

**Naval Doctrine Publication 1**

*Naval Warfare*

T O E J O P A G E F E

## DOCTRINE

*The only satisfactory method of ensuring unity of effort lies in due preparation of the minds of the various commanders, both chief and subordinate, before the outbreak of hostilities. Such preparation comprehends not only adequate tactical and strategic study and training, but also a common meeting ground of beliefs as to the manner of applying principles to modern war.*

— LCDR Dudley W. Knox, USN  
“The Role of Doctrine in Naval Warfare”  
U.S. Naval Institute *Proceedings*, 1915

## FOREWORD

United States (US) naval doctrine is the foundation upon which our tactics, techniques, and procedures are built. It articulates operational concepts that govern the employment of naval forces at all levels. A product of more than 200 years of US Navy, Marine Corps, and Coast Guard experience, it incorporates the lessons of history.

Naval Doctrine Publication (NDP) 1 describes how the Naval Service — the Navy, Marine Corps, and Coast Guard team — operates as an integrated force in joint and multinational operations across the range of military operations. It links the fundamental principles that guide the employment of naval forces to our national, military, and maritime strategies. It also serves as a primer for joint and combined force commanders and senior leaders in the Departments of Defense, Homeland Security, the Navy, and other government agencies and nongovernmental organizations to better understand US naval forces and our capabilities.

The intent of NDP 1 is to describe the character and employment of US naval forces and highlight the distinctiveness of military operations in the maritime domain. It explains how naval forces attain both enduring and evolving national objectives, emphasizing our important role in joint, multinational, and other operations. It presents broad guidance for Active and Reserve Naval Service members and civilians. In broad terms, it defines who we are, what we do, and how we fight. This publication should be read, studied, and understood by every Sailor, Marine, and Coastguardsman.



---

James T. Conway  
*General, US Marine Corps*  
*Commandant of the Marine Corps*



---

Gary Roughead  
*Admiral, US Navy*  
*Chief of Naval Operations*



---

Thad W. Allen  
*Admiral, US Coast Guard*  
*Commandant of the Coast Guard*

INTENTIONALLY BLANK

# INTRODUCTION

## ROLE OF NAVAL DOCTRINE

The purpose of naval doctrine is to enhance the operational effectiveness of US naval<sup>1</sup> forces. Naval doctrine represents the fundamental principles by which the Navy, Marine Corps, and Coast Guard or elements thereof guide their actions in support of national objectives. It is authoritative but requires judgment in application. NDP 1, *Naval Warfare*, is the capstone naval doctrine publication. NDP 1 is not a joint publication (JP), but is consistent with approved JPs. It is a multiservice publication that forms a bridge between joint policy and doctrine and detailed Service tactics, techniques, and procedures (TTP), such as those found in Navy warfare publications, Marine Corps warfighting publications, and Coast Guard publications.

The job of gaining and maintaining maritime superiority or supremacy — of engaging in and winning battles in the maritime domain and preventing conflict through presence offshore — falls almost exclusively to the Naval Service. Naval doctrine is based on current force structure and capabilities. It incorporates time-tested principles and builds upon approved joint doctrine in standardizing terminology and processes among naval forces.

The judgment of the commander, based upon the situation, is always paramount. A commander cannot operate solely under the guidance of broad strategy; neither can he or she make appropriate mission decisions if guided only by TTP. Doctrine is not an impediment to a commander's exercise of imagination; rather, it is a framework of fundamental principles, practices, techniques, procedures, and terms that guides a commander, commanding officer, or officer-in-charge in employing force(s) to accomplish the mission. Doctrine provides the basis for mutual understanding within and among the Services and national policy makers. It ensures familiarity and efficiency in the execution of procedures and tactics.

The principles discussed within doctrine are generally enduring, yet they may evolve based on policy and strategy, new technology, and/or organizations, and from lessons gained from experience and from insights derived from operational assessment. The focus of doctrine is on *how* to think about operations, not *what* to think about operations. Doctrine provides a basis for analyzing the mission and its objectives and tasks and for developing the commander's intent and associated planning guidance. It provides a foundation for training and education. Doctrine is distinct from concepts in that it describes operations with extant capabilities and is subject to policy, treaty, and legal constraints. Concepts, whether near-term or futuristic in nature, can explore new methods, structures, and systems employment without the same restrictions.

---

<sup>1</sup> Hereafter, the adjective “naval,” when used to modify the nouns “force” or “Service,” will mean the Navy and the Marine Corps and, when operating with the other Services, the Coast Guard.

The success of a military force is associated directly with how well its doctrine:

- Captures and addresses lessons learned and vetted conceptual thinking.
- Addresses current challenges.
- Addresses current capabilities.
- Is understood and inculcated into the thought processes of the forces.

Thus, doctrine is a shared way of thinking that is authoritative, but not directive in nature. It is a starting point from which we develop solutions and options to address specific demands and challenges. Adherence to doctrine provides a basic vernacular with which Services can communicate. By providing the *how* in general terms, we gain a degree of standardization without relinquishing freedom of judgment and the commander's requirement to exercise initiative.

## **SCOPE**

NDP 1 introduces who we are, what we do, and how we operate today. Use of the word “warfare” in the title of this publication is with a purpose. Though naval forces are increasingly involved in operations short of war and the prevent-and-prevail aspects of the maritime strategy, it is their usefulness in war that sets them apart from other agencies, public and private. Being able to defend the Nation and project combat power in war is our reason for being.

Naval forces alone, however, never were intended to have every military capability needed to handle every threat or crisis that the United States may face. Just as the complementary capabilities of naval forces compound overall strength, the combined capabilities and resources of other Services and other nations in joint and multinational operations can produce overwhelming military power. To be fully prepared for future challenges, we must routinely refine our ability to conduct day-to-day operations with other Services, other nations, and other governmental and nongovernmental entities. Therefore, NDP 1 emphasizes the importance of honing the teamwork needed to operate efficiently across the range of military operations and with multiple partners.

Naval forces most likely will conduct operations under a component commander or joint task force commander as assigned/attached to a combatant commander (CCDR) or a subordinate joint force commander (JFC). A JFC will utilize the concept of unified actions — the synchronization, coordination, and/or integration of activities of governmental and nongovernmental entities with military operations to achieve unity of effort — to apply all of the instruments of national power (diplomatic, information, military, and economic (DIME)) to affect adversary political, military, economic, social, infrastructure, and information systems. NDP 1 describes the ways naval forces accomplish their missions and execute their roles as part of today's joint military team. It reviews the principles of joint operations from the naval perspective and describes how naval forces focus their resources to attain the force commander's objectives.

Conducting joint or naval operations generally involves 12 broad principles, collectively known as the principles of joint operations. These principles guide warfighting at the

strategic, operational, and tactical levels and combine the nine historical principles of war with three additional principles born out of recent experience across the range of military operations. See Figure 3-1 and Chapter 3 for further discussion of the principles of joint operations.

Clearly, the uses of military force today are being directed toward securing the United States and its allies from direct attack, securing strategic access and retaining global freedom of action, strengthening existing and emerging alliances and partnerships, and establishing and maintaining favorable security conditions, while moving away from the prospect of an all-or-nothing global war with another adversary. Nevertheless, a significant theme of this publication is that the Naval Service's fundamental roles and missions remain. The United States continued prosperity, and that of its global partners, is tied directly to the maritime domain, and our freedom to use the seas is secured by naval forces. The ultimate source of peacetime persuasive power, however, lies in the guarantee that both the intent and capability to protect US national interests are present just over the horizon. Naval forces possess the staying power to project and sustain operations as long as necessary across the range of military operations to achieve decisive victory.

For US naval forces, this publication is the single capstone document that translates current joint, national, and Service strategies and proven concepts into doctrine. The top-down focus helps achieve consistency between naval and joint doctrine, increase awareness and understanding, and enable leaders to plan, organize, and execute worldwide missions to meet emerging challenges.

The previous edition of NDP 1 is superseded.

INTENTIONALLY BLANK

# TABLE OF CONTENTS

## CHAPTER ONE

### WHO WE ARE — THE NATURE OF THE NAVAL SERVICE

|  |    |
|--|----|
| NAVAL AND GUARDIAN CORE VALUES AND ETHOS .....                 | 1  |
| DEPARTMENT OF THE NAVY CORE VALUES .....                       | 2  |
| Honor .....  | 2  |
| Courage .....  | 2  |
| Commitment .....   | 3  |
| Naval Ethos .....  | 3  |
| COAST GUARD CORE VALUES .....                                  | 4  |
| Honor .....  | 4  |
| Respect .....  | 4  |
| Devotion to Duty .....   | 4  |
| The Guardian Ethos .....                                       | 4  |
| ESTABLISHMENT OF THE NAVY, MARINE CORPS, AND COAST GUARD ..... | 5  |
| ADMINISTRATIVE AND OPERATIONAL ORGANIZATION .....              | 6  |
| THE STRATEGIC AND OPERATIONAL ENVIRONMENT .....                | 11 |
| THE MARITIME DOMAIN .....                                      | 12 |

## CHAPTER TWO

### WHAT WE DO — EMPLOYMENT OF NAVAL FORCES

|   |    |
|---|----|
| STRATEGIC DOCUMENT ALIGNMENT .....  | 16 |
| LEVELS OF WAR .....   | 16 |
| THE NATIONAL STRATEGIC SETTING .....  | 18 |
| THE MARITIME STRATEGY .....   | 20 |
| Limit Regional Conflict With Forward-Deployed, Decisive Naval Power .....       | 21 |
| Deter Major-Power War .....   | 21 |
| Win Our Nation’s Wars .....   | 21 |
| Contribute to Homeland Defense In-Depth .....                                   | 21 |
| Foster and Sustain Cooperative Relationships With International Partners .....  | 22 |
| Prevent or Contain Local Disruptions Before They Impact the Global System ..... | 22 |

## CHAPTER THREE

### HOW WE FIGHT — THE CONDUCT OF NAVAL OPERATIONS

|   |    |
|---|----|
| CORE CAPABILITIES OF NAVAL FORCES ..... | 25 |
|---|----|

|   |           |
|---|-----------|
| Forward Presence .....                          | 26        |
| Deterrence .....                                | 26        |
| Sea Control.....                                | 27        |
| Power Projection.....                           | 29        |
| Maritime Security .....                         | 29        |
| Humanitarian Assistance/Disaster Response ..... | 30        |
| <br>  |           |
| THE APPLICATION OF NAVAL POWER.....             | 31        |
| <br>  |           |
| OPERATIONAL ART.....                            | 33        |
| <br>  |           |
| COMMAND AND CONTROL.....                        | 35        |
| <br>  |           |
| GLOBAL MARITIME PARTNERSHIPS .....              | 36        |
| <br>  |           |
| MARITIME DOMAIN AWARENESS.....                  | 37        |
| <br>  |           |
| RESPONSE OPTIONS.....                           | 37        |
| <br>  |           |
| PHASES OF AN OPERATION OR CAMPAIGN.....         | 38        |
| Phase 0: Shape .....                            | 39        |
| Phase I: Deter .....                            | 41        |
| Phase II: Seize the Initiative.....             | 42        |
| Phase III: Dominate .....                       | 42        |
| Phase IV: Stabilize.....                        | 43        |
| Phase V: Enable Civil Authority.....            | 44        |
| <br>  |           |
| <b>CONCLUSION .....</b>                         | <b>45</b> |
| <br>  |           |
| <b>GLOSSARY.....</b>                            | <b>47</b> |
| <br>  |           |
| <b>LIST OF ABBREVIATIONS AND ACRONYMS .....</b> | <b>53</b> |

# LIST OF ILLUSTRATIONS

## CHAPTER ONE

### WHO WE ARE — THE NATURE OF THE NAVAL SERVICE

|             |  |    |
|-------------|--|----|
| Figure 1-1. | Notional Naval Task Organization .....     | 7  |
| Figure 1-2. | Possible Components in a Joint Force ..... | 8  |
| Figure 1-3. | Marine Air-Ground Task Forces.....         | 9  |
| Figure 1-4. | MAGTF Organization.....                    | 10 |

## CHAPTER TWO

### WHAT WE DO — EMPLOYMENT OF NAVAL FORCES

|             |                                   |    |
|-------------|-----------------------------------|----|
| Figure 2-1. | Strategic Document Alignment..... | 17 |
| Figure 2-2. | Strategic Imperatives .....       | 20 |

## CHAPTER THREE

### HOW WE FIGHT — THE CONDUCT OF NAVAL OPERATIONS

|             |   |    |
|-------------|---|----|
| Figure 3-1. | Principles of Joint Operations.....   | 34 |
| Figure 3-2. | Notional Application of Naval Core Capabilities Across the<br>Six-Phase Campaign Model Continuum..... | 40 |

INTENTIONALLY BLANK

## CHAPTER ONE

# Who We Are — The Nature of the Naval Service

*Whosoever can hold the sea has command of everything.*

— Themistocles (524–460 B.C.)

The Naval Service comprises the Active and Reserve components and the civilian personnel of the United States Navy, the United States Marine Corps, and the United States Coast Guard.<sup>1</sup> Every day, Sailors, Marines, and Coastguardsmen make countless sacrifices while supporting US national objectives. At the heart of this selflessness are core values that drive personal standards of excellence and moral strength. The United States places special trust and confidence in these men and women. They are given the sobering responsibility of properly exercising correct judgment across the range of military operations in order to achieve national security objectives. This trust is warranted by continued competence in carrying out assigned roles, absolute integrity in actions and relationships, and personal courage that overcomes moral dilemmas and physical obstacles through an unyielding sense of duty and commitment. This professional ethic and warfighting ethos, shared by every member of US naval forces, enhances cohesion, builds resilience, and promotes teamwork. It establishes an environment in which we are able to share and delegate responsibilities in achieving a common goal.

### NAVAL AND GUARDIAN CORE VALUES AND ETHOS

The Navy and Marine Corps, by virtue of being Services in the Department of the Navy at all times, share common core values and ethos. The Coast Guard is, in normal circumstances, in the Department of Homeland Security, and thus espouses core values and an ethos with a slightly different emphasis. This publication addresses both sets of

---

<sup>1</sup> Per Title 10, U.S. Code, section 101, and Title 14 U.S.C. §1-3, the Coast Guard is “a military service and a branch of the armed forces of the United States at all times.” The Coast Guard may at any time provide forces and/or perform its military functions in support of naval component or combatant commanders. Also “Upon the declaration of war if congress so directs in the declaration or when the President directs” the entire Coast Guard may operate as a specialized service in the Department of the Navy. The Coast Guard is also, at all times, a Federal maritime law enforcement agency. Pursuant to 14 U.S.C. § 89(a), the Coast Guard has broad powers to “make inquiries, examinations, inspections, searches, seizures, and arrests upon the high seas and waters which the United States has jurisdiction, for the prevention, detection, and suppression of violations of the laws of the United States.”

## CHAPTER TWO

# What We Do — Employment of Naval Forces

Congress, through Title 10 U.S. Code, defines the composition and functions of the US Navy and the US Marine Corps. Title 14 performs the same function for the US Coast Guard.

- The Navy shall be organized, trained, and equipped primarily for prompt and sustained combat incident to operations at sea. The Navy is responsible for the preparation of naval forces necessary for the effective prosecution of war except as otherwise assigned and, in accordance with integrated joint mobilization plans, for the expansion of the peacetime components of the Navy to meet the needs of war.
- The Marine Corps, within the Department of the Navy, shall be so organized as to include not less than three combat divisions and three air wings, and such other land combat, aviation, and other Services as may be organic therein. The Marine Corps shall be organized, trained, and equipped to provide fleet marine forces of combined arms, together with supporting air components, for service with the fleet in the seizure or defense of advanced naval bases and for the conduct of such land operations as may be essential to the prosecution of a naval campaign. In addition, the Marine Corps shall provide detachments and organizations for service on armed vessels of the Navy, shall provide security detachments for the protection of naval property at naval stations and bases, and shall perform such other duties as the President may direct. The Marine Corps is responsible, in accordance with integrated joint mobilization plans, for the expansion of peacetime components of the Marine Corps to meet the needs of war.
- The Department of the Navy composition includes the Coast Guard when assigned. The National Security Act of 1947 and Title 10 U.S. Code provide the basis of the establishment of combatant commands. The President of the United States, through the Unified Command Plan establishes the missions, responsibilities, and geographic areas of responsibility for the CCDRs.

Fundamentally, all military forces exist as instruments of national power across the full range of military operations, up to and including fighting and winning wars. To carry out our naval roles, we must be ready at all times to conduct prompt and sustained combat operations — to fight and win in all domains. Defending the United States and controlling its homeland approaches are the first requirements. Gaining and maintaining control of the sea and establishing forward sea lines of communications are the next

priorities. As we operate in the maritime domain, naval forces provide military power for projection against tactical, operational, and strategic targets. In both peace and war, we frequently carry out our roles through campaigns. A campaign is defined as “a series of related major operations aimed at achieving strategic and operational objectives within a given time and space.” (JP 1-02. Source: JP 5-0)

## **STRATEGIC DOCUMENT ALIGNMENT**

The Commander-in-Chief establishes strategic objectives — which the chain of command translates into operational and tactical orders — as necessary to address unfolding global events. Additionally, a number of documents provide broad, longer-term guidance and direction for the development and employment of military forces. These documents include strategy, plans, concepts, doctrine, and acquisition guidance. National-level strategy documents articulate official policy by stating clear objectives for the country. National military strategies translate national strategic objectives into specific military goals. In turn, regional military strategies and plans guide operational campaigns designed to achieve the stated military goals. Concept documents provide assessments of the future security environment, identify problems and opportunities, and propose potential solutions, including changes to doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF) in order to stay ahead of potential adversaries and seek new and more effective capabilities. Changes to doctrine also provide a form of strategic, operational, and tactical guidance. Acquisition and resource allocation programming and budgeting guidance provides a form of strategic direction by prioritizing DOTMLPF changes. The relationships among these documents are illustrated in Figure 2-1.

## **LEVELS OF WAR**

Military operations are executed within three levels of war — strategic, operational, and tactical. These levels of war help to clarify the links between national strategic objectives and tactical actions.

The strategic level is that level of war at which a nation, often as a member of a group of nations, determines national or multinational (alliance or coalition) strategic objectives and guidance and develops and uses national resources to achieve these objectives. Activities at this level establish national and multinational military objectives, sequence initiatives, define limits and assess risks for the use of military and other instruments of national power, develop operation plans (OPLANs) to achieve these objectives, and provide military forces and other capabilities in accordance with strategic plans. The strategic level of war involves the highest levels of individual and organizational participation, including the President, SecDef, National Security Council, Joint Chiefs of Staff, and the CCDRs. For this reason, it is not the focus of this doctrinal publication. Nevertheless, to use military power effectively at the lower levels, a sound understanding of, and appreciation for, the strategic level are essential.

The operational level links the tactical employment of forces to national and military strategic objectives through the design and conduct of major campaigns and operations. At the operational level of war, operations are planned, conducted, and executed to accomplish operational or strategic objectives within theaters or other operational areas. Activities at this level link tactics and strategy by establishing operational objectives

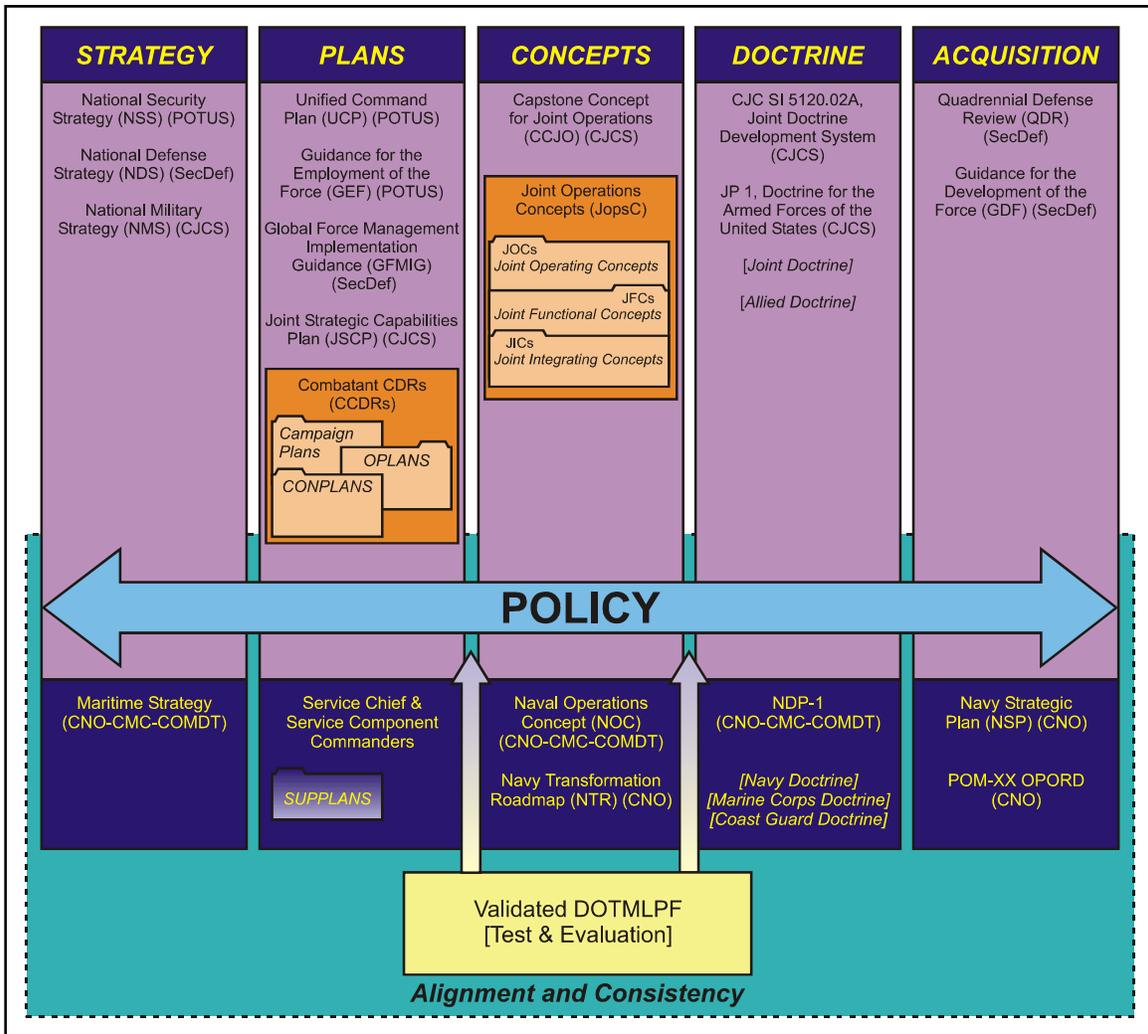


Figure 2-1. Strategic Document Alignment

needed to accomplish the strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events. These activities imply a broader dimension of time or space than do tactics; they require that logistic and administrative support be thoroughly planned for and sustained. In close coordination with strategic/operational-level staffs of the CCDR, JFC, CJTF and other component commanders, and lower-level commanders, commanding officers, and officers-in-charge of tactical-level units, a JFC is usually designated to plan for and execute the campaign or major operation at this level. As with the other levels of war, the development and use of operational art in accomplishing objectives are the key to success. The JFC will utilize the concept of unified action to bring to bear all the elements of national power on an adversary's political, military, economic, social, infrastructure, and information systems in order to create the desired effect. The operational level of war and the use of Navy, Marine Corps, and Coast Guard forces in it are the focal points for NDP 1.

The tactical level focuses on planning and executing battles, engagements, and activities to achieve military objectives assigned to tactical units or task forces. Activities focus on the ordered arrangement and maneuver of combat elements in relation to each other and to the enemy to achieve combat objectives. The tactical level of war is linked to the operational and strategic levels through the military objective. The tactical combat objective must support the achievement of the operational objective, which, in turn, must support the strategic objective. As a practical matter, it is conceivable that a tactical event could have a strategic impact. This is becoming more likely as naval forces participate across the range of military operations, particularly those that involve irregular warfare.

There are no finite limits or boundaries between the levels of war. Levels of command, sizes of units, types of equipment, or types and location of forces or components are not associated with a particular level. National assets such as intelligence and communications satellites, previously considered principally in a strategic context, are also significant resources to tactical operations. Naval forces or assets can be employed for a strategic, operational, or tactical purpose based on their contribution to achieving strategic, operational, or tactical objectives, but many times the accuracy of these labels can only be determined during historical studies. The levels of war help commanders visualize a logical arrangement of operations, allocate resources, and assign tasks as appropriate. However, it is important to understand that any single action may have consequences at all levels.

World War II, for example, a strategic-level and global war, included operational-level combat in the Pacific theater consisting primarily of US-led naval, air, and supporting Allied land campaigns. Within each specific campaign were a series of important and often decisive battles. At the tactical level, each victory contributed to the achievement of that campaign's objectives. The aggregate of achieving these campaign objectives resulted in overall victory in the Pacific theater. The naval contribution in the Pacific in World War II exemplifies all the strategies of a coherent campaign: protection of US ports, advance base/infrastructure development, war at sea to check the advance of the Japanese Navy, submarine warfare against Japanese shipping, war at sea to gain control of the sea, and amphibious assault of enemy-held islands, pushing the enemy back and forcing his final unconditional surrender. Campaigning is not an activity seen only in war. In peace, naval forces actively engage in forward presence and Phase 0 theater campaign plan (TCP) activities. Today, operations range from supporting economic sanctions imposed by the United Nations and other international organizations, to maintaining a visible deterrent to regional aggression, to efforts stemming the flow of illicit drug traffic and curbing destabilizing maritime activity.

It is also important to understand the national strategic setting and how the maritime strategy and naval forces support it.

## **THE NATIONAL STRATEGIC SETTING**

Recent strategy, planning, and concept documents have noted that globalization has inextricably linked American security and prosperity to the wider global community. The United States will necessarily be a leader nation to which much of the rest of the world will look for stability and security. It will continue to fall to the United States and its partner nations to protect and sustain the global system of interdependent networks of trade, finance, information, law, and governance. Maintaining freedom of action and

access around the globe is as much a requirement for the functioning of this global system as it is for the conduct of military operations. This will require continuous engagement throughout the world and persistent presence achieved through the forward deployment of US forces — a role for which naval forces are uniquely suited.

A condition that will continue to govern the conduct of US military operations is the need to conduct and sustain them at significant distances. The most likely occasions requiring the commitment of forces will arise, as they have for the past half-century, in places where few or no forces are permanently stationed. America's ability to project power rapidly and conduct and sustain operations globally thus will remain critically dependent on air and maritime freedom of movement and on sufficient strategic and operational lift. Future operational success will also rely increasingly on the use of space and cyberspace. Providing adequate lift and maintaining sufficient control of the global *commons* — areas of sea, air, space, and cyberspace that belong to no one state — thus will remain a vital imperative.

At the same time, the means of waging conflict are becoming more lethal, ubiquitous, and easy to employ. Advanced weaponry, once the monopoly of industrialized states — including anti-access and area-denial capabilities — increasingly is becoming available to both less-developed states and non-state actors. Another accelerating change in the operational environment is continuing urbanization as a result of population growth in cities, most of which are in the littorals of the developing world.

Diminishing overseas access is another challenge anticipated in the future operating environment. Foreign sensitivities to US military presence have steadily been increasing. Even close allies may be hesitant to grant access for a variety of reasons. Diminished access will complicate the maintenance of forward presence, placing a premium on naval forces and their ability to respond quickly to developments around the world as well as their advantages to operate at sea and in the air, space, and cyberspace. Assuring access to ports, airfields, foreign airspace, coastal waters, and host-nation support in potential commitment areas will be a challenge and will require active peacetime engagement with states in volatile areas. In war, this challenge will require power-projection capabilities designed to seize and maintain lodgments in the face of armed resistance.

Resolving many challenges, especially in the developing world, ultimately will require establishing or restoring the legitimacy of indigenous governments — something the United States cannot accomplish unilaterally. This will put a premium on the ability to work with and through partners to improve the partner's capabilities. The future operating environment has the potential to produce more challenges than the United States and its military forces can respond to effectively. This has two implications. The first is the importance of shaping developments proactively so that they do not reach crisis proportions requiring the employment of a sizable force. The second is the importance of establishing cooperative security arrangements to share the burden of maintaining security and stability. Both implications will again place a premium on the use of naval forces for peacetime engagement.

Thus, the United States finds itself facing an uncertain future in a dangerous world. The overarching obligation of all agencies of the Government and particularly the armed services is to protect the American people. To do this, the US Navy, Marine Corps, and Coast Guard, guided by policy and strategy at the national level, act across the range of military operations to secure the United States from direct attack, secure strategic access

and retain global freedom of action, strengthen existing and emerging alliances and partnerships, and establish favorable security conditions. The Navy, Marine Corps, and Coast Guard team is relevant today and in the future because of its ability to contribute to the joint force in achieving these objectives.

## THE MARITIME STRATEGY

*A Cooperative Strategy for 21st Century Seapower* is the unified maritime strategy of the US Navy, Marine Corps, and Coast Guard. It articulates a strategic concept and implementation framework for the Naval Service's contributions to achieving enduring national strategic goals. It is envisioned as a long-term strategy that will only need to be revised if there is a significant shift in the security environment that catalyzes a change in strategic thinking on a national scale. As a long-term strategy, it is anticipated that the associated force structure will evolve over time.

The strategic concept of the maritime strategy is that the sea is a vast maneuver space that can be used to overcome geographic, diplomatic, or military challenges to access. Six strategic imperatives describe the contribution naval forces make to prevent and, when necessary, prevail in conflicts to achieve national strategic goals. Depicted in Figure 2-2, these are the strategic *ends* the Naval Service will pursue.

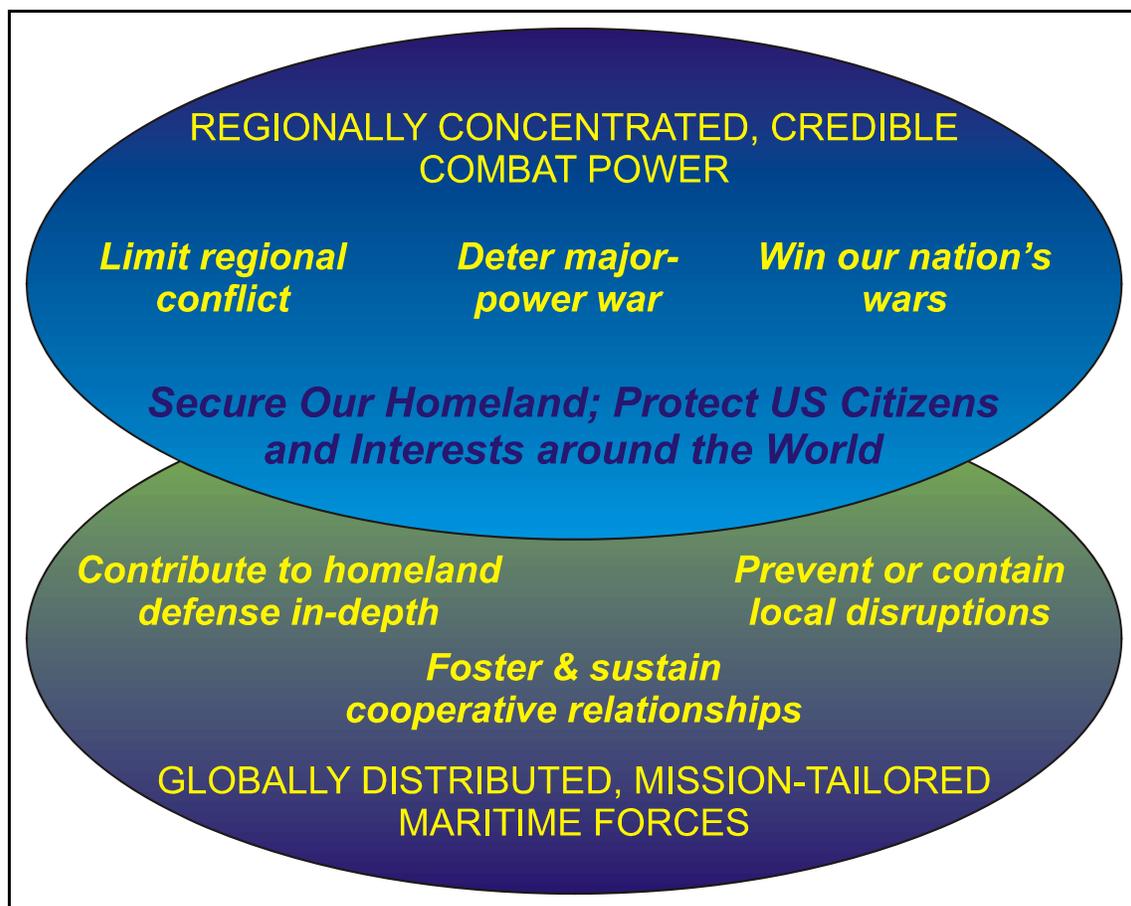


Figure 2-2. Strategic Imperatives

Credible naval power is postured continuously to protect vital interests, to assure friends and allies of continuing commitment to regional security, and to deter and dissuade potential adversaries and peer competitors. This naval power is repositioned selectively and rapidly to meet contingencies that may arise elsewhere. The following passages further describe the strategic imperatives that link the maritime strategy to national guidance.

### ***Limit Regional Conflict With Forward-Deployed, Decisive Naval Power***

Regional conflict has ramifications far beyond the area of conflict. Humanitarian crises, violence spreading across borders, pandemics, and the interruption of vital resources are all possible when regional crises erupt. While this strategy advocates a wide dispersal of networked naval forces, we cannot be everywhere, and we cannot act to mitigate all regional conflict.

Where conflict threatens the global system and US national interests, naval forces are ready to respond alongside other elements of national and multinational power to give political leaders a range of options for deterrence, escalation, and de-escalation. Naval forces that are persistently present and combat-ready provide the United States primary forcible entry option in an era of declining access, even as they provide the means for the Nation to respond quickly to other crises. Whether over the horizon or powerfully arrayed in plain sight, naval forces deter the ambitions of regional aggressors, assure friends and allies, gain and maintain access, and protect US citizens while working to sustain the global order.

### ***Deter Major-Power War***

No other disruption is as potentially disastrous to global stability as war among major powers. Maintenance and extension of the Nation's comparative seapower advantage are key components of deterring major-power war. While war with another great power strikes many as improbable, the near-certainty of its ruinous effects demands that it be actively deterred using all elements of national power. The expeditionary character of naval forces — the lethality, global reach, speed, endurance, ability to overcome barriers to access, and operational agility — provides the joint commander with a range of deterrent options. We pursue an approach to deterrence that includes a credible and scalable ability to retaliate against aggressors conventionally, unconventionally, and with nuclear forces.

### ***Win Our Nation's Wars***

In times of war, the ability to impose local maritime superiority, overcome challenges to access, force entry, and project and sustain power ashore make naval forces an indispensable element of the joint or combined force. Reinforced by a robust sealift capability, naval forces can concentrate and sustain forces, establish sea control, and project power to enable extended campaigns ashore.

### ***Contribute to Homeland Defense In-Depth***

Naval forces defend the homeland by identifying and neutralizing threats as far from US shores as possible. From fostering critical relationships overseas to screening ships bound for our ports or rapidly responding to any threats approaching our coastline, Naval

Service homeland defense operations involve in-depth cooperation and coordination with the joint force, other government agencies (OGAs), state and local governments, and NGOs to provide the highest level of security possible.

### ***Foster and Sustain Cooperative Relationships With International Partners***

Expanded cooperative relationships with other nations contribute to the security and stability of the maritime domain for the benefit of all. Although our forces can surge when necessary to respond to crises, trust and cooperation cannot be surged. We build trust and cooperation over time through our engagement plans so that we understand the strategic interests of our partners and continuously consider them while we promote mutual understanding and respect.

A key to fostering such relationships is development of sufficient cultural, historical, and linguistic expertise among our Sailors, Marines, and Coastguardsmen to nurture effective interaction with diverse international partners. Building and reinvigorating these relationships are a primary goal of TCPs and joint education.

Additionally, the Navy, Marine Corps, and Coast Guard are forging international partnerships in coordination with the other US Services and agencies to employ a *whole of government* approach toward problem solving. To this end, the global maritime partnerships initiative seeks a cooperative approach to maritime security, promoting the rule of law by countering piracy, terrorism, weapons proliferation, drug trafficking, and other illicit activities.

### ***Prevent or Contain Local Disruptions Before They Impact the Global System***

Naval forces work with others to achieve an adequate level of security and awareness in the maritime domain. In doing so, transnational threats — terrorists and extremists; proliferators of weapons of mass destruction; pirates; traffickers in persons, drugs, and conventional weapons; and other criminals — are defeated or constrained.

By being there, forward deployed and engaged in mutually beneficial relationships with regional and global partners, naval forces promote frameworks that enhance security. When natural or man-made disasters strike, naval forces provide humanitarian assistance and relief, joining with OGAs and NGOs. By participating routinely and predictably in cooperative activities in support of the TCP, naval forces are postured to support other joint or combined forces to mitigate and localize disruptions.

The implementation framework of the maritime strategy provides guidance to inform the development of other documents such as supporting plans, doctrine, and concepts. The Navy, Marine Corps, and Coast Guard conduct many missions, but six capabilities are the core of US naval power: forward presence, deterrence, sea control, power projection, maritime security, and HA/DR. These six capabilities are referred to as the “expanded core capabilities” because of the recognition that the emerging missions of maritime security and HA/DR are no less important to the Naval Service’s accomplishment of the strategic imperatives than the traditional four. It is through the formulation of these six capabilities that the maritime strategy provides a framework for doctrine to articulate how we fight and operate.

The maritime strategy also provides broad guidance to subordinate documents on the means with which the naval forces operate through its implementation priorities. These priorities — improve integration and interoperability, enhance awareness, and prepare our people — receive priority attention in the development of initiatives to implement the strategy. It is through the lens of this guidance that leadership shapes resource and acquisition strategies such as the Navy Strategic Plan and other Service-specific program objective memorandum guidance.

In the next chapter we describe the core capabilities of naval forces that, when accomplished, execute the maritime strategy.

INTENTIONALLY BLANK

## CHAPTER THREE

# How We Fight — The Conduct of Naval Operations

*No better friend, no worse enemy.*

— Maj. Gen. James N. Mattis, CG 1st MARDIV, 2003

The quotation by General Mattis is taken from a letter to his troops on the eve of their attack north toward Baghdad during Operation Iraqi Freedom. While the letter went into more detail, the quotation succinctly describes for all in the Naval Service how we should be perceived by those we encounter in any operational environment.

A nation's power is often described by the acronym DIME: diplomatic, information, military, and economic. Naval forces and their leaders, by profession, excel in the use of military power. We exercise our forces and train our leaders to operate in the maritime domain and, when necessary, to fight and win our Nation's wars. In addition, naval forces and their leaders are culturally aware of the entire operational environment and understand the considerations and the impact of the DIME factors that are at work simultaneously. Seamless alignment of each instrument of national power is necessary if national goals and objectives are to be achieved efficiently and completely. (JP 1, JP 3-0)

### CORE CAPABILITIES OF NAVAL FORCES

The six core capabilities of naval forces — forward presence, deterrence, sea control, power projection, maritime security, and HA/DR — tie directly to the key elements of our national military strategy as they put into practice the tenets of the maritime strategy. Forward naval forces counter threats far from US shores; are in a position to deter a would-be adversary by the threat of military retaliation; secure access to resources and markets essential to our well-being; partner with willing navies, coast guards, and other entities to achieve security of the maritime domain; and are ready to offer assistance in the case of man-made or natural disaster.

The capabilities of US naval forces are linked to the policies and strategies espoused at the national level and support the execution of the maritime strategy. Naval forces are designed to promote and defend US national interests by maintaining maritime superiority, contributing to regional stability, conducting operations on and from the sea, seizing or defending advanced naval bases, and conducting such land operations as may

be essential to the prosecution of naval campaigns. Naval forces accomplish these roles through deterrence operations and specific peacetime operations while maintaining warfighting readiness through continuing forward-deployed presence, exercising a robust sealift capability, and developing our interoperability with all Services, as well as with allies, partner nations, and friends.

The six core capabilities compose the foundation of US naval power and reflect an emphasis on those activities that prevent war and build partnerships. The Naval Service, in conjunction with joint and multinational forces and interagency efforts when required, collectively must execute these core capabilities through a blend of routine, recurring military activities such as peacetime engagements, deterrence actions and, when directed, major operations.

### ***Forward Presence***

US naval forces are forward deployed around the clock. These forces support a CCDR's theater campaign plan. The forward operating posture serves several key functions: it enables familiarity with the operational environment, as well as contributing to an understanding of the capabilities, culture, and behavior patterns of regional actors, and it enables influence. This understanding and influence facilitate more effective responses in the event of crisis. Should peacetime operations transition to war, commanders and commanding officers will have developed their naval forces' environmental and operational understanding and experience to successfully engage in combat operations. Forward presence also allows us to combat terrorism as far from US shores as possible. Where and when applicable, forward-deployed naval forces isolate, capture, or destroy terrorists and their infrastructure, resources, and sanctuaries, preferably in conjunction with coalition partners.

Naval forward presence is a key enabler of regional stability, providing credible combat power where US vital interests are most concentrated. These naval forces are able to act on indications and warnings and provide a timely response to crisis. With an ever-constant presence forward, they mitigate the political and diplomatic ramifications of introducing forces into the theater when crises arise. They also provide the United States with a broad range of options, unfettered by the requirement to obtain host-nation permissions and access.

Forward-deployed naval forces demonstrate commitment to our partners without imposing a lasting footprint ashore; they provide persistent presence without permanence. Naval forces are ideally suited to conduct an expanding array of activities that prevent, deter, or resolve conflict. While forward, acting as the lead element of our defense in-depth, naval forces are positioned for increased roles in shaping our operational environment and providing immediate response for HA/DR to relieve suffering. They also act in cooperation with an expanding set of international partners.

### ***Deterrence***

Deterrence is "the prevention from action by fear of the consequences. Deterrence is a state of mind brought about by the existence of a credible threat of unacceptable counteraction." (JP 1-02. Source: N/A) The term generally refers to a strategy, in any potential conflict, of being prepared to inflict unacceptable damage on an adversary and making sure the potential adversary is aware of the risk so that the adversary refrains from aggression. US naval forces maintain that core capability and, through employments

and capabilities, deter adversaries from aggressive actions on US partners. These naval forces' capabilities include sea-based nuclear weapons and the forward posturing of credible conventional combat power in key regions, as well as the ability to surge forces tailored to meet emerging crises.

Preventing war is preferable to fighting wars. Deterring aggression must be viewed in global, regional, and transnational terms. Effective deterrence continues to require a comprehensive approach that includes the innovative and judicious application of all elements of national power. This includes maintaining the ability to impose unacceptable consequences on an aggressor while also enhancing our ability to deny an adversary the physical or psychological benefits of its aggression. We use forward-based, sea-based, and forward-deployed forces, space-based assets, sea-based strategic deterrence, and other initiatives to deter those who wish us harm. Effective theater security cooperation and foreign assistance programs, which include naval assets and sea-based Marine expeditionary units, are a form of extended deterrence, creating security, building partnerships, and removing conditions for conflict. Sea-based ballistic missile defense enhances deterrence by providing an umbrella of protection to forward-deployed forces and friends and allies while contributing to the larger architecture planned for defense of the United States.

The backbone of the Nation's survivable nuclear deterrent continues to be provided by ballistic missile submarines. They are designed specifically for stealth and the precision delivery of nuclear warheads. The ocean provides a vast maneuver space that greatly enhances this deterrent capability by making it infeasible for an adversary to succeed in a preemptive attack or impractical to possess an effective defense against our assured second strike. This demonstrated capability remains present and ready, providing the ultimate safeguard against any state that would threaten the first use of, or actually employ, nuclear weapons. The credibility and survivability upon which this deterrence rests are dependent upon robust acoustic and nonacoustic stealth, reliable long-range missiles, and an adaptable employment concept capable of holding adversaries at risk anywhere on the globe.

Deployed naval forces are uniquely suited to this comprehensive approach to deterrence. They possess a credible and scalable ability to challenge and retaliate against state and non-state aggressors, using conventional, unconventional or, as a last resort, nuclear means. Their movement is not limited by diplomatic challenges to access. As a result, they are able to support a wide range of prevention activities that can limit the influence of rogue governments and non-state actors. Concurrently, they can provide credible deterrent options to address regional, transnational, and global security challenges without prematurely committing US forces to conflict.

### ***Sea Control***

Throughout history, control of the sea has been a precursor to victory in war. Sea control is the essence of seapower and is a necessary ingredient in the successful accomplishment of all naval missions. Naval forces execute sea-control operations to prevent or limit the spread of conflict as well as to prevail in war. Sea control and power projection complement one another. Sea control allows naval forces to close within striking distance to remove landward threats to access, which in turn enhances freedom of action at sea. Freedom of action at sea enables the projection of forces ashore. Sea-control operations

are the employment of naval forces, supported by land, air, and other forces as appropriate, in order to achieve military objectives in vital sea areas. Such operations include destruction of enemy naval forces, suppression of enemy sea commerce, protection of vital sea lanes, and establishment of local military superiority in areas of naval operations.

Arguably, the vastness of the world's oceans makes it impossible for even a preeminent naval power to achieve global maritime superiority. Thus, achieving local or regional maritime superiority may be a goal for a limited duration in order to accomplish specific objectives. For example, naval forces could establish local maritime superiority in the Strait of Hormuz or regional maritime superiority in the Arabian Gulf to facilitate the free flow of commercial shipping. Strategic maritime geography, the CCDR's regional requirements, the capabilities of potential adversaries, and enduring US national objectives drive the scale of forward-deployed naval presence and surge capability necessary to deter aggression at sea and, when required, establish maritime superiority in a specific locale. It is imperative that the United States and its allies maintain the capability to establish degrees of control in these global commons, when required. The oceans, much of which are global commons under no state's jurisdiction, offer all nations, even landlocked states, a network of sea lanes or highways that is of enormous importance to their security and prosperity.

The ability to operate freely at sea is one of the most important enablers of joint operations and military support to OGAs and NGOs. Sea control requires capabilities in all aspects of the maritime domain, space, and cyberspace. We hone the tactics, training, and technologies needed to establish sea control. We cannot permit conditions under which naval forces are impeded in freedom of maneuver and freedom of access, nor permit an adversary to disrupt the global supply chain by attempting to block vital sea lines of communications and commerce. We impose local sea control wherever necessary, ideally in concert with friends and allies, but by ourselves if we must.

Sea control is achieved primarily through the demonstrated use or credible threat of force. Sea control requires control of the surface, subsurface, and airspace and relies upon naval forces' maintaining superior capabilities and capacities in all sea-control operations. It is established through naval, joint, or combined operations designed to secure the use of ocean and littoral areas by one's own forces and to prevent their use by the enemy.

Sea-control operations involve locating, identifying, and dealing with a variety of contacts. Imposing sea control closer inshore may require the control of key geographic areas such as straits or peninsulas through seizure and/or defense of key terrain ashore.

The United States and its allies possess a multifaceted naval force capable of dealing with opposed access and opposed transit scenarios in blue-, green-, and brown-water environments. Operations in blue water, which consists of the high seas and open oceans, require forces capable of remaining on station for extended periods largely unrestricted by sea state and with logistics capability to sustain these forces indefinitely. Operations in green water stretching seaward, which consists of coastal waters, ports, and harbors, require ships, amphibious ships and landing craft, and patrol craft with the stability and agility to operate effectively in surf, in shallows, and the near-shore areas of the littorals. Brown-water operations, in general terms, consist of navigable rivers, lakes, bays, and their estuaries. An example of brown-water operations would be riverine operations that involve

shallows and clutter and constrain maneuver but without being subjected to extreme surf conditions.

Sea control is the foundation of seapower primacy. Credible combat power is the combination of sea control and power projection, the ability to exploit the sea as maneuver space in order to project influence and power ashore.

### ***Power Projection***

As a largely sea-based force, the naval team can overcome diplomatic, military, and geographic challenges to access and project power ashore without reliance on ports and airfields in the objective area. In an era of declining access, naval forces play a critical role in projecting US power overseas. Naval forces that are persistently present and combat-ready provide the United States primary forcible entry option, even as they provide the means to respond quickly to other crises. The ability to overcome challenges to access and to project and sustain power ashore is the basis of combat credibility and deterrence capability.

The extent of a nation's power-projection capability is determined by the range at which it can command and control, deploy, employ, and sustain forces. A number of countries have a local or regional power-projection capability, but few have a global capability. The ability to project power increases in importance as access diminishes. US naval forces maintain the ability to globally project flexible, scalable, lethal, and sustainable power. Power projection in and from the maritime domain includes a broad spectrum of offensive military operations to destroy enemy forces or logistic support or to prevent enemy forces from approaching within enemy weapons range of friendly forces. Power projection may be accomplished by amphibious assault operations, attack of targets ashore, or support of sea-control operations.

Strike operations employ ballistic or cruise missiles, aircraft, naval surface fires, nonlethal technologies, Marines, and/or naval special warfare forces to attack and seize/destroy targets ashore. Strike and amphibious operations are not mutually exclusive. Amphibious operations may involve the extensive application of strike capabilities, while amphibious raids are also a form of strike operations.

Properly sized forces, innovative technologies, a robust strategic sealift capability, understanding of adversary capabilities, and the proficiency and ingenuity of our Sailors, Marines, and Coastguardsmen allow us to rapidly concentrate and sustain forces and enable joint and/or combined campaigns.

### ***Maritime Security***

Naval forces conduct operations throughout the maritime domain and view the oceans not as an obstacle but as the base of operations and maneuver space, which we either can control for our own use or deny an opponent. Whenever naval forces face an adversary without formidable fleet assets such as carriers, submarines, and larger surface combatants, the seas serve as barriers for naval force defense. As important, though, the seas provide avenues of world trade and military lines of communications for the United States, its allies, and its friends.

The United States depends upon transoceanic links — commercial and military — to allies, friends, and interests. Our Nation’s naval strength has enabled us to endure more than two centuries of global crisis and confrontation that have reflected the world’s seemingly unending religious, ethnic, economic, political, and ideological strife. Whenever these crises have threatened US national interests, our leaders traditionally have responded with naval forces to prevent and win wars. The safety and economic security of the United States depend in substantial part upon the secure use of the world’s oceans. The United States has a vital national interest in maritime security. The economic well-being of people in the United States and around the world depends heavily upon the trade and commerce that traverse the oceans.

Maritime security includes a collection of tasks that are derived from agreed-upon international law. Maritime security operations (MSO) are those operations conducted to assist in establishing the conditions for security and protection of sovereignty in the maritime domain. Examples of MSO include missions to counter maritime-related terrorism, weapons proliferation, transnational crime, piracy, environmental destruction, and illegal seaborne immigration. These tasks include assisting mariners in distress, participating in security cooperation operations with allies and partners, sharing situational awareness, and conducting maritime interception and law enforcement operations. MSO involve close coordination among governments, the private sector, international organizations, and NGOs.

Maritime security may be divided into *individual* or *collective* categories. *Individual* maritime security operations involve actions taken by a single nation-state to provide for its safety and security, consistent with its rights. While the responsibility and capacity of individual nations to secure their territorial waters is the foundation upon which global maritime security is built, CS-21 notes that unilateral action by a single nation cannot ensure the security of the global maritime commons: Collective maritime security is action taken by one or more like-minded nation-states to promote safety and security at sea consistent with international law.

The vast size and complexity of the maritime domain create unique and critical security challenges for the international community. Terrorists, pirates, and transnational criminals use legitimate maritime traffic to mask their illicit activities, threatening safety and security. Identifying, tracking, and neutralizing these threats and illicit activities are essential to protecting national security and the global economy. Unilateral action by a single nation cannot ensure the security of the global transportation system.

The creation and maintenance of security at sea are essential to mitigating threats short of war. Countering these irregular and transnational threats protects the homeland, enhances global stability, and secures freedom of navigation for the benefit of all nations. Naval forces enforce domestic and international law at sea through established protocols. We also join navies and coast guards around the world to secure the global commons and suppress common threats.

### ***Humanitarian Assistance/Disaster Response***

The capabilities that allow naval forces to project combat power are also effective at responding to the world’s natural disasters. Operating without reliance on ports and airfields ashore and in possession of organic medical support, strategic and tactical lift,

logistics support, robust communications capabilities, and premier planning and coordination tools, naval forces are ideally suited for HA/DR, as the vast majority of the world's population lives within a few hundred miles of the seas and oceans.

HA/DR is an all-encompassing reference to the various proactive and reactive activities increasingly performed by naval forces to reduce human suffering. These activities include defense support of civil authorities, humanitarian and civic assistance, foreign humanitarian assistance, foreign disaster relief, foreign assistance, developmental assistance, and selected aspects of security assistance.

The world population is concentrated near the seas, oceans, and major waterways, creating a situation in which episodic natural or man-made disasters often cause catastrophic human suffering. The speed of global communications increases awareness of these events and generates local, regional, or international calls for action. Globally postured naval forces continue to support HA/DR. Additionally, CDRs increasingly employ HA/DR forces and capabilities in a proactive way to promote stability. The challenge to US naval forces is to enhance the ability to conduct HA/DR without compromising the ability to conduct more traditional naval missions.

This core capability is a clear example of goodwill of the people and of United States and other like-minded nations. It further recognizes that HA/DR activities enable naval forces to build partnerships that serve to increase trust, enhance partner capacities, and provide the opportunity to engage with a larger set of international partners. Finally, it is increasingly recognized that HA/DR conducted by naval forces enables accomplishment of select *prevent* as well as *prevail* elements of US national strategy. The capabilities required to perform this mission are no longer considered less important than those of combat operations.

Building on relationships forged in times of calm, we continue to mitigate human suffering as the vanguard of interagency and multinational efforts, both in a deliberate, proactive fashion and in response to crises. Human suffering moves the United States to act, and the expeditionary character of naval forces uniquely positions them to provide assistance.

In today's globally connected world, news of humanitarian crises and natural or man-made disasters is reported almost immediately. Forward-deployed naval forces provide timely response and assistance. Although the primary focus of naval forces remains combat readiness, our multipurpose capabilities allow those same forces, with minor modifications, to be equally adept at providing relief that mitigates human suffering. Given our forward posture, inherent mobility, and highly flexible nature across many capability sets, US naval forces are the force of choice for such missions.

## **THE APPLICATION OF NAVAL POWER**

When military action is one of the potential responses to a situation threatening US interests, a plan is prepared using either the joint contingency planning process or the crisis action planning (CAP) process. Although military flexibility demands a capability to conduct short-notice crisis planning when necessary, US military strength is best enhanced by detailed peacetime contingency planning followed by exercises that test the plan. Each of the Naval Services has developed planning doctrine to support the joint

operation planning process; however, common tenets deserve mention in this publication. These common tenets include the need for the process to be adaptive, collaborative, and systematic. Planning must cover the full range of activities: mobilization, deployment, employment, sustainment, redeployment, and demobilization of naval forces. Planning must include a clear statement covering C2 over forces involved. Planning at all levels must hinge upon a clear, concise description of the commander's intent.

The OPLAN is a commander's complete description of a concept of operations. Plan development is based on joint intelligence preparation of the operational environment (JIPOE) and the planning process. JIPOE is a formal process that integrates enemy doctrine with such factors as physical and environmental considerations. At the component level, intelligence preparation of the battlespace (IPB) is the analytical methodology employed by the Services or joint force component commands to reduce uncertainties concerning the enemy, environment, time, and terrain. IPB enables the component commander and the staff to identify enemy objectives, courses of action (COAs), centers of gravity, critical vulnerabilities, and decisive points.

The planning process allows the commander and staff to plan for and execute operations effectively, to ensure that the employment of forces is linked to objectives, and to integrate naval operations seamlessly with the actions of a joint force. The planning process assists commanders and their staffs in analyzing operational environment effects and distilling a multitude of planning information in order to provide the commander with a coherent framework to support decisions. The process is thorough and helps apply clarity, sound judgment, logic, and professional expertise. While the full planning process may appear time-consuming, through training, experience, and frequent use, commanders and their staffs can become more proficient and resilient, and the planning has the capability to become a more fluid and adaptable process. Therefore, in the event that experienced planners are faced with a short timeline, the planning process easily can be modified to support CAP. The planning process establishes procedures to progressively analyze a mission, develop and wargame COAs against COAs identified during JIPOE/IPB, compare friendly COAs against the commander's criteria and each other, select a COA, prepare an operation order (OPORD) for execution, and transition the plan or order to subordinates tasked with its execution. The process organizes these procedures into steps (mission analysis, COA development, COA wargaming, COA comparison and decision, plans and orders development, and transition) that provide commanders and their staffs a means to organize planning activities, transmit plans to subordinates, and share a critical common understanding of the mission. Interactions among the various planning steps allow a concurrent, coordinated effort that ensures flexibility, makes efficient use of available time, and facilitates continuous information sharing. The result of the planning process is a military decision that can be translated into a directive such as an OPLAN or OPORD. The products created during the full planning process can and should be used during subsequent planning sessions when time may not be available for thorough revision and where existing factors have not changed substantially. It must be emphasized that while the time available to plan may change, the process does not.

Planning alone does not allow a force to conduct operations successfully. Our ability to operate is also dependent upon the physical means we have to operate, the best use of our technology, the ability to sustain our forces across the range of military operations, and our ability to lead and motivate our forces to fight as a team. Leadership, the foremost

quality of command, enhances our physical ability to fight by building resilient forces and inspiring unit cohesion and sense of purpose. It is the means by which we draw upon the courage, fortitude, and dedication within our people. In addition to having the technology, sustainment, leadership, and motivation to fight and win, we train as a naval force. Realistic training, effective leadership, a strong team, and a clear sense of mission all contribute to building and sustaining a resilient force essential for success. Confident in our ability to fight and win as a team with the US Army and US Air Force, the forces of allies and coalition partners, and cooperating OGAs and NGOs, we carry out assigned roles, supporting our Nation's objectives.

## **OPERATIONAL ART**

Achievement of objectives does not lend itself to mechanistic, deterministic, or scientific models or simple linear processes; developing a solution requires study of the interplay of literally hundreds, if not thousands, of independent variables. In other words, developing a solution for strategic objectives is more of an art than a science. Operational art is defined as “the application of creative imagination by commanders and staffs — supported by their skill, knowledge, and experience — to design strategies, campaigns, and major operations and organize and employ military forces. Operational art integrates ends, ways, and means across the levels of war.” (JP 1-02. Source: JP 3-0) In generic terms, operational art is that component of military art concerned with the theory and practice of planning, preparing, and conducting operations aimed at accomplishing operational or strategic objectives.

The main role of operational art is to prioritize, sequence, and synchronize properly the use of all available sources of military and nonmilitary power. In applying operational art, the commander visualizes the conditions necessary for success before deploying or committing forces.

The effective application of operational art requires broad vision, the ability to anticipate, and the skill to monitor, assess, plan, and direct tactical actions in a manner that achieves the desired strategic result. The commander considers not only the employment of military forces but also their sustainment and the arrangement of their efforts in time, space, and purpose. This includes fundamental methods associated with synchronizing and integrating military forces and capabilities. Operational art helps the commander mitigate the ambiguity and uncertainty of a complex operational environment. Among the many considerations, operational art requires commanders to answer the following questions per JP 3-0:

- What conditions are required to achieve the objectives? (Ends)
- What sequence of actions is most likely to create those conditions? (Ways)
- What resources are required to accomplish that sequence of actions? (Means)
- What is the likely cost or risk in performing that sequence of actions? (Risk)

Strategic objectives and goals and the 12 principles of joint operations (Figure 3-1) facilitate the commander's use of the operational art, which guides warfighting at the strategic, operational, and tactical levels of war.

For more in-depth treatment of the principles of joint operations, operational art, and joint and Service planning processes, refer to the following:

- JP 1, *Doctrine for the Armed Forces of the United States*.
- JP 3-0, *Joint Operations*.
- JP 5-0, *Joint Operation Planning*.
- Chairman of the Joint Chiefs of Staff Manual 3122 (series).

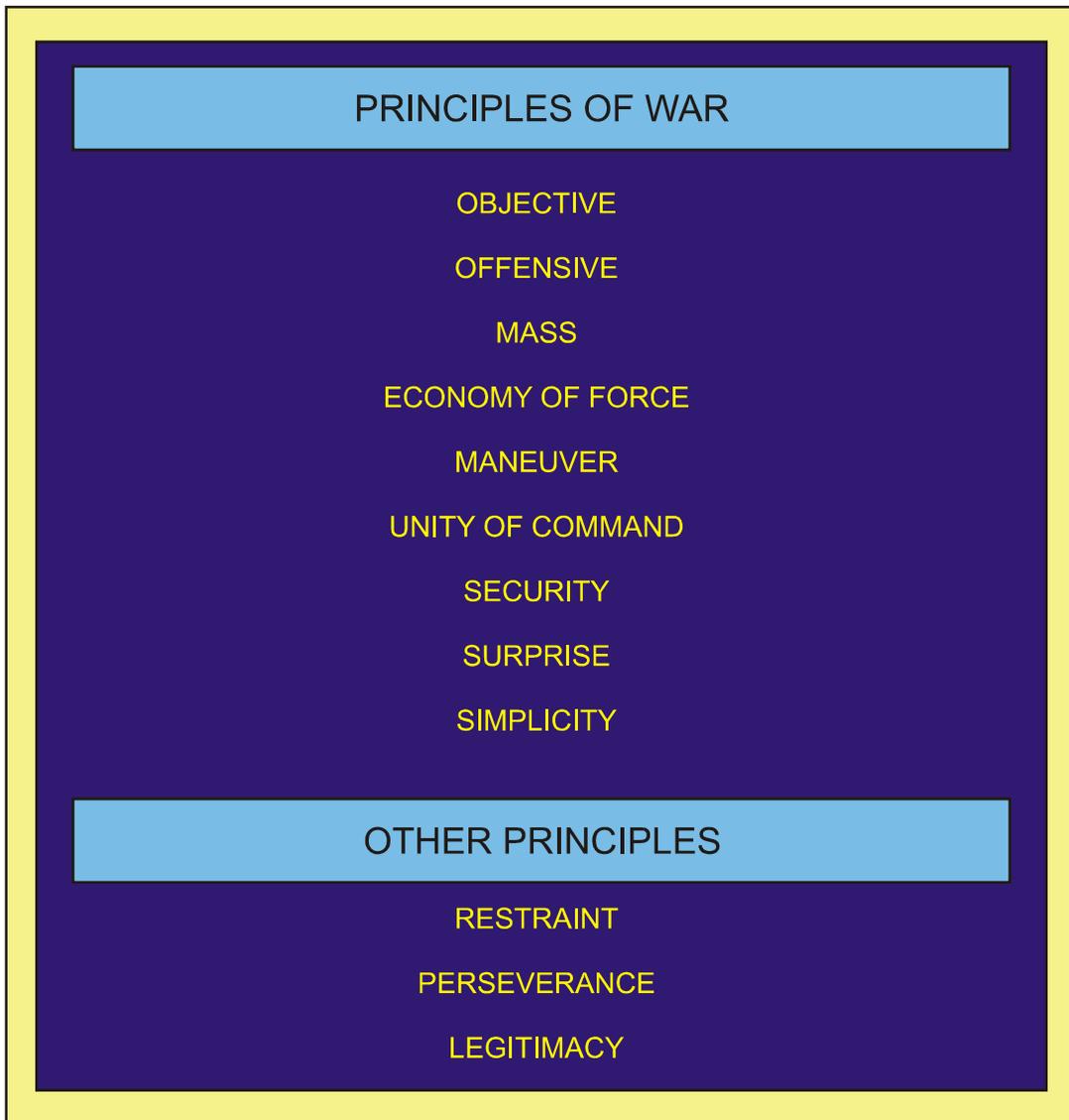


Figure 3-1. Principles of Joint Operations

- *Joint Operation Planning and Execution System (JOPES) (Volumes I–III).*
- *NWP 5-01, Navy Planning.*
- *NWP 3-32, Maritime Operations at the Operational Level of War.*
- *MCDP 5, Planning.*
- *MCWP 5-1, Marine Corps Planning Process.*
- *Commandant of the US Coast Guard Manual 3010.11 (series), Coast Guard Contingency Preparedness Planning Manual, Volume I: Planning Doctrine and Policy.*

## **COMMAND AND CONTROL**

Command and control is the exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission. Command and control ties together all the operational functions and tasks and applies to all levels of war and echelons of command across the range of military operations. C2 is the means by which an operational commander synchronizes and integrates force activities in order to achieve unity of command. Unity of effort over complex operations is made possible through decentralized execution of centralized, overarching plans. Unity of command is strengthened through consideration of the following:

- Clearly defined authorities and roles.
- Logical, standardized information management practices.
- Explicit and implicit communication.
- Timely decisionmaking.
- Recognized coordination mechanisms.
- Disciplined battle rhythm.
- Responsive, dependable, and interoperable support systems.
- Shared situational awareness.
- Mutual trust.

Command and control of naval forces reflects our operational environment, traditions, and culture. Despite the changes in today's environment, naval forces have retained unique characteristics in the capabilities we provide, as well as the way we function, compared to the other Services/components. Unlike Army and Air Force organizations, most naval forces do not undergo a lengthy period of transition from garrison to deployed

and operational status. Naval forces are operational as soon as they *take in all lines*. Being essentially self-deploying, naval forces are able to operate in support of strategic objectives without affecting another nation's sovereignty and do not necessarily require host-nation permission for their presence. As such, naval forces provide persistent military capabilities that are immediately available to the CCDR. Naval tactical commanders are expected to take initiative using the operational-level commander's guidance, which defines what needs to be done but not how to do it.

Our C2 philosophy is derived from the characteristics and complexity of the maritime domain. Even in an era of nearly instantaneous communications and increasingly complex relationships among the forces of other Services and nations, having the subordinate commander execute operations in accordance with a thorough understanding of the commander's intent is a key tenet of the naval forces' C2 philosophy. Our leaders are trained, educated, groomed, and held accountable for these exceptional authorities and responsibilities.

## **GLOBAL MARITIME PARTNERSHIPS**

Key actions by the Navy, Marine Corps, and Coast Guard that provide increased national security include improving cooperation and mutual capacity and capability, enhancing collective global awareness, and providing comprehensive and effective response options to threats in the maritime domain.

Global maritime partnerships represent the overarching framework by which the US Government fosters and sustains cooperative relationships with international maritime partners. In concert with other US armed services, other US agencies, NGOs, and private industry, the Navy, Marine Corps, and Coast Guard address mutual maritime concerns such as freedom of navigation, the safe flow of commerce, deterrence of terrorism, and protection of the oceans' resources in a voluntary, informal, and nonbinding capacity.

The ability of individual nations to secure their territorial waters is the foundation upon which global maritime security is built. US naval forces engage with like-minded nations to enhance security and governance. This is accomplished through mutual security training to expand the number of maritime professionals by assisting nations in developing maritime awareness, infrastructure, law enforcement expertise, and the ability to respond to maritime threats and challenges. The goal is to increase the ability of partner nations to safeguard their share of the sea's resources, develop and protect their maritime infrastructure, and enforce international port security standards. Building partner capacity and capability is being achieved through expansion of information exchange, training and exercise opportunities, multinational operations, and interoperability enhancements. Naval forces, acting in concert with maritime partners, facilitate development of comprehensive approaches to address local and regional maritime institutional requirements and to advocate for necessary resources. Such initiatives promote more capable partnerships and provide benefit to nations.

Formal international maritime cooperation and governance continue to be garnered through US participation in the International Maritime Organization (IMO). Led by the US Coast Guard, US delegations include representatives from the US Navy and the joint staff. Following the events of 11 September 2001, the IMO instituted numerous improvements to global maritime security, including vessel tracking, vessel and port

security measures, and strengthening of the Convention on Suppression of Unlawful Acts at Sea. The effectiveness of maritime security relies on strong international law that includes the law of the sea (LOS); regional, multinational, and bilateral agreements; domestic laws and regulations; and private-sector practice and procedure. Although the United States is not a party to the 1982 LOS Convention, it considers the navigation and overflight provisions therein reflective of customary international law and thus acts in accordance with the 1982 LOS Convention.

## **MARITIME DOMAIN AWARENESS**

Identifying the full range of maritime threats is essential to increasing security in the maritime domain. It requires a joint operational architecture to collect, analyze, and disseminate enormous quantities of information concerning vessels, people, cargo, infrastructure, maritime areas of interest, and ongoing maritime security operations. Forward-postured, culturally aware naval forces contribute such information to a common repository. This information is analyzed to identify threats in the maritime domain and then disseminated to naval forces and participating maritime partners. Naval, Department of Defense (DOD), OGA, and coalition partners determine what actions must be taken based on the collected and fused information.

As a result of increased maritime domain awareness (MDA) and greater international participation in maritime security activities, forward-deployed naval forces, operating in conjunction with partner nations, respond to an expanding range of maritime security threats. Maritime domain awareness provides valuable information to responsible actors to protect their maritime sovereignty and commercial interests by recognizing and reporting those who seek advantage by violating agreed-upon international law.

## **RESPONSE OPTIONS**

US naval forces, along with other conventional forces, special operations forces (SOF), OGAs, law enforcement agencies, and multinational partners, provide the following options in response to maritime threats:

- **Surveillance and Tracking.** When suspicious behavior is discerned, vessels of interest are identified for surveillance and tracking. This action permits more effective and efficient investigation, interception, and interdiction, when appropriate. Surveillance and tracking activities are conducted using a wide variety of military and commercial space-based systems, as well as air, surface, and underwater sensors and units.
- **Maritime Interception Operations.** Maritime interception operations (MIO) are defined as “efforts to monitor, query, and board merchant vessels in international waters to enforce sanctions against other nations such as those in support of United Nations Security Council Resolutions and/or prevent the transport of restricted goods.” (JP 1-02. Source: JP 3-0) Boarding teams of Sailors, Marines, Coastguardsmen, and other law enforcement personnel are trained in the techniques of visit, board, search, and seizure (VBSS) to conduct MIO worldwide. These boardings are used for specific missions based on authorities, laws, and jurisdiction.

- Law Enforcement Operations. Law enforcement operations (LEO) are a form of interception operations. LEO, however, is different from MIO. Coast Guard cutters routinely conduct independent LEO. DOD personnel are generally prohibited from direct involvement in law enforcement activities. Navy vessels or foreign naval vessels may, however, embark Coast Guard law enforcement detachments with the power to make arrests in US and international waters. LEO may be conducted to counter activities such as illegal immigration or drug trafficking.
- Expanded Maritime Interception Operations. Expanded MIO (EMIO) are authorized by the President and directed by the SecDef to intercept vessels identified to be transporting terrorists and/or terrorist-related material that pose an imminent threat to the United States and its allies. (For further discussion of EMIO, see JP 3-03, *Joint Interdiction*.)

Global maritime partnerships, MDA, and response options are examples of increased engagement and cooperation our naval forces are forging with like-minded nations around the world. Specific examples of increased engagement and cooperation with our maritime partners include: Africa Partnership Station, training and exercises with NATO countries, closer maritime partnering with Canada and Mexico in securing our borders, UNITAS, PANAMAX, Southern Partnership Station, and United States Naval Ship (USNS) *Comfort* and USNS *Mercy* deployments.

## **PHASES OF AN OPERATION OR CAMPAIGN**

The United States employs its military capabilities at home and abroad in support of its national security goals in a variety of operations that vary in size, purpose, and combat intensity. The use of joint capabilities in humanitarian assistance, military engagement, security cooperation, and deterrence activities helps shape the operational environment and keeps the day-to-day tensions between nations or groups below the threshold of armed conflict while maintaining US global influence. A crisis response or limited contingency operation can be a single small-scale, limited-duration operation, or a significant part of a major operation of extended duration involving combat. The associated general strategic and operational objectives are to protect US interests and prevent surprise attack or further conflict. When required to achieve national strategic objectives or protect national interests, the US national leadership may decide to conduct a major operation or campaign involving large-scale combat, placing the United States in a wartime state. In such cases, the general goal is to prevail against the enemy as quickly as possible, conclude hostilities, and establish conditions favorable to the host nation and the United States and its multinational partners.

JP 3-0, *Joint Operations*, describes six phases of an operation or campaign: shape, deter, seize the initiative, dominate, stabilize, and enable civil authority. While phases are usually conceived and depicted as sequential in nature, as a practical matter there may be considerable overlap and simultaneity among phases. Nevertheless, transitions between phases are designed to be distinct shifts in focus by the joint force and are often accompanied by changes in command relationships. The need to move into another phase normally is identified by assessing that a set of objectives is achieved or that the adversary has acted in a manner that requires a major change in focus for the joint force and is therefore usually event driven, not time driven. Changing the focus of the

operation takes time and may require changing priorities, command relationships, force allocation, or even the design of the operational area. An example is the shift of focus from sustained combat operations in the dominate phase to a preponderance of stability operations in the stabilize and enable civil authority phases. Hostilities gradually lessen as the joint force begins to reestablish order, commerce, and local government and deters adversaries from resuming hostile actions while the United States and the international community take steps to establish or restore the conditions necessary to achieve strategic objectives.

This challenge demands an agile shift in joint force skill sets, actions, organizational behaviors, and mental outlooks and coordination with a wider range of other organizations — OGAs, multinational partners, intergovernmental organizations (IGOs), and NGOs — to provide those capabilities necessary to address the mission-specific factors. Although the JFC determines the number and actual phases used during a joint campaign or operation, use of the phases provides a flexible model to arrange smaller, related operations.

The six core capabilities of the Navy, Marine Corps, and Coast Guard are resident throughout the six phases of a campaign. See Figure 3-2 for a graphical representation of notional naval core capabilities and their application across the phases of a campaign continuum. The following discussion of the principles of joint operations applicable during each phase is designed to be illustrative, not all-inclusive.

### ***Phase 0: Shape***

Joint and multinational operations — inclusive of normal and routine military activities — and various interagency activities are performed to dissuade or deter potential adversaries and to assure or solidify relationships with friends and allies. They are executed continuously with the intent to enhance international legitimacy and gain multinational cooperation in support of defined military and national strategic objectives. They are designed to assure success by shaping perceptions and influencing the behavior of both adversaries and allies, developing Allied and friendly military capabilities for self-defense and coalition operations, improving information exchange and intelligence sharing, and providing US forces with peacetime and contingency access. Shape phase activities must adapt to a particular theater environment and may be executed in one theater in order to create effects and/or achieve objectives in another.

- Naval Activities/Operations. Examples include normal and routine local training and deployed operations of ships, aircraft, submarines, and MAGTFs; maritime security operations; presence operations (including port visits); exercises; security assistance; community relations (COMREL) projects; distinguished visitor program; Chief of Naval Operations counterpart visits; cooperative deployments; foreign exchange officer programs; conferences; global networking and information sharing with partners; personnel exchange and military-to-military programs; HA/DR missions; conduct of humanitarian assistance as part of normal and routine deployment tasks, use of strategic communication to shape perceptions and influence behavior of actors in the environment; conduct of intelligence, surveillance, and reconnaissance (ISR) in support of normal and routine local and deployed operations.

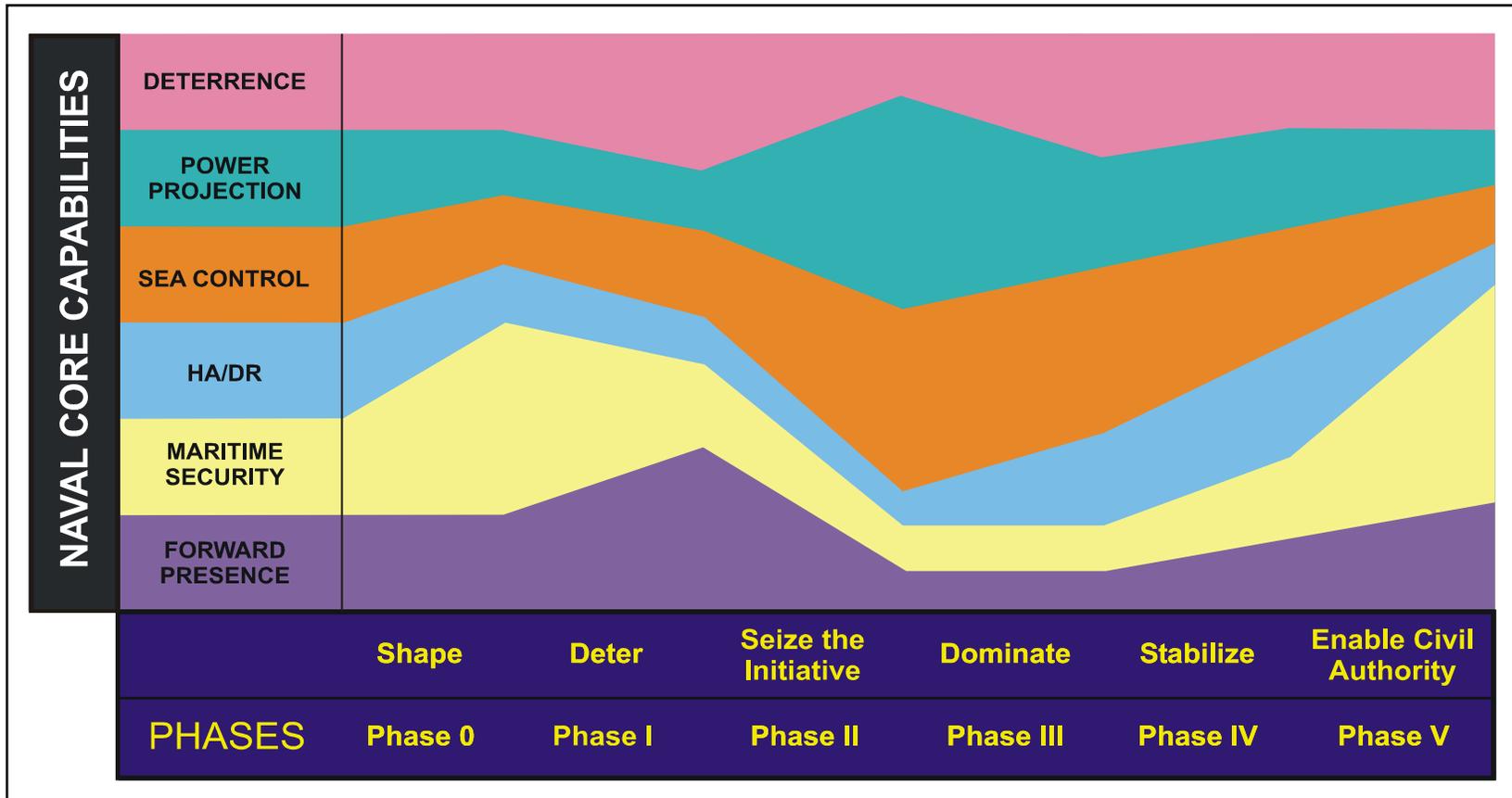


Figure 3-2. Notional Application of Naval Core Capabilities Across the Six-Phase Campaign Model Continuum

- Principles of Joint Operations. Economy of force and maneuver are two principles at work during the shape phase of a campaign. Economy of force calls for the allocation of minimal essential combat power to secondary efforts. It is the judicious employment and distribution of forces. Economy of force is the measured allocation of available combat power to such tasks as limited attacks, defense, delays, deception, or even retrograde operations to achieve mass elsewhere at the decisive point and time. Maneuver is the movement of forces in relation to an adversary to secure or retain a position of advantage. It is designed to keep an adversary off balance and to protect the friendly force by preserving freedom of action and reducing vulnerabilities.

### ***Phase I: Deter***

The intent of this phase is to deter undesirable adversary action by demonstrating the capabilities and resolve of the joint force. It differs from deterrence that occurs in the shape phase in that it is largely characterized by preparatory actions that specifically support or facilitate the execution of subsequent phases of the operation/campaign. Once the crisis is defined, these actions may include mobilization; tailoring of forces and other predeployment activities; initial overflight permission(s) and/or deployment into a theater; employment of ISR assets; and development of mission-tailored C2, intelligence, force protection, and logistic requirements to support the JFC's concept of operations. Combatant commanders continue to engage multinational partners, thereby providing the basis for further crisis response. Liaison teams and coordination with OGAs, IGOs, and NGOs assist in setting conditions for execution of subsequent phases of the campaign. Many actions in the deter phase build on activities from the previous phase and are conducted as part of security cooperation plans and activities. They can also be part of stand-alone operations.

- Naval Activities/Operations. Examples include continued activities focusing on forward presence, presence operations (including port visits), exercises, security assistance, COMREL projects, cooperative deployments, conferences, global networking and information sharing with partners, HA/DR, and fleet ballistic missile submarine deployments; maneuvering/transporting of additional Navy, Coast Guard, and Marine Corps forces into an area of operations, either by diverting them from their current area of forward deployment or by surging them from the continental United States; increasing the persistence of ISR and other activities in support of anticipated sea-control operations; engineering and health service support activities; and ongoing strategic communication campaigns.
- Principles of Joint Operations. In addition to maneuver discussed above, unity of command applies to the deter phase of a campaign. Unity of command means all forces operate under a single commander with the authority to direct all in the pursuit of a common purpose. During multinational operations and interagency coordination, unity of command may not be possible, but the requirement for unity of effort remains essential. As a crisis becomes recognized in the deter phase, issues affecting unity of command and unity of effort require the attention of commanders at all levels.

### ***Phase II: Seize the Initiative***

Joint force commanders seek to seize the initiative in combat and noncombat situations through the application of appropriate joint force capabilities. In combat operations this involves executing offensive operations at the earliest possible time, forcing the enemy to offensive culmination and setting the conditions for decisive operations. Rapid application of joint combat power may be required to delay, impede, or halt the enemy's initial aggression and to deny its initial objectives. If an enemy has achieved its initial objectives, the early and rapid application of offensive combat power can dislodge enemy forces from their position, creating conditions for the exploitation, pursuit, and ultimate destruction of both the forces and their will to fight during the dominate phase. During this phase, operations to gain access to theater infrastructure and to expand friendly freedom of action continue while the JFC seeks to degrade enemy capabilities with the intent of resolving the crisis at the earliest opportunity. In all operations, the JFC establishes conditions for stability by providing immediate assistance to relieve conditions that precipitated the crisis.

- **Naval Activities/Operations.** Examples include continued activities focusing on forward presence, HA/DR, and deterrence; a shift of resources away from routine presence operations in order to support sea control and power projection; aggressive ISR and strike operations to establish initial maritime superiority in the area of operations; aggressive use of information operations (IO) to support strike and forcible entry operations by sea-based air, missile, and amphibious/expeditionary forces in support of the JFC's campaign plan; major exercises in the area of operations to continue show of force; conduct of HA/DR, including noncombatant evacuation operations, as required.
- **Principles of Joint Operations.** The principles of offensive and surprise command attention during the seize the initiative phase. Offensive action is the most effective way to achieve a clearly defined objective. It is designed to seize, retain, and exploit the initiative. The purpose of surprise is to act at a time or place or in a manner for which the adversary is unprepared. Through surprise, the balance of combat power can be shifted and success achieved well out of proportion to the effort expended.

### ***Phase III: Dominate***

The dominate phase focuses on breaking the enemy's will for organized resistance or, in noncombat situations, control of the operational environment. Success in this phase depends upon overmatching joint force capability at the critical time and place. This phase includes full employment of joint force capabilities and continues the appropriate sequencing of forces into the operational area as quickly as possible. When a campaign is focused on conventional enemy forces, the dominate phase normally concludes with decisive operations that drive an enemy to culmination and achieve the JFC's operational objectives. Against unconventional enemies, decisive operations are characterized by dominating and controlling the operational environment through a combination of conventional/unconventional, information, and stability operations. Stability operations are conducted as needed to ensure a smooth transition to the next phase and relieve suffering. In noncombat situations, the joint force's activities seek to control the situation or operational environment. Dominate phase activities may establish the conditions for an

early favorable conclusion of operations or set the conditions for transition to the next phase of the campaign.

- Naval Activities/Operations. Examples include continued forward presence, MIO/EMIO, HA/DR, deterrence, and a reduced level of routine maritime security operations; Navy land- and sea-based air and missile forces establish maritime supremacy by winning the war at sea and continue to support the JFC's campaign plan; provide ISR, IO, strike, fires, logistics, engineering, and health service support as required; MAGTFs conduct maneuver warfare ashore in support of the JFC's plan.
- Principles of Joint Operations. The principles of objective and mass might be foremost in the commander's mind during the dominate phase of a campaign. The purpose of objective is to direct every military operation toward a clearly defined, decisive, and achievable military goal, which in turn supports the achievement of theater and national strategic objectives. Mass concentrates the effects of combat power at the most advantageous place and time to produce decisive results. To achieve mass is to synchronize and/or integrate force capabilities where they have a decisive impact in a short period of time.

#### ***Phase IV: Stabilize***

The stabilize phase is required when there is limited or no functioning legitimate civil governing entity present. The joint force may be required to perform limited local governance, integrating the efforts of other supporting/contributing multinational, OGA, IGO, or NGO participants until legitimate local entities are functioning. This includes providing or assisting in the provision of basic services to the population. The stabilize phase is typically characterized by a change from sustained combat operations to stability operations. Stability operations are necessary to ensure that the threat (military and/or political) is reduced to a manageable level that can be controlled by the potential civil authority or, in noncombat situations, to ensure that the situation leading to the original crisis does not reoccur or its effects are mitigated. Redeployment operations may begin during this phase and should be identified as early as possible. Throughout this segment, the JFC continuously assesses the impact of current operations on the ability to transfer overall regional authority to a legitimate civil entity, which marks the end of the phase.

- Naval Activities/Operations. Examples include continued forward presence, HA/DR, deterrence operations, and IO. As the need for active sea control and power-projection operations decline, a shift in emphasis to maritime security operations is required, including provision of sea-based support to SOF units and the conduct of counterinsurgency and nation-assistance operations; US Coast Guard forces and detachments, as well as Navy expeditionary security forces and afloat MAGTFs, may be required to conduct LEO/MIO/EMIO/VBSS operations and to train coalition forces to assist in establishing a stable environment for the final phase.
- Principles of Joint Operations. Although the principle of security is applicable throughout all the phases of a campaign, we highlight it here. The purpose of security is to never permit the adversary to acquire unexpected advantage. It reduces vulnerability to hostile acts, influence, and surprise. Risk is inherent in

military operations. Application of the principle of security includes prudent risk assessment and risk management, not undue caution.

### ***Phase V: Enable Civil Authority***

This phase is predominantly characterized by joint force support to legitimate civil governance. This support will be provided to the civil authority with its agreement at some level, and in some cases especially for operations within the United States, under its direction. The goal is for the joint force to enable the viability of the civil authority and its provision of essential services to the largest number of people in the region. This includes coordination of joint force actions with supporting multinational, OGA, IGO, and NGO participants and influencing the attitude of the population favorably regarding the United States and local civil authority's objectives. The joint force will be in a supporting role to the legitimate civil authority in the region throughout the enable civil authority phase. Redeployment operations, particularly for combat units, will often begin during this phase and should be identified as early as possible. The military end state is achieved during this phase, signaling the end of the joint operation. The joint operation is concluded when redeployment operations are complete. Combatant command involvement with other nations and OGAs beyond the termination of the joint operation may be required to achieve the national strategic end state.

- Naval Activities/Operations. During this phase it is anticipated that the level of effort for five of the six core capabilities has returned to that established at the start of the campaign. The exception is maritime security operations, which may or may not involve counterinsurgency, reconstruction, sea-control operations, and other operations designed to develop and improve capability of the enabled civil authority to secure its maritime domain. Naval forces may continue to provide sea-based support to SOF units conducting nation-assistance operations, logistics, engineering, and fire support to host nation (HN) forces, and to conduct counterinsurgency operations in support of HN forces. HA/DR deployment examples include Partnership of the Americas, Pacific Partnership, Continuing Promise, Southern Partnership Station, and Africa Partnership Station.
- Principles of Joint Operations. For this phase of a campaign, the principle of simplicity is applicable. Clear, uncomplicated plans and orders should be prepared to allow thorough understanding. Simplicity contributes to successful operations by minimizing misunderstanding and confusion. Simplicity and clarity of expression greatly facilitate mission execution in the stress, fatigue, and other complexities of modern combat and are especially critical to success in multinational operations. The enable civil authority phase is greatly enhanced by keeping it simple, particularly when language is a barrier to understanding.

## CONCLUSION

NDP 1, *Naval Warfare*, describes our operating philosophy, distinctive characteristics, and core capabilities. Our philosophy incorporates the principles of joint operations while making the best use of the inherent characteristics and advantages of our naval forces. The core capabilities of our forces make us uniquely suited to be our Nation's first response to crises of all sizes at sea, within the maritime domain, and in defense of the homeland. Through the effective employment of sensors and weapons, and supported by a comprehensive intelligence and logistics infrastructure, naval forces dominate the operational environment from which we project power at sea and ashore.

This capstone publication reaffirms our sense of identity and purpose in the Naval Service. The varied seniority and experience of our Sailors, Marines, and Coastguardsmen influence what each shall gain from reading *Naval Warfare*. For some, NDP 1 may prompt a search for essential elements of our operating philosophy, such as identification of the commander's intent, in their review of operation orders and procedures. For others, it might suggest a review of other Service doctrines. If it stimulates discussion, promotes further study, and instills in readers a feeling of ownership as contributing members of a coordinated Navy, Marine Corps, and Coast Guard team, then NDP 1 will have properly served its purpose.

Our naval forces contribute decisively to US global leadership and are vital to shaping an environment that enhances our national security. A strong naval team, capable of conducting operations across the range of military operations, is essential to that effort. Our forward presence, timely crisis response, and sustainable power projection provide naval commanders and JFCs a broad and flexible array of operational capability. A strong maritime force is clearly an imperative in ensuring our nation's security and continued prosperity.

INTENTIONALLY BLANK

# GLOSSARY

**area of operations (AO).** An operational area defined by the joint force commander for land and maritime forces. Areas of operation do not typically encompass the entire operational area of the joint force commander, but should be large enough for component commanders to accomplish their missions and protect their forces. (JP 1-02. Source: JP 3-0)

**blue water.** The high seas and open oceans. (NDP 1)

**brown water.** Navigable rivers, estuaries, and associated ports. (NDP 1)

**campaign.** A series of related major operations aimed at achieving strategic and operational objectives within a given time and space. (JP 1-02. Source: JP 5-0)

**combatant command.** A unified or specified command with a broad continuing mission under a single commander established and so designated by the President, through the Secretary of Defense and with the advice and assistance of the Chairman of the Joint Chiefs of Staff. Combatant commands typically have geographic or functional responsibilities. (JP 1-02. Source: JP 5-0)

**combatant command (command authority) (COCOM).** Nontransferable command authority established by title 10 (“Armed Forces”), United States Code, section 164, exercised only by commanders of unified or specified combatant commands unless otherwise directed by the President or the Secretary of Defense. Combatant command (command authority) cannot be delegated and is the authority of a combatant commander to perform those functions of command over assigned forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction over all aspects of military operations, joint training, and logistics necessary to accomplish the missions assigned to the command. Combatant command (command authority) should be exercised through the commanders of subordinate organizations. Normally this authority is exercised through subordinate joint force commanders and Service and/or functional component commanders. Combatant command (command authority) provides full authority to organize and employ commands and forces as the combatant commander considers necessary to accomplish assigned missions. Operational control is inherent in combatant command (command authority). (JP 1-02. Source: JP 1)

**combatant commander (CCDR).** A commander of one of the unified or specified combatant commands established by the President. (JP 1-02. Source: JP 3-0)

**concept of operations (CONOPS).** A verbal or graphic statement that clearly and concisely expresses what the joint force commander intends to accomplish and how it will be done using available resources. The concept is designed to give an overall picture of the operation. (JP 1-02. Source: JP 5-0)

**decentralized execution.** Delegation of execution authority to subordinate commanders. (JP 1-02. Source: JP 3-30)

**deterrence.** The prevention from action by fear of the consequences. Deterrence is a state of mind brought about by the existence of a credible threat of unacceptable counteraction. (JP 1-02. Source: N/A)

**doctrine.** Fundamental principles by which the military forces or elements thereof guide their actions in support of national objectives. It is authoritative but requires judgment in application. (JP 1-02. Source: N/A)

**economy of force.** The allocation of minimum-essential combat capability to supporting efforts, with attendant degree of risk, so that combat power may be concentrated on the main effort. Economy of force is used to describe a principle of war and a condition of tactical operations; it is not used to describe a mission. (MCRP 5-12C)

**end state.** The set of required conditions that defines achievement of the commander's objectives. (JP 1-02. Source: JP 3-0)

**forcible entry.** Seizing and holding of a military lodgment in the face of armed opposition. (JP 1-02. Source: JP 3-18)

**functions.** The appropriate or assigned duties, responsibilities, missions, or tasks of an individual, office, or organization. As defined in the National Security Act of 1947, as amended, the term "function" includes functions, powers, and duties (5 United States Code 171n (a)). (JP 1-02. Source: N/A)

**green water.** Coastal waters, ports, and harbors. (NDP 1)

**homeland.** The physical region that includes the continental United States, Alaska, Hawaii, United States possessions and territories, and surrounding territorial waters and airspace. (JP 1-02. Source: JP 3-28)

**homeland defense (HD).** The protection of United States sovereignty, territory, domestic population, and critical defense infrastructure against external threats and aggression or other threats as directed by the President. (JP 1-02. Source: JP 3-27)

**homeland security (HS).** A concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur. (JP 1-02. Source: JP 3-28)

**host nation (HN).** A nation which receives the forces and/or supplies of allied nations and/or NATO organizations to be located on, to operate in, or to transit through its territory. (JP 1-02. Source: JP 3-57)

**intelligence preparation of the battlespace (IPB).** The analytical methodologies employed by the Services or joint force component commands to reduce uncertainties concerning the enemy, environment, time, and terrain. Intelligence preparation of the

battlespace supports the individual operations of the joint force component commands. (Source: JP 2-01.3)

**interdiction.** 1. An action to divert, disrupt, delay, or destroy the enemy's military surface capability before it can be used effectively against friendly forces, or to otherwise achieve objectives. 2. In support of law enforcement, activities conducted to divert, disrupt, delay, intercept, board, detain, or destroy, as appropriate, vessels, vehicles, aircraft, people, and cargo. (JP 1-02. Source: JP 3-03)

**joint intelligence preparation of the operational environment (JIPOE).** The analytical process used by joint intelligence organizations to produce intelligence estimates and other intelligence products in support of the joint force commander's decision-making process. It is a continuous process that includes defining the operational environment; describing the impact of the operational environment; evaluating the adversary; and determining adversary courses of action. (JP 1-02. Source: JP 2-01.3)

**littoral.** The littoral comprises two segments of the operational environment: 1. Seaward: the area from the open ocean to the shore, which must be controlled to support operations ashore. 2. Landward: the area inland from the shore that can be supported and defended directly from the sea. (JP 1-02. Source: JP 2-01.3). In naval operations, that portion of the world's land masses adjacent to the oceans within direct control of and vulnerable to the striking power of sea-based forces. (NDP 1)

**maneuver.** 1. A movement to place ships, aircraft, or land forces in a position of advantage over the enemy. 2. A tactical exercise carried out at sea, in the air, on the ground, or on a map in imitation of war. 3. The operation of a ship, aircraft, or vehicle, to cause it to perform desired movements. 4. Employment of forces in the operational area through movement in combination with fires to achieve a position of advantage in respect to the enemy in order to accomplish the mission. (JP 1-02. Source: JP 3-0)

**Marine air-ground task force (MAGTF).** The Marine Corps' principal organization for all missions across the range of military operations, composed of forces task-organized under a single commander capable of responding rapidly to a contingency anywhere in the world. The types of forces in the MAGTF are functionally grouped into four core elements: a command element, an aviation combat element, a ground combat element, and a logistics combat element. The four core elements are categories of forces, not formal commands. The basic structure of the MAGTF never varies, though the number, size, and type of Marine Corps units comprising each of its four elements will always be mission dependent. The flexibility of the organizational structure allows for one or more subordinate MAGTFs to be assigned. In a joint or multinational environment, other Service or multinational forces may be assigned or attached. (NDP 1)

**maritime domain.** The oceans, seas, bays, estuaries, islands, coastal areas, and the airspace above these, including the littorals. (JP 1-02. Source: JP 3-32)

**maritime domain awareness (MDA).** The effective understanding of anything associated with the maritime domain that could impact the security, safety, economy, or environment of a nation. (JP 1-02. Source: JP 3-32)

**maritime interception operations (MIO).** Efforts to monitor, query, and board merchant vessels in international waters to enforce sanctions against other nations such as those in support of United Nations Security Council Resolutions and/or prevent the transport of restricted goods. (JP 1-02. Source: JP 3-0)

**maritime security operations (MSO).** Those operations to protect maritime sovereignty and resources and to counter maritime-related terrorism, weapons proliferation, transnational crime, piracy, environmental destruction, and illegal seaborne immigration. (NDP 1)

**maritime superiority.** That degree of dominance of one force over another that permits the conduct of maritime operations by the former and its related land, maritime, and air forces at a given time and place without prohibitive interference by the opposing force. (JP 1-02. Source: JP 3-32)

**maritime supremacy.** That degree of maritime superiority wherein the opposing force is incapable of effective interference. (JP 1-02. Source: N/A)

**mission (MSN).** 1. The task, together with the purpose, that clearly indicates the action to be taken and the reason therefore. 2. In common usage, especially when applied to lower military units, a duty assigned to an individual or unit; a task. (JP 1-02. Source: N/A)

**multi-Service.** Two or more Services. (NTRP 1-02)

**national policy.** A broad course of action or statements of guidance adopted by the government at the national level in pursuit of national objectives. (JP 1-02. Source: N/A)

**naval.** 1. Of or relating to a navy. 2. The Navy and the Marine Corps and, when operating with the other Services, the Coast Guard. (NDP 1)

**operational art.** The application of creative imagination by commanders and staffs — supported by their skill, knowledge, and experience — to design strategies, campaigns, and major operations and organize and employ military forces. Operational art integrates ends, ways, and means across the levels of war. (JP 1-02. Source: JP 3-0)

**operational environment.** A composite of the conditions, circumstances, and influences that affect the employment of capabilities and bear on the decisions of the commander. (JP 1-02. Source: JP 3-0)

**operational level of war.** The level of war at which campaigns and major operations are planned, conducted, and sustained to achieve strategic objectives within theaters or other operational areas. Activities at this level link tactics and strategy by establishing operational objectives needed to achieve the strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events. (JP 1-02. Source: JP 3-0)

**operation plan (OPLAN).** 1. Any plan for the conduct of military operations prepared in response to actual and potential contingencies. 2. In the context of joint operation

planning level 4 planning detail, a complete and detailed joint plan containing a full description of the concept of operations, all annexes applicable to the plan, and a time-phased force and deployment data. It identifies the specific forces, functional support, and resources required to execute the plan and provide closure estimates for their flow into the theater. (JP 1-02. Source: JP 5-0)

**power projection.** 1. The ability of a nation to apply all or some of its elements of national power — political, economic, informational, or military — to rapidly and effectively deploy and sustain forces in and from multiple dispersed locations to respond to crises, to contribute to deterrence, and to enhance regional stability. (JP 1-02. Source: JP 3-35). 2. In naval operations, a broad spectrum of offensive military operations to destroy enemy forces or logistic support or to prevent enemy forces from approaching within enemy weapons range of friendly forces. Power projection may be accomplished by amphibious assault operations, attack of targets ashore, or support of sea control operations. (NDP 1)

**risk assessment.** The identification and assessment of hazards (the first two steps of risk management process). (JP 1-02. Source: JP 1-02)

**risk management.** The process of identifying, assessing, and controlling risks arising from operational factors and making decisions that balance risk cost with mission benefits. (JP 1-02. Source: JP 2-0)

**roles.** The broad and enduring purposes for which the Services and the US Special Operations Command were established in law. (JP 1)

**sea control operations.** The employment of naval forces, supported by land, air, and other forces as appropriate, in order to achieve military objectives in vital sea areas. Such operations include destruction of enemy naval forces, suppression of enemy sea commerce, protection of vital sea lanes, and establishment of local military superiority in areas of naval operations. (NDP 1)

**stability operations.** An overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief. (JP 1-02. Source: JP 3-0)

**strategic communication (SC).** Focused United States Government efforts to understand and engage key audiences to create, strengthen, or preserve conditions favorable for the advancement of United States Government interests, policies, and objectives through the use of coordinated programs, plans, themes, messages, and products synchronized with the actions of all instruments of national power. (JP 1-02. Source: JP 5-0)

**strategic level of war.** The level of war at which a nation, often as a member of a group of nations, determines national or multinational (alliance or coalition) strategic security objectives and guidance, and develops and uses national resources to achieve these objectives. Activities at this level establish national and multinational military objectives; sequence initiatives; define limits and assess risks for the use of military

and other instruments of national power; develop global plans or theater war plans to achieve those objectives; and provide military forces and other capabilities in accordance with strategic plans. (JP 1-02. Source: JP 3-0)

**strategy.** A prudent idea or set of ideas for employing the instruments of national power in a synchronized and integrated fashion to achieve theater, national, and/or multinational objectives. (JP 1-02. Source: JP 3-0)

**tactical level of war.** The level of war at which battles and engagements are planned and executed to achieve military objectives assigned to tactical units or task forces. Activities at this level focus on the ordered arrangement and maneuver of combat elements in relation to each other and to the enemy to achieve combat objectives. (JP 1-02. Source: JP 3-0)

**visit, board, search, and seizure (VBSS).** Procedures by which US forces conduct maritime interception operations in order to determine the true character of vessels, cargo, and passengers. (NTRP 1-02)

## LIST OF ABBREVIATIONS AND ACRONYMS

|                |   |
|----------------|---|
| <b>ACE</b>     | aviation combat element   |
| <b>CAP</b>     | crisis action planning  |
| <b>CCDR</b>    | combatant commander   |
| <b>CE</b>      | combat element  |
| <b>CJCSM</b>   | Chairman of the Joint Chiefs of Staff Manual  |
| <b>COA</b>     | course of action  |
| <b>COCOM</b>   | combatant command (command authority)   |
| <b>COMREL</b>  | community relations   |
| <b>CTF</b>     | commander, task force   |
| <b>C2</b>      | command and control   |
| <b>DIME</b>    | diplomatic, information, military, and economic   |
| <b>DOD</b>     | Department of Defense   |
| <b>DOTMLPF</b> | doctrine, organization, training, materiel, leadership and education, personnel, and facilities |
| <b>EEZ</b>     | economic exclusion zone   |
| <b>EMIO</b>    | expanded maritime interception operations   |
| <b>GCE</b>     | ground combat element   |
| <b>HA/DR</b>   | humanitarian assistance/disaster response (relief per joint doctrine)                           |
| <b>HN</b>      | host nation   |
| <b>IGO</b>     | intergovernmental organization  |
| <b>IMO</b>     | International Maritime Organization   |
| <b>IO</b>      | information operations  |
| <b>IPB</b>     | intelligence preparation of the battlespace   |
| <b>ISR</b>     | intelligence, surveillance, and reconnaissance  |
| <b>JFC</b>     | joint force commander   |
| <b>JIPOE</b>   | joint intelligence preparation of the operational environment                                   |
| <b>JOPES</b>   | Joint Operation Planning and Execution System   |
| <b>JP</b>      | joint publication   |
| <b>JTF</b>     | joint task force  |
| <b>LCE</b>     | logistics combat element  |
| <b>LEO</b>     | law enforcement operations  |
| <b>LOS</b>     | law of the sea  |
| <b>MAGTF</b>   | Marine air-ground task force  |
| <b>MARDIV</b>  | Marine division   |
| <b>MDA</b>     | maritime domain awareness   |
| <b>MIO</b>     | maritime interception operations  |
| <b>MSO</b>     | maritime security operations  |
| <b>NDP</b>     | naval doctrine publication  |

|               |  |
|---------------|--|
| <b>NGO</b>    | nongovernmental organization           |
| <b>OGA</b>    | other government agency                |
| <b>OPCON</b>  | operational control                    |
| <b>OPLAN</b>  | operation plan                         |
| <b>OPORD</b>  | operation order                        |
| <b>PWCS</b>   | ports, waterways, and coastal security |
| <b>SecDef</b> | Secretary of Defense                   |
| <b>SOF</b>    | special operations forces              |
| <b>TACON</b>  | tactical control                       |
| <b>TCP</b>    | theater campaign plan                  |
| <b>TE</b>     | task element                           |
| <b>TF</b>     | task force                             |
| <b>TG</b>     | task group                             |
| <b>TTP</b>    | tactics, techniques, and procedures    |
| <b>TU</b>     | task unit                              |
| <b>US</b>     | United States                          |
| <b>USC</b>    | United States Code                     |
| <b>USNS</b>   | United States Naval Ship               |
| <b>VBSS</b>   | visit, board, search, and seizure      |





0411LP1102646