Naval Doctrine Publication 5

Naval Planning

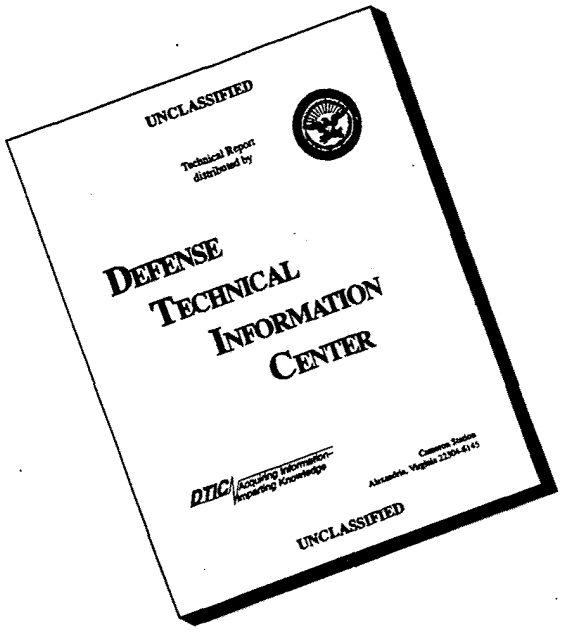
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Naval Planning

"A nineteenth century sailor would be bewildered by a modern warship, but regardless of the appearance of ships, there is one element, the most important of all, that remains unchanged — the man himself. Human nature in all the changing years has altered but little. It is the human element in warfare which may, if understood by the commander, prove to be the only way of converting an impossibility into a successful reality. With trained men and proper materials, the commander's task is reduced to the preparation of good plans."

War Instructions, U. S. Navy, 1944

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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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15 January 1996

FOREWORD

Naval planning is fundamental to leadership. Planning provides the discipline to focus on the objectives, intentions, capabilities, and resources required to accomplish assigned missions. Planning also requires commanders to estimate the capabilities of a potential adversary and to evaluate options.

In a constantly changing world where geopolitical and economic realities alter national and regional power structures, the U.S. Navy and Marine Corps must be ever vigilant as we deploy forces around the world. Naval planning, conducted on a continuing basis, ensures that naval forces are ready and poised to respond quickly to crises or hostilities. When applied effectively, naval plans focus the commander's efforts to support all levels of naval, joint, or multinational operations. All planning procedures apply to both wartime and peacetime operations. Planning directly supports the naval commander's requirement to execute combat, crisis, or humanitarian support. Establishing a robust planning environment is foremost in assuring preparedness to execute U.S. national policy.

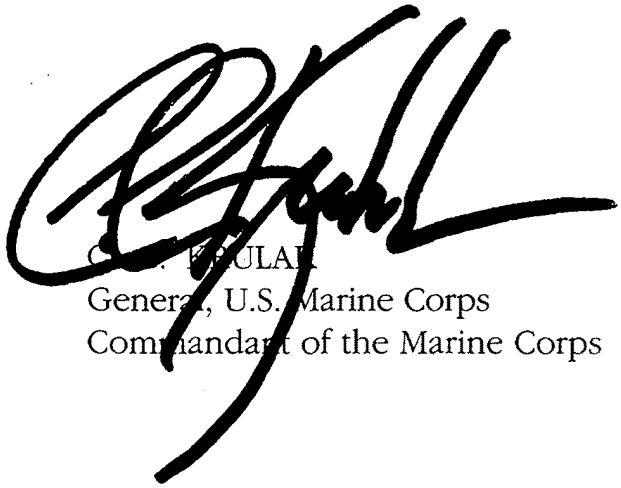
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We will be planning and fighting concurrently, therefore, planning is done as thoroughly as time permits. Because joint operation planning uses assumptions about a future situation, deliberate plans may require adaptations to prepare several options (such as, flexible deterrent options, employment of decisive force, and no-warning attack) using different sets of forces and resources. These deliberate plans are rapidly transformed into crisis action operations orders and campaign plans for immediate use in the adaptive planning process.

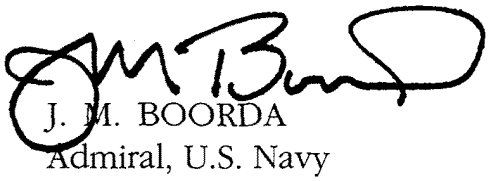
DTIC QUALITY INSPECTED 1

The first naval capstone publication, NDP 1, *Naval Warfare,* describes doctrine as the foundation upon which our tactics, techniques, and procedures are built. NDP 5, *Naval Planning,* our planning doctrine, focuses on how we think about employing forces to win wars. Sound planning doctrine supports the many techniques and procedures utilized in military planning, and encompasses the full spectrum of military operations.

NDP 5 presents broad guidance for the total Navy and Marine Corps team. It describes the basic tenets of military planning emphasizing naval planning and how it fits within both joint operations and the overall strategic/political superstructure. It examines the unique planning requirements mandated by the nature of naval forces and the commonality constraints imposed by the necessity for seamlessly transitioning to the joint/multinational arena. The effectiveness and success of our operations demand that every naval professional understand the contents of NDP 5.



C. [illegible]
General, U.S. Marine Corps
Commandant of the Marine Corps



J. M. BOORDA
Admiral, U.S. Navy
Chief of Naval Operations

INTRODUCTION

"The commander's challenge is to identify quickly enemy strengths and weaknesses, and recognize critical vulnerabilities when they appear. He must rapidly devise plans to avoid the strengths, exploit the weaknesses, and direct the focus of effort toward attacking the critical vulnerabilities so that he can ultimately collapse the enemy's center of gravity."

NDP 1, *Naval Warfare*

Planning is central to everything we do as a military force; we can neither train nor operate without plans. Planning determines the composition of naval forces and the role we play in national strategy.

When men and women of our armed forces are forward deployed — as a deterrent, conducting humanitarian operations, or in combat — they are at risk. It is a fundamental military tenet that our forces be employed with a clear mission, adequate support, and good intelligence. This careful prior consideration together with a balance between mission objectives and the means to accomplish them is the essence of a good plan.

Planning processes are functionally divided into two major categories: force planning and joint operation planning. Force planning is conducted by the Military Departments, Services, and U.S. Special Operations command to determine our structure. Joint operation planning is conducted at all levels in the chain of command, from the National Command Authorities to the deployed unit, to determine how we will fight. Force planning and joint operational planning are of equal importance and are mutually supporting, but it is joint operation planning which produces our war plans and is the topic of this publication. Despite enormous changes in global politics, the formal process by which an operational military plan is developed is well-defined, and has changed very little since its adoption. The military professional should be: knowledgeable of the planning process and its products; able to interpret and use joint planning products in naval operations; and able to adapt the principles of military planning to operations at the unit level.

Planning, with all of its implications for readiness and risk-reduction, is a principal leadership concern. The Commanding Officer is responsible for executing the strategic and operational plans of his superiors. In addition, the Commanding Officer is the approval authority for tactical plans affecting his unit. The level at which planning is conducted determines the formality of the process and the number of people involved, but all military operations involve simultaneous planning at multiple levels within the chain of command.

Translating the strategic direction in "...*From the Sea*" into doctrinal reality, NDP 1, *Naval Warfare*, was signed on 28 March 1994. It provides a framework for detailed Navy and Marine Corps doctrine and introduces what we do; how we fight; and the importance of readiness, flexibility, self-sufficiency, and mobility in expeditionary operations. NDP 5, *Naval Planning*, supports NDP 1 by discussing the contribution of planning to our combat readiness.

NDP 5 explains why we plan, describes the planning process, and develops doctrine for planning naval operations. Detailed information on how to plan is found one echelon down in Naval Warfare Publication (NWP) 5-01 (formerly NWP-11), *Naval Operational Planning*, and FMFM 3-1, *Command and Staff Action*, which contain current guidelines and formats for naval operation planning.

Our freedom to use the seas is defended by our naval services. Planning is integral to our combat readiness and our ability to remain forward deployed, daily engaged on the oceans and in the regions which are vital to our national interests. Our leaders must understand and employ planning to be effective in the changing and often dangerous environment in which we operate. Planning processes, however, are nothing more than aids to commanders; they are hedges against human error, assurances that no reasonable options are left inadvertently unexplored. Plans are not a substitute for common sense, experience, or judgment. Armed with a good plan and competent leadership, the men and women of the naval services stand ready to defend our interests in combat, to forward deploy as a deterrent, and to conduct peacetime operations wherever and whenever called upon.

EXECUTIVE SUMMARY

Naval Planning Overview

Naval Doctrine Publication 5, *Naval Planning*, defines the basics of planning, **describes the overarching naval planning guidelines, and ties naval planning to joint operation planning.** It provides the framework for planning the use of naval forces in naval, joint, and multinational operations and training.

Naval planning is an extremely important function in war. At all levels of war and echelons of command, naval planning links the military activities that characterize naval operations to military objectives established by the National Command Authorities. Naval planning is the means by which the commander coordinates naval force activities in time, space, and purpose in order to achieve naval, joint, and multinational unity of effort toward a strategic objective.

The Basics of Planning

Chapter One describes the basics of planning, why we plan, military planning, planning principles, and the military planning logic. **Planning processes based on the basic planning principles, (relevance, clarity, timeliness, flexibility, participation, economy of resources, security, coordination) and the military planning logic** provides for orderly and coordinated actions of naval forces. Military planning is a process that relies on the commander to solve problems and make decisions to achieve an objective in an environment of dynamic requirements and changing events.

National Security and Joint Operation Planning

Chapter Two presents planning in the national security environment. It focuses on joint operation planning, the joint operation planning process, and campaign planning. **Joint operation planning describes all planning activities required to conduct joint operations including mobilization, deployment, employment, sustainment, and redeployment of forces.** Joint Operation Planning is conducted within the chain of command, from the National Command Authorities through the combatant commanders to the component commanders. Primary responsibility for joint operation planning rests with the Chairman of the Joint Chiefs of Staff and the combatant commanders. Joint Operation Planning is a sequential process performed simultaneously at the strategic, operational and tactical levels of war. Joint operation planning includes the preparation of operation plans (OPLANS), OPLANS in a concept format (CONPLANS), functional plans, campaign plans, and operation orders.

Plans are developed using one of three joint operation planning processes: campaign planning, deliberate planning, or crisis action planning. The campaign plan embodies the combatant commander's strategic vision of related operations necessary to attain theater strategic objectives. Deliberate planning is conducted principally in peacetime to develop joint operation plans for contingencies identified in strategic planning documents. Crisis action planning is based on current events, is time sensitive, and follows procedures that parallel deliberate planning, but is more flexible and responsive to changing events.

Naval Operation Planning

Chapter Three **defines naval operation planning, the naval planning process, naval component planning and naval coordination in joint and multinational operations.** Navy and Marine

Corps forces use mission-type orders that specify the "what" while relying on the initiative and leadership of their commanders to provide the "how".

Navy forces develop and implement plans using Maritime Tactical Messages, a standardization of the General Operating Instructions known as Operational General Matters (OPGEN), Operational Tasks (OPTASK), and Operational Status messages (OPSTAT). These message **formats are compatible with the Joint Operation Planning and Execution System and multinational navies.**

The basis for Marine Corps planning is the Fifteen Step Analytical Planning process. This analytical planning model ensures the detailed planning and coordination needed to execute complex naval operations is accomplished. To increase the rapidity of planning, two derivatives of the fifteen step model are utilized: the Maneuver Warfare Planning Process and the Rapid Response Planning Process. No matter which planning model is used, the **Marine force commander is linked to the unified commander, joint task force commander, and the Navy component commander by the standard format of the Joint Operation Planning and Execution System Operation Order.**

Conclusion

Naval planning provides the **common, logical framework** within which naval commanders and staff officers can analyze their mission, evaluate the situation, decide the best course of action, translate the decision into planned action, and monitor and modify the planned action as required. **Naval planning is joint planning tailored to the unique naval environment.**

Understanding the planning processes associated with employment of naval forces in peacetime, crisis, and war is essential for all Navy and Marine Corps officers. **Nothing warfighters do in peacetime is more important than planning for war.**

Appendices

Supporting appendices provide a glossary and a list of suggested follow-on readings.

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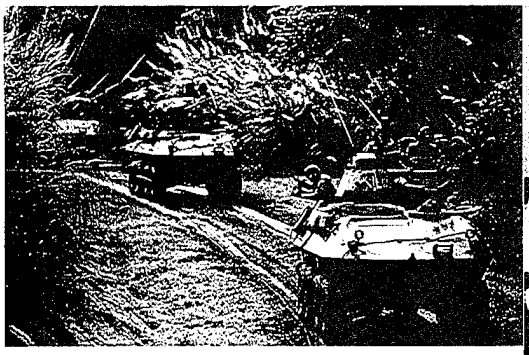
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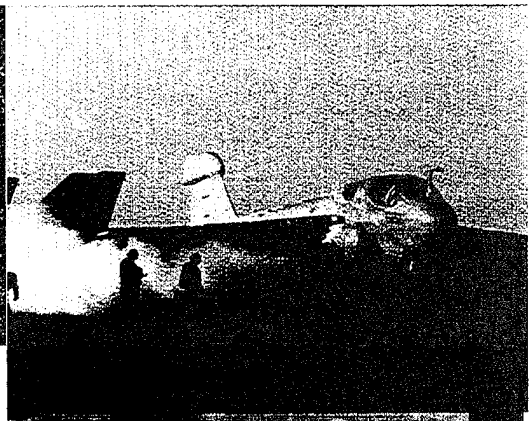
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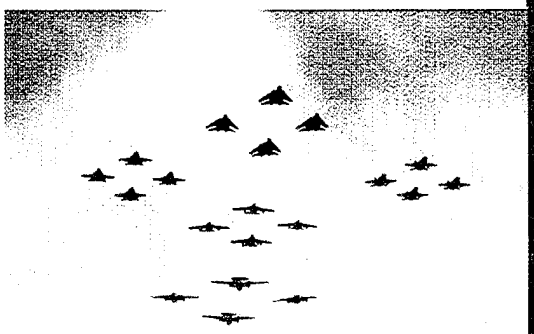
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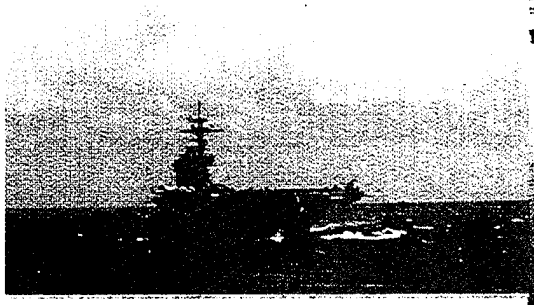
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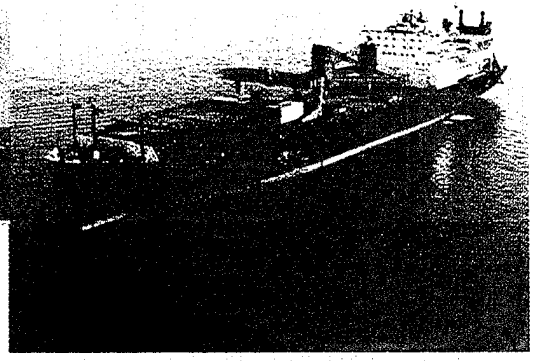


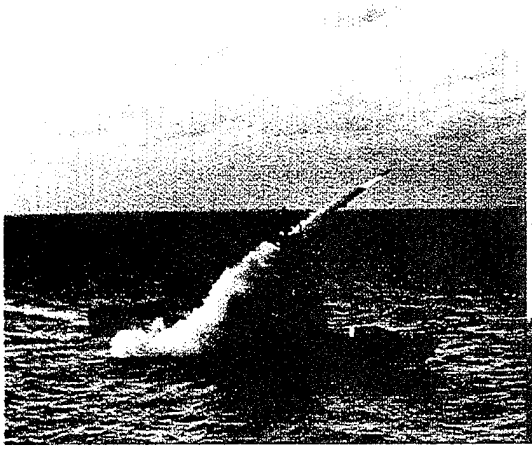














CHAPTER ONE

The Basics of Planning

"Success is a matter of planning and it is only careless people who find that Heaven will not help their mortal designs."

- Themistocles, 480 B.C.

The mortar in the foundation of our military might is the science of military planning. Planning is the key to successfully training, sustaining, and ultimately fighting as a naval force.

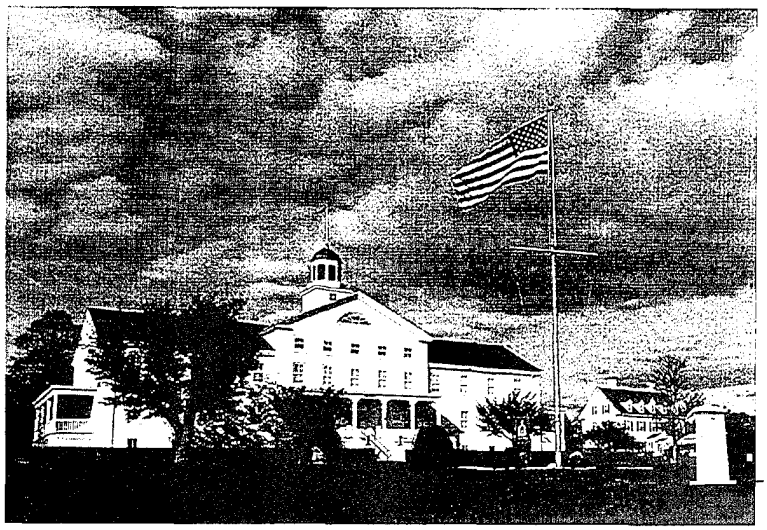
Although our dominance of the high seas is unquestionable today, national interests require us to focus naval warfare on both the blue water of the oceans and the green water of the littorals. Our naval forces will routinely operate as part of joint, and multinational forces; our plans and actions must meld seamlessly with those of the U.S. Army, U.S. Air Force, and the forces of other nations. These operations, under the auspices of the Unified Commanders, occur in the air, on and under the sea, on land, in space, and in the electromagnetic spectrum. The success of these diverse operations depends heavily upon our ability to coordinate and unify these multiple forces toward the achievement of specific regional and national objectives. Planning at all levels is the key to the coordination of unified efforts. Thus, as naval planning formally becomes more integral to joint

operations, it is vital that naval officers understand the fundamental elements of naval planning and how their efforts fit into our nation's warfighting and peacetime strategies.

The principles of naval planning and our national military planning processes are not new. They are well founded in naval history. Since warriors first used the oceans as a means to engage their enemies, the unique and unforgiving nature of the sea has demanded that naval forces and their leaders have not only a clear sense of purpose and extensive levels of training, but the flexibility to adapt to a changing enemy/environment in order to be victorious.

"The enemy opened fire at 2:08 and our First Division bore it for a few minutes and replied at about 2:11. The number of enemy shells fired during these few minutes exceeded 300 and the Mikasa was damaged and had casualties before she fired a shot. About a half hour later the enemy's battle formation was entirely out of order, so that the fate of our empire was really settled within this first half an hour. The Mikasa and the eleven others of the main force had taken years of labour to design and build, and yet they were used for only half an hour of a decisive battle. We, too, studied the art of war and trained ourselves in it, but it was put to use for only that short period. Though the decisive battle took such a short time, it required ten years of preparation."

- Admiral Marquis Togo Heihachiro,
Speaking of the Battle of Tsushima, May 1905



Naval War College

THE HISTORY OF PLANNING AND THE NAVAL WAR COLLEGE

As early as 1895, the Naval War College was drafting war plans utilizing an early form of the "estimate process." In 1907, in conjunction with the General Board in Washington, the College staff drafted the first series of *War Portfolios.* The War College continued to plan for the General Board until the Chief of Naval Operations assumed those duties in 1915.

From the beginning of modern formal planning in the U.S. Naval Service, the methodology for operational planning was the exclusive province of the Naval War College. In 1948, Admiral Raymond A. Spruance, then President of the Naval War College, advocated it be moved to the office of the Chief of Naval Operations.

The Naval War College officially introduced The Estimate of the Situation into the curriculum in the form of a lecture given to the 26 officer students of the summer class of 1910. The first Estimate of the Situation pamphlet was written in 1915 by then President of the College, Rear Admiral Austin M. Knight. The pamphlet was routinely revised by each succeeding president until 1926 when the estimate and order form were combined into one planning manual entitled: *The Estimate of the Situation, with the Order Form.* In 1934 Admiral Edward C. Kalbfus expanded the 40-50 page pamphlet into a 243-page book. Unfortunately, it was difficult to read and dedicated few pages to the actual process of preparing a plan. It was, however, read, discussed, and used extensively through the end of World War II.

Admiral Spruance, who had also served on Admiral Kalbfus' staff at Newport, returned as president of the War College in 1946 and, armed with his extensive planning experience of WWII, he supervised the production of a simplified and reduced version of the *Estimate of the Situation.* This publication was carefully compared to the most recent joint texts and other Service procedures prepared by the War Department. The basic steps were completely compatible.

In 1948, the Chief of Naval Operations published the first doctrinal manual on naval operational planning from the original draft submitted by Admiral Spruance. *The Naval Manual of Operational Planning, 1948,* was 48 pages long and, at least conceptually, survives today as NWP-5-01, *Naval Operational Plans.*

"Adherence to one principle frequently demands violation of another. Any leader who adheres inflexibly to one set of commandments is inviting disastrous defeat from a resourceful opponent."

- Admiral C.R. Brown, *Principles of War*, June 1949

Acknowledging that we do plan (but perhaps do not fully understand either the process or appreciate the history of naval planning) let us first discuss the process. This chapter examines why we plan and some of the precepts which history has shown to be the guiding principles of naval planning.

Why We Plan

"There are three types of leader: Those who make things happen; those that watch things happen; and those who wonder what happened!"

- American Military Saying

Planning is the act of preparing for future decisions. In this respect, we can think of a plan as a practical scheme for solving a problem. Planning is meant to facilitate decisions--not replace the need for making decisions at the necessary time and place. Planning facilitates future decisions and actions by helping commanders to make provision for those things which are predictable, to examine their assumptions, to come to a common understanding about the situation and the direction of future operations, and to anticiapte possible enemy actions and counteractions.

Fundamental to Leadership

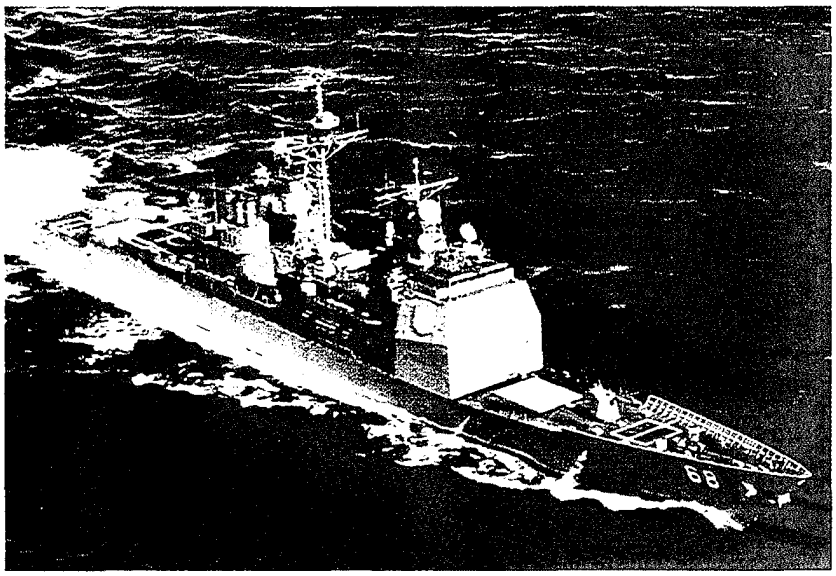
Planning is fundamental to leadership. A naval commander must lead and direct actions, not just react or wait for events to dictate his actions. He is responsible for the success of his unit and the success of his mission. It is through planning that his leadership is

applied to solve problems. In his plan, the commander estimates his unit's situation, clearly states his intentions, and anticipates the actions needed to achieve the desired objectives. As the plan is briefed and discussed, it establishes a common purpose and clearly understood objectives within his unit.

There is another planning factor of naval warfare which demands careful attention and the utmost respect: this is the inherent vagary of the weather and the sea within and upon which naval commanders must operate. The untamable forces of nature neither acknowledge nor bend to a commander's authority and, therefore, must be given substantial weight in the mind of a naval leader.

> *"The Admiral cannot take up a position that only in ideal conditions of tide and moon can the operation be begun. It has got to be begun as soon as possible, as long as conditions are practicable, even though they are not the best. People have to fight in war on all sorts of days, and under all sorts of conditions."*
>
> - Sir Winston S. Churchill, note to General Ismay regarding the Dakar operation, 19 August 1940

Just putting to sea entails a certain amount of risk, notwithstanding the mission. The naval plan clearly reflects that risk and the commander's attempt to manage it. By establishing options and instilling in his forces the flexibility to adapt rapidly to a changing battlespace, the naval commander prepares his forces for a sustained effort on an unpredictable sea and gives himself the best chance to lead his force to victory.



Develop Planning Skills

Planning promotes efficiency, safety, and sustainability far from our home waters. The skills to plan do not come naturally to most naval officers and must be developed. Despite the fact that military planning, much like ordinary non-military planning, is based on common sense, the sheer number of military problems associated with the defense of a nation makes planning a major endeavor. Learning the art of naval planning begins before commissioning with our first lesson in naval history, and like any other skill, it is perishable and requires training and relearning. Planning, both formal and informal, is the link which binds the members and activities of an organization together. The more effectively we plan, the more efficiently we can react to changing circumstances. Ultimately, operational success is enhanced by planning and reacting faster and more efficiently than the enemy.

However, planning is not enough. We must exercise the plans, because planning to win the war does not win the war; execution does. Therefore, training is a partner to planning and is critical to maintaining planning skills. Ongoing training provides the basis for the commander to evaluate his force capabilities and for subordinates to understand the commander's intentions. Successful naval operations are the result of routine training; from the platoon conducting small arms training at the base rifle range, to the carrier battle group work-up training at sea, training builds cohesive units.



"The definition of military training is success in battle. In my opinion that is the only objective of military training. It wouldn't make sense to have a military organization on the backs of taxpayers with any other definition. I believed that ever since I've been a Marine."

- Lieutenant General Lewis 'Chesty' Puller,
(Second from the left) August 1956

Planning skills are soundly based on what is generically known as military planning; that is, planning how to fight and fighting to win.

Military Planning

Military planning includes two broad categories of planning; force planning and operational planning. Both are integral and mutually supporting parts of military planning and, thus, naval planning. Force planning is associated with the creation and maintenance of military capabilities. The Secretary of the Navy, the Chief of Naval Operations, and the Commandant of the Marine Corps are the architects and maintainers of U.S. naval forces and our capabilities. They are the primary force planners for the naval Services.

Naval Services prepare to fight and win wars through operational planning. Operational planning ensures a common understanding of the "means to objective" relationship that bridges the National Command Authorities, the combatant commanders, and naval force commanders. Naval planning links the Navy and Marine Corps to diverse military options, including the mobilization, deployment, employment, sustainment, and redeployment of naval forces.

Levels of Planning

Naval planning is performed both sequentially and simultaneously at the strategic, operational, and tactical levels of war. The levels of war help our military commanders allocate forces, assign tasks, and plan a logical flow of operations. The levels of planning correspond to the levels of war: strategic, operational, and tactical.

Strategic Level. The National Command Authorities provide the strategic guidance for employing the Armed Forces of the United States as an instrument of national power. The Chairman of the Joint Chiefs of Staff, translates this strategic guidance into statements of military policy and requirements, forming the basis for development of theater campaign plans. The geographic combatant commander develops his campaign plan and establishes theater strategic goals based on both national strategies and operational conditions. The theater campaign plan forms the basis for operational-level planning.

Operational Level. At the operational level of war, joint and multinational forces plan and conduct subordinate operations to achieve the strategic objectives of the unified commander (or higher military authority) within a theater of operations. Operational-level plans relate the national and theater strategy with the tactical employment of forces. Combatant commanders primarily focus on the effective use of available forces and express their goals through ***strategic*** intents, concepts, and objectives. The Navy and Marine Corps component commanders, other Service and functional component commanders, or subordinate joint commanders express their goals through ***operational*** intents, concepts, and objectives.

Tactical Level. At the tactical level, naval forces plan and execute operations, battles, and engagements. This level of planning deals with the effective use of combat and support forces to achieve tactical objectives and operational goals rapidly and efficiently.

Precepts Of Military Planning

The overall purpose of planning is to facilitate decisionmaking that enables the successful execution of military operations. This success is aided by the application of precepts, or principles, of military planning. All basic precepts that affect operations must be considered during planning to frame the operational choices. Planning applies the following principles of war to military operations: *objective, mass, maneuver, offensive, economy of force, unity of command, simplicity, surprise,* and *security.*[1] Although the principles of war have been validated in combat, they are not a simple check list for planning operations. Instead, the principles of war form the conceptual framework in which the commander evaluates operational issues. In addition to the principles of war, commanders and planners need to consider basic planning principles.

[1] The principles of war are defined in NDP 1, *Naval Warfare.*

"Under the glass top of Nimitz's desk were several cards bearing military slogans, and in a central position one card with a list: 'Objective, Offensive, Surprise, Superiority of Force at Point of Contact, Simplicity, Security, Movement, Economy of Force, Cooperation.' Some people call such lists 'principles of war,' but Nimitz thought of his merely as reminders, a check-off list of things to be considered before launching an operation beginning with a clearly defined objective and ending with full cooperation among forces involved - this last being particularly important in a theater of operations in which there were two separate commands, his and MacArthur's."

- E.B. Potter, *Nimitz*, 1976

Planning Principles

"A good plan violently executed NOW is better than a perfect plan executed next week....."

-General George S. Patton
War as I Knew It, 1947

Success in warfare results from the proper application of sound planning principles. Naval planning is structured using the following seven principles: relevance, clarity, timeliness, flexibility, participation, economy of resources, security, and coordination. These enduring principles are illustrated in excerpts from the *Navy War Instructions of 1944* chapter "Command and Operations."

Relevance.

Missions planned at each level of command must directly support objectives of higher authority and must be achievable using available resources.

The first relevance criterion determines whether a mission warrants any expenditure of resources. Objectives and missions which do not complement plans of senior commanders and the National Command Authorities are ***irrelevant***. At best, uncoordinated operations waste resources; at worst, they interfere with more critical missions.



"Loyalty to the intentions of the officer in command, as expressed in his general plan, and to the spirit of the plan, is essential to the success of any operation."

- *War Instructions*, U.S. Navy, 1944

The second relevance criterion determines practicality. Even if an objective or mission supports the objectives of higher authority, it is ***irrelevant*** if it cannot be accomplished by available forces. If a critical objective cannot be achieved, the commander must notify higher authority so that either the objective is modified or additional resources are allocated.

"If a subordinate commander receives an order evidently given without knowledge of the situation confronting him, and which, if rigidly obeyed, would not further the plan of his superior, he uses discretion in obeying this order. If time permits, he acquaints his superior with the situation and obtains new orders. If time does not, he selects a task which he believes the senior would assign were he cognizant of all the facts. There is no substitute for good common sense."

- *War Instructions*, U.S. Navy, 1944

Clarity.

Write plans as concisely and simply as possible. Clear, direct plans are easily understood and are more likely to be successfully executed than complex plans. A superior plan is useless if it is not grasped by executing forces. Common terminology is critical and must be clearly understood at all levels, especially in the context of joint and multinational operations. Superfluous information and complicated syntax often introduce ambiguities that threaten successful execution, particularly in combat. Repetition of information already held in other directives or the inclusion of pro forma "boiler plate" is unnecessary and undesirable.

"The (plan) contains all the essential information so that subordinate commanders may plan their own operations.... If accurate information is lacking, or if the plan is drawn up to meet a probable situation, the assumptions on which the plan is based are stated. Generally , only those assumptions which vitally affect the plan are stated; that is, those which must be fulfilled if the plan is to be executed. Care is exercised on this point, as subordinate commanders may hesitate to execute their part of a plan when the assumptions on which it is based differ materially from the facts at the time of execution."

"See that the lower echelons understand and concentrate on the objective."

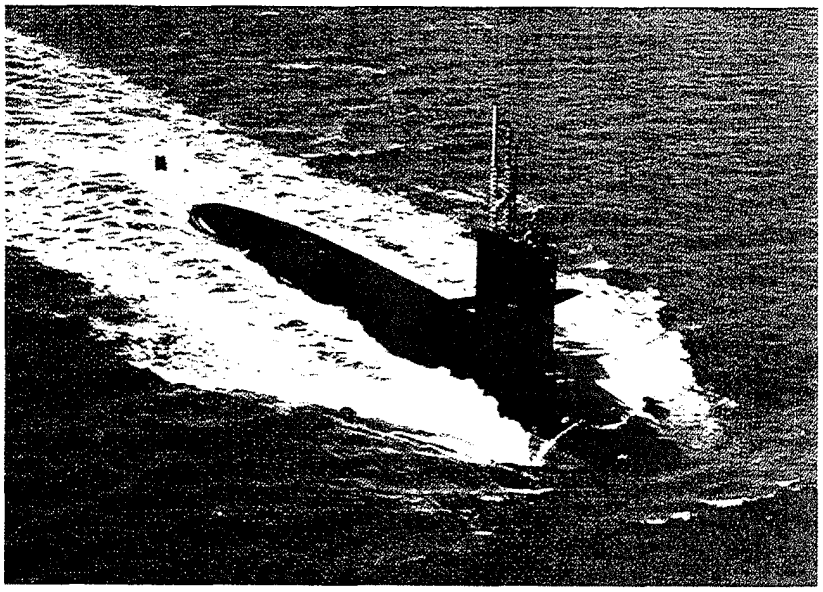
"Simple plans are the best plans."

- *War Instructions*, U.S. Navy, 1944

Timeliness.

Complete and distribute plans expeditiously to allow subordinate and supporting commanders adequate time to plan for, train to, and execute their responsibilities.

> *"In scope and thoroughness (the plan) is commensurate with the size and importance of the task and the time available."*
>
> - *War Instructions*, U.S. Navy, 1944



Flexibility.

A plan must allow subordinate commanders the initiative to seize opportunity and avoid unseen hazards. A good plan clearly states all objectives and limitations, and avoids unnecessarily detailed direction. This allows subordinate and supporting commanders to use their forces effectively and fosters quick adaptation to changing circumstances. Historically, the naval services have fostered flexibility through a philosophy of central planning and decentralized execution.

"A subordinate commander may find himself confronted with a situation which has not been foreseen or has not been covered in his orders from higher authority and which necessitates action on his part before he can communicate with his superior and receive instructions. The subordinate then decides whether his assigned task will properly meet the new situation and thereby further the general plan of his superior. If not, he selects a new task which will do so."

- *War Instructions*, U.S. Navy, 1944

Participation.

Widely distribute plans as early as possible to allow participation of assigned and supporting commands and to facilitate their planning efforts. Early awareness of responsibilities allows for more thorough integration and coordination of participants and ensures supporting plans are complementary and relevant.

"... insure that commanders of subordinate echelons, including commanding officers of ships, have copies of such directives (plans) as will enable each to understand fully their duty in action and at all other times. "

- *War Instructions*, U.S. Navy, 1944

Economy of Resources.

Plans must provide for maximum economy in the use of resources. Avoid unnecessarily assigning, moving, or holding in reserve forces which can be applied to the primary objective. Control of scarce resources must be centralized at the lowest level at which their capabilities can be effectively directed and coordinated for the overall benefit of the force. Economy does not imply that commanders should assign only a marginal sufficiency of resources to the task, but rather that commanders should use all forces and support needed to ensure decisive victory at the least cost.

"Provide every unit which can be made available at the time and place where the decision is sought..."

- *War Instructions*, U.S. Navy, 1944

Security.

Protect plans from compromise to prevent an enemy from preparing an effective response. Adequate security may be achieved through a variety of means including: limiting distribution, isolating forces with detailed knowledge, and practicing complete communications security. Security, however, is not the preeminent concern in planning; the protection of information must be balanced with the requirements for timeliness, understanding and early and broad distribution.

"....It follows naturally that our own commanders must not be surprised."

- *War Instructions*, U.S. Navy, 1944

Coordination.

Military operations are complex endeavors tied together by the focus of effort expressed in the commander's intent. At any instant, diverse forces may act independently to support this focus of effort. Such actions may support either a single mission or several consecutive missions. Planners must provide sufficient coordinating instructions to synchronize both simultaneous and consecutive action, ensure that separate operations and forces avoid interference, and provide support where and when needed.

"... there may be several coordinate commanders, but each is responsible to but one immediate superior for the performance of the same duty. Coordination of effort among commanders is obtained by cooperation (and) by loyalty to the task of their common superior."

- *War Instructions*, U.S. Navy, 1944

The application of these principles follows a logical sequence and framework known as the Military Planning Logic.

Military Planning Logic[2]

> *"Before undertaking a task the commander makes an estimate of the situation and formulates a plan of action... Even when time is so short as to permit only a mental estimate, the same logical process is used."*
>
> - *War Instructions*, U.S. Navy, 1944

While specific planning processes have been established for different military problems, there is a basic military planning logic common to most military problem-solving. Military Planning Logic divides the resolution of a military problem into four phases: preparation of the Commander's Estimate of the Situation; development of detailed plans; preparation of the directive; and, supervision of the planned action. These phases provide the foundation for all formal military planning processes.

In the first phase, a commander analyzes his situation: What is his mission? What is the threat? What are the strengths and vulnerabilities of his forces and those of threat? After evaluating his situation, the commander then decides on a course of action. In phase two, the selected course of action is passed to the staff for development of detailed plans. Phase two ends when the commander approves the plan. In phase three, the commander initiates the planned action by issuing a directive. In phase four, planned action is supervised and adjusted. The process ends with the completion of the specific assigned mission or begins again with the receipt of a new mission (see figure 1.1). This planning logic may be applied in any number of ways, ranging from a commander's rapid mental calculations under fire to the continuous cycle of the Deliberate Planning Process (see chapter 2).

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[2] The "Military Planning Process" is the more common phrase found in military writings. Both phrases refer to the basic logic associated with military problem solving, dating back to the Prussian Kriegsakademie. Potential confusion stems from the fact that "The Military Planning Process" implies that it is the formal planning process used by the military, when, in fact, it is not a formal process at all. It provides a basic Military Planning Logic, but prescribes no set procedures or actions for commanders and staff officers. For that reason, NDP 5 will refer to it exclusively by the latter title.

MILITARY PLANNING LOGIC

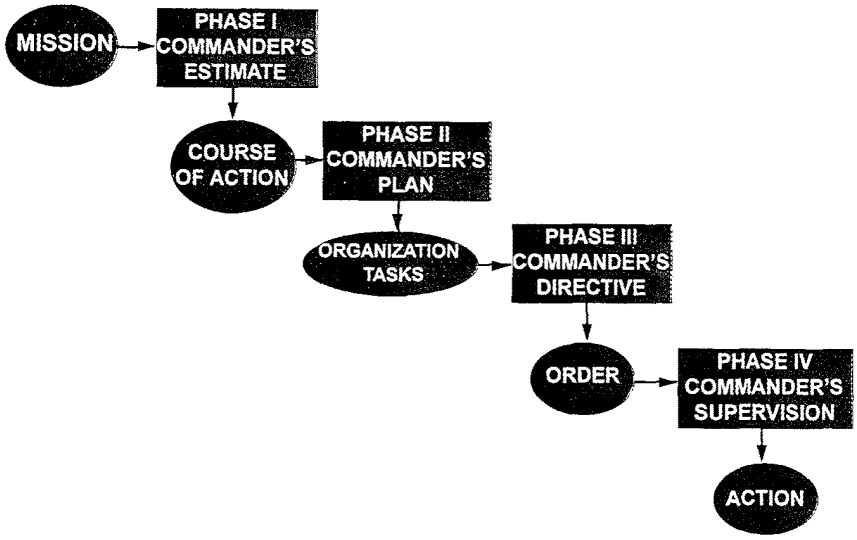
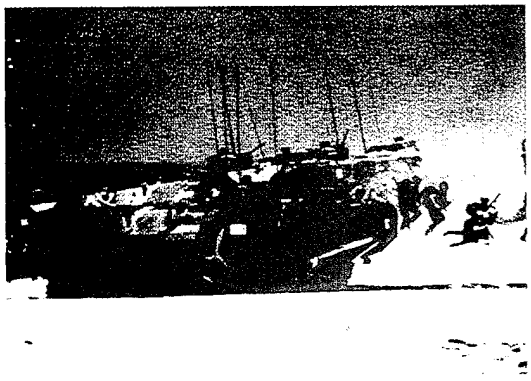
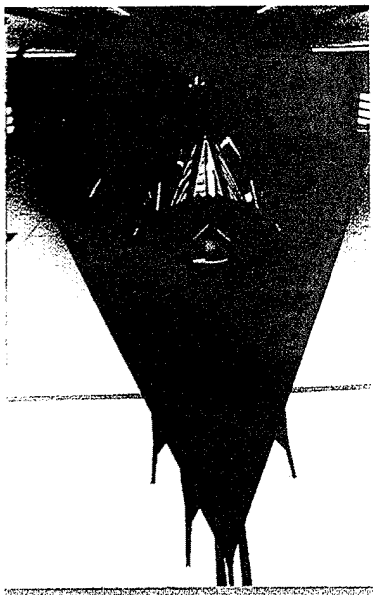


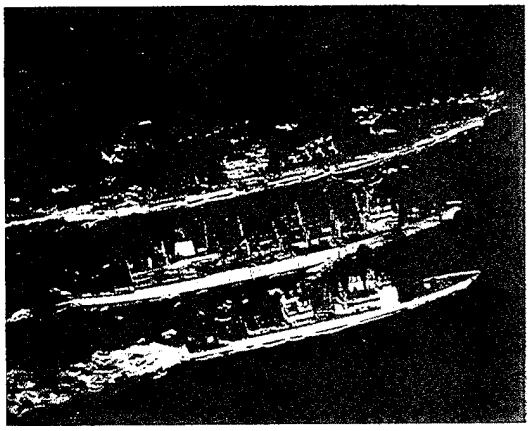
Figure 1-1

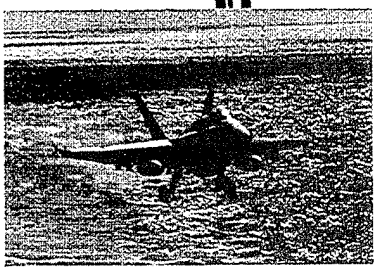
Military problems vary tremendously in character, scope, and time available. Planning processes are specifically tailored to aid commanders in solving different types of military problems, but the planning *logic* remains remarkably consistent throughout the different processes.

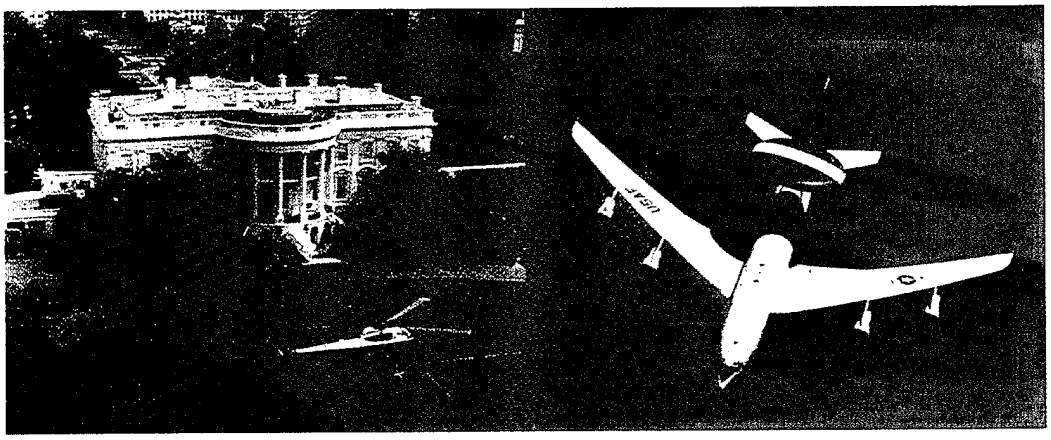
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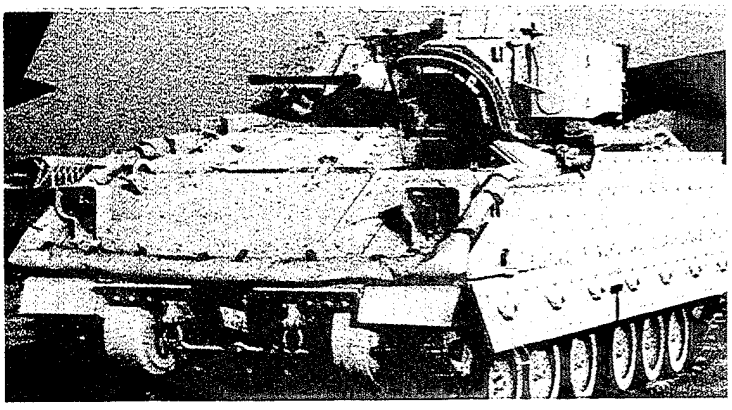














CHAPTER TWO

National Security and Joint Operation Planning

"Modern warfare has to be planned far ahead; improvisation may lead to disaster."

- Samuel Eliot Morison,
The Two-Ocean War, 1963

Naval forces are organized, trained, and equipped to provide national security and protect national interests. National systems and processes provide the basis for mutual understanding of national objectives and the multitude of strategic, operational, and tactical options. They also promote mutually understood terminology, relationships, responsibilities, and processes.

Planning is the process that develops a flow of action toward an objective and enables us to apply naval capabilities efficiently in support of national security. Planning and conducting operations at the tactical and operational levels have become increasingly complex. The complexities and disorder of war require a conceptual framework to serve as a common point of reference.

National Response - Military Action

As national interests dictate or as threats to national security progress toward military action, our response is based on the National Security Strategy and Policy, the National Military Strategy, the Unified Command Plan, and the Joint Strategic Capabilities Plan. These national security products are the result of four primary, interrelated defense planning systems: the **National Security Council system**; the **Joint Strategic Planning System**; the **Planning Programming and Budgeting System**; and, the **Joint Operation Planning and Execution System** (see figure 2-1).

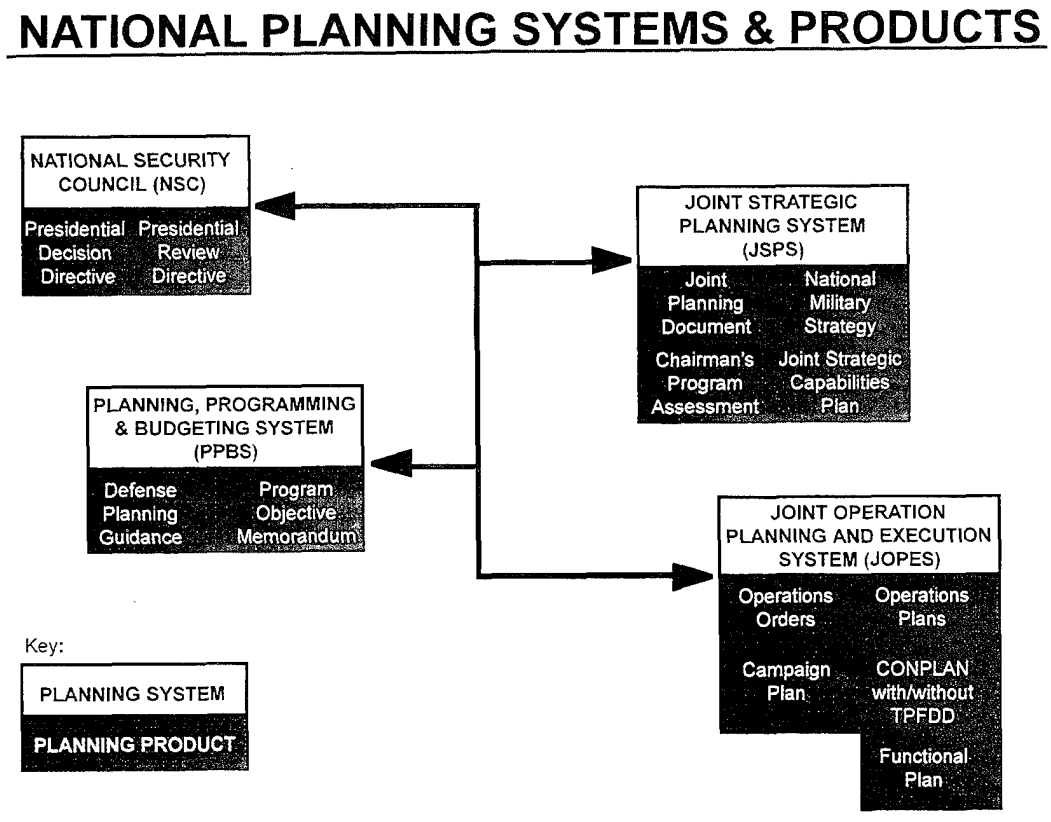


Figure 2-1

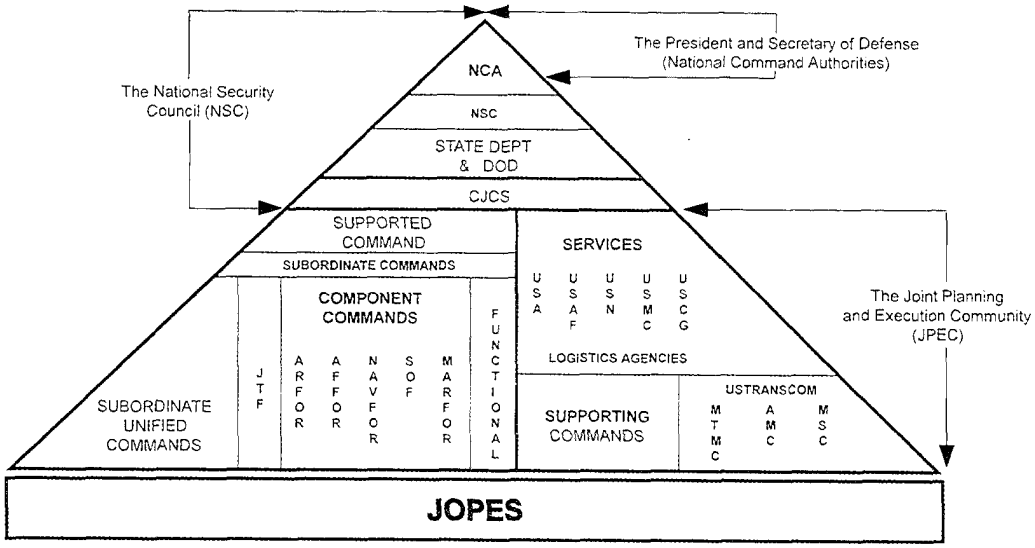
The National Security Council

The National Security Council is the forum for the development of national security policy. The National Security Council assists the President in directing U.S. Armed Forces in the execution of military action, and is ultimately responsible for the military's total planning effort.

The Joint Planning and Execution Community

The Joint Planning and Execution Community consists of the Chairman of the Joint Chiefs of Staff, the Joint Chiefs of Staff, the Joint Staff, the Services, the combatant commands and their component commands, subunified commands, joint task forces, and defense agencies. The Joint Planning and Execution Community coordinates efforts throughout the chain of command to synchronize actions and ensure unity of command in the planning and execution of joint operations (see figure 2-2).

The Joint Planning and Execution Community (JPEC)



NOTE : This figure highlights key members of the JPEC, not command and control relationships. Not all members are depicted on this chart.

Figure 2-2

The Joint Strategic Planning System (JSPS)

The Joint Strategic Planning System is a flexible, interactive system intended to provide supporting military advice to the Department of Defense Planning, Programming, and Budgeting System (PPBS), and strategic guidance for use in the Joint Operation Planning and Execution System (JOPES). The Joint Strategic Planning System provides the Chairman, in coordination with the other members of the Joint Chiefs of Staff and the combatant commanders, with the means to: **review** the national security environment and U.S. national security objectives; **evaluate** the threat; **assess** current strategy and existing or proposed programs and budgets; and, **propose** military strategy, programs, and forces. (The proposals must be able to achieve the stated national security objectives, in a resource limited environment, consistent with policies and priorities established by the President and the Secretary of Defense.)[3]

The Joint Operation Planning and Execution System (JOPES)

The Joint Operation Planning and Execution System is the principal system within the Department of Defense for translating policy decisions into operation plans and orders in support of national security objectives. The Joint Operation Planning and Execution System links the national-level guidance provided by the National Security Council system and the Joint Strategic Planning System (specifically the National Military Strategy and the Joint Strategic Capabilities Plan) and military action.

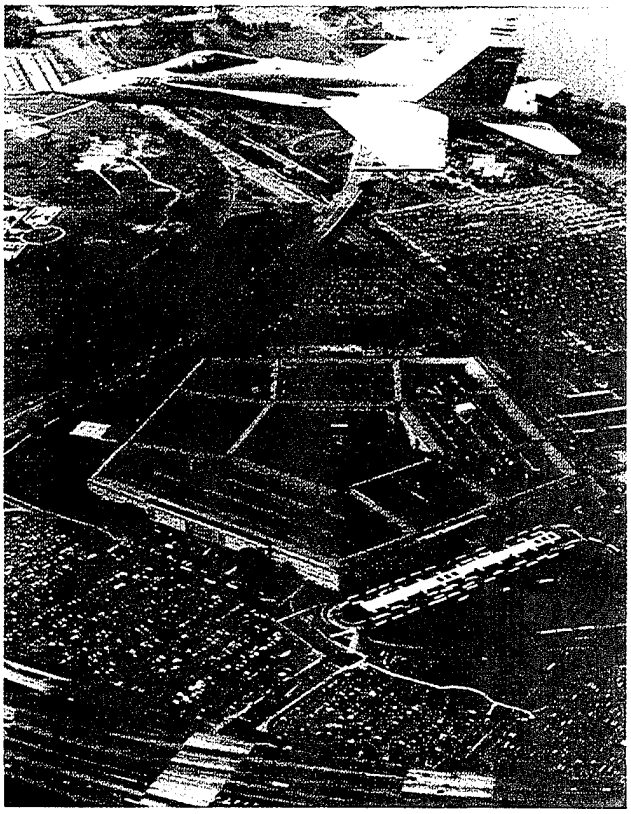
Peacetime planning is the basis for the wartime employment of forces. National and theater planners develop a variety of peacetime assessments that ease the transition from peace to military operations, including operations other than war and, if necessary, full-scale war. The Joint Operation Planning and Execution System is the formal system which supports the commander in identifying and

[3] The Joint Strategic Planning System produces four important, mutually supportive documents; the *National Military Strategy* (NMS), the *Joint Strategic Capabilities Plan* (JSCP), the *Joint Planning Document* (JPD), and the *Chairman's Program Assessment* (CPA). For greater detail on each product refer to Joint Pub 5-0.

assessing the threat, determining the strategy, developing courses of action, planning in detail, and, finally, implementing the plan.

National and theater planners develop a strategic objective for a specific situation. With the strategic objective as the stated goal, the combatant commander then modifies existing plans and portions of the theater strategy using crisis action procedures.

The geographic combatant and his staff use the Joint Operation Planning and Execution System to formulate a family of operation plans to meet strategic and theater goals. The Navy, Marine Corps, Air Force, and Army Component commanders, develop supporting plans as part of the family of plans. All theater operation plans are designed to support strategic goals.



Joint Operation Planning

"(A) lesson of the Persian Gulf conflict is the importance, in a highly uncertain world, of sound planning. . . .Our response in the crisis was greatly aided because we had planned for such a contingency."

- Former Secretary of Defense Richard Cheney, 1991

The joint operation planning architecture is the starting point for contingency planning. The preparation of joint operation plans by the combatant commanders (and those joint planning activities that support the development of joint operation plans in concept format) constitute joint operation planning.

Joint operation planning includes the full range of military operations that are planned using the Joint Operation Planning Process, which is further divided into the Deliberate Planning Process and the Crisis Action Planning Process (see figure 2-3).

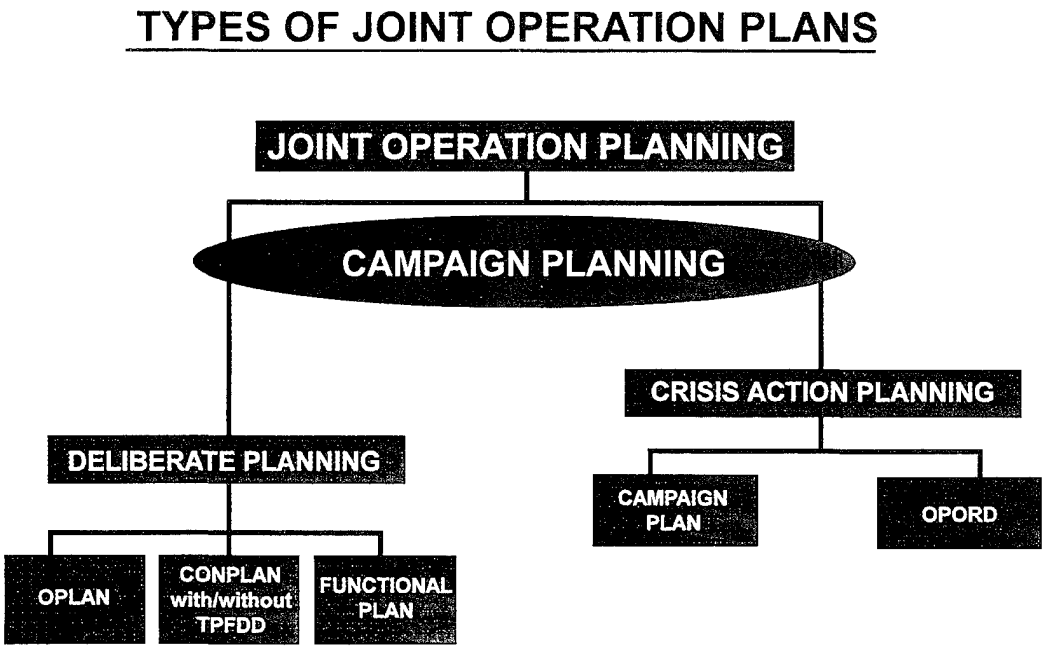


Figure 2-3

Joint Operation Planning Processes

The Joint Operation Planning and Execution System utilizes two distinct processes: The Deliberate Planning Process and the Crisis Action Planning Process. The naval portions of both the Deliberate Planning Processes and the Crisis Action Planning Process are developed as the naval portion of a combatant commander's joint operation plan, order, campaign plan, or supporting plans.

The Deliberate Planning Process

Advanced preparation results in forces better prepared to respond rapidly. The Deliberate Planning Process develops plans that address many potential operations. These plans are developed based on a multitude of assumptions and require revisions when used for an actual crisis or operation. Deliberate planning is performed in cycles that complement and support other Department of Defense planning cycles. The Office of the Secretary of Defense (OSD) generates and maintains the Contingency Planning Guidance (CPG) which is translated into guidance and tasking in the Joint Strategic Capabilities Plan. The deliberate planning cycle usually begins with the publication of the Joint Strategic Capabilities Plan, and terminates at the end of the period to which the Joint Strategic Capabilities Plan applies, and is accomplished in five phases: initiation, concept development, plan development, plan review, and supporting plans (see figure 2-4).

DELIBERATE PLANNING PROCESS

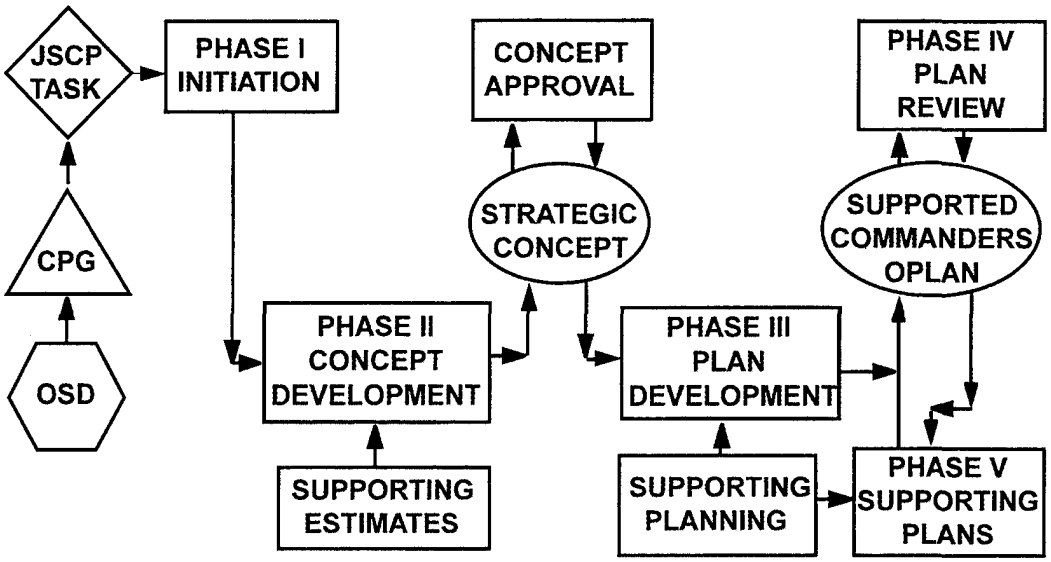


Figure 2-4

Initiation. Planning tasks are assigned to combatant commanders (supported commanders), forces and resources are apportioned, and planning guidance is issued during this phase. The Joint Strategic Capabilities Plan links the Joint Strategic Planning System to joint operation planning, identifies broad scenarios for plan development, specifies the type of plan required (operation plan, operation plan in concept format, or functional plan), and provides additional planning guidance as required. A combatant commander may also initiate deliberate planning by preparing plans not specifically assigned but considered necessary to discharge command responsibilities.

Concept Development. The concept development phase is conducted in six steps: mission analysis, planning guidance, staff estimates, the Commander's Estimate of the Situation, the Commander In Chief's Strategic Concept, and the Chairman of the Joint Chiefs of Staff Review. The assigned task is analyzed and the mission derived. The commander's planning guidance is issued and staff

estimates are prepared to develop and evaluate feasible courses of action. The commander's estimate summarizes the first three steps and recommends a preferred course of action. The selected course of action is expanded into the strategic concept and then reviewed by the Chairman of the Joint Chiefs of Staff.

Plan Development. Once approved by the Chairman of the Joint Chiefs of Staff, the concept of operations is returned to the combatant commanders for plan development. During the plan development phase, the supported commander expands the Chairman of the Joint Chiefs of Staff approved concept of operations into a complete operation plan. The supported commander guides development by publishing a letter of instruction (LOI) to coordinate the activities of supporting commands and agencies. Joint Operations Planning and Execution System provides a logical planning structure within which the forces and resources are progressively identified, sequenced, and coupled with transportation capabilities to produce a feasible operation plan. For operation plans requiring production of Time Phased Force and Deployment Data (TPFDD)[4], this phase of deliberate planning depends heavily on Joint Operations Planning and Execution System automated data processing.

Plan Review. The Chairman of the Joint Chiefs of Staff conducts a final review of operation plans submitted by the supported commander. The Chairman, in coordination with other members of the Joint Chiefs of Staff, Services, and defense agencies, assesses and validates joint operation plans for adequacy, feasibility, acceptability, and compliance with joint doctrine. The review also identifies unresolved shortfalls in forces and resources. Upon approval, the supported commander directs completion of the supporting plans by subordinate and supporting commanders. Approved plans remain in effect until superseded or canceled.

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[4] One of the most time consuming and critical aspects of plan development is constructing the operation plan TPFDD. A TPFDD is the computer-supported data base portion of an operation plan dealing with the logistics of force deployment, the movement of forces, and equipment required to execute the operation plan. See Joint Pub 5-0, p. III-6 for further discussion.

Supporting Plans. Supporting plans provide detailed instruction for the mobilization, deployment, employment, sustainment, and redeployment of forces and resources in support of an approved operation plan. They are developed by component commanders, subordinate joint force commanders, supporting commanders, and other agencies, as directed by the supported commander. Employment planning is normally accomplished by the subordinate commands that will direct the forces if the plan is implemented.

Deliberate Planning Subsets. To increase the flexibility of deliberate plans, the Chairman, Joint Chiefs of Staff, has identified subsets of deliberate planning. These subsets are adaptive planning, adaptive force packaging, nuclear planning, and planning for Special Operations Forces missions. These subsets are incorporated into deliberate plans in order to apply them, with some modification, to unforeseen or unexpected contingencies.

Crisis Action Planning Process

Crisis Action Planning is initiated when an event having possible national security implications is recognized. The event is normally reported by a unified commander but can be reported by any unit. Affected component commanders will be informed of the estimate of the situation by the geographic combatant commanders and directed to begin critical analysis. Initial evaluation includes the determination of available forces and logistic support in the theater. The commander uses the crisis action planning procedures to accelerate the planning cycle.

The Crisis Action Planning Process focuses the efforts of the Joint Planning and Execution Community on rapid development of a plan. The Crisis Action Planning Process requires effective communications, uses previously accomplished planning (when available), and makes the most effective use of the limited time available. This accelerated process provides for the timely and precise exchange of information, swift analysis, rapid preparation of courses of action for consideration by the National Command Authorities, and prompt transmission of National Command Authorities' decisions to supported commanders.

Crisis action planning and execution are accomplished within a flexible framework of six phases. The six phases are: situation development, crisis assessment, course of action development, course of action selection, execution planning, and execution (see figure 2-5). These six phases integrate the workings of the National Command Authorities and the entire Joint Planning and Execution Community in a single, unified process that sequentially provides for the identification of a potential requirement for military response; the assessment of the requirement and formulation of strategy; the development of feasible courses of action; the selection of a course of action by the National Command Authorities; and the implementation of the approved course of action by the supported commander.

CRISIS ACTION PLANNING PROCESS

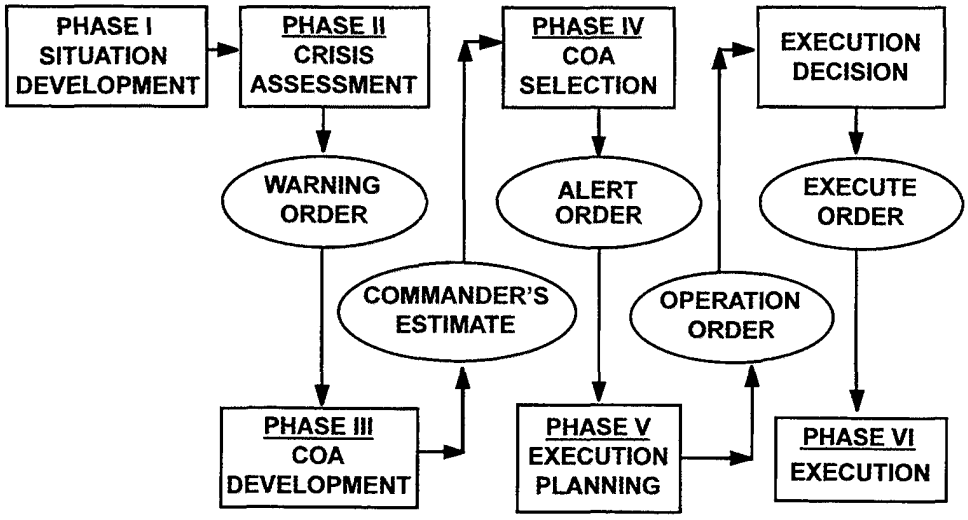


Figure 2-5

Situation Development. Events having potential national security implications are detected, reported, and assessed to determine whether a military response may be required. The combatant commander responsible for the theater in which the event occurs becomes the supported commander. The situation development phase ends when the supported commander submits his assessment to the Chairman, Joint Chiefs of Staff, and National Command Authorities.

If the situation is so urgent that the normal crisis action planning procedures cannot be followed, the commander's assessment may also include a recommended course of action which may serve as the commander's estimate (normally prepared in a subsequent phase).

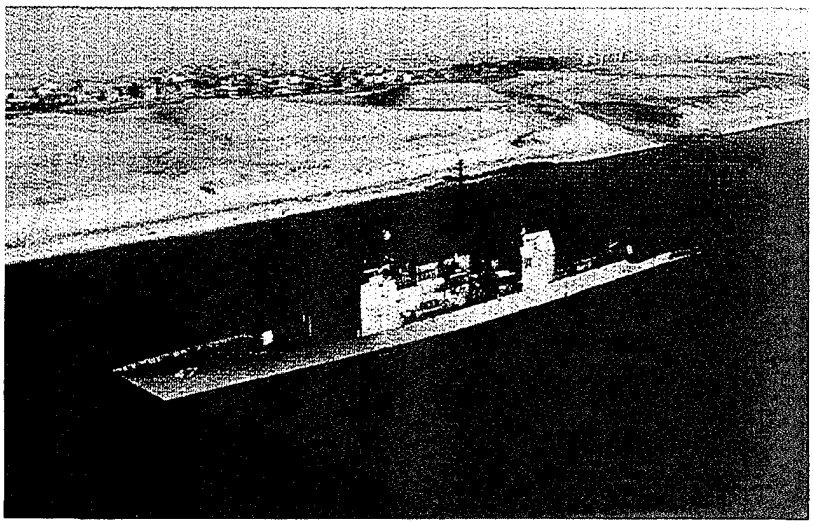
Crisis Assessment. During this phase, the National Command Authorities, the Chairman, and the other members of the Joint Chiefs of Staff, analyze the situation and determine whether a military option should be prepared. Crisis assessment is characterized by increased gathering of information and intelligence, National Command Authorities review of options, and preparatory action by the Joint Planning and Execution Community. The flexibility of the Crisis Action Planning Process gives the National Command Authorities three options: (1) to remain in this phase pending additional information; (2) return to the pre-crisis posture; or (3) progress to the next phase of Crisis Action Planning. The crisis assessment phase ends with a strategic decision by the National Command Authorities to return to the precrisis situation, or to have military options developed for consideration and possible use.

Course of Action Development. This phase implements a National Command Authorities decision or Chairman of the Joint Chiefs of Staff, planning directive to develop military options. Normally, the directive will be a Chairman of the Joint Chiefs of Staff, Warning Order. The directive establishes command relationships, identifies the mission and any planning constraints. The supported commander develops and analyzes courses of action and submits his recommendations to the National Command Authorities and Chairman, Joint Chiefs of Staff, in the form of an estimate of the situation. The course of action development phase ends with the submission of the supported commander's estimate. If the nature and timing of the crisis mandate accelerated planning, the Chairman of the Joint Chiefs of Staff, may proceed directly to course of action selection or execution.

Course of Action Selection. The Chairman of the Joint Chiefs of Staff, in coordination with the Joint Chiefs, reviews and evaluates the courses of action provided in the supported commander's estimate and prepares recommendation and advice for consideration by the National Command Authorities. The National Command Authorities select a course of action and direct that execution planning be accomplished. The Chairman of the Joint Chiefs of Staff, issues an *Alert Order* implementing the National Command Authorities decision. This is the formal Crisis Action Planning Process method of notifying the supported commander (and the Joint Planning and Execution Community) of the selected course of action and initiating execution planning.

Execution Planning. In this phase forces, sustainment, and strategic mobility resources are identified, and the concept of operations is described in an operation order format. If required by the situation, the supported commander will initiate campaign planning or refine a campaign plan already in development. The supported commander develops the operation order and supporting time phase force and deployment data by modifying an existing operation plan, expanding an existing operation plan in a concept format, or developing a new plan. The execution planning phase terminates with a National Command Authorities decision to implement the operation order. In those cases where the crisis does not progress to implementation, the Chairman of the Joint Chiefs of Staff, may direct continued crisis action planning or shift to deliberate planning procedures.

Execution. When the National Command Authorities direct implementation of the operation order, the Chairman of the Joint Chiefs of Staff issues an *Execute Order* directing the deployment and employment of forces, defining the timing for the initiation of operations, and conveying guidance as required. The execution phase of Crisis Action Planning continues until the crisis is terminated or the mission is terminated and force redeployment has been completed. If the crisis is prolonged, the process may be repeated continuously as circumstances change and missions are revised.



Crisis Action Planning Interaction with Deliberate Planning

The Crisis Action Planning Process provides for a rapid transition from peace to conflict, war, or military operations other than war. Deliberate Planning supports Crisis Action Planning by anticipating potential crises and then by developing joint operations plans that facilitate the timely development and selection of a course of action and execution planning. Deliberate Planning prepares for a hypothetical contingency (based on the best available information). Deliberate Planning relies heavily on assumptions regarding the political and military circumstances that are expected to exist at some point in the future when the plan may be implemented.

The five steps of Deliberate Planning and the six steps of Crisis Action Planning are similar. They differ, however, in that Crisis Action Planning includes an execution phase. After the National Command Authorities selects the course of action, the supported commander develops directives to initiate action.

The Deliberate and Crisis Action Planning Processes support high-level political-military decisions and provide tactical commanders with the right forces in the right places to accomplish assigned missions. In contrast, naval planning generates operational and tactical plans specifically for naval forces. Naval planning orchestrates naval actions to achieve designated objectives in combat, crisis, or military operations other than war.

Campaign Planning

Campaign plans are used by unified commanders to control complex or protracted operations. These plans embody the theater commander's vision of related major operations necessary to obtain strategic objectives. A campaign may include a number of fully-developed sequential[5] and simultaneous[6] operations aimed at a common objective. Through campaign plans the commander describes extended operational concepts which arrange a series of related military operations in time and space. Generally, both the overall campaign plan and subordinate operation plans will be approved by the National Command Authorities through the Deliberate and Crisis Action Planning Process.

Dependent on the size, complexity, and anticipated duration of military involvement, a unified commander may also develop a campaign plan to coordinate related, simultaneous, and sequential operations. Campaign planning can be started during deliberate planning, but it is not normally completed until the Crisis Action Planning phase. Once the course of action for an operation is conceived, the combatant commander must consider whether the current operations will achieve the strategic and operational objectives. If not, the combatant commander must begin planning for future operations by estimating the probable outcome of current operations (the starting point for planning future operations). Thus, changes in the campaign plan must be considered when changes to the operation order are issued; otherwise, the proper phasing and integration of operations may be lost.

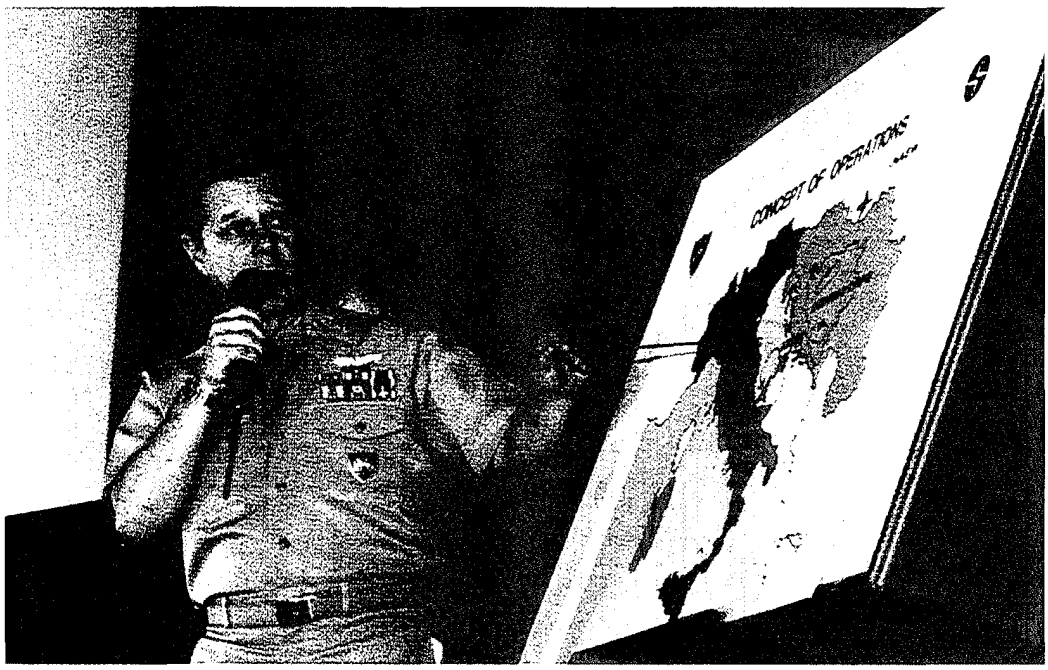
Campaign planning may also ease the transition from Deliberate to Crisis Action Planning. The theater campaign plan embodies the combatant commander's vision of the arrangement of related major operations necessary to attain strategic objectives. Campaign planning begins with or during Deliberate Planning and continues

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[5] Sequential operations are conducted in phases that either correspond with established execution priorities or which compensate for a lack of resources (FM 100-5).

[6] Simultaneous operations are conducted at the same time, with decentralized execution, in support of common objectives (*The Joint Staff Officer's Guide*).

through Crisis Action Planning. It enables combatant commanders to describe expanded operational concepts for arranging a series of related military operations in time and space. It organizes forces and assigns tasks to coordinate the series of related operations. Component commanders prepare plans to support the coordination of the unique capabilities of each Service; e.g. naval planning provides the most effective use of naval forces in a given crisis.



Ready to Fight - Prepared Through Planning

Forward-deployed Navy and Marine Corps forces are often the first of our Armed Forces to be committed in times of crisis. At the onset of a crisis, updated intelligence of actual enemy actions may remove some of the ambiguity inherent in the assumptions of the Deliberate Planning Process. However, better information does not necessarily preclude use of all or part of previously developed plans. The key to determining which are still valid is the commander's estimate of the situation and the development of courses of action based on this estimate. If existing operation plans, operation plans in concept format, or functional plans fit the situation, they can be expanded or modified for execution as an operation order or campaign plan.

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OPERATION NEPTUNE/OVERLORD

The combined campaign, Operation NEPTUNE/OVERLORD, in June 1944, is the classic example of combined planning and coordination of related, simultaneous, and sequential operations.

The Casablanca Conference in January 1943 authorized the establishment of a Combined Planning Staff, under Lieutenant General Sir Frederick E. Morgan as Chief of Staff to Supreme Allied Commander (COSSAC). By the time General Eisenhower took command in late December 1943, most of the planning for OVERLORD had been completed. As Supreme Commander, Allied Expeditionary Force (SHAEF), Eisenhower was ordered: "to enter the Continent of Europe, and, in conjunction with the other United Nations, undertake operations aimed at the heart of Germany and the destruction of her armed forces."

The planners were absorbed into SHAEF at Norfolk House, St. James Square, London, in early January 1944. This large planning staff of more than 1,000 personnel included an officer staff of 489 (half American and half British). The 614 enlisted on staff were a mix of roughly two-thirds British and one-third American.

The essence of the plan was to land two American and three British/Canadian divisions simultaneously on a sixty-mile stretch of the Normandy coast supported by quick, strong reinforcements to keep up momentum and expand the beachhead. In preparation for NEPTUNE-OVERLORD (the code NEPTUNE was generally used for the amphibious phase of the operation), Allied air forces had established a thirty-to-one air superiority over the Luftwaffe. Just prior to the landing, sustained bombing of roads, railroads, and marshaling yards in France, Belgium, and western Germany crippled the enemy's communications system.

From the sea, American, British, and Canadian minesweepers began sweeping the transport area ten miles offshore, the fire support areas, and the approach channels. Shore bombardment followed for two hours falling on the German defenses on the three eastern beaches designated Gold, Juno, and Sword. H-hour was postponed on these beaches until the tide was high enough to allow units to clear the reefs and foul ground. At the American Utah Beach on Cotentin Peninsula, naval gunfire, though less extensive, cleared the landing area of its irresolute defenders with equal success. In contrast, the American Omaha Beach defenses were bombarded for only 35 minutes because of the necessity to launch the amphibious assault early to take advantage of the low tides to negotiate the beach obstacles while fully exposed.

American, British, Canadian, Belgian, and Free French forces, united in this monumental combined effort, successfully invaded France in June 1944. Operation OVERLORD proceeded according to plan, if not quite according to schedule.



CHAPTER THREE

Naval Operation Planning

THE NELSON TOUCH

"One of Nelson's great strengths as a commander was his confident willingness to amend established doctrine when necessary. Before Trafalger he explained, as he put it, 'not only to the commander of the fleet but almost to every individual how he was going to deviate from the standard single battle line. Such a deployment would not obtain as decisive results as a more daring ploy. Recognizing the weakness of the French and Spanish, he decided to approach the enemy line in two perpendicular lines of his own to cut it into three sections that could be annihilated in detail.' ...it was like an electric shock. Some shed tears. All approved - it was new - it was singular - it was simple! His captains put the plan into effect in the greatest victory in the Royal Navy's history."

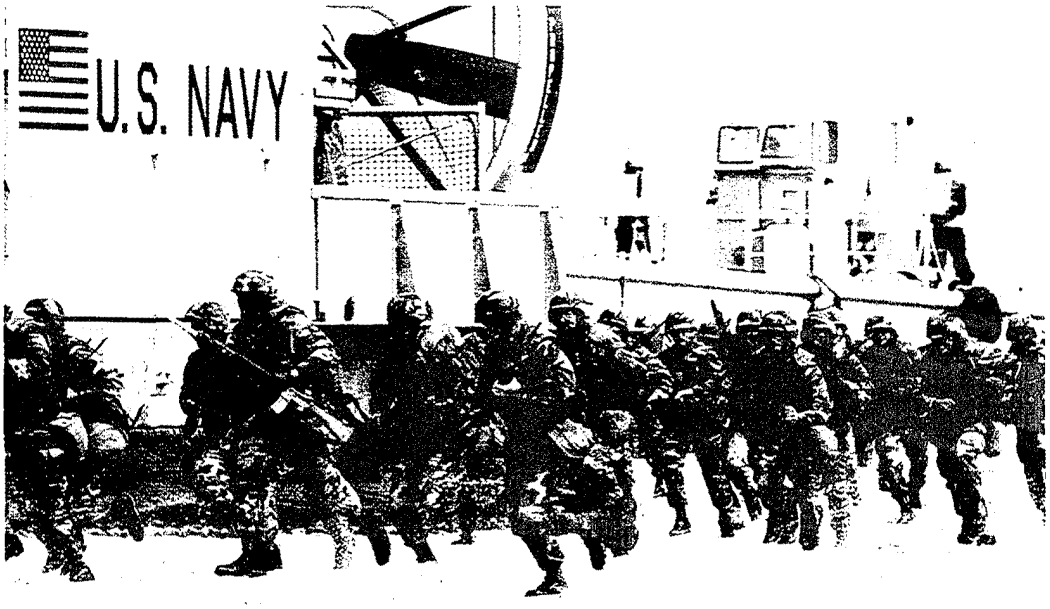
- BR 1806, *British Maritime Doctrine*

"The basic requirement of decentralized operations in general war is preplanned response in accordance with commonly understood doctrine. Lord Nelson did not win at Trafalgar because he had a great plan, although his plan was great. He won because his subordinate commanders thoroughly understood that plan and their place in it well in advance of plan execution."

Vice Admiral Henry C. Mustin III, USN
Commander Second Fleet/Joint Task Force 120
Fighting Instructions, 1986

Naval forces have traditionally embraced a fluid form of fighting known as maneuver warfare. Manuever warfare causes surprise and confusion within the enemy ranks giving naval forces an advantage. Operation planning is structured to support this style of naval warfare. This chapter provides a "road map" connecting the means (naval forces) with our method (maneuver warfare) to achieve a military objective.

The processes and products of operation planning are used at all levels of our chain of command, from the national level to the individual units and warfighters. This chapter discusses the naval philosophy (based on operation planning) and the relationship between the planning of the Component Commander, Officer in Tactical Command (OTC), and subordinate commanders. Operation planning relies on the commander's judgment, honed through years of experience and training, to assess and react rapidly to a particular situation.



The Naval Process

Before delving into the details of naval planning, it is important to look briefly at an overview of how operation planning requirements flow down the chain of command.

Flow of Operation Planning

In major regional conflicts, the primary warfighters (the geographic combatant commanders) are the supported commanders. They are responsible for carrying out national tasking; and in lieu of that tasking, they conduct and coordinate operations within their theater. The geographic combatant commander's plan attempts to take advantage of the unique operational capabilities of each Service. Naval operation planning focuses on delivering the maximum impact from naval force capabilities to achieve operational and strategic objectives in support of the combatant commanders.[7]

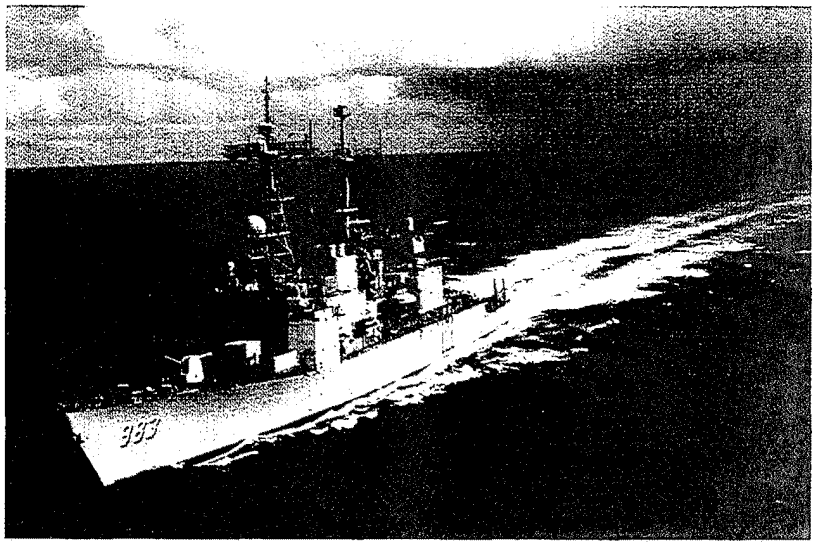
The naval services Component Commanders provide naval planning support to one or more combatant commander(s). Although all Navy and Marine Corps operating forces are under the operational control of only one unified commander at a time, for planning purposes, they may be assigned or apportioned to more than one unified commander.

When a joint task force is established, the Joint Task Force Commander normally assigns the senior Navy and Marine Corps unit commanders as their respective service component commanders. The Service component commanders are directly responsible to the Joint Task Force Commander for developing supporting plans.

The Joint Task Force Commander may appoint a Joint Force Maritime Component Commander who prepares a naval operation plan to direct the actions of subordinate commanders. Subordinate naval commanders, down to the lowest unit commander, may then develop plans based on their own situational awareness and their superior's objectives. Familiarity with these operation plans is a necessary component of unit readiness, preparing naval forces on the scene to adapt quickly from a ready force to a combatant force.

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[7] Joint Pub 1-02, *The DOD Dictionary*, defines combatant commander as a Commander in Chief (CINC) of one of the Unified or Specified Combatant commands established by the President.



Delegation of Planning Tasks

Based on the magnitude of the task, the unified commander may need to delegate some planning to supporting and subordinate commands. Delegation ensures that the subordinate staffs, who are most familiar with the capabilities and limitations of assigned forces, are included in plan development. As a result, each level contributes uniquely to the plan.

Naval Component Planning

The combatant commander's intent represents the commander's vision of an operation, and the desired outcome at operation completion. This unifying focus forms the basis for the Navy and Marine Corps component planning process. The decentralization of command within centralized, overarching guidance allows subordinates to exercise maximum initiative in consonance with the commander's overall goals.

Naval component commanders develop their operation plans by embracing the combatant commander's intent and then following the military planning logic discussed in chapter 1. Focused on the commander's intent, the planning process yields a flexible and responsive concept of operations to achieve the desired endstate. While the estimated sequence of actions in the concept of operations may

change, the commander's intent remains constant as the goal of military operations, providing unity of effort that permits rapid adaptation of the plan to the unfolding operational situation.

Naval Component Planning has three products: the Commander's Estimate of the Situation, the operation plan, and the plan execution (directive).

> *"Ensure that both plan and dispositions are flexible - adaptable to circumstances. Your plan should foresee and provide for a next step in case of success or failure, or partial success - which is the most common case in war. Your dispositions (or formation) should be such as to allow this exploitation or adaptation in the shortest possible time."*
>
> Captain Sir Basil Liddell Hart,
> *Strategy*, 1954

Commander's Estimate of the Situation

The Commander's Estimate of the Situation determines subordinate courses of action and the concept of operations that supports the senior's intent and delineates subordinate missions and tasks. This function is conducted at many levels of the chain of command, from the numbered fleet/Marine expeditionary force, task force/Marine expeditionary unit, or individual unit level. The "top-down" progression provides a consistent commander's intent and unity of effort in the planning process.

Operation Plans

Plans supporting the geographic combatant commander are the basic tool for coordination of naval actions at the operational or tactical level. Like the governing operation order, the naval plan tests for adequacy, feasibility, and acceptability. These attributes are measured in the context of the naval components Navy and Marine tactics and procedures. Naval staffs are best able to determine whether subordinate plans can accomplish the mission and be executed with available resources. Naval component commanders may also advise the supported unified commander by evaluating the selected course of action. They may advise on the acceptability of the course of action in terms of estimated costs in human and equipment resources.

Plan Execution-Directives

Directives are defined as any communications which initiate action, conduct, or procedure. They may be administrative, establish policy, or order specific action (such as the execution of a plan). Directives can be oral or written, but they must always be clear, concise, and authoritative.

At the component and numbered fleet /Marine expeditionary force levels, Navy and Marine Corps directives are similar to the directives used by a unified commander; Chairman, Joint Chiefs of Staff; or the National Command Authorities. These directives take the following forms: *Warning/Alert/Planning/Execute Orders*, operation plans, concept plans, functional plans, campaign plans, outline plans, and letters of instruction.

Execution Coordination

The common coordination of U.S. forces in theater is achieved through the Joint Operation Planning and Execution System. This system forms the basis for developing naval directives, executing naval operations, and coordinating reporting requirements. The process is streamlined to meet the tactical needs of the force by assigning Joint Operation Planning and Execution System responsibility to the level of command best able to maximize operational efficiency (generally at the numbered fleet and Marine expeditionary force levels). Below this level Joint Operation Planning and Execution System connectivity becomes more cumbersome for the commander, primarily because of mobility and staff considerations. At the task force/task group level, directives focus on the tactical level of naval warfare. To support them, operation planning optimizes and tailors the products. While these products are fully compatible for integration into Joint Operation Planning and Execution System, they are the only parts necessary for commanders to execute their orders. Naval forces use mission-type orders that specify the "what" while relying on the initiative and leadership of their commanders to provide the "how." Naval directives specify planned actions intended to establish command authority and responsibility while providing mission and situational awareness for the executing unit.

During the conduct of naval operations the importance of situational awareness is magnified as plans are modified to meet the changing operational situation. Modifications addressing the present situation and the next twenty-four hour period are developed through current planning, while future planning normally considers requirements beyond twenty-four hours. Current and future naval operations are coordinated through a collective understanding of the commander's intent at each level of command. This common focus insures continuity and unity of effort between current and future operations.

Navy Coordination

With the advent of NATO, navy forces worldwide began using Maritime Tactical Messages,[8] a standardization of the General Operating Instructions known as Operational General Matters (OPGEN),[9] Operational Tasks (OPTASK),[10] and Operational Status messages (OPSTAT)[11]. When the U.S. military changed to the joint warfighting structure, as a result of the 1986 amendment to the National Security Act, these message formats were updated to be compatible with Joint Operation Planning and Execution System. This was more practical than trying to export Joint Operation Planning and Execution System worldwide. Navy Officers in Tactical Command (OTCs) have the ability to rapidly integrate naval units into a synchronized battle force/battle group. General Operating Instructions are produced in a machine readable format to rapidly transmit

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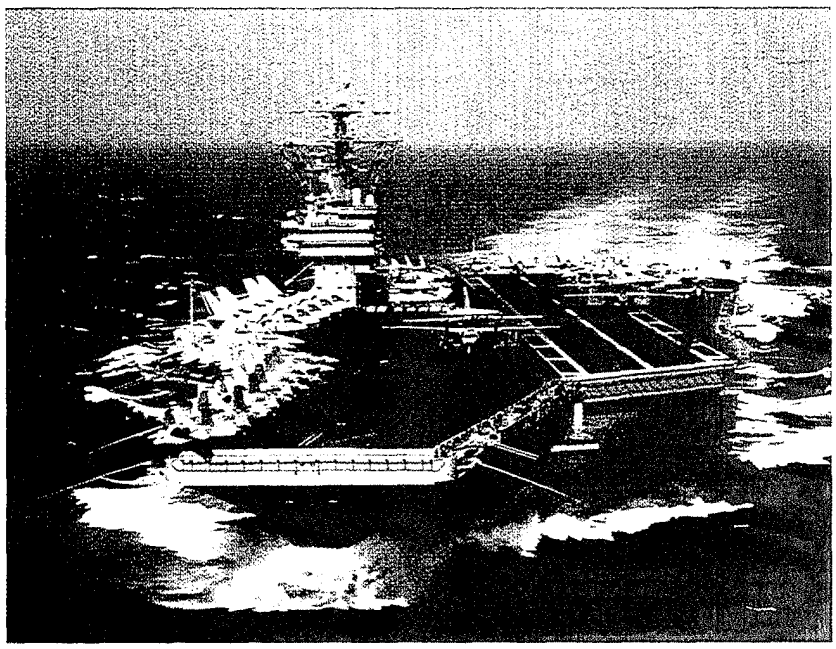
[8]The Maritime Tactical Message System provides a standardized method for conveying operational instructions for allied naval forces. The messages (OPGEN, OPTASK, and OPSTAT) provide a method for ordering specific tasks and or exchanging information required to control a force at sea (NWP-11, Rev F, Renumbered NWP 5-01).

[9]OPGEN - general matters of policy, instructions, and aspects common to all forms of warfare responsibilities retained by the officer in tactical command (NWP-11, Rev F, Renumbered NWP 5-01).

[10]OPTASK - detailed information for specific aspects within individual areas of warfare and for tasking of resources (NWP-11, Rev F, Renumbered NWP 5-01).

[11]OPSTAT - aspects of information exchange, particularly reporting of operational status (NWP-11, Rev F, Renumbered NWP 5-01).

critical information from the Battle Force/Battle Group commander to the battle force/battle group and back to the unified commander. The officer in tactical command is then linked to the unified commander and other Service component commanders through the Joint Operation Planning and Execution System.



The Officer in Tactical Command requires that his units and composite warfare commanders understand and use the same concept of operations and command and control practices. The delegation of warfare commander responsibilities has been simplified through the use of standard Operational Tasks. The officer in tactical command may delegate responsibility within specific warfare disciplines to allow subordinate commanders to operate based on his intent. The officer in tactical command retains the ability to modify his directives by using supplemental directives or orders. The OPTASK system provides the same elements as the operation plan: situation/mission/execution/administration/command and control necessary for centralized planning and decentralized execution in the strategic and operational planning systems.

THE BATTLE OF THE PHILIPPINE SEA

Admiral Spruance, Commander Fifth Fleet issued the following simple yet clear battle plan for a complex operation to Vice Admiral Mitscher, Commander Task Force 58 on 17 June 1944:

"Our air will first knock out enemy carriers, then will attack enemy battleships and cruisers to slow or disable them. The battle line will destroy enemy by fleet action if the enemy elects to fight or by sinking slowed or crippled ships if enemy retreats. Action against the enemy must be pushed vigorously by all hands to ensure complete destruction of his fleet. Destroyers running short of fuel may be returned to Saipan if necessary for refueling.

Desire you proceed at your discretion selecting dispositions and movements best calculated to meet the enemy under most advantageous conditions. I shall issue general directives when necessary and leave details to you and Admiral Lee".

What followed was the "greatest carrier battle of the war." Enemy forces engaged were three to four times those in Midway. The "Great Marianas Turkey Shoot" as one naval aviator named the principal phase of this battle, led to a victory so complete that Japanese naval air was never again able to engage on any other terms than the suicidal kamikaze raids. For over eight hours there was fierce, continuous action in the air, directed and supported by action on board ship. The skilled energy of deck crews in rapid launching, recovery and servicing planes throughout this complex battle and the determined courage of the young Hellcat pilots made this day one of the zenith's of the history of the American spirit. All this from a simple, yet clear battle plan that allowed the commanders the flexibility to exercise the most appropriate tactics for the battle situation.

Samuel Eliot Morison
The Two-Ocean War, 1963

If the Commander's Estimate of the Situation requires changes in the operation order, General Operating Instruction (OPGEN), or Operational Task (OPTASK); a Fragmentary Order (FRAGORDER)[12] or Supplements to the General Operating Instruction will be used.

[12] FRAGORDER - An abbreviated form of an operation order, usually issued on a day-to-day basis, that eliminates the need for restating information contained in a basic operation order. It may be used in sections (Joint Pub 1-02).

Marine Corps Coordination

The basis for Marine Corps *deliberate* planning is the Fifteen Step Analytical Planning Process.[13] This analytical planning model ensures the detailed planning and coordination needed to execute complex naval operations are accomplished. To increase the rapidity of planning in crisis response situations or in order to maintain a high tempo of operations, two derivatives of the fifteen step model are utilized, the Maneuver Warfare Planning Process[14] and the Rapid Response Planning Process.[15] *The planning model and directive format employed are situationally dependent and largely based on the available time and level of command.*

No matter which planning model is used the Marine force commander is linked to the unified commander, joint task force commander, and Navy component commander by the standard format of the Joint Operation Planning and Execution System Operation Order. This makes the Marine Corps fully compatible for integration with other U.S. forces. Individual unit commanders may issue, as required, the complete operation order, or appropriate annexes of the operation order, but the essential focus of the combat order is the mission. The planning process provides a framework for the coordination of multiple activities occurring in the modern battlespace. The directives conveying this framework allow for maximum exercise of initiative by subordinate commanders.

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[13] The Fifteen Step Analytical Planning Process is described in detail in FMFM 3-1, *Command and Staff Action.* The fifteen steps are: (1) Receipt of Mission; (2) Mission Analysis; (3) Information Requirements and Exchange; (4) Initial Staff Orientation; (5) Commander's Planning Guidance; (6) Course of Action Development; (7) Commanders' Approval of Courses of Action; (8) Staff Estimates/Estimates of Supportability; (9) Commander's Estimate of the Situation; (10) Commander's Decision; (11) Commander's Concept of Operations; (12) Preparation of Detailed Plans; (13) Commander's Approval; (14) Issuance of the Order; (15) Commander and Staff Supervision.

[14] The Maneuver Warfare Planning Process steps are: (1) Mission/Task Analysis; (2) Course of Action Development; (3) Course of Action Analysis; (4) Course of Action Comparison; (5) Orders Development; (6) Transition.

[15] The Rapid Response Planning Process is a compressed version of the 15 step deliberate planning process. The difference lies in the use of standard operating procedures, preestablished mission profile and force packages to abbreviate, combine, or rapidly complete planning process steps.

To facilitate understanding, Marine Corps directives are often portrayed graphically in the form of overlays, matricies, or automated images. An operations overlay is used to convey the tactical situation, concept of operations, scheme of maneuver, and similar details. The mission statement is usually written on the overlay, emphasizing the "what" of the operation; the "how" is determined by the commander of the tasked unit. Once execution of the operation begins, Fragmentary Orders (FRAGORDERs) are issued to assign a new mission or change existing tasking.

Joint Coordination

As in Crisis Action Planning at the unified command level, superiors require situation reports to assess the ongoing operation. Operational reports and situation reports use Joint Reporting Structure formats throughout the chain of command. The Joint Operation Planning and Execution System requires every level of command to respond as directed to the unified commander's operation order to ensure focus of effort. The operation order directs action flowing from the top down to tactical units. Tactical units submit reports to the unified commander, who then reports to the Chairman of the Joint Chiefs of Staff, and National Command Authorities.

Although forces, command and control, administration and logistics, phasing, and timing may change; the focus remains on the desired objectives driven by the strategic and operational objectives of the geographic combatant commander. The common coordination of all U.S. forces in the theater is achieved through the Joint Operation Planning and Execution System. Naval forces streamline this system to meet the tactical needs of the force by assigning Joint Operation Planning and Execution System responsibility to the level of command best able to maximize operational efficiency.

IWO JIMA

A general directive leads to specific actions. The Joint Chiefs of Staff on 3 October 1944 issued a directive to Admiral Nimitz that led to the assault on Iwo Jima:

"Admiral Nimitz, after providing covering and support for the liberation of Luzon, will occupy one or more positions in the Bonins-Volcano Group, target date 20 January 1945, and one or more positions in the Ryukyus, target date 1 March 1945. This directive clearly indicated the 'what' and left the 'how' to Admiral Nimitz and his naval commanders' initiative and leadership."



Owing to the unexpectedly prolonged and bitter defense of Leyte and Luzon, target dates in the 3 October directive could not be kept, thus providing additional time for the Japanese to make Iwo Jima almost impregnable. Iwo Jima's defenses were of such a nature that neither air bombing (VII Army Air Force under Major General Willis H. Hale) or naval bombardment by three heavy cruisers (under RADM Smith) were able to neutralize them. D-day, 19 February, opened with the heaviest H-hour bombardment of World War II and the landing force hit the beach almost precisely at H-hour 0900. Up to the point of actually touching down, everything went off as planned, just like a parade. Approximately 30,000 troops landed on D-day including six infantry regiments, six artillery battalions and two tank battalions. The expected (planned for) counterattack never came off as the enemy was conserving manpower for the yard-by-yard battle that followed. The United States Marines conducted one of their toughest battles in their history with exemplary endurance and valor.

Samuel Eliot Morison
The Two Ocean Wār, 1963

Planning Products

The products of planning processes are plans and directives. Although they may take several different forms, all plans and directives must be clear, concise, complete, and authoritative.

Once the supported commander selects a course of action, formulates the commander's intent, and conveys his desired objective for the action, detailed planning is completed and subordinates are assigned missions, tasks, and objectives.

The art in issuing directives is in stating the mission ("what" is to be accomplished) while appropriately delegating the authority to determine "how." The basic elements of the operation order *situation, mission, execution, administration and logistics; and command and control* provide the necessary guidance to achieve the proper balance between coordinating the action and allowing subordinate commanders to exercise command authority, tactical freedom, and initiative to complete assigned missions.

Assessing the status of action through situation and operation reports allows the commander to reevaluate the concept of operations and distribute his conclusions using the Commander's Estimate of the Situation format. Unless the National Command Authorities change the strategic objectives, the "what" to be achieved should not change; however, the assignment of forces, phasing and synchronization of the operation may be modified after assessment. To the greatest extent possible, the "how" is determined at the tactical level by the commanders delegated that responsibility and authority.

Additional Service Responsibilities

The 1986 Amendment to the National Security Act delineates the Service Chiefs' responsibilities: train, equip, and provide forces to the combatant commanders. Day-to-day business is done through

the Service administrative control. Fitness reports, permanent change of station orders, promotions, and courts-martial, all proceed through the chain of command linking the lowest level tactical commander to the Service Chief or Civilian Secretary.

The Service chain is also responsible for logistic and administrative planning in support of operating forces. The basic administrative and logistic planning documents are the Navy Capabilities and Mobilization Plan (NCMP), the Marine Corps Capabilities Plan (MCP), and the Marine Corps Mobilization Management Plan (MPLAN). They are prepared by the Chief of Naval Operations and the Commandant of the Marine Corps to establish guidance on mobilization, operation planning support, force capabilities, and force allocation for major scenarios.

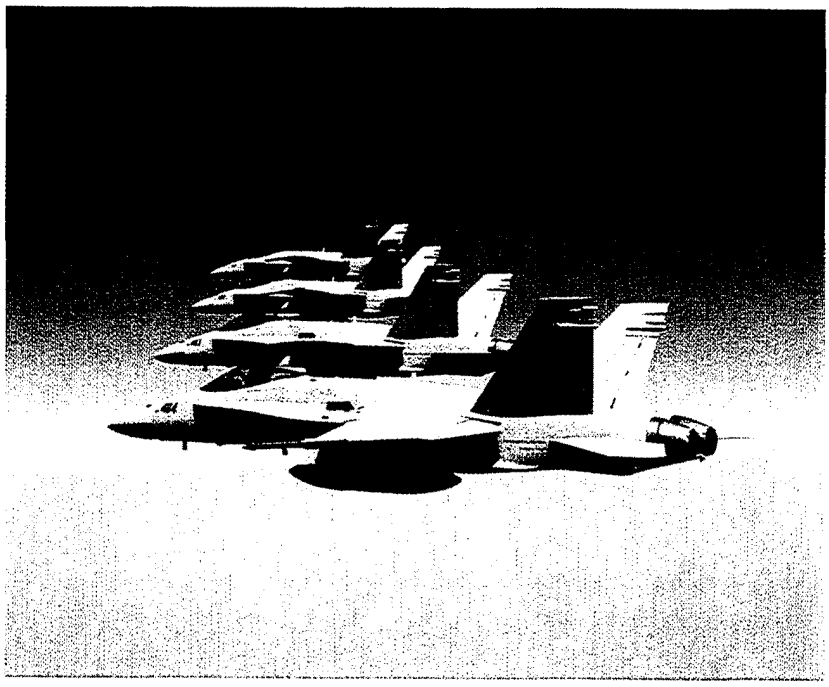
Each Service is closely involved in operation planning. Planning, at all levels of the administrative or the operational chain of command, is conducted for the sole purpose of conducting successful military operations. "Service-specific" or naval planning and execution and "joint" planning and execution are linked by the assignment of specific missions to subordinate units at all levels of warfare. Naval operation planning must fully support and be a logical extension of joint planning. Naval force operation plans are an integral part of the complete inventory of plans used by the joint force commander and the combatant commander to coordinate all land, sea, air, space, and special operations effectively.

Under the guidance of the Chairman of the Joint Chiefs of Staff, the Joint Planning and Execution Community is responsible for orchestrating all military planning effort for the U.S. and supporting its interests world-wide. The Joint Planning and Execution Community uses the Joint Operation Planning and Execution System to form coherent, mutually-supporting joint operation plans spanning all echelons of command and levels of war.

In summary, naval operation planning is joint planning tailored to the unique environment in which we operate. It is specific to naval warfare, and, having been developed from the precepts of military planning using the Military Planning Logic, fits the continuum of operational level planning, from unit operations to major campaigns.

"But, in case signals can neither be seen or perfectly understood, no captain can do very wrong if he places his ship alongside that of an enemy."

- Lord Nelson
9 October 1805



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CONCLUSION

"It can not be too often repeated that in modern war, and especially in modern naval war, the chief factor in achieving triumph is what has been done in way of thorough preparation and training before the beginning of war."

President Theodore Roosevelt,
U.S. Naval Academy graduation address,
June 1902

Planning is fundamental to command. Understanding the planning processes associated with employment of naval forces in peacetime, crisis, and war (as well as higher-echelon military and political planning structure) is essential for all Navy and Marine Corps officers.

NDP-5 provides the basic building blocks and common starting point from which to examine how, as commanders and staff officers, we think about war and planning. Only with a firm grasp of the fundamentals of planning, its related processes and products, and a clear, conceptual view of the big picture of U.S. military planning, can we fully examine and understand *naval planning* in the context of modern warfare.

At the operational and strategic levels of war, the Joint Operations Planning and Execution System aids commanders in translating strategic direction into military actions. The procedures and guidelines set forth in joint doctrinal manuals are applicable to maritime, air, and ground forces alike. At the tactical level, the details of employing combat units require a specifically tailored planning process for flexible decision-making and command and staff action.

Naval planning provides the common, logical framework within which naval commanders and staff officers can analyze their mission, evaluate the situation, decide on the best course of action, translate the decision into planned subordinate action, and monitor and modify the planned action as required. Although actual procedures and specific steps vary slightly, naval planning is common to both the Navy and Marine Corps.

NDP 5 introduces the reader to naval planning, from the simplest problem to how and where planning fits into the development of the complex network of formal operation plans and crisis action plans for the defense of the U.S. and its interests around the globe. As a capstone publication, it is intended to begin the discussion on naval planning. More detailed discussions and specifics on "how to" develop plans are found in NWP 5-01 and will be found in 5 series (Planning) of Marine Corps doctrinal publications currently under development.

Nothing warfighters do in peacetime is more important than planning for war. The success of NDP 5 will be measured by the extent to which naval planning occupies the forefront of our peacetime preparations, discussions, and education.

GLOSSARY

Alert order: 1. A crisis-action planning directive from the Secretary of Defense, issued by the Chairman of the Joint Chiefs of Staff, that provides essential guidance for planning and directs the initiation of execution planning for the selected course of action authorized by the Secretary of Defense. 2. A planning directive that provides essential planning guidance and directs the initiation of execution planning after the directing authority approves a military course of action. An alert order does not authorize execution of the approved course of action. (Joint Pub 1-02)

Allocation: In a general sense, distribution of limited resources among competing requirements for employment. Specific allocations (e.g., air sorties, nuclear weapons, forces, and transportation) are described as allocation of air sorties, nuclear weapons, etc. (Joint Pub 1-02)

Apportionment: In the general sense, distribution for planning of limited resources among competing requirements. Specific apportionments (e.g., air sorties and forces for planning) are described as apportionment of air sorties and forces for planning, etc. (Joint Pub 1-02)

Augmentation Forces: Forces to be transferred from a supporting commander to the combatant command (command authority) or operational control of a supported commander during the execution of an operation order approved by the National Command Authorities. (Joint Pub 1-02)

Campaign: A series of related military operations aimed at accomplishing a strategic or operational objective within a given time and space. (Joint Pub 1-02)

Campaign Planning: The process whereby combatant commanders and subordinate joint force commanders translate national or theater strategy into operational concepts through the development of campaign plans. Campaign planning may begin during deliberate planning when the actual threat, national guidance, and available resources become evident, but is normally not completed until after the National Command Authorities select the course of action during crisis action planning. Campaign planning is conducted when contemplated military operations exceed the scope of a single major joint operation. (Joint Pub 1-02)

CINC's Strategic Concept (CSC): The final document produced in Step 5 of the concept development phase of the deliberate planning process. The CINC's Strategic Concept is used as the vehicle to distribute the CINC's decision and planning guidance for accomplishing joint strategic capabilities plans or other Chairman of the Joint Chiefs of Staff (CJCS) taskings. CJCS approval of the strategic concept becomes the basis of the plan for development into an operation plan or operation plan in concept format. Formerly called "the concept of operations." (Joint Pub 1-02)

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 joint force commanders, the Service, and/or the functional component commander. 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). (Joint Pub 1-02)

Concept of Operations: A verbal or graphic statement, in broad outline, of a commander's assumptions or intent in regard to an operation or series of operations. The concept of operations frequently is embodied in campaign plans and operation plans; in the latter case, particularly when the plans cover a series of connected operations to be carried out simultaneously or in succession. The concept is designed to give an overall picture of the operation. It is included primarily for additional clarity of purpose. Also called commander's concept. (Joint Pub 1-02)

Contingency: An emergency involving military forces caused by natural disasters, terrorists, subversives, or by required military operations. Due to the uncertainty of the situation, contingencies require plans, rapid response, and special procedures to ensure the safety and readiness of personnel, installations, and equipment. (Joint Pub 1-02)

Course of action (COA): 1. A plan that would accomplish, or is related to, the accomplishment of a mission. 2. The scheme adopted to accomplish a task or mission. It is a product of the Joint Operation Planning and Execution System concept development phase. The supported commander will include a recommended course of action in the commander's estimate. The recommended course of action will include the concept of operations, evaluation of supportability estimates of supporting organizations, and an integrated time-phased data base of combat, combat support, and combat service support forces and sustainment. Refinement of this data base will be contingent on the time available for course of action development. When approved, the course of action becomes the basis for the development of an operation plan or operation order. (Joint Pub 1-02)

Crisis: An incident or situation involving a threat to the United States, its territories, citizens, military forces, possessions, or vital interests that develops rapidly and creates a condition of such diplomatic, economic, political, or military importance that commitment of US military forces and resources is contemplated to achieve national objectives. (Joint Pub 1-02)

Crisis Action Planning (CAP): 1. The Joint Operation Planning and Execution System process involving the time-sensitive development of joint operation plans and orders in response to an imminent crisis. Crisis action planning follows prescribed crisis action procedures to formulate and implement an effective response within the time frame permitted by the crisis. 2. The time-sensitive planning for the deployment, employment, and sustainment of assigned and allocated forces and resources that occurs in response to a situation that may result in actual military operations. Crisis action planners base their plan on the circumstances that exist at the time planning occurs. (Joint Pub 1-02)

Deliberate Planning: 1. The Joint Operation Planning and Execution System process involving the development of joint operation plans for contingencies identified in joint strategic planning documents. Conducted principally in peacetime, deliberate planning is accomplished in prescribed cycles that complement other Department of Defense planning cycles and in accordance with the formally established Joint Strategic Planning System. 2. A planning process for the deployment and employment of apportioned forces and resources that occurs in response to a hypothetical situation. Deliberate planners rely heavily on assumpltions regarding the circumstances that will exist when the plan is executed. (Joint Pub 1-02)

Employment: The strategic, operational, or tactical use of forces. (Joint Pub 1-02)

Employment Planning: Planning that prescribes how to apply force/forces to attain specified military objectives. Employment planning concepts are developed by combatant commanders through their component commanders. (Joint Pub 1-02)

Execute Order: 1. An order issued by the Chairman of the Joint Chiefs of Staff, by the authority and at the direction of the Secretary of Defense, to implement a National Command Authorities decision to initiate military operations. 2. An order to initiate military operations as directed. (Joint Pub 1-02)

Force Planning: Planning associated with the creation and maintenance of military capabilities. It is primarily the responsibility of the Military Departments and Services and is conducted under the administrative control of the Secretary of Defense through the Military Departments and Services. (Joint Pub 1-02)

Functional Plans: Plans involving the conduct of military operations in a peacetime or permissive environment developed by combatant commanders to address requirements such as disaster relief, nation assistance, logistics, communications, surveillance, protection of US citizens, nuclear weapon recovery and evacuation, and continuity of operations, or similar discrete tasks. They may be developed in response to the requirements of the Joint Strategic Capabilities Plan, at the initiative of the CINC, or as tasked by the supported combatant commander, Joint Staff, Service, or Defense agency. Chairman of the Joint Chiefs of Staff review of CINC-initiated plans is not normally required. (Joint Pub 1-02)

Joint Force Commander (JFC): A general term applied to a combatant commander, subunified commander or a joint task force commander authorized to exercise combatant command (command authority) or operational control over a joint force. (Joint Pub 1-02)

Joint Force Maritime Component Commander (JFMCC): The commander within a unified command, subordinate unified command, or joint task force responsible to the establishing commander for making recommendations on the proper employment of maritime forces and assets, planning and coordinating maritime operations, or accomplishing such operational missions as may be assigned. The joint force maritime component commander is given the authority necessary to accomplish missions and tasks assigned by the establishing commander. The joint force maritime component com-

mander will normally be the commander with the preponderance of maritime forces and the requisite command and control capabilities. (Joint Pub 1-02)

Joint Operation Planning: Planning for contingencies which can reasonably be anticipated in an area of responsibility or joint operations area of the command. Planning activities exclusively associated with the preparation of operation plans, operation plans in concept format, campaign plans, and operation orders (other than the Single Integrated Operation Plan) for the conduct of military operations by the combatant commanders in response to requirements established by the Chairman of the Joint Chiefs of Staff. Joint operation planning is coordinated at the national level to support Secretary of Defense Contingency Planning Guidance, strategic requirements in the National Military Strategy, and emerging crises. As such, joint operation planning incudes mobilization planning, deployment planning, employment planning, sustainment planning, and redeployment planning procedures. Joint operation planning is performed in accordance with formally established planning and execution procedures. (Joint Pub 1-02)

Joint Operation Planning Process: A coordinated Joint Staff procedure used by a commander to determine the best method of accomplishing assigned tasks and to direct the action necessary to accomplish the mission. (Joint Pub 1-02)

Joint Operation Planning and Execution System (JOPES): A continuously evolving system that is being developed through the integration and enhancement of earlier planning and execution systems: Joint Operation Planning System and Joint Deployment System. it provides the foundation for conventional command and control by national- and theater-level commanders and their staffs. it is designed to satisfy their information needs in the conduct of joint planning and operations. JOPES includes joint operation planning policies, procedures, and reporting structures supported by communications and automated data processing systems. JOPES is used to monitor, plan, and execute mobilization, deployment, employment, and sustainment activities associated with joint operations. (Joint Pub 1-02)

Joint Planning and Execution Community (JPEC): Those headquarters, commands, and agencies involved in the training, preparation, movement, reception, employment, support, and sustainment of military forces assigned or committed to a theater of operations or objective area. It usually consists of the Joint Staff, Services, Service major commands (including the Service wholesale logistics commands), unified commands (and their certain Service component commands), subunified commands, transportation component commands, joint task forces (as applicable), Defense Logistics Agency, and other defense agencies (e.g., Defense Intelligence Agency) as may be appropriate to a given scenario. (Joint Pub 1-02)

Joint Strategic Planning System (JSPS): The primary means by which the Chairman of the Joint Chiefs of Staff, in consultation with the other members of the Joint Chiefs of Staff and the combatant commanders, carries out his statutory responsibilities to assist the President and Secretary of Defense in providing strategic direction to the Armed Forces; prepares strategic plans; prepares and reviews contingency plans; advises the President and Secretary of Defense on requirements, programs, and budgets; and provides net assessment on the capabilities of the Armed Forces of the United States and its allies as compared with those of their potential adversaries. (Joint Pub 1-02)

Multinational Operations: A collective term to describe military actions conducted by forces of two or more nations, typically organized within the structure of a coalition or alliance. (Joint Pub 1-02).

National Command Authorities (NCA): The President and the Secretary of Defense or their duly deputized alternates or successors. (Joint Pub 1-02)

Operation: 1. A military action or the carrying out of a strategic, tactical, service, training, or administrative military mission. 2. The process of carrying on combat, including movement, supply, attack, defense, and maneuvers needed to gain the objectives of any battle or campaign. (Joint Pub 1-02)

Operational Control (OPCON): Transferable command authority that may be exercised by commanders at any echelon at or below the level of combatant command. Operational control is inherent in Combatant Command (command authority). Operational control may be delegated and is the authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction necessary to accomplish the mission. Operational control includes authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command. Operational control 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. Operational control normally provides full authority to organize commands and forces and to employ those forces as the commander in operational control considers necessary to accomplish assigned missions. Operational control does not, in and of itself, include authoritative direction for logistics or matters of administration, discipline, internal organization, or unit training. (Joint Pub 1-02)

Operation Order (OPORD): A directive issued by a commander to subordinate commanders for the purpose of affecting the coordinated execution of an operation. (Joint Pub 1-02)

Operation Plan: Any plan, except for the Single Integrated Operation Plan, for the conduct of military operations. Plans are prepared by combatant commanders in response to requirements established by the Chairman of the Joint Chiefs of Staff and by commanders of subordinate commands in response to requirements tasked by the establishing unified commander. Operation plans are prepared in either a complete format (OPLAN) or as a concept plan (CONPLAN) . The CONPLAN can be published with or without time phased force and deployment data (TPFDD) file.

a. OPLAN. An operation plan for the conduct of joint operations that can be used as a basis for development of an operation order (OPORD). An OPLAN identifies the forces and supplies required to execute the CINC's Strategic Concept and a movement schedule of these resources to the theater of operations. The forces and supplies are identified in TPFDD files. OPLANs will include all phases of the tasked operation. The plan is prepared with the appropriate annexes, appendixes, and TPFDD files as described in the Joint Operation Planning and Execution System manuals containing planning policies, procedures, and formats.

b. CONPLAN. An operation plan in an abbreviated format that would require considerable expansion or alteration to convert it into an OPLAN or OPORD. A CONPLAN contains the CINC's strategic concept and those annexes and appendixes deemed necessary by the combatant commander to complete planning. Generally, detailed support requirements are not calculated and TPFDD files are not prepared.

c. CONPLAN With TPFDD. A CONPLAN with TPFDD is the same as a CONPLAN except that it requires more detailed planning for phased deployment of forces. (Joint Pub 1-02)

Service Component Command: A command consisting of the Service component commander and all those Service forces, such as individuals, units, detachments, organizations, and installations under the command, including the support forces that have been assigned to a combatant command, or further assigned to a subordinate unified command or joint task force. (Joint Pub 1-02)

Specified Command: A command that has a broad, continuing mission, normally functional, and is established and so designated by the President through the Secretary of Defense with the advice and assistance of the Chairman of the Joint Chiefs of Staff. It normally is composed of forces from a single Military Department. Also called specified combatant command. (Joint Pub 1-02)

Staff Estimates: Assessments of courses of action by the various staff elements of a command that serve as the foundation of the commander's estimate. (Joint Pub 1-02)

Strategic Plan. A plan for the overall conduct of a war. (Joint Pub 1-02)

Subordinate Command. A command consisting of the commander and all those individuals, units, detachments, organizations, or installations that have been placed under the command by the authority establishing the subordinate command. (Joint Pub 1-02)

Supported Commander: The commander having primary responsibility for all aspects of a task assigned by the Joint Strategic Capabilities Plan or other joint operation planning authority. In the context of joint operation planning, this term refers to the commander who prepares operation plans or operation orders in response to requirements of the Chairman of the Joint Chiefs of Staff. (Joint Pub 1-02)

Supporting Commander: A commander who provides augmentation forces or other support to a supported commander or who develops a supporting plan. Includes the designated combatant commands and Defense agencies as appropriate. (Joint Pub 1-02)

Supporting Plan. An operation plan prepared by a supporting commander or a subordinate commander to satisfy the requests or requirements of the supported commander's plan. (Joint Pub 1-02)

Tactical Control (TACON): Command authority over assigned or attached forces or commands, or military capability or forces made available for tasking, that is limited to the detailed and, usually, local direction and control of movements or maneuvers necessary to accomplish missions or tasks assigned. Tactical control is inherent in operational control. Tactical control may be delegated to, and exercised at any level at or below the level of combatant command. (Joint Pub 1-02)

Theater Strategy. The art and science of developing integrated strategic concepts and courses of action directed toward securing the objectives of national and alliance or coalition security policy and strategy by the use of force, threatened use of force, or operations not involving the use of force within a theater. (Joint Pub 1-02)

Time-Phased Force and Deployment Data (TPFDD): The Joint Operation Planning and Execution System data base portion of an operation plan; it contains time-phased force data, non-unit-related cargo and personnel data, and movement data for the operation plan, including:

a. In-place units.

b. Units to be deployed to support the operation plan with a priority indicating the desired sequence for their arrival at the port of debarkation.

c. Routing of forces to be deployed.

d. Movement data associated with deploying forces.

e. Estimates of non-unit-related cargo and personnel movements to be conducted concurrently with the deployment of forces.

f. Estimate of transportation requirements that must be fulfilled by common-user lift resources, as well as those requirements that can be fulfilled by assigned or attached transportation resources. (Joint Pub 1-02)

Unified Command: A command with broad continuing missions under a single commander and composed of significant assigned components of two or more Military Departments, and which is established and so designated by the President, through the Secretary of Defense with the advice and assistance of the Chairman of the Joint Chiefs of Staff. Also called unified combatant command. See also combatant command; subordinate unified command. (Joint Pub 1-02)

Warning Order: 1. A preliminary notice of an order or action which is to follow. 2. A crisis action planning directive issued by the Chairman of the Joint Chiefs of Staff that initiates the development and evaluation of courses of action by a supported commander and requests that a commander's estimate be submitted. 3. A planning directive that describes the situation, allocates forces and resources, establishes command relationships, provides other initial planning guidance, and initiates subordinate unit mission planning. (Joint Pub 1-02.)

SUGGESTED FOLLOW-ON READINGS

O'Keefe, Sean, Frank B. Kelso, II, and Carl E. Mundy, Jr. "...From the Sea: Preparing the Naval Service for the 21st Century." (Washington, D.C.: Department of the Navy, 1992).

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Naval Doctrine Publication 1, *Naval Warfare*, 28 March 1994.

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