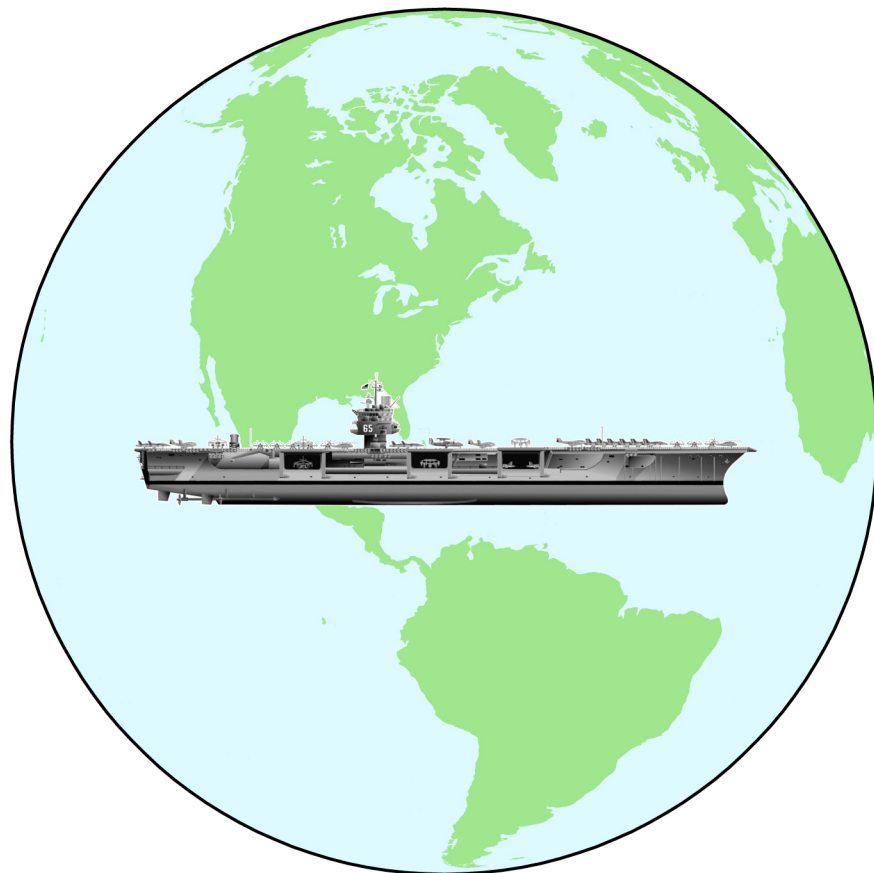


The U.S. Navy in the World (1970-2010):

Context for U.S. Navy Capstone Strategies and Concepts:
Volume I

Peter M. Swartz
with Karin Duggan



MISC D0026417.A1/Final
December 2011

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Approved for distribution:

December 2011



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

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Contents

CNA

◆ Introduction & guide	2
◆ The world of 1970 & the world of 2010	3
◆ Growth of world international system	4
◆ Comparing national economic power	5
◆ Growth of world maritime trade	6
◆ Global trends in armed conflict	6
◆ Piracy trends	8
◆ Disaster trends	9
◆ Comparing national defense spending	9
◆ US economy & defense spending	10

1

CNA

◆ US popular views of US defense spending	11
◆ US Navy capstone documents in context	11
◆ Direction to the US Navy	12
◆ Comparing military department TOA \$	14
◆ Comparing active duty personnel	14
◆ US Navy dollars, numbers, capabilities	15
◆ US Navy budget composition	15
◆ US Navy force level goals	16
◆ US-flag merchant marine	16
◆ US shipbuilding deliveries	17

2

Introduction & guide

CNA

- ◆ This paper provides context & trends across entire 1970-2010 period
- ◆ **Some charts also reproduced separately in larger, more readable format**
 - ◆ In *U.S. Navy in the World (1970-2010): Context for U.S. Navy Capstone Strategies and Concepts, Volume II*
 - ◆ See inside back cover for complete reference information
- ◆ Detailed context for each decade also provided separately
 - ◆ See inside back cover for complete reference information

3

Context & trends (1970-2010)

CNA

- ◆ This study shows context & trends
 - ◆ World events & threats
 - ◆ Presidential administrations
 - ◆ National security strategies & policies
 - ◆ SECDEFs & CJCSs
 - ◆ SECNAVs & CNOs
 - ◆ Higher authority documents
 - ◆ Economic, budget, force level & personnel trends
 - ◆ New capabilities

4

Why so much discussion of *context*?

CNA

- ◆ The documents make little sense without understanding the *context* within which their authors drafted and signed them
 - ◆ “*Strategies* describe the ways organizations apply *means* to accomplish their *ends*, or objectives. Military strategy . . . is about the *context* in which means will be applied”
 - ◆ “Context is the centerpiece to understanding Navy strategic culture. The study of naval affairs and of naval history takes place in a setting in which leadership provides the beacons, but events and how they were resolved in the prevailing environmental, social, economic, and political contexts constitutes the learning process.”
 - ◆ CAPT Roger Barnett USN (Ret), *Navy Strategic Culture: Why the Navy Thinks Differently* (2009)

5

Context: The world of 1970

CNA

- ◆ Cold war ongoing for over two decades; 5 nuclear powers ☢
- ◆ Hot war in Vietnam since 1964-5 ☀
- ◆ De-colonization almost complete
- ◆ U.S. & Soviet alliance systems
 - ◆ Sino-Soviet split
- ◆ Real & potential wars, crises, & tensions ☀



6

Context: The world of 2010

CNA

- ◆ High globalization & world trade levels; but global economic crises
- ◆ Great economic growth in big “BRIC” states (Brazil/Russia/India/China)
- ◆ U.S. still sole superpower; expanded NATO; other major allies
- ◆ Alienation, ferment, crises in parts of non-Western world (“the Gap”); ☀
- ◆ U.S. prosecuting Global War on Terrorism; opposing “rogues”
- ◆ 4 new nuclear states since 1970; but few interstate wars foreseen ☢



Growth of world international system (1970-2010) CNA

◆ United Nations membership

◆ 1970	127
◆ 1980	154
◆ 1990	159
◆ 2000	189
◆ 2010	192

Comparing national economic power (1970-2010) CNA

	Ranked by Gross Domestic Product (GDP). Also percent share of world GDP*									
	1st	2nd	3rd	4th	5th	6th	7th	8th	9th	10th
1970 +	USA  35%	Germany  7	Japan  7	France  5	UK  4	Italy  4	China  3	Canada  3	India  2	Brazil  1
1980 +	USA  25	Japan  10	Germany  8	France  6	UK  5	Italy  4	Canada  2	Brazil  2	Spain  2	Mexico  2
1990	USA  26	Japan  14	Germany  8	France  6	Italy  5	UK  5	Canada  3	Spain  2	USSR  2	Brazil  2
2000	USA  32	Japan  13	Germany  6	UK  5	France  4	China  4	Italy  3	Canada  2	Brazil  2	Mexico  2
2010	USA  24	China  9	Japan  9	Germany  6	France  5	UK  4	Italy  4	Brazil  3	Canada  2	Russia  2

*Source: World Bank + Excludes USSR

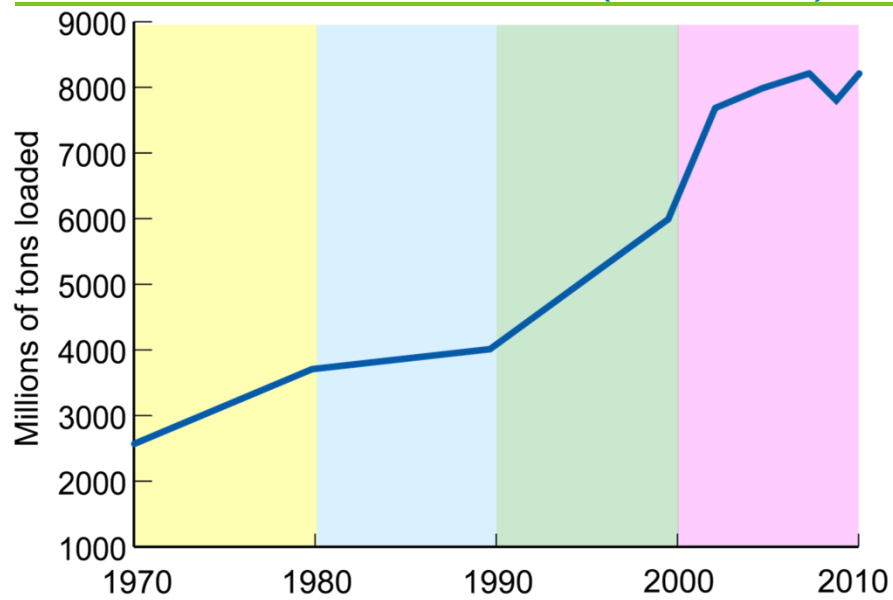
9

Comparing national economic power (1970-2010) CNA

- ◆ USA remained the world's leading economic power across all four decades
 - ◆ But with decreased share of world GDP
- ◆ Close US allies also leading economic powers (Japan, Germany, France, UK, Italy, Canada, etc.)
- ◆ Rapid rise of China over past 20 years to become world's #2 economic power
 - ◆ With increased share of world GDP

10

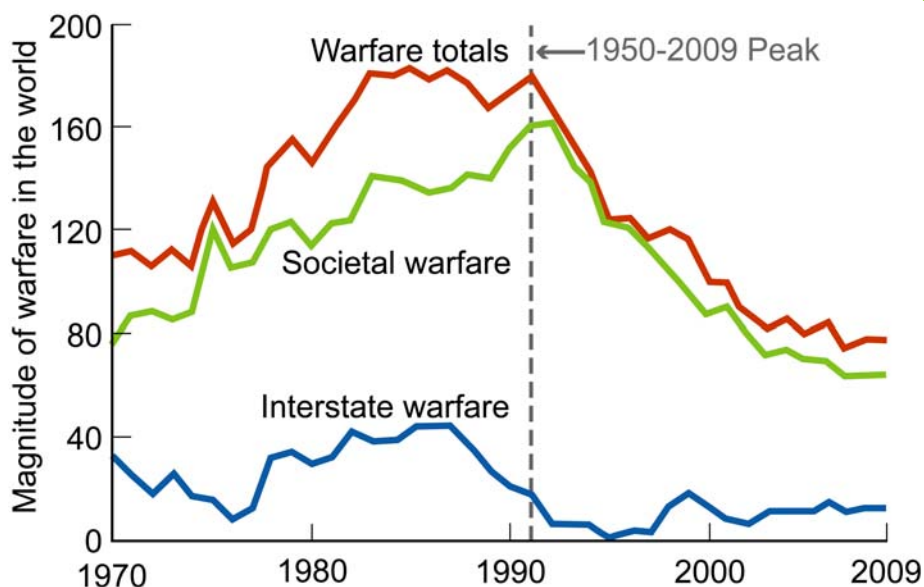
Growth of world maritime trade (1970-2010) CNA



Source: UNCTAD (with 2010 data added)

11

Global trends in armed conflict, 1970-2009* CNA



*Center for Systemic Peace, Center for Global Policy, George Mason University

Global trends in armed conflict: 1970-2010 CNA

- ◆ *Chart based on a rating scale developed at Center for Systemic Peace, Center for Global Policy, George Mason University*
- ◆ Societal warfare the predominant mode of warfare since the mid-1950s
 - ◆ Increased steeply & steadily during the Cold War years
 - ◆ Average of four new societal wars per year
- ◆ Low level of interstate warfare since World War II
 - ◆ Moderate increase during late Cold War (1977-1987)
- ◆ Substantial decline in all forms of warfare since end of Cold War

13

Global trends in armed conflict: 1970-2010 CNA

- ◆ Limited number of high-magnitude interstate wars
 - ◆ Arab-Israeli wars
 - ◆ Vietnamese wars
 - ◆ Afghanistan wars
 - ◆ India-Pakistan wars
 - ◆ Ethiopia-Eritrea War
 - ◆ Iraq-Iran War
 - ◆ Iraq wars

14

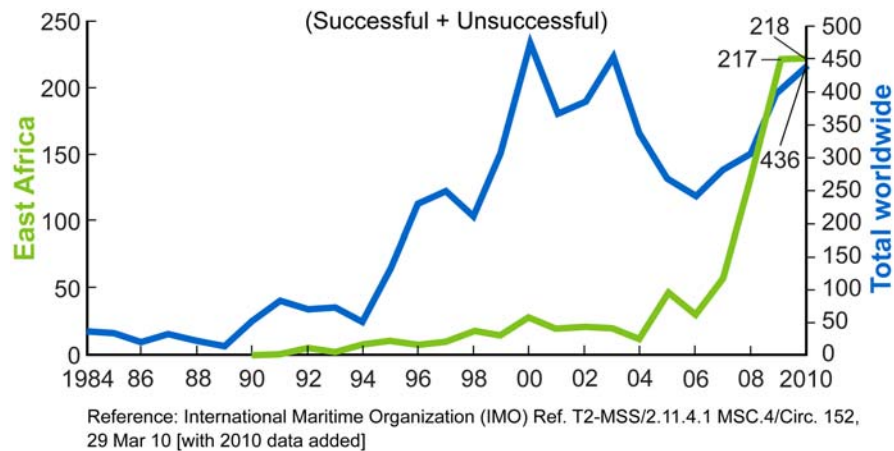
Global trends in armed conflict: 1970-2010 CNA

◆ Protracted societal conflicts (as of 2009)

- | | |
|------------------------|--------------------------|
| ◆ Afghanistan (30 yrs) | ◆ Nigeria (11 yrs) |
| ◆ Colombia (33 yrs) | ◆ Philippines (36 yrs) |
| ◆ Congo (16 yrs) | ◆ Somalia (20 yrs) |
| ◆ India (56 yrs) | ◆ Sri Lanka (just ended) |
| ◆ Iraq (28 yrs) | ◆ Sudan (25 yrs) |
| ◆ Israel (43 yrs) | ◆ Turkey (24 yrs) |
| ◆ Myanmar (60 yrs) | ◆ Uganda (37 yrs) |

15

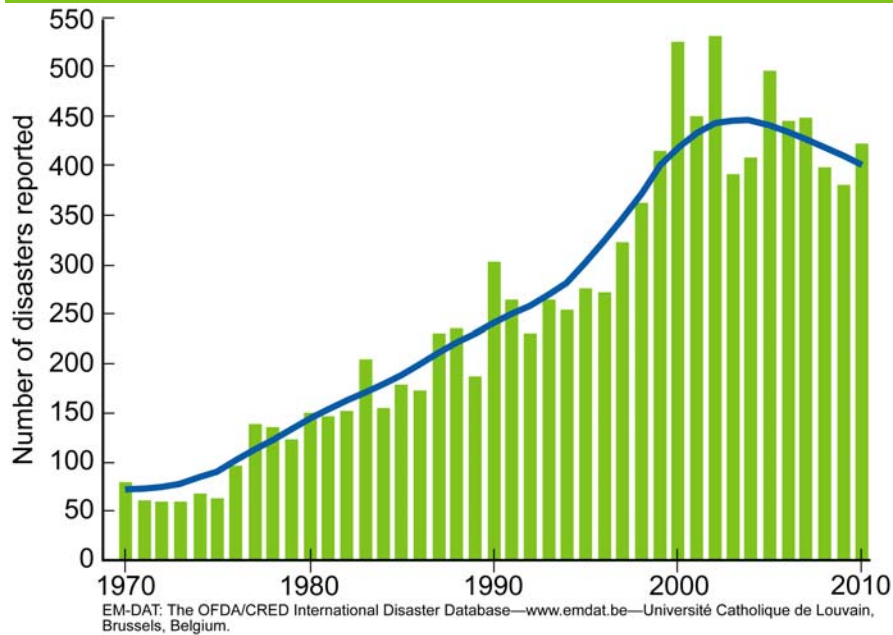
Piracy incidents reported (1984-2010) CNA



16

Natural disasters reported: 1970-2010

CNA



Comparing national defense spending (1970-2010)

CNA

Ranked by reported defense expenditures*

	1st	2nd	3rd	4th	5th	6th	7th	8th	9th	10th
1970 +	USA 	USSR 	UK 	FRG 	France 	Italy 	Japan 	Australia 	Neth. 	Canada
1980	USA 	USSR 	UK 	FRG 	France 	S. Arabia 	China 	Japan 	Italy 	Iran
1990	USA 	USSR 	S. Arabia 	UK 	France 	Germany 	Japan 	China 	Italy 	Canada
2000	USA 	Russia 	Japan 	China 	UK 	France 	Germany 	Italy 	S. Arabia 	Taiwan
2010	USA 	China 	UK 	Japan 	S. Arabia 	France 	Russia 	Germany 	India 	Brazil

FRG = West Germany + Excludes China

*Sources: IISS *Military Balance*: 1987-1988; 1992-1993; 2002-2003; 2011.

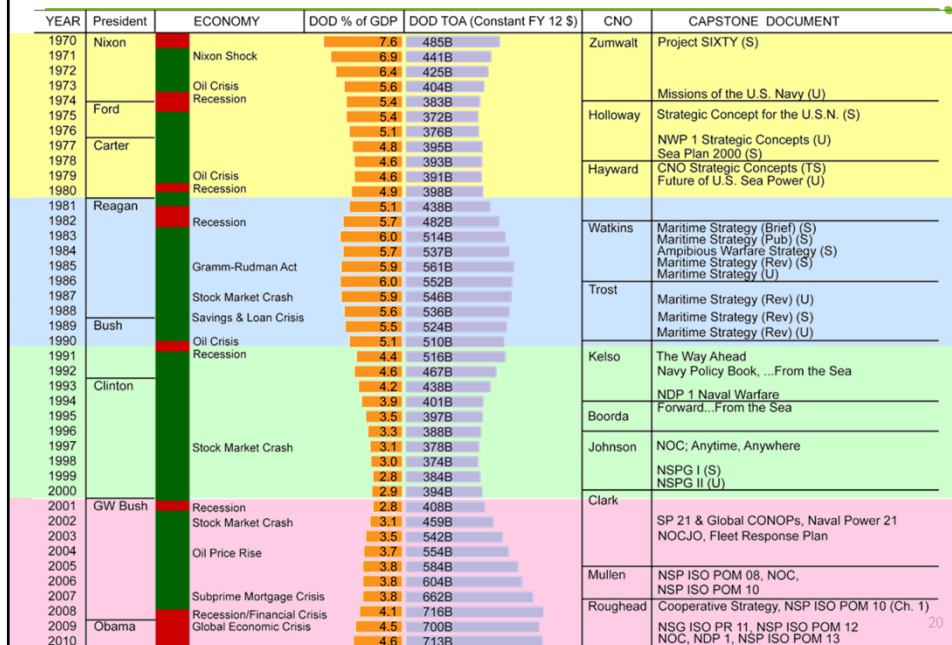
8

Comparing national defense spending (1970-2010) CNA

- ◆ Caveat: Defense spending only one of many indicators of national military power
 - ◆ Experience, training, morale, doctrine, efficiency, etc. also important indicators
- ◆ US remained the leader in defense spending across the four decades
- ◆ Many US allies also leaders in defense spending
- ◆ Rise of China, Japan, India across the four decades, quickening from end of Cold War (1990)
- ◆ Greatly decreased defense spending by Russia – main successor state to old USSR

19

US economy & defense spending (1970-2010) CNA

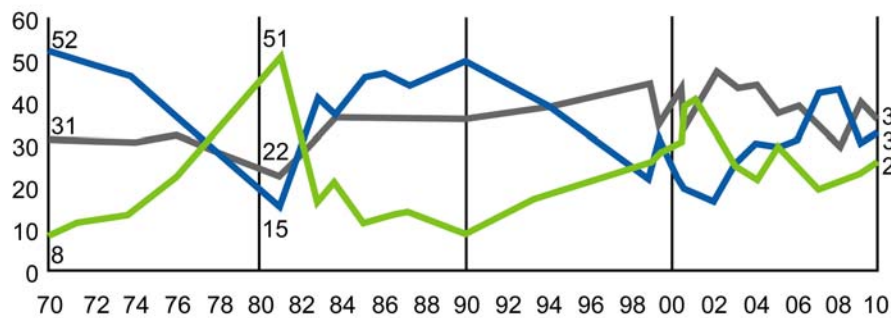


20

US popular views on US defense spending (1970-2010)*

CNA

■ % spending too little ■ % spending too much ■ % spending about right



* Gallup poll data

21

USN capstone documents in context (1970-2010)

CNA

WORLD EVENTS	Year	ADMINISTRATION	SECNAV	CNO	CAPSTONE DOCUMENT	
Soviet Ocean 70	1970	Nixon	Laird	Chafee	Zumwalt	Project SIXTY
India-Pakistan War	1971					
US-USSR INCSEA Agreement/Pres. Nixon to China	1972					
US Vietnam Pullout/USN-SN Med faceoff	1973		Richardson	Warner		
India nuclear test	1974		Schlesinger			Missions of the U.S. Navy
South Vietnam fell	1975	Ford		Middendorf	Holloway	Strategic Concept for the U.S. Navy (S)
Soviet-Egypt Treaty cancelled	1976		Rumsfeld			NWP 1 Strategic Concepts of the U.S. Navy
Panama Canal Treaty	1977	Carter	Brown	Claytor		NWP 1 Strategic Concept of the U.S. Navy (Rev. A) Sea Plan 2000 (S)
Deng Xiaoping leads PRC	1978				Hayward	CNO Strategic Concepts (TS)
Shah fell/Taiwan R. Act/USSR invaded Afghanistan	1979					Future of U.S. Sea Power
Marinel (Cuba) boatlift/Iran rescue Op	1980			Hidalgo		
Gulf of Sidra incident	1981	Reagan	Weinberger	Lehman		
Bekka Valley battles	1982					
Beirut/Grenada ops	1983				Watkins	Maritime Strategy (Brief) (S)
Iran-Iraq War	1984					Maritime Strategy (Pub) (S)
Gorbachev is GSCPSU	1985					Amphibious Warfare Strategy (S), Maritime Strategy (S)
Goldwater-Nichols Act	1986					Maritime Strategy (U)
US air strikes on Libya	1987				Trost	Maritime Strategy (Rev) (U)
Operation Praying Mantis	1988		Carlucci	Webb		
Panama intervention/Cold War ended	1989	Bush	Cheney	Ball	Garrett	Maritime Strategy (Rev) (S)
Iraq invaded Kuwait/Somalia Ops	1990					Maritime Strategy (Rev) (U)
Gulf War/Somalia Ops	1991				Kelso	The Way Ahead
Somalia/Adriatic Ops/Southern Watch	1992			O'Keefe		Navy Policy Book, ...From the Sea
Somalia/Adriatic/Haiti Ops/Southern Watch	1993	Clinton	Aspin	Dalton		NDP 1: Naval Warfare
Somalia/Adriatic/Haiti Ops	1994					
Somalia/Adriatic/Haiti Ops	1995				Boorda	Forward...From the Sea
Desert Strike/Taiwan Straits Crisis	1996		Perry			
Hong Kong restored to China	1997				Johnson	Navy Operational Concept (NOC); Anytime, Anywhere
Operation Desert Fox	1998					
Operation Allied Force/Kosovo occupied	1999		Cohen	Danzig		Navy Strategic Planning Guidance (NSPG) I (S)
USS Cole attacked	2000					Navy Strategic Planning Guidance (NSPG) II (U)
America attacked	2001	GWBush	Rumsfeld	England	Clark	
OEI Afghanistan begins	2002					Sea Power 21 & Global CONOPs, Naval Power 21
OIF began	2003					
IO tsunami	2004					Naval Operating Concept for Joint Operations (NOCJO), Fleet Response Plan (FRP)
Hurricane Katrina	2005					
Lebanon evacuation/DPRK nuclear test	2006			Winter	Mullen	NSP ISO POM 08, NOC, NSP ISO POM 10
Pakistan unrest	2007		Gates			
Somalia, Nigeria piracy	2008				Roughead	Cooperative Strategy, NSP ISO POM 10 (Change 1)
Global economic crisis	2009	Obama				NSG ISO PR 11, NSP ISO POM 12
OEI Afghanistan intensified	2010		Mabus			NOC, NDP 1 Naval Warfare, NSP ISO POM 13

22

22

Direction to the US Navy (1970-2010) (I)

CNA

Year	President	National Document	SECDEF	CJCS	Defense Document	CNO	USN Capstone Document
1969	Nixon	Nixon Doctrine			Defense Policy & Planning Guidance		
1970		NSSMs & NSDMs	Laird		JSPS & PPBS documents		
1971				Moorer		Zumwalt	Project SIXTY (S)
1972		Shanghai Communiqué, ABM Treaty		USN			
1973		NSDM 242	Richardson				Missions of the U.S. Navy
1974							
1975	Ford		Schlesinger	Brown	SECDEF Posture Statements	Holloway	Strategic Concept for the U.S. Navy (S)
1976		NSDM 344, NSDM 348		Rumsfeld			NWP 1 Strategic Concepts of the U.S. Navy
1977	Carter	PRM 10, PD 18					NWP 1 (Rev. A) Strategic Concepts of the U.S. Navy
1978		PRMs & PDs					Sea Plan 2000 (S)
1979						Hayward	CNO Strategic Concepts (TS)
1980		Carter Doctrine, PD 59, PD 62, PD 63		Jones	Contingency Planning Guidance		Future of U.S. Sea Power (U)
1981	Reagan	NSDDs & NSDDs	Weinberger		DOD 5100.1		
1982		NSDD 13			Defense Guidance (DG)		
1983		NSDD 32, NSDD 72		Vessey		Watkins	Maritime Strategy (Brief) (S)
1984		NSDD 75		USA			Maritime Strategy (Pub) (S)
1985		SDI			Weinberger Doctrine		Amphib. Warfare Strategy (S), Maritime Strategy (S)
1986		Reagan Doctrine					Maritime Strategy (U)
1987		INF Treaty, NSDD 265		Crowe	1st "Forces For" memo	Trost	Maritime Strategy (Rev) (U)
1988		NSD 74		USN	DOD 5100.1		
1989	GHWBush	NSRs & NSDs	Carlucci		Discriminate Deterrence		Maritime Strategy (Rev) (S)
1990		National Security Strategy, NSD 49	Cheney	Powell	National Military Strategy		Maritime Strategy (Rev) (U)
1991		National Security Strategy, PNI		USA	Base Force		
1992		NSD 74			Bottom-Up Review	Kelso	The Way Ahead
1993	Clinton	National Security Strategy	Aspin		Nuclear Posture Review		Navy Policy Book, ... From the Sea
1994		PRDs & PDDs (Start II Treaty)		Shali	Joint Pub 1, DPG, CPG		NDP 1 Naval Warfare
1995		National Security Strategy, PDD 25		USA	Joint Pub 1, NMS, CORM	Boorda	Forward... From the Sea
1996		National Security Strategy, PDD 32	Perry		JV 2010		
1997		National Security Strategy, PDD 56, PDD 60			QDR, National Military Strategy	Johnson	NOC; Anytime, Anywhere
1998		National Security Strategy					
1999		National Security Strategy, Clinton Doctrine	Cohen	Shelton			NSPG I (S)
2000		National Security Strategy		USA	JV 2020, JT PUB 1		NSPG II (U)
2001	GWBush	NSPDs, HSPDs	Rumsfeld		Nuclear Posture Review, QDR	Clark	SP 21 & Global CONOPs, Naval Power 21
2002		National Security Strategy, SORT			SPG, TPG, CPG, SCG		NOCJO, Fleet Response Plan
2003		NSCWM, NSCT, PSI		Myers	JOPsc, CJCS JOCs, DOD 5100.1		
2004		NSPD 41/HSPD 13		USAF	GDPR, National Military Strategy		
2005		NSMS			National Defense Strategy, SCA		
2006		National Security Strategy, MOTR		Pace	CCJO, NMSPIVOT		
2007		NSCT, NSHS	Gates	USMC	NMCSWMD, QDR, DOD 5100.1	Mullen	NSP ISO POM 08 (U) (S), NOC
2008				USN	JT PUB 1		NSP ISO POM 10 (S)
2009	Obama	PSDs, PPDs			GDF, GEF	Roughhead	Cooperative Strategy, NSP ISO POM 10 (Ch 1) (S)
2010		National Security Strategy			National Defense Strategy		NSG ISO PR 11 (S), NSP ISO POM 12 (S)
					CCJO, CRM, QDR, NPB, BMDR, PPSG		NOC, NDP 1, NSP ISO POM 13 (S)

23

Direction to the U.S. Navy (1970-2010) (II)

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- ◆ U.S. Constitution
- ◆ Title 10 of U.S. Code, as amended
 - ◆ Other public law
 - ◆ Congressional record on authorization & appropriation language
 - ◆ Congressional intent & committee reports
- ◆ Presidential documents
 - ◆ Classified NSC system documents
 - ◆ NSSMs, NSDDs, PRMs, PDs, NSPDs, HSPDs, PPDs, PSDs, etc.
 - ◆ Unified Command Plan (UCP) (began in 1946)
 - ◆ UNCLAS National Security Strategy (began in 1987)

24

Direction to the U.S. Navy (1970-2010) (III)

- ◆ Successive SECDEF documents
 - ◆ “Functions directives”
 - ◆ *DOD Dir 5100.1, Functions of the Armed Forces and the Joint Chiefs of Staff (later Functions of the Department of Defense and Its Major Components)*
 - ◆ *Forces for Unified Commands* memorandum (“Forces for’ memo”) (from Feb 1987)
 - ◆ UNCLAS *National Defense Strategy* (began 2005)
 - ◆ UNCLAS Posture Statement
 - ◆ *Quadrennial Defense Review (QDR) Reports*
 - ◆ *Guidance for Employment of the Force (GEF)* (began 2008)
 - ◆ And predecessor documents (CPG, etc.)
 - ◆ *Defense Planning and Programming Guidance (DPPG)* (2010)
 - ◆ And predecessor documents (GDF, DG, DPG, etc.)

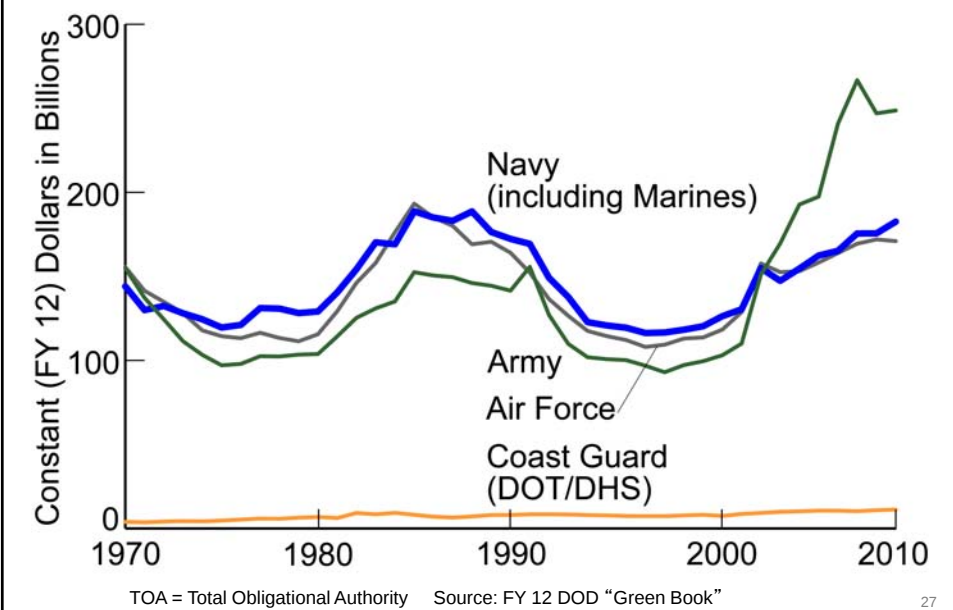
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Direction to the U.S. Navy (1970-2010) (IV)

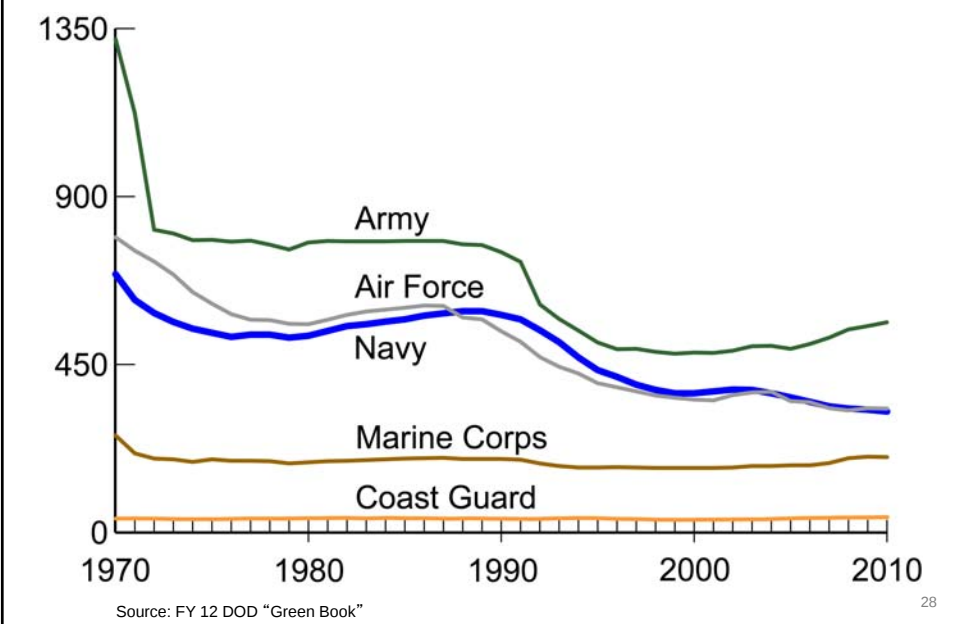
- ◆ Joint Strategic Planning System (JSPS) documents
 - ◆ *Joint Strategic Capabilities Plan (JSCP)* (since 1950s)
 - ◆ JSOP, JSPD, etc.
- ◆ CJCS documents
 - ◆ *National Military Strategy* (began 1992)
 - ◆ CJCS Posture Statement
 - ◆ *Joint Pubs (doctrine)*
 - ◆ *Capstone Concepts for Joint Operations (CCJO)* (began 2005)

26

Comparing military department TOA \$ (1970-2010) CNA

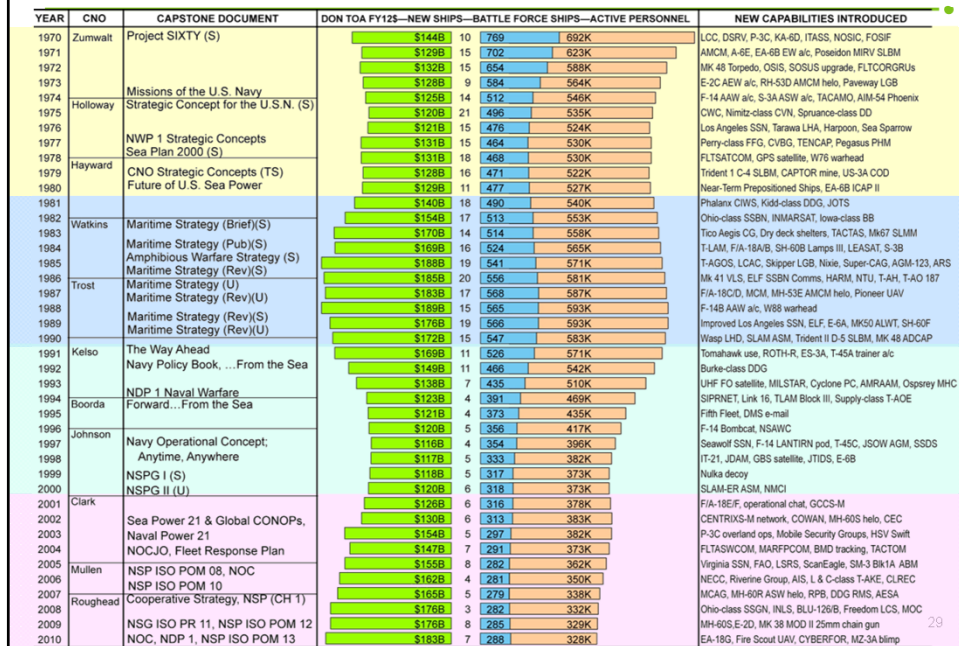


Comparing active duty personnel (1970-2010) CNA



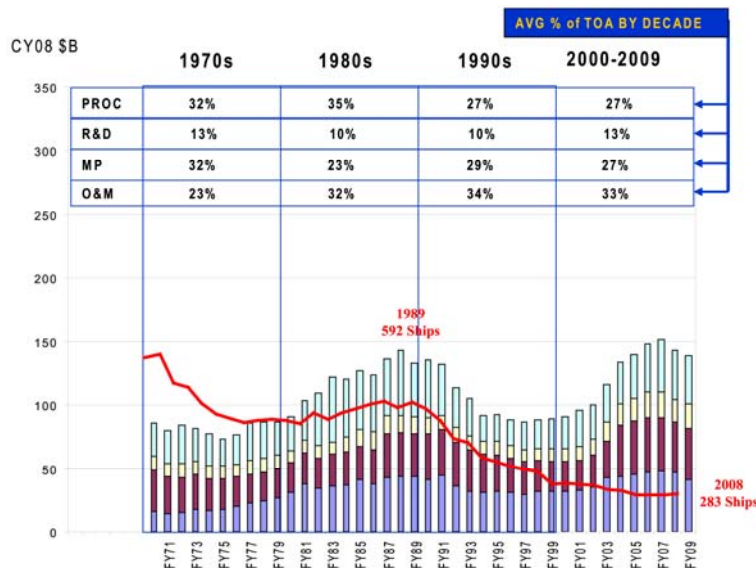
USN dollars, numbers, capabilities (1970-2010)

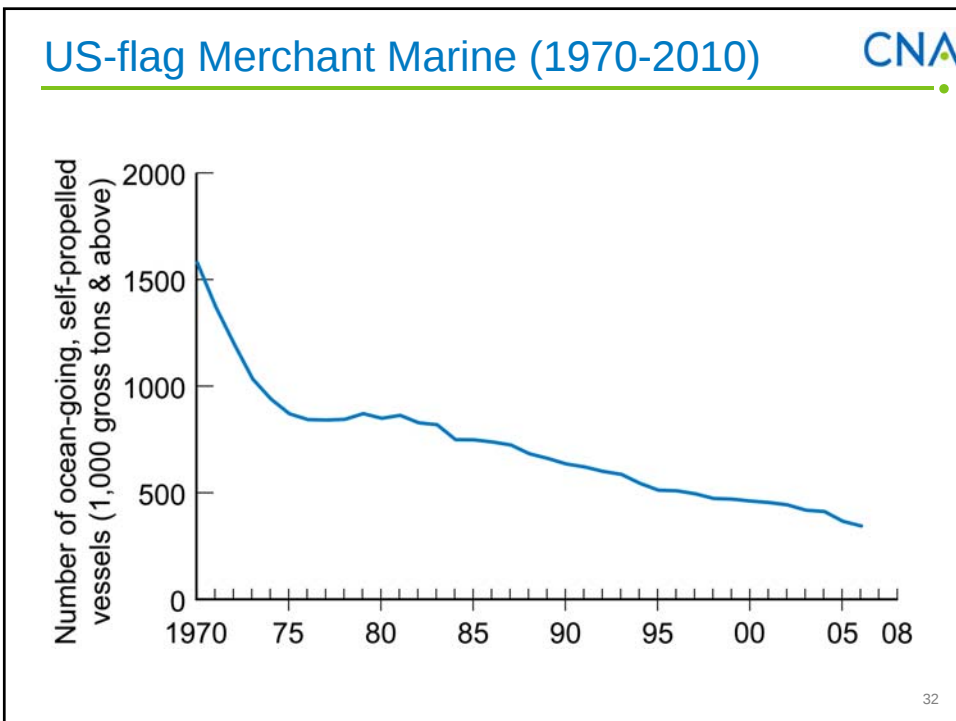
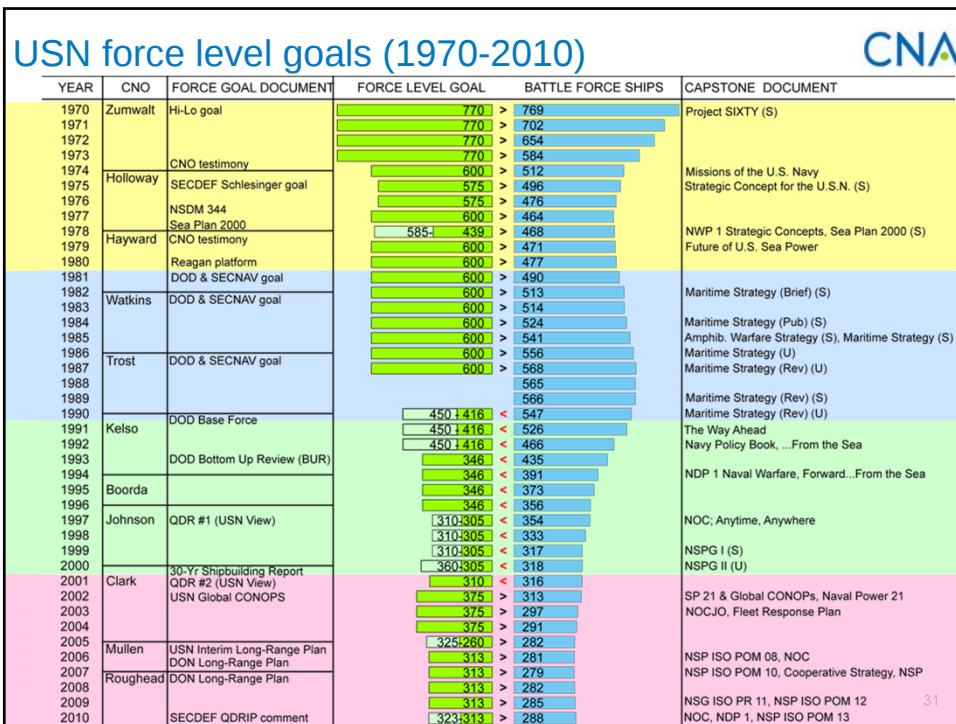
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U.S. Navy budget composition (1970-2010)

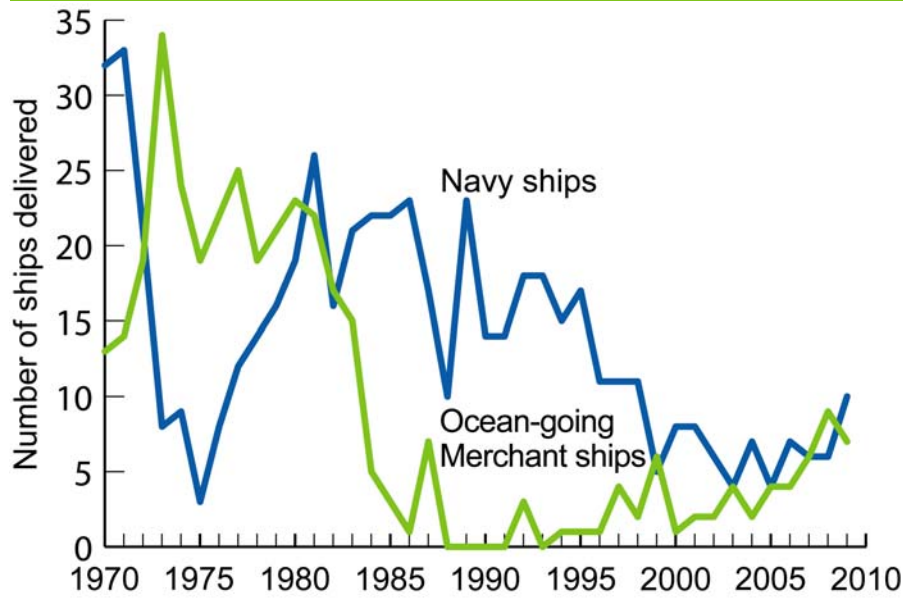
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US shipbuilding deliveries (1970-2010)

CNA



Source: MARAD & Tim Colton.

3

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

- Swartz, Peter M., *U.S. Navy Capstone Strategy, Policy, Vision and Concept Documents: What to consider before you write one*, (CQR D0020071.A1/Final, March 2009).
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