM
Forward . . . From the Sea	N513
Navy Operational Concept (NOC)	Working group, then N513
Anytime, Anywhere	N00K
Navy Strategic Planning Guidance (NSPG) I & II	N513
Sea Power 21 & Global CONOPs	N00Z, N81
Naval Power 21 . . . A Naval Vision	Deep Blue
Naval Operating Concept for Joint Operations (NOCJO)	NWDC, N513
Fleet Response Plan (FRP)	Deep Blue
Navy Strategic Plan (NSP) ISO POM 08	N5SP
Naval Operations Concept (NOC) 2006	Deep Blue, N5SP
Navy Strategic Plan (NSP) ISO POM 10	N5SC
A Cooperative Strategy for 21 st Century Seapower	N5SAG
Navy Strategic Plan (NSP) ISO POM 10 (Change 1)	N5SC
Navy Strategic Guidance (NSG) ISO PR 11	N513
Navy Strategic Plan (NSP) ISO POM 12	N513
Naval Operations Concept (NOC) 2010	N51
Naval Doctrine Pub (NDP) 1: Naval Warfare	NWDC
Navy Strategic Plan (NSP) ISO POM 13	N513

Note: RED = OPNAV N513 + predecessors (OP-603 /N5SC/N513).

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Where -- in USN -- they were drafted (II)

CNA

◆ 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

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Who drafted them? From what community?

CNA

Project SIXTY	CAPT S. Turner, RADM W. Bagley	Surface, Surface
Missions of the U.S. Navy	VADM S. Turner, CDR G. Thibault	Surface, Surface
NWP 1	ADM J. Holloway, LCDR J. Strasser	TACAIR aviator, Surface
Sea Plan 2000	Many, esp. Prof. F. J. West (was USMC), LCDR J. Stark	Surface
Future of U.S. Sea Power	CAPT W. Cockell	Surface
The Maritime Strategy	CDR S. Johnson, LCDR S. Weeks, CAPT R. Barnett, CDR P. Swartz, CAPT L. Seaquist, CDR T.W. Parker, CAPT L. Brooks, CDR R.R. Harris, CDR R.M. Brown	Surface (6), General URL, Submariner, helo aviator
The Way Ahead	CDR R. Wright, CAPT W. Center	Surface, Surface
The Navy Policy Book	CDR J. Holden	General URL
... From the Sea	Many, esp. CAPT H. Petrea	TACAIR aviator, etc.
NDP 1: Naval Warfare	CDR R. Zalaskus	Submariner
Forward ... From the Sea	CAPT J. Sestak, LCDR E. O' Callahan	Surface, MPRA aviator
Navy Operational Concept	CDR J. Bouchard, VADM A. Cebrowski	Surface, TACAIR aviator
Anytime, Anywhere	CAPT R. R. Harris, CAPT E. Smith	Surface, Intel
NSPG I & II	CDR C. Faller, LT C. Cavanaugh	Surface, Submariner
SP 21 & Global CONOPS	CAPT F. Pandolfe, CDR S. Richter	Surface, Surface
Naval Power 21	RDML J. Stavridis	Surface
NOCJO	Various, esp. CAPT B. Barrington, CAPT T. Klepper	Surface, MPRA aviator
Fleet Response Plan	RDML D. Crowder, CAPT J. Bouchard	Surface, Surface
NSP ISO POM 08	RDML C. Martoglio	Surface
NOC 2006	CAPT P. Cullom, CDR T. Disy	Surface, Surface
NSP ISO POM 10 (& CH 1)	CDR P. Nagy, LCDR J. Stewart	Surface, MPRA aviator
Cooperative Strategy	CDR B. McGrath, LT J. Ennis	Surface, Surface
NSG ISO PR 11	CDR S. Kelley, Ms. K. Schenck	Helo aviator, Civ.Contractor
NSP ISO POM 12	CDR S. Kelley, Ms. K. Schenck	Helo aviator, Civ.Contractor
NOC 2010	CAPT D. Venlet, LCDR M. Mosbrugger, CAPT J. McLain	Surface, Surface, Helo
NDP 1: Naval Warfare	CAPT (Ret) E. Long	Civ.Contractor (was Surface)
NSP ISO POM 13	CDR E. Fino	Submariner

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Who drafted them? From what community? CNA

◆ Surface	33	◆ General URL	2
◆ Aviators	10	◆ Intel	1
◆ TACAIR (3)		◆ Civilian	4
◆ Helo (4)		◆ USMC (Ret) (1)	
◆ MPRA (3)		◆ Surface (Ret) (1)	
◆ Submarines	4		

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

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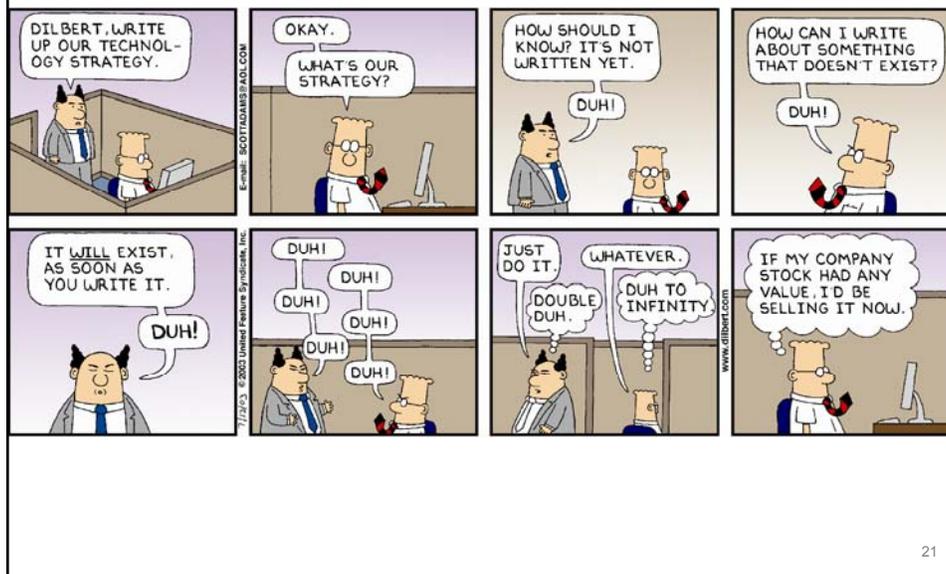
Who drafted them? From what community? CNA

- ◆ 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)

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The drafting process: Leaders & drafters

CNA



Some special features (I)

CNA

- ◆ 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)

CNA

- ◆ 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)

CNA

- ◆ Development history commissioned while process ongoing/ at end
 - ◆ *The Maritime Strategy, NDP 1 (1994), NOC 1997, CS 21 (2007)*
- ◆ 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**
 - ◆ *Project SIXTY & Missions of the U.S. Navy, Strategic Concepts of the U.S. Navy, Sea Plan 2000, Future of U.S. Sea Power, Maritime Strategy, NSPG, NSP*
- ◆ Major expenditure of Navy \$ for development & disseminations
 - ◆ *A Cooperative Strategy for 21st Century Seapower (2007)*

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
 - ◆ *The Maritime Strategy, Forward . . . From the Sea, A Cooperative Strategy for 21st Century Seapower*

Comparing who signed them

Year	Publication	SECNAV	CNO	CMC	CCG	CFFC	PNWC
1970	Project SIXTY		Zumwalt				
1974	Missions of the U.S. Navy						Turner
1978	NWP 1 (Rev. A):		Holloway				
1978	Sea Plan 2000	Claytor					
1979	Future of U.S. Sea Power		Hayward				
1982-	The Maritime Strategy	Lehman	Watkins	Kelley			
1990			Trost				
1991	The Way Ahead	Garrett	Kelso	Gray			
1992	The Navy Policy Book		Kelso				
1992	...From the Sea	O'Keefe	Kelso	Mundy			
1994	NDP 1		Kelso	Mundy			
1994	Forward...From the Sea	Dalton	Boorda	Mundy			
1997	NOC		Johnson				
1997	Anytime, Anywhere		Johnson				
1999-0	NSPG I & II		Johnson				
2002	SP 21 & Global CONOPs		Clark				
2002	Naval Power 21: A Naval Vision	England	Clark	Jones			
2003	NOCJO		Clark	Hagee			
2003	Fleet Response Plan (FRP)		Clark			Natter	
2006	NSP ISO POM 08		Mullen				
2006	NOC		Mullen	Hagee			
2007	NSP ISO POM 10		Mullen				
2007	A Cooperative Strategy		Roughead	Conway	Allen		
2007	NSP ISO POM 10 (Change 1)		Roughead				
2009	NSG ISO PR 11		Roughead				
2009	NSP ISO POM 12		Roughead				
2010	NOC		Roughead	Conway	Allen		
2010	NDP 1		Roughead	Conway	Allen		
2010	NSP ISO POM 13		Roughead				

When in their tours CNOs published them CNA

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

Average: 11 mos

Range: 1-23 mos

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Comparing document length (I) CNA

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

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Comparing document length (II)

Project SIXTY	30 (plus 44 slides)
Missions of the U.S. Navy	16
NWP 1 (Rev. A): Strategic Concepts of the U.S. Navy	37
Sea Plan 2000	(U) 23/ (S) 889
CNO Strategic Concepts, Future of U.S. Sea Power	7, 6
The Maritime Strategy	(S) 70, 87, 47(AW), 70, 51/ (U) 40, 4, 9
The Way Ahead	12
The Navy Policy Book	40
... From the Sea	16
Naval Doctrine Pub (NDP) 1: Naval Warfare	76
Forward ... From the Sea	12
Navy Operational Concept (NOC)	8
Anytime, Anywhere	3
Navy Strategic Planning Guidance (NSPG) I & II	(S) 55 & (U) 90
Sea Power 21 & Global CONOPS	48
Naval Power 21 ... A Naval Vision	6
Naval Operating Concept for Joint Operations (NOCJO)	23
Fleet Response Plan (FRP)	3
Navy Strategic Plan (NSP) ISO POM 08	(U) 23/ (S) 42
Naval Operations Concept (NOC) 2006	36
Navy Strategic Plan (NSP) ISO POM 10	75
A Cooperative Strategy for 21 st Century Seapower	16
Navy Strategic Plan (NSP) ISO POM 10 (Change 1)	76
Navy Strategic Guidance (NSG) ISO PR 11	33
Navy Strategic Plan (NSP) ISO POM 12	76
Naval Operations Concept (NOC) 2010	102
Naval Doctrine Pub (NDP) 1: Naval Warfare	54
Navy Strategic Plan (NSP) ISO POM 13	19

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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
- ◆ **Short (11-20 pp.):** Missions of the Navy, CNO Watkins Maritime Strategy article, The Way Ahead, ... From the Sea, Forward ... From the Sea, A Cooperative Strategy for 21st Century Seapower
- ◆ **Very short (3-10 pp.):** Future of US Sea Power; NOC 1997; Anytime, Anywhere; Naval Power 21; Fleet Response Plan

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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’s “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)

Project SIXTY	Briefings, Ltr to Flags
Missions of the U.S. Navy	NWCR, NIP
NWP 1 (Rev. A)	NWP, NIP, Posture statements
Sea Plan 2000	Study document, IS
Future of U.S. Sea Power	Ltr to Flags, Briefings, NIP, Posture Statement, testimony
The Maritime Strategy	Document, NIP, IS; booklet, video, testimony, books
The Way Ahead	NIP; MCG; booklet
The Navy Policy Book	Booklet
. . . From the Sea	NIP; MCG; booklet, web
NDP 1: Naval Warfare 1994	booklet, web
Forward . . . From the Sea	NIP; MCG; booklet, web
NOC 1999	Sea Power, web
Anytime, Anywhere	NIP
NSPG I & II	Booklets, web, SIPRNET
SP 21 & Global CONOPs	Speech, NIPs; booklets, web, NWCR, Program Guide
Naval Power 21 . . . A Naval Vision	Web
NOCJO	Web
Fleet Response Plan (FRP)	Naval messages, instructions, NIP, web, booklet, testimony
NSP ISO POM 08	Web, SIPRNET
NOC 2006	Booklet, web, ITN
NSP ISO POM 10	SIPRNET
Cooperative Strategy	Book, web, DVD, CD, NIP, MCG, NWCR, PG, testimony, blog
NSP ISO POM 10 (Change 1)	SIPRNET
NSG ISO PR 11	SIPRNET
NSP ISO POM 12	SIPRNET
NOC 2010	Book, web, blogs
NDP 1: Naval Warfare 2010	Booklet, web, tri-fold
NSP ISO POM 13	SIPRNET

How they were published (II)

CNA

- ◆ 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)

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How they were “socialized” in USN (I)

CNA

- ◆ 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

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How they were “socialized” in USN (II)

CNA

- ◆ 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 & early 1990s Navy Discussion Groups
 (“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)

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How they were “socialized” in USN (III)

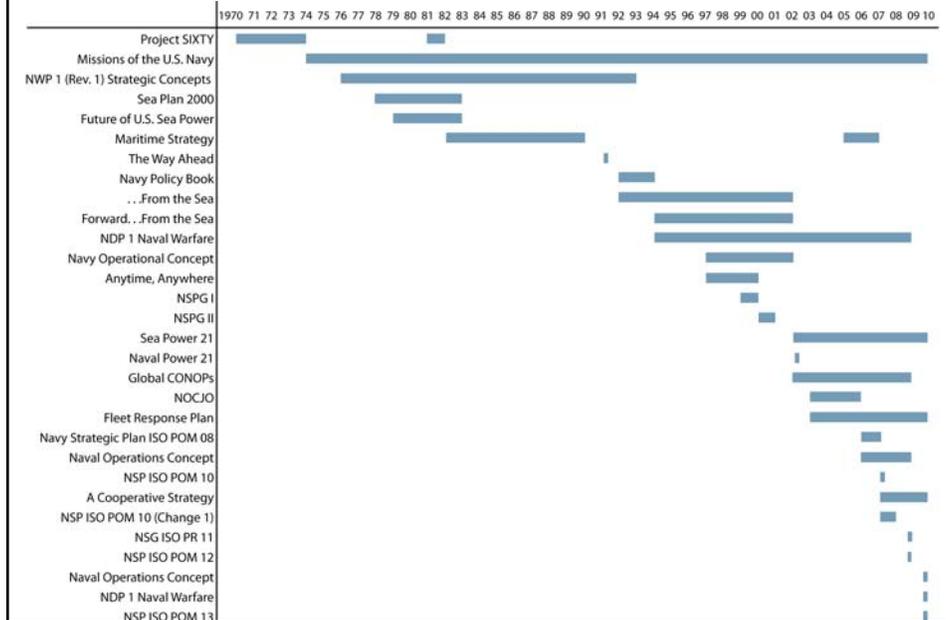
CNA

- ◆ War college & NPS curricula
 - ◆ CDR Tritten to NPS (1987)
 - ◆ CAPT Byron to NATWARCOL (1988)

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How long they were influential

CNA



Capstone doctrine pubs: The record

CNA

- ◆ Long shelf life
- ◆ But decreasing relevance over time within USN
- ◆ *NWP 10* & revisions (1954, 1961, 1970)
 - ◆ 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)
- ◆ CMC co-signature dates from *The Amphibious Warfare Strategy* (1985) & *The Way Ahead* (1991)
- ◆ Significant USCG influence dates from *The Maritime Strategy* (1984)
- ◆ COMDT COGARD co-signature dates from *A Cooperative Strategy for 21st Century Seapower* (2007)

Costs of developing documents

CNA

- ◆ Expenditure of
 - ◆ Talent
 - ◆ Time
 - ◆ Money
 - ◆ Education & experience
- ◆ Opportunity costs
 - ◆ Alternative employment of these officers

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USN officers as naval strategists

CNA

- ◆ 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)

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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

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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 Jim Stark, Ph.D.
- ◆ CAPT Joe Bouchard, Ph.D.
- ◆ RDML Jim Stavridis, Ph.D.
- ◆ RADM Phil Dur, Ph.D.
- ◆ RADM Joe Strasser, Ph.D.
- ◆ CAPT Frank Pandolfe, Ph.D.
- ◆ CAPT Sam Tangredi, Ph.D.
- ◆ CAPT Jim Patton, Ph.D.
- ◆ CDR Harlan Ullman, Ph.D.
- ◆ CAPT Joe Sestak, Ph.D.
- ◆ LCDR Stan Weeks, Ph.D.
- ◆ CAPT Ed Smith, Ph.D.

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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)

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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*

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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)

CNA

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
- ◆ *Navy Strategic planning Guidance (NSPG) (2000)*
 - ◆ Prep for new Republican or Democrat administration
- ◆ *A Cooperative Strategy for the 21st Century (2008)*
 - ◆ Prep for new Republican or new Democrat Administration

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Relating to the administration (III)

CNA

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
- ◆ *Naval Power 21 (2002) & Sea Power 21 (2002)*
 - ◆ In synch with G. W. Bush (R) Administration
- ◆ *Fleet Response Plan (2003)*
 - ◆ In synch with G. W. Bush (R) Administration
- ◆ *Naval Operations Concept (2010)*
 - ◆ In synch with Obama (D) Administration

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Relating to the administration (IV)

CNA

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)
- ◆ *Sea Plan 2000* (1978)
 - ◆ SECNAV Claytor → Carter Administration (D)
- ◆ *Future of US Sea Power* (1979)
 - ◆ CNO ADM Hayward → Carter Administration (D)

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Relating to the administration (V)

CNA

IV. Efforts IAW Administration but focused elsewhere

- ◆ *Missions of the U.S. Navy* (1974)
- ◆ *Navy Policy Book* (1992)
- ◆ *NDP 1 Naval Warfare* (1994)
- ◆ *Navy Operational Concept* (1997)
- ◆ *Anytime, Anywhere* (1997)
- ◆ *Naval Operating Concept for Joint Operations* (2003)
- ◆ *Naval Operations Concept* (2006)
- ◆ *Navy Strategic Plan ISO POM 08* (2006)
- ◆ *Navy Strategic Plan ISO POM 10* (2007)
- ◆ *Navy Strategic Plan ISO POM 10 (CH 1)* (2007)
- ◆ *NSG ISO PR 11 & NSP ISO POM 12* (2009)
- ◆ *NDP 1 Naval Warfare* (2010)
- ◆ *NSP ISO POM 13* (2010)

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Principal potential threats & challenges identified (I)CNA

Project SIXTY	Soviet Union, but also Communist China
Missions of the U.S. Navy	Soviet Union, but also Communist China
NWP 1 (Rev. A)	"aggression," "threat"
Sea Plan 2000	Soviet Union
Future of U.S. Sea Power	Soviet Union, Warsaw Pact
The Maritime Strategy	Soviet Union and its allies and clients
The Way Ahead	"a number of regional threats," possible re-emergent global threat
The Navy Policy Book	"enemies"
. . . From the Sea	"regional challenges," regional adversary," "regional littoral threats"
NDP 1: Naval Warfare	"adversary," "enemy," "growing regional threats"
Forward . . . From the Sea	"aggression by regional powers"
Navy Operational Concept	"any foe that may oppose us," "aggressors"
Anytime, Anywhere	"Foes," "enemy," "aggressor"
NSPG II (2000)	"Potential adversary capabilities" (principally China, Russia, N. Korea, Iran, Iraq)
SP 21 & Global CONOPs	"evolving regional challenges and transnational threats"
Naval Power 21	"our nation's enemies"
NOCJO	"Conventional and unconventional threats...to challenge US military superiority"
Fleet Response Plan (FRP)	Short-notice requirements for significant forward naval forces
NSP ISO POM 08 (U)	A few hostile states – some with nuclear weapons; terrorists, proliferators, etc.
NOC 2006	"a diverse array of rising nations, failing states, and non-state actors"
NSP ISO POM 10 (& Ch 1)	CLASSIFIED
Cooperative Strategy	"Major power war, regional conflict, terrorism, lawlessness, and natural disasters"
NSG ISO PR 11	CLASSIFIED
NSP ISO POM 12	CLASSIFIED
NOC 2010	"a broad range of nuclear, conventional and irregular challenges"
NDP 1: Naval Warfare	"anti-access & area-denial capabilities;" "regional aggressors;" "another great power;" "transnational threats"
NSP ISO POM 13	CLASSIFIED

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Principal potential threats & challenges identified (II)CNA

- ◆ All documents:
 - ◆ Global threats and challenges
 - ◆ Across the spectrum of military capabilities & intentions
- ◆ But emphasis shifted over time:
 - ◆ 1970s: Soviet Union & Chinese Communists
 - ◆ 1980s: Soviet Union, clients & surrogates
 - ◆ 1990s: Unspecified regional aggressors
 - ◆ 2000s: Unspecified rising nations & non-state actors

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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)

Year	Documents	Navy capabilities	Spectrum of conflict	Pillars	Other
1970	Project SIXTY	●			
1974	Missions of the Navy	●			Tactics
1978	NWP 1 (Rev A)	●			12 warfare tasks
1978	Sea Plan 2000		●		Capabilities
1979	Future of US Sea Power				Principles, conclusions
1980s	The Maritime Strategy	●	●		Warfare tasks
1991	The Way Ahead				4 elements, missions list
1992	Navy Policy Book			●	20 characteristics
1992	...From the Sea	●		●	
1994	NDP 1: Naval Warfare	●	●		Characteristics, principles; styles
1994	Forward...From the Sea	●	●		
1997	NOC		●		
1997	Anytime, Anywhere	●			
2000	NSPG		●	●	10-part model
2002	SP 21 & Global CONOPs	●	●	●	
2002	Naval Power 21		●	●	
2003	NOCJO		●	●	USMC concepts
2003	Fleet Response Plan				Levels of war, challenges,
2006	NSP ISO POM 08			●	focus areas, levels of war
2006	NOC	●			Multiple constructs
2007	NSP ISO POM 10 + Ch 1	●		●	Strategic imperatives
2007	Cooperative Strategy	●			Strategic imperatives
2009	NSG ISO PR 11	●			Strategic imperatives
2009	NSP ISO POM 12				Strategic imperatives
2010	NOC	●			Strategic imperatives
2010	NDP 1: Naval Warfare	●			3 levels of war; 6 phases of ops
2010	NSP ISO POM 13	●			Strategic imperatives

Construct #1: “Navy capabilities”

CNA

Project SIXTY	4 categories of USN capabilities (“classic 4”)
Missions of the U.S. Navy	4 missions (“classic 4”)
NWP 1 (Rev. A)	2 functions (SC, PP); 3 roles (incl/ strat nuclear deterrence); presence a side benefit
Sea Plan 2000	
Future of U.S. Sea Power	
The Maritime Strategy	sea control, power proj., sealift (1986); deterrence, forward ops, alliances (1990)
The Way Ahead	
The Navy Policy Book	20 characteristics of naval operations, incl/ “classic 4”, sealift
... From the Sea	6 capabilities, incl/ “classic 4”, crises, sealift
NDP 1: Naval Warfare	6 ways naval forces accomplish roles
Forward ... From the Sea	5 fundamental and enduring roles (“classic 4” + sealift)
Navy Operational Concept	
Anytime, Anywhere	4 broad missions (sea control the prerequisite)
NSPG II	10-part multi-level model, incl/ “classic 4” missions
SP 21 & Global CONOPs	5 enduring missions (“classic 4” + strategic sealift)
Naval Power 21	
NOCJO	
Fleet Response Plan	
NSP ISO POM 08	
NOC 2006	13 naval missions, incl/ “classic 4”. No sealift.
NSP ISO POM 10 + Ch 1	6 CNO core naval mission areas, 7 other CNO naval mission areas
Cooperative Strategy	6 expanded core capabilities (“classic 4” + MSO, HA/DR). No sealift.
NSG ISO PR 11	6 core capabilities; 6 additional capabilities
NSP ISO POM 12	
NOC 2010	6 core capabilities
NDP 1: Naval Warfare	6 core capabilities
NSP ISO POM 13	6 core capabilities

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Evolution of “navy capabilities” construct (I)

CNA

Project SIXTY (1970)	Missions of the US Navy (1974)	NWP 1 (Rev A) (1978)
<u>4 capabilities</u>	<u>4 missions/mission areas</u>	<u>2 functions</u>
Assured second strike	Strategic deterrence	Sea control
Control of sea lines & areas/Sea control	Sea control	Power projection
Projection of power ashore	Projection of power (ashore)	
Overseas presence in peacetime	Naval presence	
The Maritime Strategy (1986 and 1990)	The Way Ahead (1991)	Navy Policy Book (1992)
<u>Missions (1986)</u>	<u>Major defense policy elements</u>	<u>4 primary elements</u>
Sea control	Deterrence	Deterrence
Power projection	Nuclear	Forward Presence
Sealift	Conventional	Crisis response
	Forward presence	Reconstitution
	Crisis response	
	Power projection	
	Keep sea lines open	
	Force reconstitution	

Evolution of “navy capabilities” construct (II)

CNA

<p>...From the Sea (1992) <u>6 capabilities</u> Forward deployment/presence Strategic deterrence Control of the seas Crisis response Project precise power Sealift</p>	<p>NDP 1 Naval Warfare (1994) <u>6 ways to carry out roles</u> Deterrence Forward presence Naval Ops other than war Sealift Joint Operations Naval Operations in war</p>	<p>Forward...From the Sea (1994) <u>5 fundamental & enduring roles</u> Projection of power from sea to land Sea control & maritime supremacy Strategic deterrence Strategic sealift Forward naval presence</p>
<p>Anytime, Anywhere (1997) <u>4 broad missions</u> Sea & area control Power projection Presence Deterrence</p>	<p>Seapower 21 (2002) <u>5 enduring missions</u> Sea control Power projection Strategic deterrence Strategic sealift Forward presence</p>	

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Evolution of “navy capabilities” construct (III)

CNA

<p>Naval Operations Concept (2006) <u>13 naval missions</u> 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</p>	<p>Cooperative Strategy for 21st Century Seapower (2007) <u>6 expanded core capabilities</u> Forward presence Deterrence Sea control Power projection Maritime security Humanitarian assistance & disaster response</p>	
	<p>Naval Operations Concept (2010) <u>6 core capabilities</u> Forward presence Maritime Security Humanitarian assistance & disaster response Sea Control Power Projection Deterrence</p>	<p>NDP 1 Naval Warfare (2010) <u>6 core capabilities</u> Forward presence Deterrence Sea control Power projection Maritime security Humanitarian assistance/disaster response</p>

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 OPPIA)
 - ◆ Recommended 5 core capabilities
 - ◆ Strategic deterrence
 - ◆ Maritime security/Irregular warfare
 - ◆ Power Projection
 - ◆ Sea Control
 - ◆ Forward Deterrence/Assurance

Construct #2: “Spectrum of conflict”

Project SIXTY	
Missions of the U.S. Navy	
NWP 1 (Rev. A)	
Sea Plan 2000	Maintain stability, contain crises, deter worldwide war
Future of U.S. Sea Power	
The Maritime Strategy	Peacetime presence, crisis response, global conventional war
The Way Ahead	
The Navy Policy Book	
... From the Sea	
NDP 1: Naval Warfare	
Forward ... From the Sea	Peacetime forward presence operations, crisis response, regional conflict
Navy Operational Concept	Peacetime engagement, deterrence and conflict prevention, fight and win
Anytime, Anywhere	
NSPG II	Regional stability, deterrence, timely crisis response, warfighting and winning
SP 21 & Global CONOPs	Deterring forward in peacetime, responding to crises, fighting and winning wars
Naval Power 21	
NOCJO	Secure homeland, global stability, deterrence, crisis response,
Fleet Response Plan	Force build-up in theater, conflict resolution, war
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	Shape, deter, seize the initiative, dominate, stabilize, enable civil authority
NSP ISO POM 13	

Evolution of “spectrum of conflict” construct (I)

CNA

Sea Plan 2000 (1978)

3 primary national security objectives

- Maintain stability
- Contain crises
- Deter worldwide war

The Maritime Strategy (1980s)

Range of conflict possibilities

- Peacetime presence
- Crisis response
- Global conventional war
 - Transition to war
 - Seize the initiative
 - Carry the fight to the enemy
 - War termination on favorable terms

The Way Ahead (1991)

Wide variety of missions

- Peacetime situations
- Crisis
- Conflict resolution

Forward...from the Sea (1994)

A continuum of forward operations

- Peacetime presence operations
- Crisis response
- Regional conflict

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Evolution of “spectrum of conflict” construct (II)

CNA

Navy Operational Concept (1997)

3 components of the National Military Strategy

- Peacetime engagement
- Deterrence & conflict prevention
- Fight & win

Navy Strategic Planning Guidance (2000)

Ends

- Regional stability
- Deterrence
- Timely crisis response
- War fighting & winning

Sea Power 21 (2002)

Continuum of warfare

- Deterring forward in peacetime
- Responding to crises
- Fighting & winning wars

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Evolution of “spectrum of conflict” construct (III)

CNA

Naval Operating Concept for Joint Operations (2003)

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

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Construct #3: “Pillars”

CNA

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

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

NDP 1: Naval Warfare

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

Forward ... From the Sea

Navy Operational Concept

Anytime, Anywhere

NSPG II

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

SP 21 & Global CONOPs

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

Naval Power 21

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

NOCJO

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

concepts

Fleet Response Plan

NSP ISO POM 08

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

NOC 2006

NSP ISO POM 10 + Ch1

Sea strike, sea shield, sea base, FORCEnet, enterprises

Cooperative Strategy

NSG ISO PR 11

NSP ISO POM 12

NOC 2010

NDP 1: Naval Warfare

NSP ISO POM 13

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Evolution of “pillars” construct (I)

CNA

...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

Navy Strategic Planning Guidance (2000) Sea Power 21 + Naval Power 21 (2002)

Ways

Battlespace control
 Battlespace attack
 Battlespace sustainment

Means

Forward presence
 Knowledge superiority

3 fundamental concepts

Sea Strike
 Sea Shield
 Sea Basing

Enabled by

FORCEnet

Supporting triad of

organizational processes*

Sea Trial
 Sea Warrior
 Sea Enterprise

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

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Evolution of “pillars” construct (II)

CNA

Naval Operations Concept for Joint Operations (2003)

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) Navy Strategic Plan ISO POM 10 (2007)

Sea Power 21 Pillars

Sea Strike
 Sea Shield
 Sea Basing
 Sea Shaping
 Sea Enterprise
 Sea Trial
 Sea Warrior

Sea Power 21 Pillars

Sea Strike
 Sea Shield
 Sea Basing
 FORCEnet
 Enterprises

Alternative & supplemental constructs

CNA

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 asst., 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
NDP 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	
Naval Power 21	3 fundamental pillars: Assure access, fight & win, continually transform to improve
NOCJO	Incl/ USMC concepts: Expeditionary warfare maneuver, OMFTS, STOM
Fleet Response Plan	Contrasts old Inter-Deployment Cycle phases w/ new FRP readiness phases
NSP ISO POM 08	4 DOD challenges; 3 levels of war; 3 risk guidance categories
NOC 2006	3-5 strategic missions, 9 principles, 9 methods, 5 strategic objectives, 4 foundations
NSP ISO POM 10 + Ch 1	6 strategic imperatives, 3 risk guidance categories
Cooperative Strategy	6 strategic imperatives, 3 implementation priorities
NSG ISO PR 11	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
NDP 1: Naval Warfare	6 strategic imperatives, 3 levels of war, 12 joint principles
NSP ISO POM 13	6 strategic imperatives, 3 risk guidance categories

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Organizing & constructing documents

CNA

“ . . . 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?

CNA

- ◆ 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

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Other rationales (III): Why were they written?

CNA

- ◆ 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)

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Constant (or almost constant) ideas (I)

CNA

- ◆ 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)

79

Constant (or almost constant) ideas (II)

CNA

- ◆ *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*

80

Constant (or almost constant) ideas (III)

CNA

- ◆ 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*

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Constant (or almost constant) ideas (IV)

CNA

- ◆ 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*

82

New ideas introduced & maintained (I)

CNA

- ◆ 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)

83

New ideas introduced & maintained (II)

CNA

- ◆ 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)
- ◆ *Globalization of world economic networks & systems* (1999)

84

New ideas introduced & maintained (III)

CNA

- ◆ *Non-state actors* discussed as threats (2000)
- ◆ USN contributes to *homeland defenses* (2000)
- ◆ USN conducts *maritime security operations* (2006)
- ◆ *Riverine & coastal operations & capabilities* (2006)
- ◆ *War prevention* is as important as *war winning* (2007)

85

Ideas that have waxed & waned (I)

CNA

- ◆ **Priorities**
 - ◆ Some are clear; some implicit; some not addressed
- ◆ **Role of *forward presence***
 - ◆ Relative to *surge*
 - ◆ Relative to *sea control, power projection*
 - ◆ Relative to *manpower, personnel & retention* considerations

86

Ideas that have waxed & waned (II)

CNA

- ◆ 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

87

Ideas that have waxed & waned (III)

CNA

- ◆ 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*”

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Ideas that have changed (I)

CNA

- ◆ 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*

89

Ideas that have changed (II)

CNA

- ◆ 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

90

Ideas seldom if ever mentioned (I)

CNA

◆ 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
- ◆ One pre-2006 exception: *The Way Ahead* (1991)

91

Ideas seldom if ever mentioned (II)

CNA

- ◆ “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

92

Ideas seldom if ever mentioned (III)

- ◆ Post-war stability ops (“Phase IV” ops)
 - ◆ ...and yet:
 - ◆ *Operation Frequent Wind*, etc. (1975)
 - ◆ *Operation Southern Watch*, etc. (1990s)
 - ◆ *Operations Enduring Freedom & Iraqi Freedom* (2001-)
- ◆ US maritime industries
 - ◆ Merchant marine
 - ◆ Private industrial base
 - ◆ Commercial shipbuilding
- ◆ Non-governmental organizations

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