

U.S. Navy Capstone Strategies and Concepts (1970-2010):

A Brief Summary

Peter M. Swartz
with Karin Duggan



MISC D0026437.A1/Final
December 2011

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The Strategic Studies Division is led by Vice President and Director Dr. Eric V. Thompson, who is available at 703-824-2243 and on e-mail at thompson@cna.org. The executive assistant to the Vice President and Director is Ms. Rebecca Martin, at 703-824-2604.

The principal author of this study thanks especially Karin Duggan for graphic assistance; Loretta Ebner for administrative assistance; Gregory Kaminski, Laurie Ann Lakatos, and Rhea Stone for library assistance; and Dana Smith and Anwar Fry for production assistance. A full listing of substantive contributors can be found in Peter M. Swartz and Karin Duggan, *U.S. Navy Capstone Strategies and Concepts: Introduction and Background: Volume I*, (D0026421.A1, December 2011). A full listing of all volumes in the CNA Navy Strategy series can be found on the inside back cover of this document.

Approved for distribution:

December 2011



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

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30-40 Capstone Documents: 1970-2010

CNA

Project SIXTY & Missions of the U.S. Navy	Sep 1970, Mar-Apr 1974
Strategic Concepts of the U.S. Navy, NWP 1 (5)	Dec 1975-May 78
Sea Plan 2000	Mar 1978
CNO Strategic Concepts & Future of U.S. Sea Power	Jan, May 1979
The Maritime Strategy (8)	Nov 1982-May 1990
The Way Ahead	Apr 1991
The Navy Policy Book	May 1992
. . . From the Sea	Nov 1992
NDP 1: Naval Warfare	Mar 1994
Forward...From the Sea	Oct 1994
Navy Operational Concept (NOC)	May 1997
Anytime, Anywhere	Nov 1997
Navy Strategic Planning Guidance (NSPG) (2)	Aug 1999 & Apr 2000
Sea Power 21 & Global CONOPS	Jun 2002
Naval Power 21 . . . A Naval Vision	Oct 2002
Naval Operating Concept for Joint Operations (NOCJO)	Apr 2003
Fleet Response Plan (FRP)	May 2003
Navy Strategic Plan (NSP) ISO POM 08	Apr 2006
Naval Operations Concept (NOC)	Sep 2006
Navy Strategic Plan (NSP) ISO POM 10	Sep 2007
A Cooperative Strategy for 21 st Century Seapower	Oct 2007
Navy Strategic Plan (NSP) ISO POM 10 (Change 1)	Nov 2007
Navy Strategic Guidance ISO PR 11	May 2009
Navy Strategic Plan (NSP) ISO POM 12	Oct 2009
Naval Operations Concept (NOC)	May 2010
NDP 1: Naval Warfare	Aug 2010
Navy Strategic Plan ISO POM 13	Oct 2010

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US Navy capstone documents of the 1970s

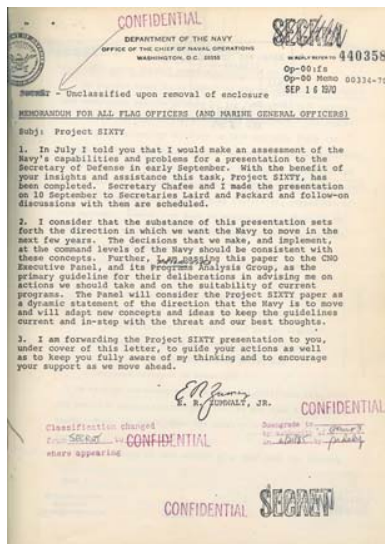
CNA

- ◆ 1970 *Project SIXTY*
- ◆ 1974 *Missions of the U.S. Navy*
- ◆ 1975 *Strategic Concept for the U.S. Navy*
- ◆ 1977 *NWP 1: Strategic Concepts of the U.S. Navy*
- ◆ 1978 *NWP 1: Strategic Concepts of the U.S. Navy (Rev. A)*
- ◆ 1978 *Sea Plan 2000*
- ◆ 1979 *CNO Strategic Concepts & The Future of U.S. Sea Power*



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- ◆ Sep 1970 *Project SIXTY*
 - ◆ An assessment; direction to move
- ◆ Mar-Apr 1974 “Missions of the Navy”
 - ◆ Missions



Project SIXTY (1970)

CNA

- ◆ Signed by CNO ADM Zumwalt (Sept 1970)
- ◆ “Assessment” & “Direction to Move”
- ◆ Medium-length (30 pp) SECRET brief & memo
- ◆ CNO flag officer special assistants drafted
- ◆ Principal targets: SECDEF, OSD, DON, OPNAV
- ◆ Comprehensive plan, program guidance for Zumwalt term
 - ◆ Precedent for subsequent annual CNO program guidance
- ◆ **To re-optimize USN to counter Soviet threat**
- ◆ **4 USN capability categories; hi-low mix**
- ◆ **Sea control priority over power projection programs**
- ◆ Listed 22 specific actions taken or proposed
- ◆ Presented 3 force structure alternatives
- ◆ Concepts proved more influential than programs

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Missions of the U.S. Navy (1974)

CNA



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Missions of the U.S. Navy (1974)

CNA

- ◆ Drafted & signed by NAVWARCOL President VADM Turner (Mar-Apr 1974)
 - ◆ Drafting assistance by NAVWARCOL faculty
- ◆ Short (16 pp max) UNCLAS articles
- ◆ Principal target: US Navy officer corps
- ◆ **Described 4 Navy missions (from *Project SIXTY*)**
- ◆ **Showed relationship of missions to tactics**
- ◆ **Deliberate creation of a new vocabulary**
- ◆ **USN officers should think deeply about their service**
- ◆ **Missions construct lends itself to analyzing naval issues**
- ◆ **Soviet Union the chief threat for USN to counter**
- ◆ Lasting influence

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ADM James L. Holloway III (CNO Jun 1974-Jul 1978)

CNA

- ◆ Dec 1975 *Strategic Concept for the U.S. Navy (S)*
- ◆ 1976-78 CNO Reports (Posture Statements)
- ◆ Jul 1976 “U.S. Navy: A Bicentennial Appraisal”
- ◆ Jan 1977 *Strategic Concepts of the U.S. Navy (NWP 1)*
- ◆ May 1978 *Strategic Concepts of the U.S. Navy NWP 1 (Rev. A)*
- ◆ (Mar 1978) (*Sea Plan 2000*) (S)
 - ◆ A force planning study



8

Strategic Concepts of the U.S. Navy (1975-8)

CNA



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Strategic Concepts of the U.S. Navy (1975-8)

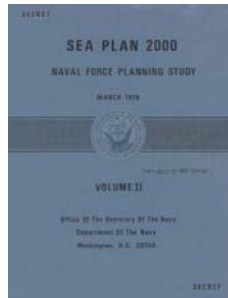
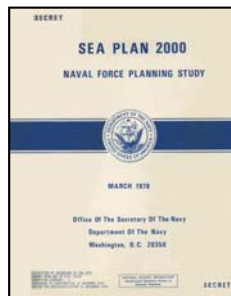
CNA

- ◆ Drafted and signed by CNO ADM Holloway
- ◆ “Strategic Concepts”
- ◆ Principal targets: USN officer corps & Capitol Hill
- ◆ Concepts evolved through various editions:
 - ◆ CLAS memo, then UNCLAS article, NWP, posture statement brochures, revised medium-length (37 pp) NWP
- ◆ **Comprehensive analysis of naval requirement development**
 - ◆ Rigorous flow from national policy to systems
- ◆ **Focus on naval warfare tasks, across platforms**
 - ◆ Highlighted range of aircraft carrier capabilities
- ◆ **No specific USN adversaries mentioned by name**
- ◆ Still modestly influential

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Sea Plan 2000 (1978)

CNA



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Sea Plan 2000 (1978)

CNA

- ◆ Signed by SECNAV Claytor (Mar 1978)
 - ◆ Article signed by Under SECNAV Woolsey
- ◆ Principal target: SECDEF, OSD, Joint Staff, OPNAV
- ◆ SECRET 2-volume force planning study
 - ◆ Separate UNCLAS medium-length (23 pp) abridgement of study executive summary
 - ◆ USN Woolsey *International Security* article
- ◆ Drafted by a working group; NAVWARCOL professor lead
- ◆ **Maintain stability - Contain crises - Deter war spectrum**
- ◆ **Focus on countering Soviet threat**
- ◆ **Naval forces can be decisive in crises & in war with Soviets**
- ◆ **7 USN missions**
- ◆ **New technology as USN enabler**
- ◆ 3 USN force level options
- ◆ Great short-term influence. Overshadowed later by Hayward views & *The Maritime Strategy*

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ADM Thomas B. Hayward (CNO Jul 1978-Jun 1982)

- ◆ Jan 1979 CNO Strategic Concepts (Top Secret)
- ◆ Jan 1979 CNO Posture Statement (UNCLAS)
- ◆ May 1979 The Future of U.S. Sea Power (UNCLAS)
 - ◆ Fundamental principles



CNO Strategic Concepts (1979)

TOP SECRET
DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, D.C. 20350

SERIAL NUMBER
Ser 00/7100113
26 February 1979

TOP SECRET (Unclassified upon removal of enclosure)
MEMORANDUM FOR DISTRIBUTION
Subj: CNO Strategic Concepts
Encl: (1) CNO Strategic Concepts (TS) dtd 8 Jan 79

1. Enclosure (1) is the latest version of CNO's Strategic Concepts and is provided for information.

W. A. Coomes
W. A. COOMES
Captain, U.S. Navy
Executive Assistant to the
Chief of Naval Operations

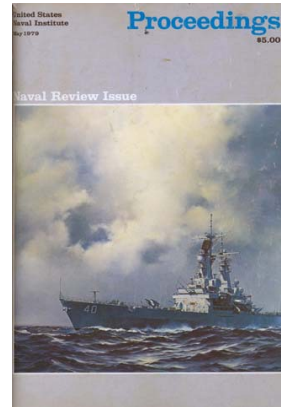
Distribution:
CNO List 1

Copy ____ of 144 copies

TOP SECRET
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The Future of U.S. Sea Power (1979)

CNA



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The Future of U.S. Sea Power (1979)

CNA

- ◆ Signed by CNO ADM Hayward (May 1979)
- ◆ Primary targets: OSD, Congress, USN officer corps
- ◆ CLAS briefings & letter; then UNCLAS Posture Statement & very short (6 pp) article
- ◆ Principal drafter: CNO Executive Assistant
- ◆ **“Fundamental principles of naval strategy”**
- ◆ **Call for USN maritime superiority, indeed, supremacy**
- ◆ **Global forward, offensive USN ops vs. Soviet Union, Warsaw Pact**
- ◆ **More allied naval contributions encouraged**
- ◆ **12 CVBGs the centerpiece**
- ◆ **Need to keep USN technological edge**
- ◆ Heavy influence on *The Maritime Strategy*

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The 1980s

- ◆ 1982 *The Maritime Strategy* (SECRET brief)
- ◆ 1984 *The Maritime Strategy* (SECRET pub)
- ◆ 1985 *The Amphibious Warfare Strategy* (SECRET Pub)
- ◆ 1985 *The Maritime Strategy* (SECRET pub revision)
- ◆ 1986 *The Maritime Strategy* (UNCLAS booklet)
- ◆ 1987 “Looking Beyond the Maritime Strategy” (UNCLAS article)
- ◆ 1989 *The Maritime Strategy* (SECRET pub revision)
- ◆ 1990 “Maritime Strategy for the 1990s” (UNCLAS article)



The Maritime Strategy (1982-90)

- ◆ Signed by:
 - ◆ CNO ADM James D. Watkins
 - ◆ CNO Carlisle A.H. Trost
- ◆ *Amphibious Warfare Strategy* signed by:
 - ◆ CNO ADM James D. Watkins
 - ◆ CMC Gen Paul X. Kelley
- ◆ “600-ship Navy” companion piece signed by:
 - ◆ SECNAV John F. Lehman, Jr.



ADM James D. Watkins (CNO Jun 1982-Jun 1986)

- ◆ Nov 1982 *The Maritime Strategy* (SECRET brief)
(Unsigned)
- ◆ May 1984 *The Maritime Strategy* (SECRET pub)
- ◆ Jun 1985 *The Amphibious Warfare Strategy*
(SECRET pub)
- ◆ Nov 1985 *The Maritime Strategy*
(SECRET pub revision)
- ◆ Jan 1986 *The Maritime Strategy*
(UNCLAS USNI *Proceedings* insert)



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ADM Carlisle A. H. Trost (CNO Jul 1986-Jun 1990)

- ◆ Jan 1987 “Looking Beyond the Maritime Strategy”
(UNCLAS USNI *Proceedings* article)
- ◆ Feb 1989 *The Maritime Strategy*
(SECRET pub revised)
- ◆ May 1990 “Maritime Strategy for the 1990s”
(UNCLAS USNI *Proceedings* article)



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The Maritime Strategy (1982-90)

- ◆ Signed by CNOs ADMs Watkins & Trost
- ◆ Coordinated with SECNAVs & CMCs
- ◆ Primary targets: Numerous, esp. USN officers, Soviets
- ◆ Billed as a “strategy”
- ◆ Drafted in OPNAV Strategic Concepts Branch (OP-603)
- ◆ 8+ SECRET, UNCLAS, & “higher classification” versions. Multi-media. Long documents & short articles.
- ◆ **Key idea: The U.S. Navy makes a strategic difference**
 - ◆ Across the Peace-Crisis-War spectrum
 - ◆ In 3-phase global forward offensive campaign vs. Soviet Union, allies & clients, as part of joint, allied global war
- ◆ **Laid out uncertainties**
- ◆ Highly influential

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The 1990s

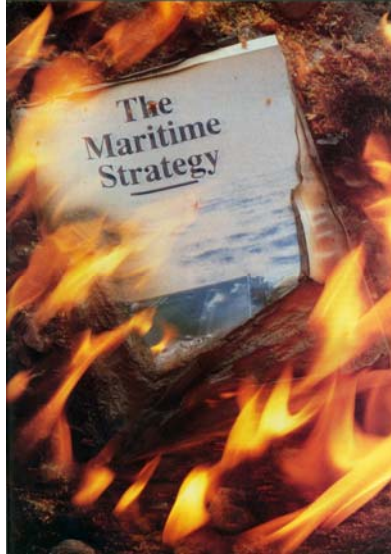
- ◆ 1991 *The Way Ahead*
- ◆ 1992 *The Navy Policy Book*
- ◆ 1992 *. . . From the Sea*
- ◆ 1994 *Naval Doctrine Pub 1: Naval Warfare*
- ◆ 1994 *Forward . . . From the Sea*
- ◆ 1997 *Navy Operational Concept (NOC)*
- ◆ 1997 *Anytime, Anywhere*
- ◆ 1999 & 2000 *Navy Strategic Planning Guidance (NSPG)*



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1990s: End of the Cold War

CNA



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ADM Frank B. Kelso III (CNO Jun 1990-Apr 1994)

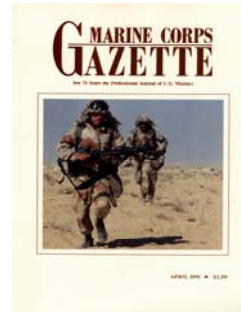
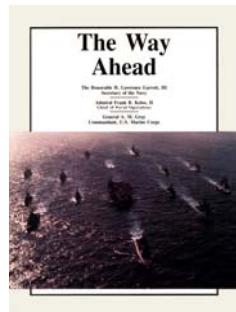
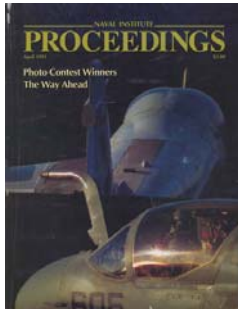
CNA

- ◆ Apr 1991 *The Way Ahead*
 - ◆ Vision
- ◆ May 1992 *The Navy Policy Book*
 - ◆ Policy
- ◆ Nov 1992 *...From the Sea*
 - ◆ Vision
- ◆ Mar 1994 *Naval Warfare (NDP 1)*
 - ◆ Doctrine



The Way Ahead (1991)

CNA



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The Way Ahead (1991)

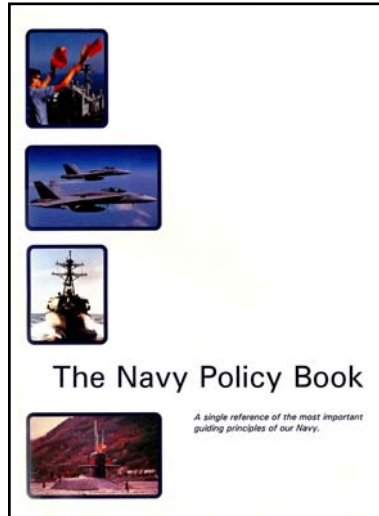
CNA

- ◆ Signed by SECNAV Garrett, CNO ADM Kelso, CMC Gen Gray (Apr 1991)
- ◆ Billed as a “Way Ahead”
- ◆ Primary targets: USN, USMC officer corps
- ◆ Short (12 pp) UNCLAS US Naval Institute *Proceedings* & *Marine Corps Gazette* articles; & stand-alone pub
- ◆ Drafted in OPNAV Naval Warfare directorate (OP-07)
- ◆ **Threats seen as regional**
 - ◆ Re-emergent global threat unlikely but possible
- ◆ **Called for new deployment patterns, forward presence, surge, emphasis on presence & MOOTW**
- ◆ **Remarkably prescient**
- ◆ Little influence at the time

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The Navy Policy Book (1992)

CNA



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The Navy Policy Book (1992)

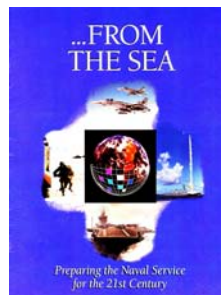
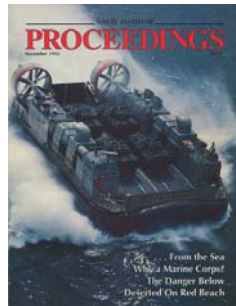
CNA

- ◆ Signed by SECNAV Garrett & CNO ADM Kelso (May 1992)
- ◆ Billed as “policy” & “guiding principles”
- ◆ Primary target: USN officers & enlisted
- ◆ UNCLAS stand-alone internal USN pub
- ◆ Medium length (40 pages)
- ◆ Drafted by OPNAV CNO Executive Panel staff officers (OP-00K)
- ◆ Internal USN focus: Tied to USN Total Quality Leadership (TQL) program
- ◆ **Laid out “strategic principles,” nature of USN as an organization**
- ◆ **Stressed importance of people, accountability, responsibility & good stewardship to US Navy culture**
- ◆ **Very joint. Called for integrated joint campaigns**
- ◆ Little influence beyond ADM Kelso’s term

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...From The Sea (1992)

CNA



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...From The Sea (1992)

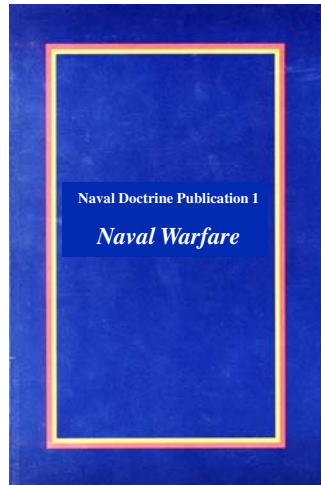
CNA

- ◆ Signed by SECNAV O'Keefe, CNO ADM Kelso, CMC Gen Mundy (Nov 1992)
- ◆ Billed as a "white paper" & "combined vision"
- ◆ Primary target: Many, but esp. USN, USMC officers
- ◆ Short (16 pp) UNCLAS. US Naval Institute *Proceedings* & *Marine Corps Gazette* articles; stand-alone pub; & on web
- ◆ Drafted in a succession of working groups. Many fathers.
- ◆ **Threats seen as regional, but none specified by name**
- ◆ **Regional, joint, forward, littoral, enabling, expeditionary ops**
 - ◆ Focus on early strike & power projection ops vs. the shore, in support of joint operations
 - ◆ Sea control operations beyond littorals de-emphasized
- ◆ **Integrated USN-USMC doctrine, operations, force packages**
- ◆ Wide influence. Still cited in 2010

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NDP 1: Naval Warfare (1994)

CNA



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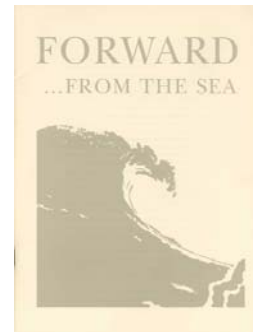
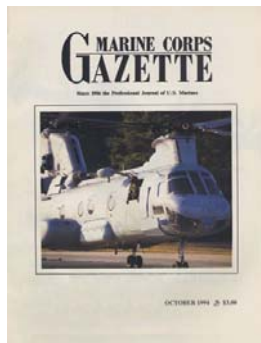
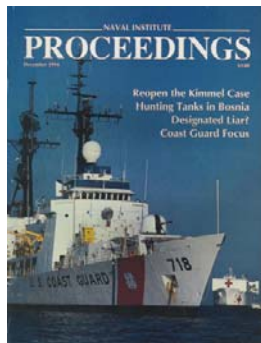
NDP 1: Naval Warfare (1994)

CNA

- ◆ Signed by CNO ADM Kelso & CMC Gen Mundy (Mar 1994)
- ◆ Billed as “doctrine”
- ◆ Primary target: All USN & USMC, active & reserve
- ◆ Long (76 pp) UNCLAS glossy Naval Doctrine Pub (NDP), & on the web
- ◆ Drafted & published by new Naval Doctrine Command
- ◆ **Principles of war; maneuver warfare**
- ◆ **War, deterrence, presence, OOTW**
- ◆ **Close Navy-Marine Corps integration**
- ◆ **Very joint & combined**
- ◆ **“Adversaries” and “enemies” not specified, save “growing regional threats”**
- ◆ Continued use as reference through 2010 (largely outside USN)

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- ◆ Oct 1994 *Forward...From the Sea*
 - ◆ “A strategic concept”



Forward...From The Sea (1994)

CNA

- ◆ Signed by SECNAV Dalton, CNO ADM Boorda, CMC Gen Mundy (Oct 1994)
- ◆ Billed as a “strategic concept”
- ◆ Principal target: Many, esp. USN officer corps
- ◆ Short (12 pp) UNCLAS. US Naval Institute *Proceedings* & *Marine Corps Gazette* articles, stand-alone pub, & on web
- ◆ Navy drafters: OPNAV Strategy Branch (N513)
- ◆ **Threats seen as regional, but none specified by name**
- ◆ **Emphasis on combat credible forward presence in & between 3 hubs**
- ◆ **Reaffirmed traditional sea control ops**
- ◆ Still cited in 2006 *Naval Operations Concept*

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ADM Jay L. Johnson (CNO May 1996-Jul 2000)

CNA

- ◆ May 1997 *Navy Operational Concept*
- ◆ Nov 1997 *Anytime, Anywhere*
 - ◆ A vision
- ◆ Aug 1999 *Navy Strategic Planning Guidance (POM-02) (SECRET)*
- ◆ Apr 2000 *Navy Strategic Planning Guidance (POM-03) (UNCLAS)*



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Navy Operational Concept (1997)



Navy Operational Concept (1997)

- ◆ Signed by CNO ADM Johnson (Jan 1997)
- ◆ Billed as an “operational concept”
- ◆ Current & future concepts
- ◆ Principal target: USN officer corps
- ◆ Very short (8 pp.) UNCLAS. CNO e-mail to flags; then on web; then *Sea Power* article
- ◆ Drafted by working group, then OPNAV Strategy Branch (N513)
- ◆ **Tied to CJCS strategy & vision**
- ◆ **Operational maneuver & speed of command concepts**
- ◆ Modest influence

Anytime, Anywhere (1997)

CNA

Anytime, Anywhere A Navy for the 21st Century

By Admiral Jay Johnson, U.S. Navy

As it looks to the 21st century, the Navy is redefining sea power: to shape the strategic environment, fight through any opposition, and project and sustain enough power ashore—carrier air, gunfire, missiles, and Marines—to deter a conflict, stop an aggressor, or pave the way for heavier joint forces. Simply put, the U.S. Navy will influence, directly and decisively, events ashore from the sea—anytime, anywhere.

The 21st century for the U.S. Navy is a time of great promise and a time to make bold plans for the future. We stand on the threshold of a new century, in an era of almost dizzying technological change. Change is our ally. It presents an unprecedented opportunity to transform the face of war, to give a new dimension to sea power, and to expand our reach to the far reaches of the globe. The 21st century will be a time of great challenge and opportunity. We must plan for a world in which the sea will be a theater of operations, not just a theater of operations, but a theater of operations that will be defined by the combined power and strategy of the United States and its allies.



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www.navalinstitute.org”

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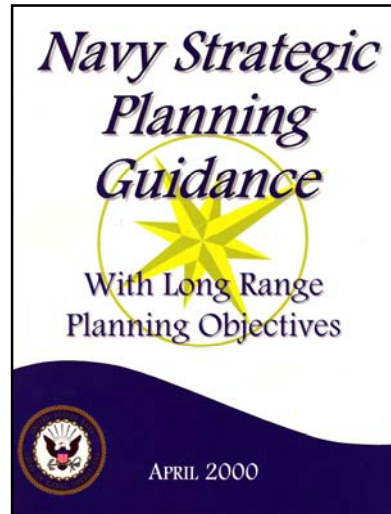
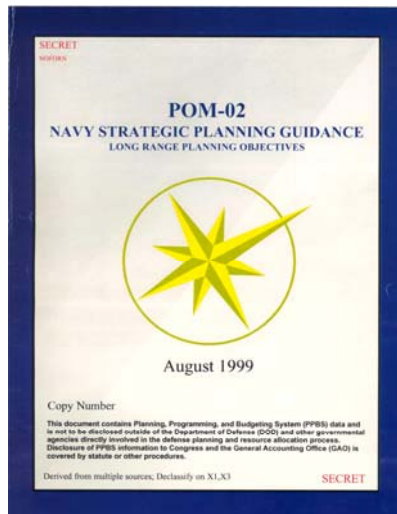
Anytime, Anywhere (1997)

CNA

- ◆ Signed by CNO ADM Johnson (Nov 1997)
- ◆ Billed as a “vision”
- ◆ Principal target: Many, esp. USN officer corps
- ◆ Very short (3 pp.) UNCLAS US Naval Institute *Proceedings* article
- ◆ Drafted by CNO Executive Panel staff (N00K)
- ◆ **Emphasis on warfighting, sea control, power projection**
- ◆ **USN “operational primacy”**
- ◆ **Direct, decisive USN influence ashore**
- ◆ Document had little influence

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Navy Strategic Planning Guidance (1999 & 2000)



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Navy Strategic Planning Guidance (1999 & 2000)

- ◆ Signed by CNO ADM Johnson (Aug 1999; Apr 2000)
- ◆ Billed as “strategic planning guidance” to influence POM decisions
- ◆ Principal target: DON planners, programmers & budgeters
- ◆ Very long, detailed, stand-alone pubs (55 & 90 pages)
- ◆ 1st was SECRET; 2nd was UNCLAS
- ◆ Drafted in OPNAV Strategic Concepts Branch (N513)
- ◆ **Forward presence & knowledge superiority**
- ◆ **5-Dimensional battlespace**
- ◆ **Potential adversary capabilities specifically identified**
- ◆ Modest, short-term influence

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The first decade of the twenty-first century CNA

- ◆ 2002 *Sea Power 21 & Global CONOPs*
- ◆ 2002 *Naval Power 21...A Naval Vision*
- ◆ 2003 *Naval Operating Concept for Joint Operations (NOCJO)*
- ◆ 2003 *Fleet Response Plan (FRP)*
- ◆ 2006 *Navy Strategic Plan ISO POM 08 (SECRET & UNCLAS)*
- ◆ 2006 *Naval Operations Concept (NOC)*
- ◆ 2007 *Navy Strategic Plan (NSP) ISO POM 10 (SECRET)*
- ◆ 2007 *A Cooperative Strategy for 21st Century Seapower (CS 21)*
- ◆ 2007 *Navy Strategic Plan (NSP) ISO POM 10 (Change 1) (SECRET)*
- ◆ 2009 *Navy Strategic Guidance (NSG) ISO PR 11 (SECRET)*
- ◆ 2009 *Navy Strategic Plan (NSP) ISO POM 12 (SECRET)*
- ◆ 2010 *Naval Operations Concept (NOC)*
- ◆ 2010 *Naval Doctrine Publication (NDP) 1: Naval Warfare*
- ◆ 2010 *Navy Strategic Plan (NSP) ISO POM13 (SECRET)*



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ADM Vern Clark (CNO Jul 2000-Jul 2005) CNA

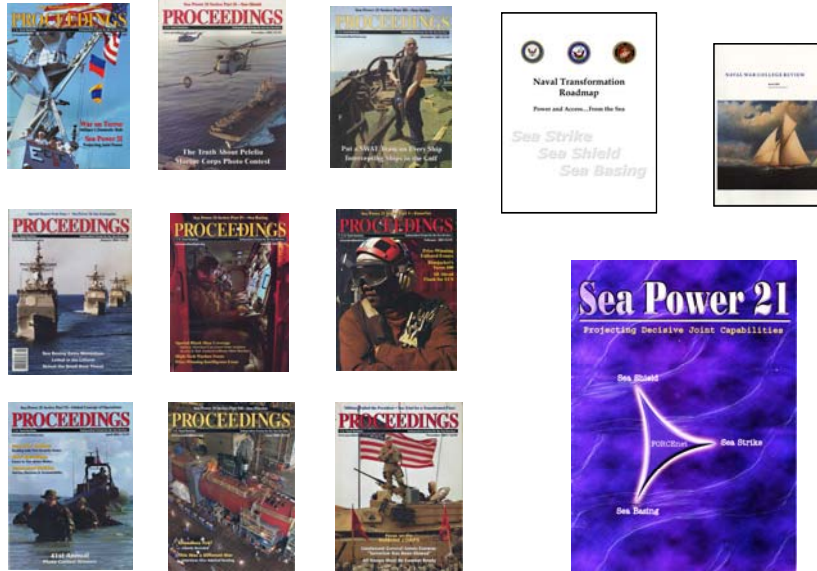
- ◆ Jun 2002 *Sea Power 21*
 - ◆ A “vision”; Included “Global CONOPs”
- ◆ Oct 2002 *Naval Power 21...A Naval Vision*
- ◆ Apr 2003 *Naval Operating Concept for Joint Operations*
- ◆ May 2003 *Fleet Response Plan*
 - ◆ From “concept” to “plan”



44

Sea Power 21 w/ Global CONOPs (2002)

CNA



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Sea Power 21 w/ Global CONOPs (2002)

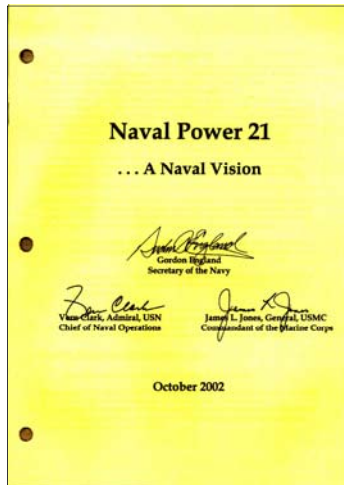
CNA

- ◆ Signed by CNO ADM Clark & other admirals (Jun 2002 & subsequently)
- ◆ NAVWARCOL speech & *Transformation Roadmap*
- ◆ UNCLAS US Naval Institute *Proceedings* 9-article series; stand-alone 5-article medium-length pamphlet; on web
- ◆ Billed as a “vision”
- ◆ Principal target: Many, esp. USN officer corps
- ◆ Drafted principally in OPNAV N00Z (& N81: CONOPS)
- ◆ **Threat to USN: Evolving regional challenges and transnational threats**
- ◆ **8-concept framework: Sea Strike, Sea Shield, Sea Basing, FORCEnet, Sea Warrior, Sea Trial, Sea Enterprise, Global Concept of Operations**
- ◆ Very influential within OPNAV, NWDC, ONR, etc.

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Naval Power 21...A Naval Vision (2002)

CNA



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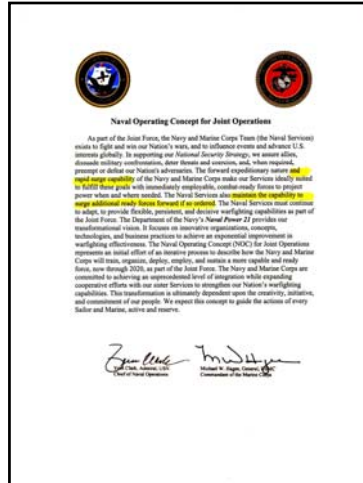
Naval Power 21...A Naval Vision (2002)

CNA

- ◆ Signed by SECNAV England, CNO ADM Clark, CMC Gen Jones (Oct 2002)
- ◆ Billed as a “vision”
- ◆ Principal target audience: USN & USMC leadership
- ◆ Very short (6 pp). UNCLAS. Published on the web
- ◆ Drafted in new OPNAV “Deep Blue” office
- ◆ **To counter threats from our nation’s enemies**
- ◆ **Central theme: Navy-Marine Corps team**
 - ◆ USN-USMC TACAIR integration
- ◆ **Brought together *Sea Power 21, Global CONOPS, (& Marine Corps 21)* concepts & initiatives**
 - ◆ **Sea Strike, Sea Shield, Sea Basing, FORCEnet, Sea Warrior, Sea Trial, Sea Enterprise; 25% increase in size of the fleet goal**
- ◆ Little lasting influence

48

Naval Operating Concept for Joint Operations (2003)



Naval Operating Concept for Joint Operations (2003)

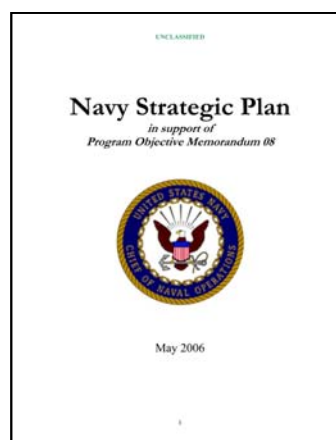
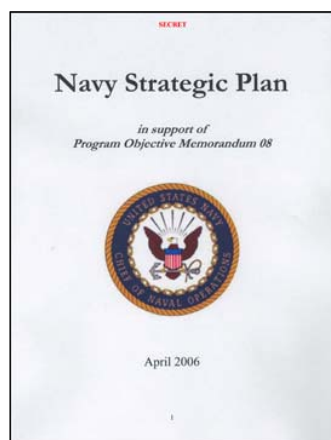
- ◆ Signed by CNO ADM Clark & CMC Gen Hagee (Apr 2003)
- ◆ Billed as an “Operating Concept”
- ◆ Principal target: USN, USMC officer corps
- ◆ Medium-length (23 pages). UNCLAS. Published on web
- ◆ Navy drafters: OPNAV N513 (Strategy Branch) & Navy Warfare Development Command (NWDC)
- ◆ **Amplified *Sea Power 21* & *Global CONOPS* concepts**
- ◆ **Elevated *ready-force surge* alongside *forward presence***
- ◆ **Near-term, mid-term & long-term (to 2020) visions**
- ◆ **Capabilities-based approach: To counter conventional & unconventional threats challenging US military superiority**
- ◆ **Explicit relationships to joint & sister service concepts**
- ◆ **Tentative USN-USMC Sea Basing consensus**
- ◆ Little influence in Navy. More in Marine Corps

ADM Michael Mullen (CNO Jul 2005-Sep 2007)

- ◆ Apr 2006 *Navy Strategic Plan ISO POM 08 (S) & (U)*
- ◆ Sep 2006 *Naval Operations Concept (U)*
- ◆ Sep 2007 *Navy Strategic Plan ISO POM 10 (S)*



Navy Strategic Plan ISO POM 08 (2006)



Navy Strategic Plan ISO POM 08 (2006)

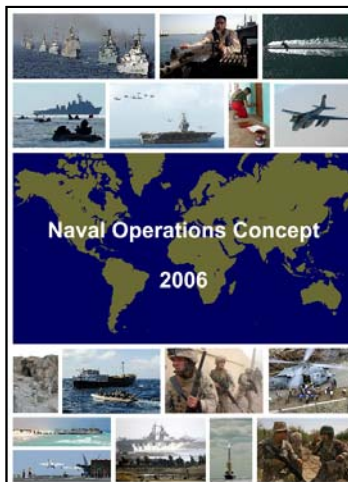
CNA

- ◆ Signed by CNO ADM Mullen (April, May 2006)
- ◆ A “strategic plan.” SECRET and UNCLAS versions
- ◆ Principal target: USN planners & programmers
- ◆ Mid-length (23/42 pp); distributed on UNCLAS, CLAS webs
- ◆ Drafted by OPNAV Strategy, Plans & Policy Director (N5SP)
- ◆ **Effects-based & capabilities-based planning**
- ◆ **Used modified *Sea Power 21* “pillars”**
- ◆ **Non-traditional missions not solely sub-sets of MCOs**
- ◆ **Emphasis throughout on programming for GWOT**
- ◆ **Risk is inherent**
- ◆ **“1000-ship navy” initiative**
- ◆ Influence: Too late to affect POM 08 directly, but set stage for *A Cooperative Strategy & NSP ISO POM 10*

55

Naval Operations Concept (2006)

CNA



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Naval Operations Concept (2006)

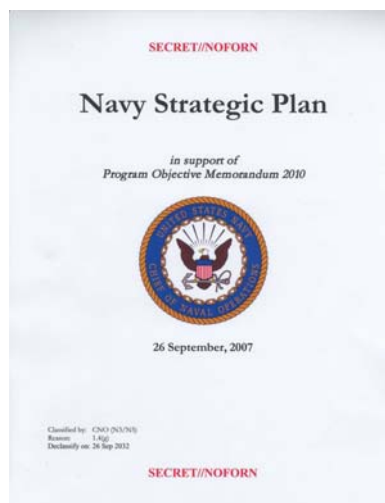
CNA

- ◆ Signed by CNO ADM Mullen & CMC Gen Hagee (Sep 2006)
- ◆ A “naval operations concept” & “unified vision for the future”
- ◆ Principal targets: USN & USMC officers & enlisted
- ◆ Medium-length (36 pages) UNCLAS booklet
- ◆ Principal USN drafters & overall coordinator: OPNAV Deep Blue, then OPNAV Strategy, Plans & Policy Division (N5SP)
- ◆ **To counter threats from diverse nations & non-state actors, across the spectrum of operations**
- ◆ **13 Mission areas, 9 guiding principles**
- ◆ **9 Methods, 5 strategic objectives**
- ◆ More influence at HQs than in the fleet
 - ◆ Precedent seen as useful
 - ◆ Some influence on *A Cooperative Strategy for 21st Century Seapower* (2007)

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Navy Strategic Plan ISO POM 10 (2007)

CNA



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Navy Strategic Plan ISO POM 10 (2007)

CNA

- ◆ Signed by outgoing CNO ADM Mullen (Sep 2007)
- ◆ A “Navy strategic plan;” not tri-service or bi-service
- ◆ Long (75 pp) SECRET stand-alone pub. No UNCLAS version
- ◆ Drafted in OPNAV Strategic Concepts Branch (N5SC)
- ◆ Developed in tandem with *A Cooperative Strategy for 21st Century Seapower*
- ◆ Designed to translate strategy into programmatic guidance
- ◆ **Extensive strategic context analysis & risk guidance**
- ◆ Revised by incoming CNO ADM Roughead within 2 months
- ◆ Principal target: DON programmers & budgeters

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ADM Gary Roughead (CNO Sep 2007-Sep 2011)

CNA

- ◆ Oct 2007 *A Cooperative Strategy for 21st Century Seapower*
- ◆ Nov 2007 *Navy Strategic Plan ISO POM 10 (Ch 1)*
- ◆ May 2009 *Navy Strategic Guidance ISO PR 11*
- ◆ Oct 2009 *Navy Strategic Plan ISO POM 12*
- ◆ May 2010 *Naval Operations Concept*
- ◆ Aug 2010 *Naval Doctrine Pub 1: Naval Warfare*
- ◆ Oct 2010 *Navy Strategic Plan ISO POM 13*



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A Cooperative Strategy for 21st Century Seapower (2007) CNA

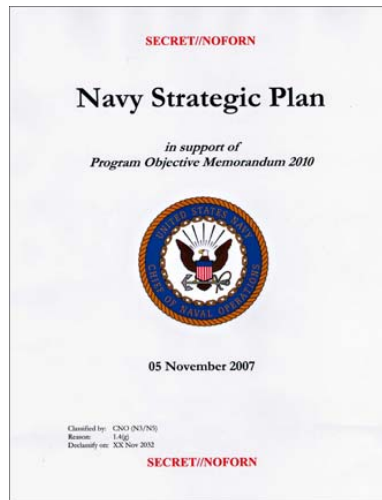


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A Cooperative Strategy for 21st Century Seapower (2007) CNA

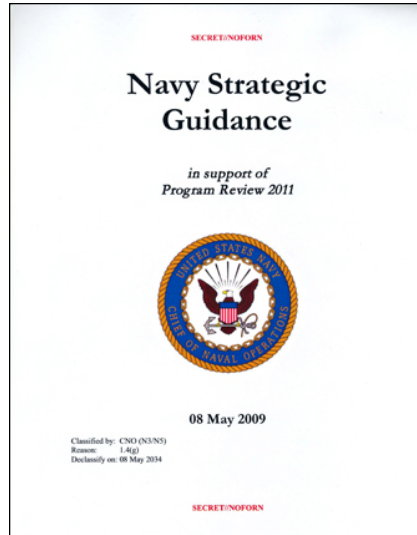
- ◆ Signed by CNO ADM Roughead, CMC Gen Conway, COMDT COGARD ADM Allen (Oct 2007)
- ◆ Principal stated target: American people & US Congress
- ◆ Short UNCLAS document (16 pages)
- ◆ OPNAV N3/N5SAG: USN drafters & overall coordinators
- ◆ Complex, lengthy, open development process
- ◆ Promulgated at US Naval War College International Seapower Symposium in Newport (Oct 2007)
- ◆ **To counter potential threats of major power war, regional conflict, terrorism, lawlessness and natural disasters**
- ◆ **Key ideas: US sea services essential to maintain global world political & economic system; need for cooperation & trust; war prevention as important as war winning; 6 strategic imperatives, 6 core capabilities, 3 implementation priorities**
- ◆ Influential, esp. overseas; Major USN publicity campaigns

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- ◆ Signed by CNO ADM Roughead (Nov 2007)
- ◆ A “Navy strategic plan”
- ◆ Navy-only. Not bi-service or tri-service
- ◆ Principal target: DON programmers & budgeters
- ◆ Long (76 pp) SECRET stand-alone pub
- ◆ **Modest CNO Roughead personal changes to CNO ADM Mullen *NSP ISO POM 10*, signed just weeks before**
- ◆ Cog office: OPNAV N5SC (Strategy & Concepts Branch)
- ◆ Emphasis on NSP as *the* strategic source document for USN POM development

Navy Strategic Guidance ISO PR-11 (2009) CNA



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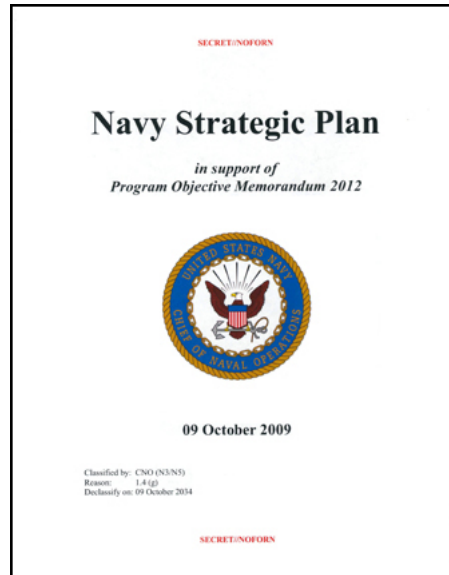
Navy Strategic Guidance ISO PR-11 (2009) CNA

- ◆ Full title: *Navy Strategic Guidance in support of Program Review 2011*
- ◆ Signed by CNO ADM Roughead (May 2009)
- ◆ “Navy strategic guidance”
 - ◆ Vice “Navy strategic plan,” since in support of a Program Review (PR), not a Program Objective Memorandum (POM)
- ◆ Principal targets: DON officers & civilians charged with developing PR 11
- ◆ Medium-length (33 pages); SECRET
- ◆ Navy-only
- ◆ Drafted in OPNAV Strategy Branch (N5SC)
- ◆ **“Forward presence is the linchpin for maritime strategy implementation”**
- ◆ Strategy-driven. Keyed to *A Cooperative Strategy for 21st Century Seapower*

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Navy Strategic Plan ISO POM-12 (2009)

CNA



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Navy Strategic Plan ISO POM-12 (2009)

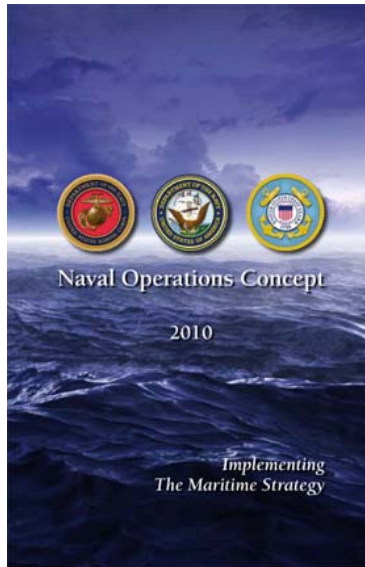
CNA

- ◆ Signed by CNO ADM Roughead (Oct 2009)
- ◆ “Navy strategic plan”
- ◆ Principal targets: DON officers & civilians charged with developing POM-12
- ◆ Lengthy (76 pages) SECRET document
- ◆ Navy-only
- ◆ Drafted in OPNAV N513 (Strategy branch)
- ◆ Strategy-based
- ◆ Released in time to impact POM development
- ◆ Developed via defendable, repeatable & quantifiable strategic planning process

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Naval Operations Concept (2010)

CNA



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Naval Operations Concept (2010)

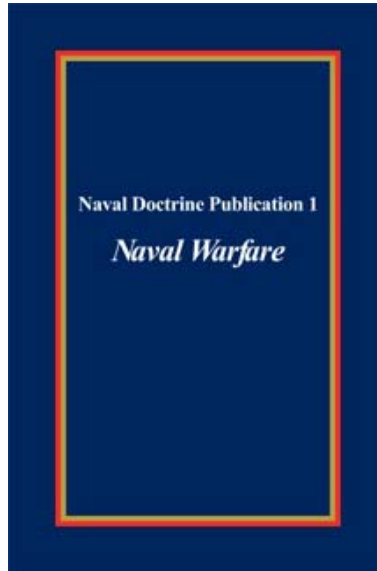
CNA

- ◆ Signed by CNO ADM Roughead, CMC Gen Conway, COMDT COGARD ADM Allen (May 2010)
- ◆ Billed as a “naval operations concept”
- ◆ Principal target: Sailors, Marines & Coastguardsmen
- ◆ Very long (102 PP) UNCLAS book; very long drafting process
- ◆ USN-USMC-USCG staff drafting participation
- ◆ USN lead drafters & overall coordinators: OPNAV N513
- ◆ **To counter range of nuclear, conventional, irregular challenges**
- ◆ **Key ideas: Sea as maneuver space; details of 6 core capabilities identified in *A Cooperative Strategy for 21st Century Seapower (CS 21)* (2007); described “ways” Naval Service will achieve CS 21 “ends”; current operations concept (not an aspirational vision for the future); to inform development of service & joint concepts, plans, experimentation, operations**

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NDP 1 Naval Warfare (2010)

CNA



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NDP 1 Naval Warfare (2010)

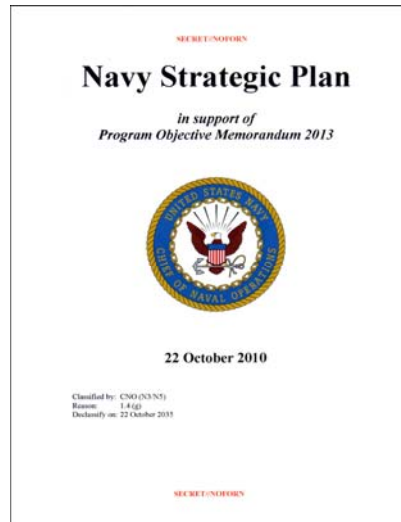
CNA

- ◆ Signed by CNO ADM Roughead, CMC Gen Conway, COMDT COGARD ADM Allen (Aug 2010)
- ◆ Billed as “doctrine.” Principal targets:
 - ◆ Sailors, Marines, Coastguardsmen, Naval Service civilians
 - ◆ Also senior US government & NGO civilian & military leaders
- ◆ Lengthy (54 pp.) UNCLAS book; very long drafting process
- ◆ USN-USMC-USCG staff drafting participation
- ◆ Navy drafting responsibility & overall coordination: Navy Warfare Development Command (NWDC)
- ◆ To bridge joint policy & doctrine & detailed service TTP
- ◆ **Key ideas: Levels of war; Operational art; range of military operations; 6 core capabilities; campaign phases; global maritime partnerships; maritime domain awareness; tied to *A Cooperative Strategy for 21st Century Seapower***

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Navy Strategic Plan ISO POM-13 (2010)

CNA



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Navy Strategic Plan ISO POM-13 (2010)

CNA

- ◆ Signed by CNO ADM Roughead (Oct 2010)
- ◆ “Navy strategic plan”
- ◆ Principal targets:
 - ◆ DON officers & civilians charged with developing POM-13
- ◆ Short (19 pages), Navy-only, SECRET document
- ◆ Drafted in OPNAV Strategy Branch (N513)
- ◆ To guide the continued implementation of the ideas in *A Cooperative Strategy for 1st Century Seapower (2007)* through development of the Navy’s POM 13 (2013-2020)
- ◆ **Prioritized “strategic imperatives” from *A Cooperative Strategy* specifically defined to be relevant in the future security environment**
- ◆ **Provided specific “Capability Risk Guidance”**

74

CNA studies on U.S. Navy strategies and their context

- Swartz, Peter M., *U.S. Navy Capstone Strategy, Policy, Vision and Concept Documents: What to consider before you write one*, (CQR D0020071.A1/Final, March 2009).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1970-2010): A Brief Summary*, (MISC D0026437.A1/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts: Introduction, Background and Analyses*, (MISC D0026421.A1/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (1970-2010): Context for U.S. Navy Capstone Strategies and Concepts: Volume I*, (MISC D0026417.A1/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (1970-2010): Context for U.S. Navy Capstone Strategies and Concepts: Volume II*, (MISC D0026417.A2/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1970-1980): Strategy, Policy, Concept, and Vision Documents*, (MISC D0026414.A1/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (1970-1980): Context for U.S. Navy Capstone Strategies and Concepts*, (MISC D0026418.A1/ Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1981-1990): Strategy, Policy, Concept, and Vision Documents*, (MISC D0026415.A1, December 2011).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (1981-1990): Context for U.S. Navy Capstone Strategies and Concepts*, (MISC D0026419.A1/Final (December 2011).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1991-2000): Strategy, Policy, Concept, and Vision Documents*, (MISC D0026416.A2/Final, March 2012).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (1991-2000): Context for U.S. Navy Capstone Strategies and Concepts*, (MISC D0026420.A2/Final, March 2012).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (2001-2010): Strategy, Policy, Concept, and Vision Documents*, (MISC D0026241.A2/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *The U.S. Navy in the World (2001-2010): Context for U.S. Navy Capstone Strategies and Concepts*, (MISC D0026242.A2/Final, December 2011).
- Swartz, Peter M., and Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1970-2010): Comparisons, Contrasts, and Changes: Volume I*, (MISC D0026422.A1/Final, December 2011).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy Capstone Strategies and Concepts (1970-2010): Comparisons, Contrasts, and Changes: Volume II*, (MISC D0026423.A1/Final, December 2011).
- Swartz, Peter M., with Michael C. Markowitz, *Organizing OPNAV (1970-2009)*, (CAB D0020997.A5/2Rev, January 2010).
- Swartz, Peter M., with Karin Duggan, *U.S. Navy – U.S. Air Force Relationships 1970-2010*, (MISC D0024022.A4/1Rev, June 2011).

These documents supersede Peter M. Swartz with Karin Duggan, *U.S. Navy Capstone Strategies & Concepts (1970-2009)*, (MISC D0019819.A1/Final, February 2009).

MISC D0026437.A1/Final



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