Navy Strategic Plan

in support of
Program Objective Memorandum 08

May 2006

Table of Contents

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I. Introduction

Changes in the strategic landscape and the challenges that have emerged since 9/11 compel the Navy, as a member of the U.S. Joint Force, to develop a strategy that informs investments for a future marked by uncertainty, irregular and increasingly unrestricted warfare, and, potentially, conventional campaigns against technologically sophisticated adversaries. Over the course of the few short years since 9/11, Navy has come to play key roles in the Global War on Terrorism (GWOT); shaping and stability operations (SSO) in Afghanistan, Iraq, and elsewhere throughout the maritime domain; and homeland defense. Given the emergence of these new mission sets, Navy must implement a strategy that balances the enduring requirements for traditional naval capabilities integral to the conduct of conventional campaigns with those needed to squarely confront and influence the highly dynamic security environment of the 21st Century.

The purpose of the Navy Strategic Plan (NSP) is to provide guidance to those staff elements responsible for the development of the Program Objective Memorandum (POM) 2008 budget submission. The strategy detailed in these pages links higher-level guidance promulgated by the President of the United States, the Secretary of Defense, and the Joint Chiefs of Staff with Navy's Planning, Programming, Budgeting and Execution (PPBE) process. It is designed to inform Navy investments to effectively and efficiently organize, train, and equip the Navy in support of the Joint Force, Joint Force commanders, and Joint Force component commanders. As the first step in Navy's PPBE process, the NSP also provides the framework for subsequent decisions when developing, funding, and reviewing programs as part of the Navy's budget.

The NSP will continue to promote the principles outlined in *Sea Power 21*. Moreover, the NSP will serve as the capstone document for a comprehensive family of strategic plans. The subsidiary strategic plans called for in these pages will ensure alignment across the Navy enterprise while we meet the challenges outlined in *CNO Guidance for 2006*. Finally, the strategic planning process that results from this NSP will become a repeatable practice that provides continuity and consistency throughout planning cycles. Due to timing of the QDR this year, this NSP covers PR-09 and POM-10. The next NSP will be published in PR-11 to better inform subsequent POM development. Further NSPs will be similarly published in PR years.

II. Vision

The vision we seek is: **Americans secure** at home and abroad; **sea and air lanes open and free** for the peaceful, productive movement of international commerce; **enduring national and international naval relationships** that remain strong and true; **steadily deepening cooperation** among the maritime forces of emerging partner nations; and a **combat-ready**

Navy—forward-deployed, rotational and surge capable—large enough, agile enough, and lethal enough to deter any threat and defeat any foe as part of the Joint Force.[1]

This vision forms the basis for the NSP and its desired effects and provides the lens through which we, as a navy, will evaluate investment proposals and alternatives.

III. Objective

The overall objective of the NSP is to provide CNO guidance to ensure the Navy program reflects CNO's priorities. In essence, this document shall guide Navy's capability and investment decisions in support of the Joint Force in POM-08 and across the Future Years Defense Plan (FYDP). By setting forth desired effects ("ends") and providing specific guidance ("ways") to inform the stakeholders responsible for developing Navy programs ("means"), the NSP represents the key input to the first "P" in the PPBE process.

The NSP will also provide a foundation for Navy's family of strategic plans. Given the desired effects, focus areas, directed analyses, and risk guidance contained within this document, development and execution of these subsidiary strategic plans will put us on a path to meet the three challenges outlined in *CNO Guidance for 2006*; specifically, that we:

- **Sustain our current readiness with exactly the right capability for the right cost**,
- **Build a capabilities-based fleet for the future that is of the proper size and mix to meet the uncertain security environment that awaits us**, and
- **Transform our accessions, assignment, distribution and compensation system into one that is more reflective of and responsive to the men and women serving our Navy**.

As you incorporate the guidance within this document into strategies, plans, and programs, keep these challenges at the forefront of your thought processes.

Lastly, this NSP marks the first installment in a repeatable strategic planning process for the U.S. Navy, to be formally updated at least biannually in support of successive POM submissions. While the strategy contained in this Navy Strategic Plan is meant to be enduring, changes in this highly dynamic security environment will likely require adjustments to this strategy on a more frequent basis than biannually. Therefore, in consonance with the National Strategy for Maritime Security (NSMS) tenets of interagency cooperation, continued monitoring of the strategic environment is needed to enhance maritime security and ensure the continued relevance of the Navy Strategic Plan (NSP) in the PPBE process.

Planners, resource sponsors, programmers, and commanders will apply the guidance provided in this plan to their internal development processes and be prepared to defend program submissions against it.

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[1] CNO's Vision is included in its entirety, as it originally appeared in *CNO's Guidance for 2006*.

IV. Desired Effects

Effects-based planning demands that any planning process begin with the end state in mind. In this case, application of the NSP to the PPBE process is intended to accomplish certain objectives and achieve definite effects. Accomplishment of the objectives laid out above will have the following desired effects:

- **Navy operates across the full maritime spectrum—open ocean, littoral, coastal, and internal water—and influences events ashore**. Our goal as a Navy is a future force structure that, including the Joint Force, is without boundaries—from blue to green to brown water—and that is large enough, agile enough, and lethal enough across the continuum of capabilities to deter any threat and defeat any foe.

- **Navy provides unique maritime capabilities to the Joint Force and provides interdependent capabilities as required by the Joint Force**. Our investments will recognize Navy's inimitable contributions in the maritime domain while avoiding the development of redundant capabilities amongst the Services, except where such interdependence is valuable to the Joint Force.

- **Navy conducts persistent forward presence for proactive shaping, disrupting and attacking terror networks, and posturing to be ready to conduct conventional campaigns**. Through distributed, networked operations, we shall apply forward-postured forces to leverage existing and planned conventional campaign investments, augmented by specific GWOT-unique capabilities, to conduct the full range of military operations: from shaping, to conducting the GWOT, to dissuading, deterring and, if necessary, defeating adversaries in conventional campaigns.

- **Navy supports the Joint Force in dissuading and deterring potential adversary nation-states, and transnational threats**. Navy must dissuade and deter states from engaging in conflict by precluding adversary potential to prevail in conventional conflict and by increasing security in the maritime domain to a level where mission success from the perspective of the transnational threat is not achievable.

- **Navy deepens cooperation with the maritime forces of our strategic partners as well as emerging partner nations to enhance those nations' capability to provide for their own maritime security**. Navy must continue to foster trust and interoperability with enduring partners by sustaining defense relationships that promote U.S. interests. Strong alliances with strategic partners who will fight alongside the United States in conventional campaigns remain a key desired effect. However, the transnational threat requires that we embrace emerging nations' maritime forces as well to assist them in bringing governance to ungoverned or under-governed portions of their maritime domain. This latter effort is conceptually captured in CNO's 1000 Ship Navy/global maritime network initiatives; initiatives

that require a political willingness on the part of partner nations to participate and will be expanded upon in the forthcoming Navy Operating Concept (NOC).

- ***Navy shapes and aligns shore infrastructure to provide effective support to the Fleet***. Navy must comply with OSD direction following the BRAC process, establish centers of excellence for better quality and efficiency, align the ashore work force to achieve increased effectiveness and value, and carefully apply resources to ashore recapitalization focusing on Fleet support and quality of life for the Total Force.

- ***Navy sizes, shapes, educates, and trains personnel to develop a "Best Value" Total Force and relieves stress on the Joint Force***. Navy must ensure its workforce is capabilities-based and competency-focused for a Total Force that is properly aligned from accessions through transition following service to our Navy. Through delivery of Sea Warrior, Navy training, education and career management systems will effectively provide for the growth and development of Navy people and enhance their contribution to our Joint warfighting ability.

V. Assumptions

Every plan must build on explicit and agreed-upon assumptions—observations or entering arguments that, if changed, would render a conclusion or recommendation invalid. The following assumptions underpin the development of the NSP:

- The Quadrennial Defense Review's (QDR) Force Planning Construct (FPC) will not appreciably change from where it is today in terms of mission focus or capacity.

- Navy will provide the Joint Force "irregular warfare" capabilities with a maritime focus and will also provide support ashore to relieve Joint Force stress in Iraq and Afghanistan.

- Adversaries will continue to work to deny access to, and employ disruptive technology against, the Joint Force as well as develop increasingly sophisticated irregular warfare techniques.

- Allies, appropriate to the task, will assist the Joint Force; Coalition Partners may assist the Joint Force but their capabilities should not be assumed to be available in operations planning.

VI. Strategic Landscape

The international security environment has dramatically changed twice since the fall of the Berlin Wall: first on 9/11, and again as a consequence of U.S. military operations in Afghanistan and Iraq. A full and comprehensive understanding of these changes awaits the run of history, but their immediate impact on the international system is readily apparent. No other nation state has the military power to directly confront the United States, but a

diverse set of increasingly networked adversaries pose a security threat to the United States every bit as challenging as the threat posed by the Soviet Union during the Cold War. In addition to a few hostile or potentially hostile states—some armed with nuclear weapons— the United States in the twenty-first century is threatened by terrorists, weapons proliferators, organized crime affiliates, drug traffickers, and cyber outlaws.

Whereas the enemies of yesterday were predictable, homogenous, hierarchical, and resistant to change, today's enemies are unpredictable, diverse, networked, and dynamic. They benefit from the fact that many of the technologies and materials they desire—such as disruptive systems or the ingredients required to fabricate weapons of mass destruction (WMD)—are all for sale on world markets. These enemies do not operate on conventional battlefields, but thrive in the "gray area" where notions of crime and armed conflict overlap. Such changes in the strategic landscape result in more competitors for the United States and its friends, more complex contingencies for which the Joint Force must prepare, and a broader range of mission sets for Navy.

Many of the above threats comprise the ongoing GWOT, which the Secretary of Defense has identified as the Department's highest priority. To be sure, the GWOT writ large is less like those "hot" wars of the 20th Century; and more like the Cold War—a long-term struggle against a committed ideological opponent. The GWOT will demand patience, unshakeable resolve, U.S. interagency and international cooperation, and a mix of defensive and offensive capabilities. Like the Cold War, the GWOT will be punctuated by spikes of intense warfighting activity, not unlike those against North Korea and North Vietnam during the Cold War. Moreover, while the Cold War was also waged with the possibility of a Soviet attack against the U.S. homeland, the GWOT will be conducted with the threat of another 9/11-like terrorist attack against the United States.

Despite the current focus on fighting the GWOT, the United States still faces traditional threats from regional powers with robust conventional (and in some cases, nuclear) capabilities. Therefore, while the Joint Force fights the GWOT, it must not lose sight of the conventional campaign capabilities needed to deter and, if necessary, defeat these threats to the United States, our allies, and enduring partners. The Joint Force can expect that these forces will be employed in well-known forms of military competition, augmented by asymmetric methods or disruptive technologies.

Perhaps the most threatening scenario involves the use of WMD. The knowledge required to bring catastrophic capabilities to bear is more readily obtainable than ever before and its use by either rogue states or non-state actors is of utmost concern to our nation's security. The ability of a small group of people to generate strategic-level effects with WMD or disruptive technologies requires Navy to develop a wide range of responses to such contingencies to include the capability to better detect, track, intercept and neutralize WMD threats in, to, or from the maritime domain to include improved missile defense capabilities.

Guidance from the Secretary of Defense recognizes this highly dynamic and changed security environment as it now identifies four challenges intrinsic to the 21st Century strategic landscape where the Joint Force had previously focused on one. While the United States predominates in *traditional* forms of warfare, real and potential adversaries that cannot

afford to challenge us in the conventional arena are adopting asymmetric methods and capabilities. Therefore, in addition to traditional warfighting where the Joint Force must remain preeminent, the United States is also confronted by an array of *irregular*, *catastrophic* and *disruptive* challenges. It is against these overlapping challenges that the Joint Force must plan in developing its capabilities. The increasingly urgent task for Navy is to determine what forces and concepts are required to meet these challenges and ascertain where risk can be accepted in doing so.

VII. Higher-Level Guidance

The Navy Strategic Plan must necessarily be aligned with guidance issued by higher authority. While there are many higher-level guidance documents, the NSP is primarily shaped and informed by the President's National Security Strategy (NSS) and National Strategy for Maritime Security (NSMS), the Secretary of Defense's National Defense Strategy (NDS), and the Chairman of the Joint Chiefs of Staff's National Military Strategy (NMS). These capstone documents are augmented by Strategic Planning Guidance (SPG), Contingency Planning Guidance (CPG), Joint Programming Guidance (JPG), Transformation Planning Guidance (TPG), the Joint Strategic Capabilities Plan (JSCP) and, most recently, the National Military Strategic Plan for the War on Terrorism (NMSP-WOT), all of which inform the NSP. Lastly, the 2006 Quadrennial Defense Review (QDR) process continues to influence development of this strategic plan.
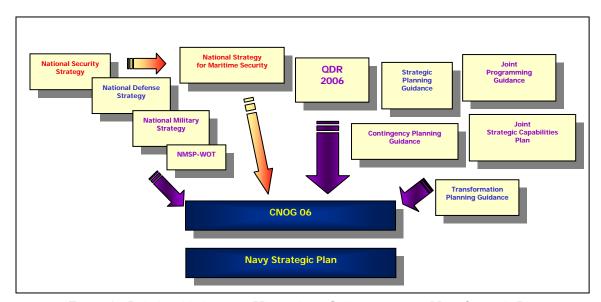

Figure 1: *Relationship between Higher-level Guidance and the Navy Strategic Plan*

VIII. Force Planning and Capability Development

One of the most significant changes in the 2006 QDR is the refined Force Planning Construct (FPC). The "1-4-2-1" FPC construct introduced in the 2001 QDR has been streamlined into three objective areas: Homeland Defense, War on Terror/Irregular (Asymmetric) Warfare and Conventional Campaigns. Acknowledging the shift in the strategic landscape since 9/11, this FPC suggests that "non traditional" missions sets such as

counter-terrorism, humanitarian affairs, disaster relief, counter-piracy, peace-keeping, and peace enforcement, are no longer appropriately considered lesser included subsets of the mission sets associated with major regional conflicts or major combat operations. Rather, the new FPC asserts that homeland defense, GWOT and irregular warfare, conventional campaigns and global, transnational, and regional deterrence are separate but overlapping mission sets with some unique capabilities and requirements in each. In addition, key shaping and stability operations (SSO) contributions are required in each mission area, a role that naval forces are uniquely situated to provide due to their forward and persistent presence.
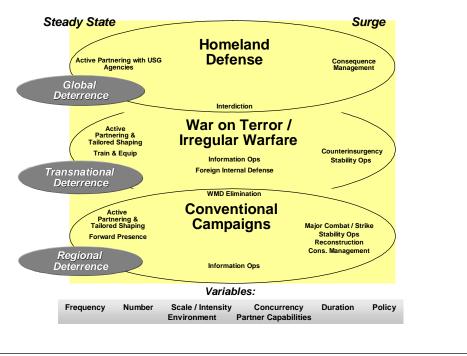

Figure 2: *Defense Force Planning Construct from QDR 2006*

As this new FPC suggests, there are unique capabilities that the Joint Force must develop that fall outside of the rubric of conventional warfighting capabilities. However, this does not preclude overlap of capabilities or requirements between mission areas. To be sure, many elements, capabilities, and requirements associated with one mission area will also be relevant in another mission area. For example, some of the capabilities associated with homeland defense will also contribute to prosecuting the GWOT, provide global and transnational (and perhaps regional) deterrence, and may also help execute conventional campaigns. The challenge for Navy and other Defense leaders will be to determine where there is commonality and where there is exclusivity across the range of military operations, and where efficiencies can be realized.

Navy must implement *a capabilities-based approach* as it examines its contributions to the Joint Force. As we look at each of these mission areas—homeland defense, GWOT and irregular warfare, conventional campaigns, and the three levels of deterrence—we must first ask, *what are the right capabilities Navy needs to execute these missions?* Once we have identified a required

capability for a particular mission, we must also ask: does anyone else have this capability? If so, is there a capacity shortfall? How are we going to use it? How much of it do we need and where do we need it? Can we capitalize on Joint interdependencies? If so, where? How?

Sea Power 21 and Sea Power 21 pillars. The OPNAV Staff will continue to organize around Sea Power 21 pillars and resource sponsors are assigned responsibility for individual pillars as indicated below. Additionally, the OPNAV Assessments Division, N81, will establish a cadre of analysts for each of the Sea Power 21 warfighting pillars ISO PPBE analytic and capability assessment. DNS will ensure that as Joint Capacity Areas are developed/modified, they will be assigned to the appropriate Sea Power 21 pillar lead.

Sea Strike: N88, N87	Sea Enterprise: N4
Sea Shield: N86, N87	Sea Trial: CFFC
Sea Base: N85	Sea Warrior: N1/NT
Sea Shaping: N5 SP	

Joint Interdependence

Joint interdependence ensures that the Joint Force has the right capabilities in sufficient capacity across the Joint Force. Specifically, that the appropriate Services have capabilities that operate in a synergistic manner to satisfy the demands of the combatant commanders. One example of an interdependent capability is riverine forces, whose capabilities reside in the Marine Corps, Coast Guard, Special Forces, and soon, the Navy. Another example of Joint interdependence is Ballistic Missile Defense (BMD)—a mission shared between the Navy, Air Force, and Army. Each Service brings unique and overlapping BMD capabilities to the battlespace, which because of their complementary nature, render it difficult for an adversary to disrupt the Joint force with ballistic missiles.

Joint dependence, a component of Joint interdependence, is where only one Service has a capability and the other Services are "dependent" to a large degree on that service for that capability. An example of this would be the Navy's role in anti-submarine warfare (ASW). The key to effective and efficient interdependence is acquiring and maintaining sufficient capacity across the Joint Force to accomplish combatant commander requirements within an acceptable level of risk. The risk guidance provided in this document is based upon the understanding of Joint dependencies and interdependencies mentioned above.

Any consideration of Joint interdependence must begin with a discussion about joint operations with the U.S. Marine Corps. Because of our shared tradition, our high degree of interoperability, and our shared understanding of each other's capabilities and limitations, it is imperative that we maximize our interdependence with the Marines. We have always been a joint force.

In addition to the Marine Corps, increasingly we must operate seamlessly with our sister sea service, the U.S. Coast Guard. Our shared responsibilities in homeland security and homeland defense, coupled with the Coast Guard's expeditionary capabilities that result in global employment, mandate an extraordinarily high degree of interdependence.

We must also consider the capabilities and capacity brought to the maritime environment by Special Forces, especially Navy Special Warfare forces. While there will be capability overlap between Navy and Special Forces, as there will be with the Marine Corps and Coast Guard, the issue of interdependent *capacity* will be central to reducing our vulnerabilities in the maritime environment.

Of course, interdependence does not end with our strong partnerships with the Marine Corps, Coast Guard, and Special Forces. We must also examine our relationships with the Army and Air Force to exploit interdependencies wherever and whenever possible. In a highly constrained resource environment, budgetary realities require it; as stewards of the taxpayers' dollars, our military duty demands it.

Finally, our efforts to achieve Joint interdependence must also consider integration with interagency, multinational, and, in some cases, commercial partners to further reduce capability gaps, enhance operational effectiveness, and build a future force that is balanced, combat credible, and affordable.

Affording the Navy: Building to Requirements

An integrated, capabilities-based Navy force structure must be informed by fiscal reality. Moreover, that force structure—the future Fleet—must provide not only relevant capabilities appropriate for the new strategic environment but sufficient capacity to meet Joint Force commanders' demand signals. Navy's force structure must meet warfighting requirements for GWOT, homeland defense, conventional campaigns, SSO requirements associated with each, and the three levels of deterrence—transnational, regional and global— at an affordable price and an acceptable level of risk.

Navy will remain committed to resourcing a fleet of about 313 ships. To achieve this kind of force structure, and to assist in making shipbuilding more affordable, Navy must adopt a three-pronged strategy to build to the requirement:

- **Near-term: solidify the plan.** Navy will protect new ship construction quantities in fiscal years 2007 and 2008 and preserve current force structure.
- **Mid-term: control the cost.** Navy will commit required resources to new ship construction, stabilize the shipbuilding base in fiscal years 2009-2011, and control unit cost across the FYDP.
- **Far-term: future force mix analysis.** Navy will continue to refine capability and capacity requirements in POM-08 by reviewing the force mix against emerging and evolving threats. Navy will conduct an analytic review and analysis of potential alternative capacity and capability mixes that will support Joint Force requirements and enable stable shipbuilding and procurement accounts.

CNO Focus Areas

The guidance contained within this strategic plan is both directly and deliberately linked to the FPC contained in the QDR, and designed to provide sufficient direction to guide development of program submissions while providing sufficient flexibility to bring subject matter expertise to bear. In developing Sponsor Program Proposals (SPPs), resource sponsors will identify the individual programs that support the desired effects identified in each CNO focus area and determine how best to apply the resources to support successful execution of that focus area. The CNO focus areas correlate to the Defense FPC's three warfare missions: GWOT/ irregular warfare, homeland defense, and conventional campaigns. For simplicity, the relevant deterrence mission set and associated SSO requirements are included within each of the three primary mission areas.

Within each CNO focus area, the desired effects are meant to get resource sponsors to pay special attention to the capabilities required to execute each warfare mission. They recognize that there are many additional capabilities necessary to ensure warfighting wholeness, and that Navy's PPBE process already accounts for the vast majority of those capabilities without being specifically addressed as a CNO focus area. CNO focus areas are areas in which CNO directs additional emphasis because Navy's current program of record does not adequately address these aspects of maritime power necessary in the 21st Century.

A key tenet throughout the CNO focus areas and desired effects is that strategic speed and flexible capability are highly valued by the Joint Force. Such strategic speed and flexibility are derived from force posture, force packaging, reach, surge, and speed of sensing, command and control including decision making, as well as speed of weapons and platforms.

CNO Focus Area/Defense FPC Mission Set: Global War on Terror/Irregular Warfare

Navy has already taken significant steps toward building new, relevant capabilities to further prosecute the GWOT and contend with the challenge of irregular warfare. Capability and capacity gaps have been identified and several of the below initiatives are already underway.

- **Desired Effect: Global Maritime Domain Awareness generates actionable intelligence.[2]** Successful prosecution of the GWOT is greatly dependent upon our situational awareness of the battlespace. For the Navy, that battlespace is the maritime domain. Today's security challenges will test our ability to gain awareness, understanding and the opportunity to seize the initiative against our adversaries in the maritime domain. Whereas our adversaries in the past have been conventional forces susceptible to traditional means of combat, our current adversaries are elusive, widely

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[2] Lead Joint Capability Area: Joint Battlespace Awareness.

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distributed and employ irregular tactics to achieve their goals. A better understanding of what is occurring both above and below the water is a challenge that must be overcome to acquire the actionable intelligence required to prosecute the current threat.

Navy will contribute to Global Maritime Domain Awareness by leveraging extant and emerging capabilities in forward regions and actively participating in U.S. Government efforts to generate persistent MDA in the maritime approaches to the United States. Navy will provide its maritime intelligence capabilities, the National Maritime Intelligence Center, Maritime Geospatial Information and Services, its global C^2 architecture, and existing sensors to the Global MDA effort plus new capabilities that close identified gaps and contribute to Navy's warfighting capabilities. This initial guidance may be modified as the scope of the Global MDA effort is better understood.

Our continued partnership with the Coast Guard will be among the most important of our relationships to maximize effectiveness and efficiency, eliminate redundancies (where and when desired), and improve our overall ability to achieve the full potential of this capability.

- **Desired Effect: The tool set used by combatant commanders and Navy component commanders in <u>Theater Security Cooperation</u> (TSC) is enhanced by the Navy.[3]** Navy must augment existing TSC efforts by providing capabilities that not only focus on the maritime environment but also provide influence ashore. These capabilities must complement existing joint capabilities (joint interdependence) and be available for persistent or recurring application, as required by COCOMs. Informed by the forthcoming Navy Operating Concept (NOC) and a coherent Global Maritime Security Cooperation Strategy, Navy component commanders will have additional "tools" at their disposal beyond those historically used for theater engagement (e.g., flag officer visits, port visits, staff talks, bilateral/multilateral exercises, etc.) to better foster the emerging global maritime network. TSC enhancements must be tailored to achieve specific effects including access, interoperability, awareness, influence, and maritime security.

  Executed properly, these capabilities will counter ideological support to terrorism, provide a cadre of culturally-savvy Navy personnel for operations across the spectrum of military operations, and provide ATG-like training and assistance for developing partner nations in maintenance, basic seamanship and navigation, and maritime law enforcement, paving the way for a global maritime network of our allies and partners. As with many of these maritime GWOT initiatives, our continued partnerships with the Coast Guard, Marine Corps, and Special Forces will be essential in the development and sizing of many of these capabilities.

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[3] Lead Joint Capability Areas: Joint Shaping, Security Cooperation.

- **Desired Effect: The Navy-led maritime portion of the GWOT <u>disrupts and attacks Terrorist Networks</u>[4] and <u>provides additional capabilities to the Joint Force to further Joint interdependence</u>.[5]** While the preponderance of attention for the GWOT has been devoted to those operations and activities on the ground in Afghanistan and Iraq, the maritime domain—particularly the ungoverned and under-governed areas—represents a vast maneuver space ripe for exploitation by terrorists and other transnational actors. These "low pressure zones" offer opportunities and havens within which transnational actors can flourish. Diminishing these opportunities and disrupting and attacking terrorist networks remain at the very top of Navy's priorities. To that end, Navy must operate across the full maritime spectrum of green and brown water as well as blue water and provide influence ashore. Moreover, Navy must also provide additional contributions to support the Joint Force as the Army, the Marine Corps, and Special Forces lead Joint Force efforts in Afghanistan and Iraq.

  Continued dialogue with the Marine Corps, Coast Guard, and Special Operations Command (SOCOM) will be critical as we shape many of these maritime capabilities, roles and responsibilities in response to Joint Force requirements.

- **Desired Effect: <u>Transnational deterrence is achieved with the Navy's help</u>.[6]** It is difficult to deter someone willing to give his life to achieve a goal or objective. Navy can best accomplish transnational deterrence by possessing and communicating that it possesses the capacity and will to *deny* terrorists, extremists, organized crime elements, and other non-state actors the ability to accomplish their goals and objectives.

CNO Focus Area/Defense FPC Mission Set: Homeland Security/Homeland Defense

Navy has always played a significant role in protecting the U.S. homeland. The demands of the GWOT, and the continuous need to protect vital American interests, allies and friends overseas means that the United States must balance its forces to play both "offense" and "defense" and take an active, layered, and scalable approach to defense of the homeland. Such an approach requires Navy to defend the United States forward, while maintaining high readiness to support homeland defense missions during times of heightened threat or when a Navy-unique capability is required by the Department of Homeland Security (DHS) or by Joint Force combatant commanders at U.S. Northern or Pacific Commands.

- **Desired Effect: <u>Maritime Operational Threat Response is conducted through a strong Navy, Coast Guard, and interagency partnership</u>.[7]** Navy must be poised to support homeland security preparedness and respond to homeland defense threats

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[4] Lead Joint Capability Area: Joint Special Operations and Irregular Operations. (U)
[5] Lead Joint Capability Area: Joint Force Generation.
[6] Lead Joint Capability Area: Joint Global Deterrence.
[7] Lead Joint Capability Area: Joint Homeland Defense.

in the U.S. maritime approaches. To that end, Navy must build upon its strong partnership with the Coast Guard to boost interoperability and information sharing. The sea services' information technology investments are being driven by a vital need for increased transparency in the maritime domain. Navy must also recognize that interagency cooperation will grow in importance as the U.S. seeks increasing value from its investments in the myriad maritime security initiatives—designed to cover shipping activities overseas, in-transit, and in home waters—currently underway.

- **Desired Effect: <u>WMD is controlled/stopped at sea and ashore with Navy's help</u>.** Navy must be trained and equipped to conduct WMD detection, interdiction and defense, both afloat and ashore. Thus, Navy must build upon existing maritime interdiction capabilities and leverage ongoing technical investments in remote and local sensors, and non-lethal weapons. Close international cooperation—to include extensive information sharing—with allies and enduring partner nations must also be stressed.

- **Desired Effect: <u>Global Deterrence is achieved with Navy's help</u>.**[8] Navy must possess the capabilities, and communicate to other nations that it possesses the will to employ those capabilities, to help the Joint Force deny, deter, dissuade and defeat a future competitor.

  As we further develop Navy's contributions to U.S. global deterrence capabilities, we must take caution to preserve desirable strategic redundancy while pursuing Joint Force interdependence.

CNO Focus Area/Defense FPC Mission Set: Conventional Campaigns

Navy force structure must also be appropriately sized, shaped and postured to deal with the range of military operations against opponents employing increasingly sophisticated military capabilities. The greatest challenges associated with conventional campaigns are those involving regional powers with robust conventional and, in some cases, WMD capabilities. Moreover, access denial remains a cornerstone of many adversaries' capability development efforts. If shaping efforts fail to dissuade regional powers from pursuing hostile designs, and forward presence does not deter aggressive action, Navy, as part of the Joint Force, will employ combat power as necessary to defeat America's adversaries, swiftly and, when necessary, decisively. Although these traditional challenges will remain important to our national security interests, American superiority and dominance in this domain, coupled with the costs of traditional warfare and military competition, significantly reduce an adversary's incentive to compete with the United States in this arena.

The U.S. Navy, as part of the Joint Force, will maintain conventional capabilities to, deter regional aggressors, enable partners, and conduct presence and theater security cooperation tasks with a surge capacity to wage up to two "swiftly defeat" level-of-effort

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[8] Lead Joint Capability Area: Joint Global Deterrence.

campaigns (one of which could be a protracting irregular warfare operation) and, if directed, transition one of the "swiftly defeat" campaigns to a "win decisive" level-of-effort.

- **Desired Effect: Joint Access is assured with the Navy's help.[9]** In support of conventional campaigns, Navy must maintain the ability to access both the battlespace from which it will operate and the locations ashore from which the Joint Force will operate. The Fleet must be able to project defense in support of the Joint Force while maximizing the effects generated from the Joint seabase.

- **Desired Effect: Decisive effects are achieved promptly.[10]** Navy must be able to rapidly mass effects in support of effects based operations—ranging from shaping and information operations to large-scale, persistent, precision strikes with reach. These effects, delivered from disaggregated, distributed platforms or from an aggregated source of combat power like the Joint seabase, will usually originate from the maritime environment and will be able to influence events, adversaries, or other decision makers ashore.

- **Desired Effect: Navy, as part of the Joint Force, is able to maintain substantial sustainment[11] capabilities.** Specifically, as outlined in the 2006 QDR, Navy must provide surge capacity for one conventional campaign *plus* another (second) conventional campaign *or* an extended irregular operation. Of these two campaigns, Navy must be able to sustain one of them to a "win decisive" outcome.

- **Desired Effect: Regional deterrence is achieved with Navy's help .** Navy, as a part of the Joint Force and a critical instrument of regional deterrence, must have the capability to deter potential adversaries in a steady-state forward presence environment while being able to selectively strengthen deterrence against opportunistic acts of aggression or coercion.

IX. Global Navy Concept: Distributed, Networked Operations

The effective employment of Navy capabilities requires a global Navy concept that is robust, yet flexible enough to address the maritime challenges facing the United States. Any global Navy concept must be applicable across the broad spectrum of missions to complement, or combine with, Joint and Coalition capabilities. It also must apply forward-postured forces to conduct proactive shaping to preclude conflict, carry out the day-to-day GWOT, and capitalize on Navy's ability to rapidly aggregate credible combat power and fight conventional campaigns with strategic speed. Lastly, this global Navy concept must leverage existing and planned investments to facilitate achievement of the objectives and desired effects enumerated above.

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[9] Lead Joint Capability Area: Joint Access and Access-denial Operations.
[10] Lead Joint Capability Area: Joint Maritime/Littoral Warfare Operations.
[11] Lead Joint Capability Area: Joint Logistics.

With those conceptual tenets in mind, Navy's current operating environment drives us to adopt distributed, networked operations as our overarching global Navy concept. Distributed, networked operations enables Navy forces and capabilities to be employed efficiently at all levels of warfare: strategic, operational and tactical. It takes advantage of Navy's persistent forward posture to support active, layered defenses while placing the Navy-Marine Corps team in a unique position to conduct the shaping operations needed to assure friends and allies, and dissuade or deter potential regional, transnational, or global competitors. As program plans are developed, individual elements must be examined to determine how they support this global Navy concept and enable Navy to be employed effectively and efficiently.
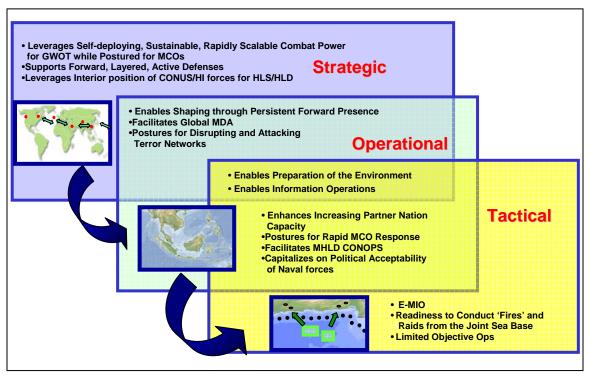

Figure 3: *Overview of Distributed, Networked Operations*

Distributed, networked operations is a way to employ the Fleet that leverages its persistent forward presence, as well as its ability to rapidly aggregate and disaggregate combat power in service of diverse operational requirements. It highlights the Fleet's relevance to both sides of the "hider/finder" competition associated with the GWOT (where the enemy is hard to find, easy to neutralize) and conventional campaigns (where the enemy is relatively easy to find, hard to neutralize). It also encompasses how Navy can make its greatest contributions to the Joint Force in day-to-day GWOT operations, in massing "effects" when required for conventional campaigns, and in defending the homeland from maritime threats.

The GWOT is information intensive, and makes necessary new force packaging options to effectively counter the transnational terrorist threat. If the GWOT adversary is widely distributed in small cells, then the Fleet must be distributed and postured to develop maritime domain awareness and be in position to rapidly disrupt and attack terrorist networks when actionable intelligence becomes available. By extension, capabilities aboard

individual ships must permit them to generate the range of effects required to support GWOT objectives. Examples of smaller, task-organized force packages include: SEAL teams, Marines, Coast Guard, or Navy expeditionary security forces on independently operating surface combatants; the same highly trained warfighters operating from an SSN or SSGN; individual amphibious ships acting as small seabases for Joint or Coalition forces; or the strategic forward basing of multi-crewed, minimal footprint LCS squadrons with key partner nations.

When required, distributed naval forces are able to rapidly aggregate combat power in order to capitalize on actionable intelligence, generate an "effect" as directed by higher authority, rapidly transition to a new mission, or become part of a larger force to support a conventional campaign. This highly scalable aggregation of combat power can be as small as one ship or as large as an Expeditionary Strike Force composed of multiple strike groups and maritime pre-positioned forces. The Joint and Combined seabase active from October 2001 through March 2002 for Operation *Enduring Freedom* provides an example of such aggregated combat power. Comprised, at its peak, of over 100 coalition ships from 11 countries, this Joint seabase constituted a multinational maritime coalition that enabled early, sustained Joint Force access and projected power ashore over extended distances—in the form of tactical strikes and SOF delivery—without the use of ports or airfields. That Navy-Marine Corps Team experience heralded the agility of naval forces, for just as quickly as this combat power was aggregated and effectively sustained, it was disbanded, affording Navy forces a rapid return to distributed networks and efficient contributions to the GWOT. This rapid aggregation and disaggregation to deliver effects from the sea demands fully netted Naval forces, integrated with Joint and Allied forces and interoperable with Coalition Partners.

While Navy's focus is on fighting and winning the nation's wars overseas, it also has responsibilities to protect the homeland through defense of U.S. maritime approaches. In executing these homeland security responsibilities, Navy works closely with the Coast Guard by maintaining Navy ships and aircraft in appropriate readiness postures to rapidly augment Coast Guard forces should the need arise. Formal agreements exist between the two sea services to ensure the smooth shift of Navy assets to Coast Guard control when required. In a similar manner, agreements are in place to rapidly shift Coast Guard and Navy forces to the control of a U.S. Joint Force commander should the President perceive a threat requiring a homeland defense response. This active, layered defense ensures the United States takes the appropriate measures to support trade and commerce while halting the advance of threats to U.S. territory or American citizens.

Distributed, networked operations is a concept that leverages existing Fleet investments by harnessing the ability of Navy forces to operate in a highly distributed manner and cover larger areas of international sea and airspace, to assist more partner nations through global maritime security cooperation, and to prosecute the GWOT against a widely dispersed adversary. The facility with which the Fleet rapidly transitions between day-to-day GWOT operations and combat-massed conventional campaigns is an inherent Navy strength, and is imperative in today's security environment.

Maritime Focus Areas

Today's transnational terrorist threat has placed the vast maritime commons at risk of becoming an ungoverned area, increasingly beyond the control or administration of local governments. An "outlaw sea" may develop in certain key areas, where piracy and terrorism will flourish unless confronted by nations committed to keeping the maritime domain free and open to the unimpeded flow of vital resources, goods and commodities. For these reasons, Navy, whether through a Joint Force Maritime Component Commander (JFMCC) or a national/coalition task force, must be prepared to conduct the GWOT and conventional campaigns worldwide, but especially in the Western Pacific and Southeast Asia, in the Middle East and Southwest Asia, and in the Mediterranean and North Africa.

The **Western Pacific** continues to be a focus area of Navy operations in support of the Joint Force. Numerous bilateral relationships with the United States underpin the region's stability and economic vitality. U.S. trade with this region, already large, continues to grow with the increased economic power of regional nations, especially China. **Southeast Asia**, in particular, is an enormous maritime region with ungoverned areas suited for exploitation by terrorists. It is home to several indigenous international terrorist groups, including Jemaah Islamiya, a terrorist network with links to Al Qaeda and with a stated goal of creating an Islamic state comprised of Brunei, Indonesia, Malaysia, Singapore, the southern Philippines, and southern Thailand. Another is the Abu Sayyaf Group, a small, brutally violent Muslim separatist group operating in the southern Philippines. Navy will continue to operate in this region alongside coalition partners to ensure continued stability in the region to prosecute the GWOT, and to preserve the freedom of the seas from those who wish to curtail or illegally capitalize on that freedom.

Presently, the majority of Joint Force and Navy effort in the GWOT is focused in the **Middle East** and **Southwest Asia**. This region is also the principal focus area of Islamic extremists who threaten the region's critical maritime infrastructure, including the oil and shipping industries so vital to the world's economy. Maritime terrorism here poses an enormous challenge as the region spans over seven million square miles and includes the Arabian Gulf, Red Sea, Gulf of Oman, the Arabian Sea and parts of the Indian Ocean. It also includes three critical chokepoints: the Strait of Hormuz, the Suez Canal, and the Bab al Mandeb. Navy forces will continue to operate throughout this maritime region in support of the GWOT and SSO.

Terrorist bombings in Spain, Morocco, Tunisia, and Turkey demonstrate that the **Mediterranean** region has become a focus area. The region also possesses two key maritime chokepoints: the Suez Canal and the Strait of Gibraltar. Islamic terrorists have attacked NATO members in this region. The ability of NATO to provide security in this critical and challenging region facilitates flexibility for U.S. Navy forces to operate elsewhere in support of the GWOT.

The potential for instability in several South American countries spilling out to sea warrants close attention. In a similar manner, western Africa, including the Gulf of Guinea and the Swahili Coast, as well as the Black Sea region, with socio-political instability, under-governed states, and significant oil infrastructure is at risk of heightened terrorist activity. Navy is

working with nations in both regions to foster regional maritime security initiatives, improve MDA, and increase partner nation capacity, with NATO taking a leading role in western Africa.

A Global Network of Maritime Nations/1000 Ship Navy

While the United States' role in the GWOT may be the most visible demonstration of its commitment to global security, the transnational threat is much broader than just terrorism. Moreover, many aspects of that threat are interrelated and are universally detrimental to the interaction between nations needed for peace and prosperity. Many nations already find themselves challenged by a series of common threats, among them: piracy, smuggling, drug trading, illegal immigration, banditry, and slavery, environmental attack, trade disruption, weapons proliferation (including WMD), political and religious extremism, and terrorism.

Transnational threats in the maritime domain are becoming increasingly problematic because today, more than ever, promoting and maintaining the freedom of the seas is critical to any nation's long-term economic well-being. The impact of the global maritime commons on trade, international commerce, and the movement of people is significant, making security on the high seas, and in the world's littorals, harbors, and ports a cornerstone of prosperity. The exploitation of the maritime commons by nations, groups, or individuals who seek to disrupt, destroy or otherwise degrade security in the maritime domain must therefore be considered a global challenge.

No single nation has the sovereignty, capacity, or control over the assets and resources needed to meet this challenge. Policing the maritime commons requires substantially more capability than the United States or any individual nation can deliver. It will take a combination of national, international, and private-industry cooperation to provide the platforms, people, and protocols necessary to secure the seas against today's transnational threats. It will require the voluntary development of a global maritime network that exponentially increases the number of sensors available to actively and aggressively develop Maritime Domain Awareness, while increasing the number of responders capable of ensuring maritime security. It will require a 1000 Ship Navy, not 1000 gray hulls flying the U.S. flag, but rather a voluntarily global maritime network that ties together the collective capabilities of free nations to establish and maintain a dramatically increased level of international security in the maritime domain. Regional networks—such as Black Sea Harmony in Eastern Europe and MALSINDO in the Strait of Malacca—are already emerging and should be fully supported by the United States.

Central to development of a global maritime network are voluntary contributions by interested nations and navies according to their capability and political capacity. Many navies in the international community have the ability to export maritime security by sailing beyond territorial waters or exclusive economic zones to bolster maritime security in other parts of the world, as has happened with the navies participating in Task Force 150 and Operation *Active Endeavor*. Some of these navies also have the ability to export security assistance to navies and coast guards in under-governed areas, focusing on common challenges and building emerging partner nation capacity as agreed upon between the providing and receiving nations. As nations improve their own capacity for maritime law enforcement and

national defense, their contributions to global maritime security will necessarily increase, and the international community can shift focus to other nations that may require assistance.

The United States and the international community need a global maritime network because the proactive cost of ensuring day-to-day security in the maritime domain is dramatically more affordable than the reactive costs of going to war or mounting a large-scale security operation. The U.S. Navy is in a unique position to facilitate the voluntary enlistment of nations as members in this global partnership by stressing the individual security, economic, and political benefits of participation, but Navy cannot do this without strong and sustained support from coalition partners across the globe.

X. Risk Guidance

Risk is inherent in everything that the Navy does. Managing risk requires an in-depth understanding of the issues and trade-offs associated with key decisions. Drawing from higher-level guidance on risk, it is important to use the results of solid analysis to make informed decisions that fully capture risk impact. Every recommendation made shall include an analysis of inherent risk and options for managing and mitigating it. All commanders are expected to accept prudent risk and allow the same of their subordinates. The idea is to steer the best course for the Navy and the Nation, not necessarily the safest one. Action with risk is often better than inaction with no risk.

XI. Family of Strategic Plans

The Navy Program is constructed from numerous, disparate elements that must form a comprehensive and coherent plan to support our capability requirements. To that end, the NSP is designed to serve as a tool to align the various strategic plans required to keep programmatic decisions aligned with objectives. These plans are, by necessity, interdependent. Developments in one area must be considered for their impact on other program areas. All of the various program elements must stay aligned throughout the development process in a steady-strain approach. Trying to reconcile the elements of the program at the end of development is unproductive, inefficient, and undermines the coherence of Navy's story.
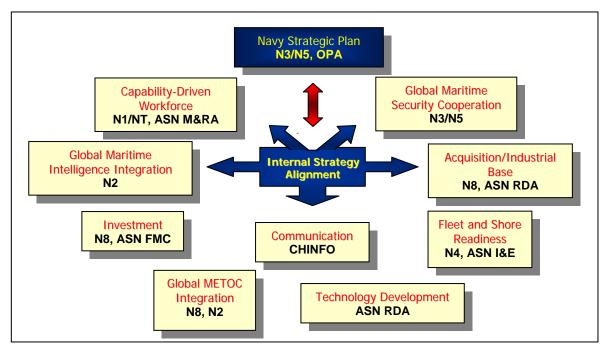
Figure 4: *Relationship between the Navy Strategic Plan and the Family of Strategic Plans* (U)

These subsidiary strategic plans will be developed by the indicated staff codes and implemented to support POM-08. They are not meant to be cumbersome, voluminous documents. What is desired is short, specific direction that is aligned to achieve the desired effects indicated in this Navy Strategic Plan and delineated for each of the above plans. Individual strategies will be prepared for CNO and/or SECNAV, as appropriate.

Closely related to the family of strategies and the PPBE process, is the Navy Enterprise Model, designed to align Navy business practices for improved effectiveness, efficiency and cost control. Still in the early stages of development Navy-wide, this behavioral model will leverage cultural and structural change through five TYCOM-led Warfare Enterprises and, five primary Provider/Enabler elements. These Provider/Enablers will manage the value streams consisting of people, dollars, and materiel needed to support the five Warfare Enterprises. The Navy Enterprise will be guided by a Governance Board of senior Navy leaders. The five type commander (TYCOM) –led Warfare Enterprises are Naval Aviation Enterprise (NAE), Naval Surface Warfare Enterprise (SWE), Naval Undersea Enterprise (USE), Naval Expeditionary Warfare Enterprise (NECC), and Naval NETWAR/FORCEnet Enterprise (NNFE). The primary Provider/Enabler Elements are Manpower, Personnel, Training, and Education (MPT&E), Acquisition, Technical Authority and Logistics (AT&L), Installations Management, Health Care, and Science and Technology.

The primary mission of the five Warfare Enterprises is to deliver warfare capabilities in response to the Navy Component and Combatant Commanders' demand signals while working to enhance effectiveness and efficiency, thereby increasing productivity across their domain and driving out cost. Output from the Warfare Enterprises will be measured by performance metrics (i.e. NAE using readiness to cost ratio). The mission of the Provider/Enabler Elements is to manage value streams supporting the Warfare Enterprises

with linked and common metrics. Like the Family of Strategic plans, these Enterprises will be informed by this Navy Strategic Plan.

XII. Conclusion

The Navy Strategic Plan is written to inform and guide the POM-08 development process by addressing our challenges to sustain readiness, build a capabilities-based, cost-effective fleet, and transform our accessions, assignment, distribution and compensation system. It forms the basis of a repeatable strategic planning process that will keep Navy budget submissions aligned to the guidance contained in Navy's family of strategic plans, and focus Navy capability and investment decisions in support of the Joint Force. Planners, resource sponsors, programmers, and commanders must apply the guidance provided within this plan to their internal development processes and be prepared to defend program submissions against it.

Successful organizations must think strategically. It is imperative that Navy carefully considers this critical first step (the key portion of the first "P") in the planning, programming, budgeting and execution (PPBE) process. This Navy Strategic Plan will help ensure that we are most effectively postured to support the Joint Force as this nation tackles the security challenges of the twenty-first century. It is impossible to foresee or fully comprehend the nature or scope of these challenges. But by building a balanced force that is ready, resilient, adaptable, and manned with personnel that are trained and educated to meet the demands of a multi-mission environment, we can mitigate this uncertainty.

We cannot meet these challenges simply by maintaining our current capabilities and sustaining today's readiness. Strategic competitors continue to adapt to an increasingly globalized international system. Our adversaries are transforming in search of asymmetric advantages and new arenas for competition. Our friends and allies also recognize the changing strategic landscape and they, too, are adapting. Building upon *Sea Power 21*, we must continue to transform, recapitalize, and modernize our Navy. With the assistance of the Navy Secretariat, industry, the acquisition community, the Office of the Secretary of Defense, our interagency partners, and with the continuing support of Congress, we can begin to build the Navy we need for the 21st Century—one that is properly sized, balanced, and priced for the future.

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