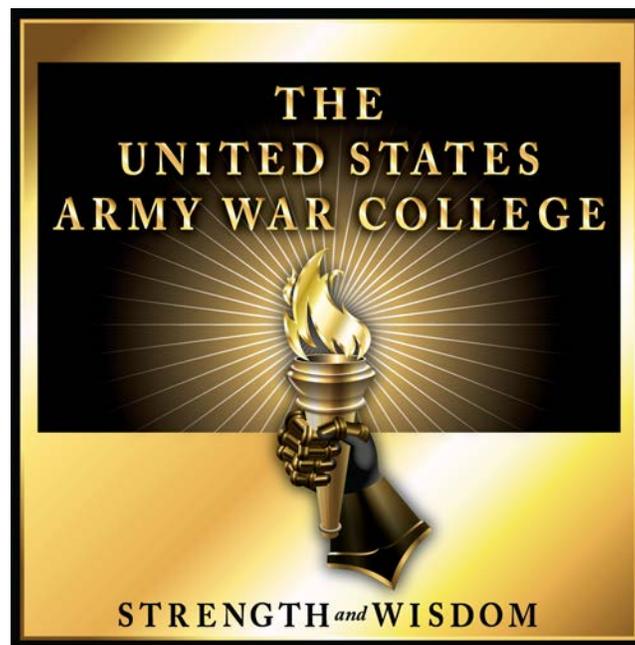


**U.S. ARMY WAR COLLEGE  
ACADEMIC YEAR 2017**

**CORE CURRICULUM**

**STRATEGIC LEADERSHIP  
COURSE**

**DIRECTIVE**



**U.S. Army War College, Carlisle, PA 17013-5050  
22 September - 20 October 2016**

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### **Middle States Accreditation**

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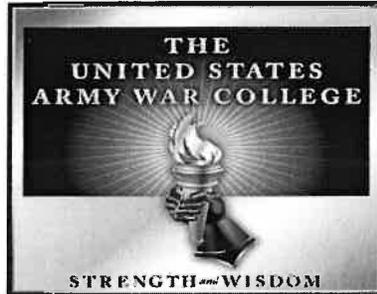
**CHANGES to AY17 SL DIRECTIVE**  
**(as of 20 Sep 16)**

1. Calendar (p. 8) - 29 Sep 16: ADD - NTL: Dr. Woods (Bliss Hall)
2. Calendar (p. 8) - 3 Oct 16: CHANGE Lesson 8-S time to 0800-1000
3. Calendar (p. 8) - 3 Oct 16: CHANGE Lesson 9-EX time to 1000-1200
4. Calendar (p. 8) - 12 Oct 16: ADD - NTL: BG Macaulay
5. Calendar (p. 8) - 18 Oct 16: CHANGE - RWR
6. Calendar (p. 8) - 19 Oct 16: CHANGE - Lsn-19-EX Capstone Exercise
7. Calendar (p. 8) - 20 Oct 16: CHANGE - SRP
8. SL-3-S (p. 17) - CHANGE para 3.b.(1) Required Reading date of paper to August 2016.
9. SL-3-S (p. 17) - REPLACE para 3.b.(2) Required Reading with: (2) Andrew Hill and Stephen Gerras, *The Art and Science of Causation in Policy and Strategy*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, August 2016). [Blackboard]
10. SL-3-S (p. 17) - CHANGE para 4.a. to (Hill and the Hill and Gerras readings).
11. SL-5-S (p. 22) - ADD sentence after the first sentence in para 1.b. - Snider introduces the students to Abbott and his positions on a profession.
12. SL-5-S (p. 23) - CHANGE last sentence in para 1.d. - The Rapp reading adds another perspective by including positions from Bett's and Rapp's perspectives on six realities Rapp identifies in today's national-security policymaking with Bett's position on point six.
13. SL-8-S (p. 32) - CHANGE time to 0800-1000
14. SL-8-S (p. 33) - REPLACE para 3.c.(1) Focused Reading with (1) U.S. Joint Chiefs of Staff, "Introduction," and "The Future Security Environment 2035," *Joint Operating Environment (JOE 2035)* (Washington, DC: U.S. Joint Chiefs of Staff, July 14, 2016), 1-3 and 4-20. [Blackboard]

**Changes Continue on next page**

15. SL-8-S (p. 33) - ADD to para 3.c.(2) Kingwell reading available on [Blackboard]
16. SL-9-EX (p. 35) - CHANGE time to 1000-1200
17. SL-11-S (pp. 41-42) - ADD a Required Reading & RENUMBER remaining readings for total of four readings: (1) Gabriel Kasper and Stephanie Clohesy, "Intentional Innovation: How Getting More Systematic about Innovation Could Improve Philanthropy and Increase Social Impact," *W.K. Kellogg Foundation*, August 2008: 11-33. [Blackboard]
18. SL-11-S (p. 42) - CHANGE para 4.b. to include Intentional Innovation reading & CHANGE remaining para to 4.c. and 4.d. (see p. 42 of the PDF version for the changes)
19. SL-12-S (p. 45) - CHANGE para 3.c.(2) Rotman reading available on [Blackboard]
20. SL-15-L/S (p. 53) - CHANGE para 3.b.(2) Miller and Ireland reading available on [Blackboard]
21. SL-16-S (p. 55) - ADD a sentence to para 1.a. & CHANGE the paragraph format of para 1.a.  
(see p. 55 of the PDF version for the changes to para 1.a.)
22. SL-16-S (p. 56) - CHANGE verbiage in para 1.c.(1) and 1.c.(2)  
(see p. 56 of the PDF version for the changes)
23. SL-19-EX (p. 63) - CHANGE date to 19 October 2016
24. SL-19-EX (p. 64) - CHANGE paper due date in para 3.a. to NLT 0830 on Wednesday, 19 October 2016

**ACADEMIC YEAR 2017**  
**STRATEGIC LEADERSHIP**



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# SECTION I

## COURSE OVERVIEW

1. General. The Strategic Leadership course of the U.S. Army War College (USAWC) resident core curriculum is designed to introduce you to the concepts to effectively lead within the national security environment through an examination of responsible command, leadership, and management practices. Although generally applicable to the broader national security environment, it focuses on the integration of the military instrument of national power with emphasis on challenges faced in the development, sustainment, and application of Landpower.

a. For most of you, the Strategic Leadership course continues your development of Army leadership at the last of three levels: Direct (taught at the basic and captain's level courses), Organizational (taught at the intermediate level education course), and Strategic (taught at the USAWC). For others, it complements the training, education, and experience you have had thus far in your careers and introduces you to the realm of leadership unique at the strategic level. Clearly, in this complex and ambiguous world, the levels of leadership have become more blurred. However, there are still unique knowledge, skills, and abilities that are much more prevalent at the strategic level than in the other two levels of leadership. Building on your experiences, this course provides the foundation for your application of strategic-level skills and competencies throughout the academic year and into the future.

b. In an environment in which you will exercise leadership in a Joint, Interagency, Intergovernmental, and Multinational context, integrating and synchronizing the military with the other instruments of power (Diplomatic, Information, and Economic), this course introduces you to: 1) how strategic leaders should think differently to consider various aspects of the difficult problems and issues they face in the complex, strategic environment; and 2) a deeper understanding of strategic leaders' roles as change agents for their organizations. In today's complex and fast-paced environment, strategic leaders need to: scan their environment; anticipate change proactively; develop visions that guide where their organization should be in 10-20 years; align the organization's culture and climate with their vision and current work force; and then create and maintain an ethics and values-based direction that reinforces their organization's vision. Within the national security context, students should also develop an appreciation that strategic leadership often involves decision making in consensus environments requiring negotiation with near equals who have comparable levels of power and influence and thus require a different skill set than was typically used at the direct and organizational levels of leadership.

c. The Strategic Leadership course elaborates on the concepts introduced in the Introduction to Strategic Studies course and is designed to present material in ways that encourage personal and professional reflection, critical assessment, and consideration of relevant national security issues. Our intent is to encourage habits of lifelong learning

through increased self-awareness, organizational awareness, and environmental awareness. Our long-term goal for this course is to enable you to build toward becoming expert and sophisticated stewards of your professions, primarily, but not exclusively military. In that regard, we want you to be able to challenge personal and organizational assumptions, beliefs, and values to determine their relevancy for the future. A goal of this course is to provide an environment for critically-reflective learning as you examine issues and processes and explore alternate possibilities and opportunities. We expect that during this process you will participate vigorously in seminar dialogue, classroom practical exercises, mini-case studies, and question-and-answer periods with guest lecturers.

2. Purpose. The purpose of this course is to develop in students an appreciation of the uniqueness of the strategic leadership setting and the accompanying knowledge, skills, and abilities necessary to lead national security organizations in a national and global strategic environment.

3. Outcomes.

a. Apply the unique aspects of leadership at the strategic level.

b. Analyze the role of the strategic leader in recognizing the need for change, developing and articulating a vision for change, and in designing and implementing effective, sustained change.

c. Synthesize the strategic leadership competencies necessary to ethically and effectively succeed in a joint, interagency, intergovernmental, and multinational environment.

d. Comprehend the role of strategic leaders as stewards of their profession.

4. Themes and Joint Learning Areas (JLAs) for Joint Professional Military Education (JPME). Your USAWC curriculum includes numerous themes of enduring value and/or special emphasis throughout the year. The Strategic Leadership course touches on all the themes, but is the standard bearer for three: Strategic Leadership and the exercise of discretionary judgment, Professional ethics, and Civil-military relations. In addition, the curriculum is designed to address joint learning areas and outcomes as noted in each of the individual lesson directives. This course will build a firm foundation for an in-depth study of these outcomes throughout the academic year.

5. Curriculum Relationships.

a. This course, on the heels of the Introduction to Strategic Studies and Theory of War and Strategy courses, establishes a foundation for the year. It provides the perspective necessary to deal with the complexities of later course work. The course also assists in understanding the dimensions and dynamics of individuals, small groups, and organizations as applied to the profession of arms and the strategic leader's role in

a national and global strategic environment. Seminar sessions provide the basis from which you can begin to develop the competencies required for strategic leadership. The Strategic Leadership course should have a significant impact on your long-term professional development and the continuing educational process necessary to achieve that development.

b. The model for the Strategic Leadership course at Figure 1 depicts the sequential and progressive movement through areas of concentration marked by increasing complexity and responsibility. Each building block represents the continuing growth occurring within each of us. This growth is spurred by the increased knowledge and insight gained from expanded experience in new situations and the challenges posed by increasing levels of difficulty. Progression up the pyramid correlates generally with three broad levels of leadership--direct, organizational, and strategic. This progression up the pyramid also moves us into an environment characterized by complex systems and interfaces within our national government--the legislative and executive branches. It is in the national security environment that we identify requirements to provide the military capabilities, with emphasis on Landpower, necessary to implement the strategy with minimum risk.

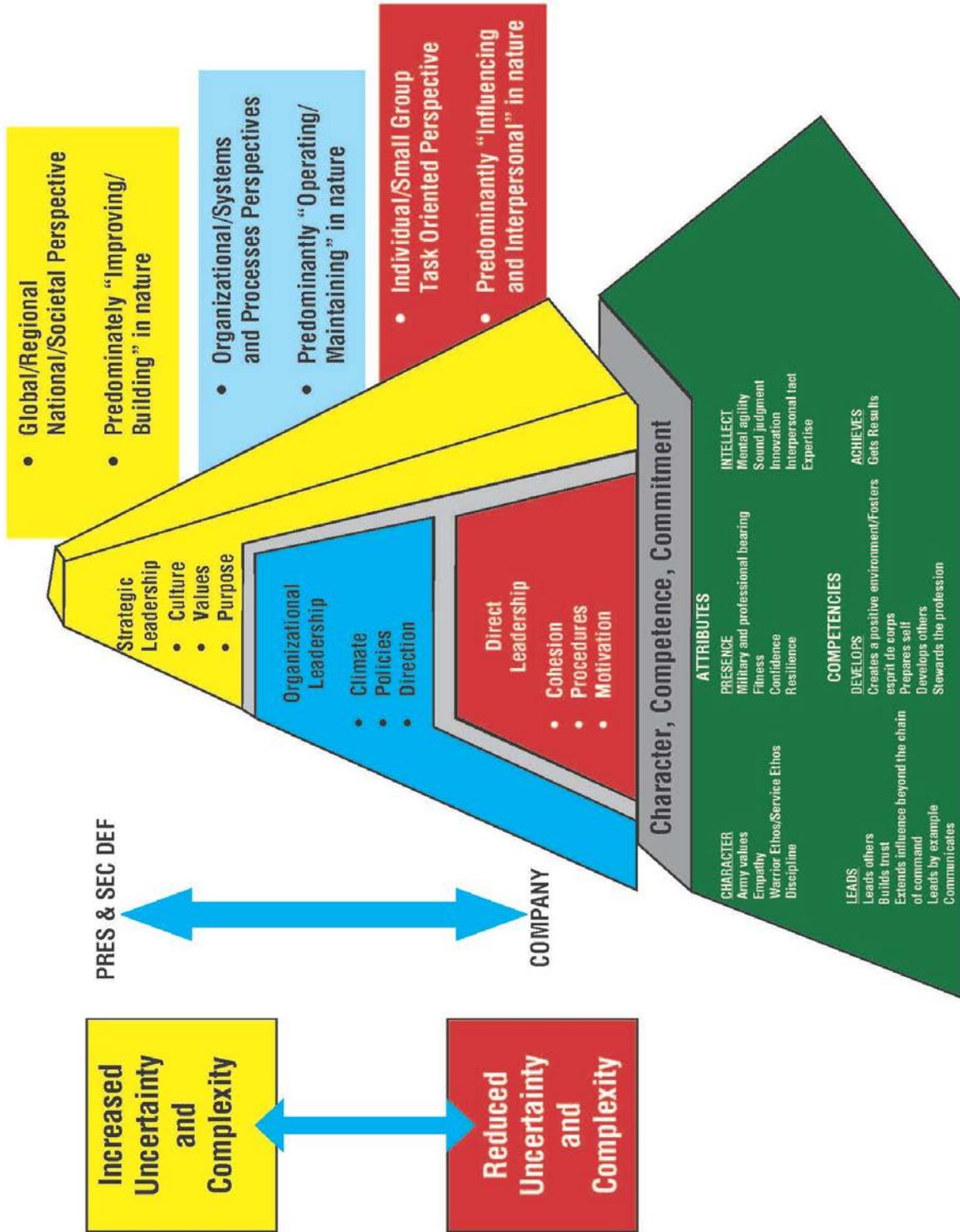


Figure 1. The Army Leadership Framework

## SECTION II

### STUDENT REQUIREMENTS

1. General. The Strategic Leadership course contains a variety of individual and group requirements. These requirements are described in the individual lesson directives in Section IV. At the end of this course, your Faculty Instructor will complete an evaluation of your seminar contribution and written requirement to develop an overall course evaluation. More specifically, the Faculty Instructor (FI) will identify the overall requirements for students during the first lesson. At the end of this course, the FI will complete an evaluation of student performance; specifically: Contribution; 55% (contribution to seminar dialog (30% of total grade), and exercise leads, oral presentations, or other FI-directed assignments (25% of total grade)), Writing; 45%, and Overall (an assessment of student mastery of the course learning objectives). These evaluations, incorporated into the Course Evaluation Report (CER) in the Student Tracking System, will be included in individual academic electronic files from which the final Academic Efficiency Report (AER) is written.

2. Contribution. Faculty Instructors evaluate your contributions based on an assessment of your daily preparation, seminar participation, and oral presentations. Thorough preparation for each seminar discussion is essential to the learning process. As a minimum, you will be expected to study the required readings specified in the lesson directives found in Section IV of this course directive. In addition, you can expect to be designated as a subgroup/discussion leader for various lessons. As a subgroup leader, you may have additional organizing, planning, or directing responsibilities, as well as the requirement to coordinate or conduct broader research into the suggested reading material and reserve references in the library. Seminar participation is much more about quality than quantity. The quality of a student's participation, in terms of synthesis and integration of material, contributes to overall seminar learning and will weigh more heavily than the number of times the student speaks up in seminar.

3. Presentations. Time permitting, each student will be assigned an oral presentation of a faculty-specified topic or other FI-directed assignment (i.e. leader of the day) sometime during the course. Student oral presentations provide valuable enrichment to seminar learning as they present a different perspective or additional content other students in the seminar may not have read. The FI will match lessons to oral assignments during the first lesson. The FI will evaluate the quality of student preparations based on the demonstrated knowledge of the required course material. Oral presentation evaluations contribute to the overall course evaluation. During your oral presentation, you should: summarize the key elements of the article or topic assigned; be prepared to answer questions; and be prepared to facilitate discussion based on your presentation.

#### 4. Written Requirement.

a. General. Successful strategic leaders are effective communicators. One of the opportunities provided this year at the Army War College is an ability to develop your writing skills through a feedback process with your Faculty Instructor. The writing assignment for the Strategic Leadership course allows students to pursue relevant, significant areas of interest, while at the same time provides a mechanism to integrate or accentuate the knowledge gained throughout the course.

b. Specific. Submit a 6 to 8-page double-spaced paper (not including endnotes, Arial 12 font) that addresses one of the three issues your Faculty Instructor has assigned you. **Your paper is due the final day of the course to your DCLM Faculty Instructor (no later than 1600 on Thursday, 20 October 2016).** Its purpose is to explore the issue you were assigned in greater detail. Write the paper to persuade a senior decision maker to adopt your recommendations. Persuasive writing clearly defines and scopes the issue, uses theory and/or research to support the analysis, and generates actions consistent with theory that increase the probability that the actions recommended can or will have the desired effect on the issue identified.

c. Evaluation Standards. Written assignments will be evaluated based on content, organization, and style. The criteria for evaluating papers will be the student's demonstrated understanding of and ability to apply course concepts (specifically one or more of the course learning outcomes found on page 2), to organize material logically and to compose and express thoughts clearly and coherently through effective writing. Descriptions of the criteria for "Outstanding," "Exceeds Standards," "Meets Standards," "Needs Improvement," and "Fails to Meet Standards" are found in the *Communicative Arts Directive*. A paper evaluated as "Needs Improvement" or "Fails to Meet Standards" will be returned to the student for rework and resubmission.

#### d. Writing with Integrity.

(1) Avoid plagiarism. Hugo Bedau wrote in *Thinking and Writing about Philosophy*, p. 141: "Writers plagiarize when they use another's words or ideas without suitable acknowledgement. Plagiarism amounts to theft--of language and thought. Plagiarism also involves deception...[Plagiarism] wrongs the person from whom the words or thoughts were taken and to whom no credit was given; and it wrongs the reader by fraudulently misrepresenting the words or thoughts as though they are the writer's own." Although it sounds like a cliché, when you plagiarize you cheat yourself: first, by not developing the discipline and diligence to research, write, and edit well; second, because taking credit for other people's ideas will induce outrage and resentment against you; and third, because the habit of plagiarism can end your career and destroy your reputation.

(2) To avoid plagiarism, you must cite your sources everywhere in your paper where you use the ideas of others. You must cite them when you quote them directly, and also where you paraphrase their points in your own words. In general, you should only use direct quotes when you find the author's wording to be especially effective.

Your paraphrasing or summarizing other authors' points should be thorough. It is not fair to an author to change only a couple of words in a paragraph and then imply (by not using direct quotes) that the paragraph is entirely your own prose. It might help to imagine the author reading over your shoulder. Finally, using other's thoughts in academic writing is beneficial especially when you are not an expert in the field. Their research, their expertise, their conclusions, or analysis can strengthen your paper's argument. Therefore, their work should be used to good effect to make your paper more persuasive.

## SECTION III

### AY17 Strategic Leadership Course Calendar 22 September - 20 October 2016

<b>SEPTEMBER</b>				
<i>Monday</i>	<i>Tuesday</i>	<i>Wednesday</i>	<i>Thursday</i>	<i>Friday</i>
<u>19</u> TWS	<u>20</u> NSSR #1 / SRP	<u>21</u> NSSR #1 / SRP	<u>22</u> Lesson 1-S Intro to SL/ Self-Awareness (0830-1130)	<u>23</u> Lesson 2-S Critical Thinking (0830-1130)
<u>26</u> Lesson 3-S Systems Thinking (0830-1130)	<u>27</u> Lesson 4-S Ethical Reasoning (0830-1130)  Lesson 5-S The Profession (1300-1500)	<u>28</u> RWR	<u>29</u> Lesson 6-S Institutional and Individual Ethics (0830-1130)  <b>NTL: Dr. Woods (Bliss Hall)</b>	<u>30</u> Lesson 7-S Creative and Innovative Thinking (0830-1030)
<b>OCTOBER</b>				
<u>3</u> Lesson 8-S Environment <b>(0800-1000)</b>  Lesson 9-EX Forecasting <b>(1000-1200)</b>	<u>4</u> Lesson 10-S Organizational Culture and Leadership (0830-1130)	<u>5</u> Lesson 11-S Leading Innovative Organizations (0830-1130)	<u>6</u> Lesson 12-S Leading Organizational Change and Vision (0830-1130)	<u>7</u> RWR
<u>10</u> Columbus Day Holiday	<u>11</u> Lesson 13-S Command Climate and Team Building (0830-1130)	<u>12</u> Lesson 14-S Leading in a Multicultural Environment (0830-1130)  <b>NTL: BG Macaulay</b>	<u>13</u> Lesson 15-L/S Strategic Decisionmaking (0830-1130)	<u>14</u> Lesson 16-S Senior Leader Communication (0830-1130)
<u>17</u> Lesson 17-L/S Negotiations (0830-1130)  Lesson 18-EX Negotiations Exercise (1300-1600)	<u>18</u> <b>RWR</b>	<u>19</u> <b>Lesson 19-EX Capstone Exercise (0830-1600)</b>	<u>20</u> <b>SRP</b>	<u>21</u> NSPS

## SECTION IV

### LESSON INDEX

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## INTRODUCTION TO STRATEGIC LEADERSHIP / SELF-AWARENESS

Mode: Seminar

SL-1-S

### 1. Introduction.

a. This lesson introduces you to the course that will set the foundation for your scientific study of strategic leadership of a profession throughout the academic year. It begins with first understanding a bit about who you are and how cognitive requirements expand at the strategic level. Our intent is not that you discard the leadership lessons you have learned in your career; instead think of those lessons as necessary but not sufficient for effective leadership at the strategic level. Consequently, the course introduces skills and competencies unique to or more often required at the strategic level. In the transition from direct to strategic leadership responsibilities, you will experience the complex interplay of the leader with the internal and external organizational conditions that provide distinctive opportunities and challenges. Understanding the nature of the strategic context will help you comprehend the role of strategic leaders and their advisors in coordinating national strategy, plans, and operations with forces from other countries, as well as with other federal agencies and nongovernmental organizations. To provide a range of concepts from different sectors of society and multiple perspectives on leadership, the readings assigned throughout the course come from military, academic, and business resources.

b. Effective strategic leaders must be adept at understanding the complexity of the strategic environment, balancing the competing requirements of internal and external constituencies, and providing guidance (decisions) to move the organization forward. Behavioral science research has clearly shown that success in these challenging roles requires: an understanding of one's own perspectives and how they were developed; the willingness to consider the validity of another's viewpoint; and the openness to consider new and different approaches to problem solving. In other words, your personality not only influences how you act, but it is also the lens through which you interpret the behavior of others. Consequently, this lesson focuses on enhancing self-awareness to facilitate your developmental efforts during your attendance at the USAWC.

c. The USAWC's Strategic Leadership Feedback Program (SLFP) provides you with a unique opportunity to further enhance your self-awareness, resulting in a fuller understanding of your leadership style and thinking skills as they relate to managing strategic-level problems and opportunities. The SLFP will accelerate the development of your strategic leadership abilities by increasing your understanding of the cognitive, behavioral, and dispositional characteristics required to lead effectively at the strategic

level. While the SLFP was introduced during zero-week activities, your Faculty Instructor can provide you with more information about this valuable program.

## 2. Learning Outcomes.

- a. Comprehend the importance of self-awareness for effective strategic leadership.
- b. Analyze the implications of predominant personality preferences and attributions for strategic leadership in the military.

## 3. Student Requirements.

a. Tasks. Complete the on-line openness instrument during USAWC in-processing (Self-Awareness Scale-II, see the Human Dimension Department for instructions). While survey completion is voluntary, we encourage your participation. One of the distinguishing characteristics of effective strategic leaders is the ability to be open to new and different perspectives. Your results can communicate how comfortable (or difficult) such an expanded perspective might be for you, thereby helping to focus your personal developmental activities. If you chose not to complete the survey during in-processing but now wish to participate, see your Faculty Instructor as soon as possible.

### b. Required Readings.

(1) DCLM, *Academic Year 2017 Strategic Leadership Course Directive* (Carlisle Barracks, PA: U.S. Army War College, July 2016). **Read** Sections I, II, and III. **[Student Issue / Blackboard]**

(2) Daniel Goleman, *Primal Leadership: Learning to Lead with Emotional Intelligence* (Boston: Harvard Business School Press, 2004), 1-52 and 91-112. **Scan** Chapters 1, 2, & 6; **Read** Chapter 3 & pages 109-112. **[Student Issue]**

(3) Stephen J. Gerras, *The Big 5 Personality Traits: A Primer for Senior Leaders*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, December 2014). **[Blackboard]**

(4) Stephen J. Gerras and Leonard Wong, "Changing Minds in the Army: Why It is so Difficult and What to Do about It," *Strategic Studies Institute* (Carlisle Barracks, PA: U.S. Army War College Press, October 28, 2013). **Read** the Executive Summary and **Scan** the Monograph. **[Blackboard]**

### c. Focused Reading.

Herminia Ibarra, Scott Snook, and Laura G. Ramo, "Identity-Based Leader Development," in *Handbook of Leadership Theory and Practice*, ed. Nitin Nohria and Rakesh Khurana (Boston: Harvard Business Press, April 30, 2008), 657-678. **[Instructor Handout]**

4. Points to Consider.

a. In what meaningful way is self-awareness a prerequisite for effective strategic leadership?

b. To what extent do you agree with assertions that people are “hard wired” in how they respond to leadership challenges? What are the implications for your development as well as the development of your subordinates?

c. What do the results of my personality overview tell me about my preferences with respect to senior leader responsibilities?

d. Can I think of instances in which my personality influenced my interpretation of another’s actions?

## CRITICAL THINKING

Mode: Seminar

SL-2-S

1. Introduction. As leaders move to the strategic level issues increase in complexity and ambiguity and the consequences of decisions are more far-reaching and serious. Therefore, the need exists to analyze issues in depth and in a more systematic manner. In recognition of this requirement, both in the military environment and the civilian sector, many strategic leaders have asserted the need for a more intense focus on the development of critical thinking skills. Unfortunately, this goal is much easier to espouse than to actually put into practice. Critical thinking is not a spectator sport. The skills of critical thinking must be practiced with a wide variety of issues in many different contexts in order to be learned and retained. The purpose of this lesson is to provide students with a basic foundation and understanding of critical thinking concepts and skills that you should apply not only to your Army War College experience, but also in your future responsibilities in the strategic leadership environment.

### 2. Learning Outcomes.

- a. Comprehend the concepts and skills of critical thinking relevant to strategic leaders.
- b. Comprehend the importance of reflection and self-awareness to identify the impact of biases, assumptions, and inferences on the decisions we make as strategic leaders.
- c. Apply the critical thinking model and skills to complex, ambiguous, real-world situations.

### 3. Student Requirements.

a. Tasks. Read the assigned readings be prepared to evaluate the article and comments on immigration within the framework of the critical thinking model proposed.

#### b. Required Readings.

(1) Stephen J. Gerras, "Thinking Critically about Critical Thinking: A Fundamental Guide for Strategic Leaders," in *Planner's Handbook for Operations Design*, Version 1.0 (Suffolk, VA: Joint Staff, J-7, October 7, 2011), C-1 - C-27. **[Blackboard]**

(2) Kathryn Schulz, "Wrongology," in *Being Wrong: Adventures in the Margin of Error* (New York: Harper Collins, 2010), 3-24. **[Student Issue]**

(3) Nicholas D. Kristof, "Immigration Enriches You and Me," *New York Times* (November 23, 2014): SR.9, in ProQuest (accessed June 7, 2016). **[Database]**

(4) Ibid. (Comments to article.) **[Blackboard]**

4. Points to Consider.

- a. To what extent do I attempt to appreciate the point of view of others?
- b. What mechanisms can I put in place to help make me more aware of the impact of my biases and assumptions as I develop and evaluate arguments?
- c. What mechanisms can an organization emplace to account for expected judgment biases of the senior leaders?
- d. To what extent does the military encourage critical thinking? Why is it most crucial for senior leaders?
- e. What's the best way to develop critical thinking skills?
- f. What are the biggest obstacles to critical thinking?
- g. To what extent do persistent strategic conflicts arise from unshakable feelings of rightness?
- h. Do you agree that we are more likely to entertain the possibility that we are wrong about insignificant matters than weighty ones?

## SYSTEMS THINKING

Mode: Seminar

SL-3-S

### 1. Introduction.

As simple ideas are observed to exist in several combinations united together, so the mind has a power to consider several of them united together as one idea; and that not only as they are united in external objects, but as itself has joined them together. Ideas thus made up of several simple ones put together, I call complex; such as are beauty, gratitude, a man, an army, the universe...

—John Locke  
An Essay Concerning Human Understanding

a. When we speak of “complex” systems, we mean systems that display *causal* complexity and adaptability. Many fields refer to such systems as complex, adaptive systems (CAS, for short). CAS are rife with interactions and interdependencies, and tend to have complex subsystems, as well as inputs and feedback due to their place in higher-level systems. Generally, systems that include human agents are CAS, including systems that concern military strategy and national security strategy issues. Causal complexity is the reason why strategic leadership is difficult. It is the bane of all strategy, the reason why the term “unintended consequences” is so common, and why “Murphy’s Law” exists. Causal complexity arises from the fundamental character of complex systems—from their *structural* complexity (size, multitude of interactions, openness, etc.).

b. Systems are everywhere. Systems thinking is the process of understanding how the elements of a system influence one another within a whole, and how the system as a whole behaves and evolves. In nature, systems examples include ecosystems in which various elements such as air, water, movement, plants, and animals work together to survive or perish. In organizations, systems consist of people, structures, and processes that work together to make an organization “healthy” or “unhealthy.” Systems may be vertical (like a system of production that moves from raw material to finished product) or horizontal (like the various departments and activities of a city government). They may be wholly contained within a single entity, or they may embrace large groups of organizations. Systems can be defined as the “inters” of the environment: the components of the environment that are *interactive*, *interrelated*, and/or *interdependent*. Systems also exist within broader hierarchies. The components of a system may be sub-systems, as the circulatory system is a sub-system of the body. Even very large, complex systems may be a sub-system of a larger system; think of the U.S. mortgage market and its place in the global financial markets.

c. CAS are challenging to manage, and have some or all of the following characteristics:

- the number of elements is large enough that conventional descriptions are not only impractical, but cease to assist in understanding the system;
- elements also interact and the interactions are dynamic;
- interactions are rich, i.e., any element in the system is affected by and affects several other systems;
- interactions are non-linear--small causes can have large results, and vice versa;
- any interaction can feed back onto itself directly or after a number of intervening stages, and such feedback can vary in quality (that is, it can be reinforcing/amplifying or balancing/dampening);
- as open systems, it may be difficult or impossible to define system boundaries;
- lacking a single, permanent equilibrium, CAS can remain stable for an indeterminate period under more than one equilibrium condition, or they can operate under far from equilibrium conditions;
- they require a constant flow of energy to maintain the organization of the system;
- all complex systems have a history, they evolve and their past is co-responsible for their present behavior; and
- elements in the system tend to be ignorant of the behavior of the system as a whole, responding only to what is available to it locally.

d. The purpose of this lesson is to examine systems complexity as an element of the strategic environment. What are complex, adaptive systems? How do strategic leaders make sense of such systems, and how does an understanding of CAS help leaders develop and implement successful strategies? A holistic understanding of the system in which a problem arises aids understanding of the problem itself. An understanding of the problem in turn helps the leader develop appropriate strategies to solve it. Understanding the characteristics of CAS also helps leaders discern the ways in which the security environment may evolve, and to understand that strategy and the organization that executes it must evolve, as well.

e. In this lesson, you will read two articles that describe key characteristics of complex systems. You will then read one of three “backgrounders” (gangs in Central America, Europe’s migration crisis, or the China-North Korea relationship, assigned by your instructor) on a complex strategic issue, applying concepts from complex adaptive systems to examine the nature of the problem and potential successful interventions. Your task is to examine this issue in light of your understanding of complex systems.

## 2. Learning Outcomes.

- a. Comprehend the characteristics of complex, adaptive systems (CAS).
- b. Comprehend the four types of causal explanations described in the reading and their utility for strategic leaders.

c. Analyze the application of the instruments of power to change a complex adaptive system in the current security environment and develop an approach to achieving favorable change in that system.

### 3. Student Requirements.

a. Tasks. Read the assigned readings and be prepared to discuss in seminar.

b. Required Readings.

(1) Andrew Hill, *The Devil You Know: An Introduction to Complex Adaptive Systems*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, August 2016). **[Blackboard]**

(2) Andrew Hill and Stephen Gerras, *The Art and Science of Causation in Policy and Strategy*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, August 2016). **[Blackboard]**

(3) *Council on Foreign Relations Backgrounders* (assigned to one of three groups in seminar):

(a) Danielle Renwick, "Central America's Violent Northern Triangle," *Council on Foreign Relations Backgrounders*, January 19, 2016, <http://www.cfr.org/transnational-crime/central-americas-violent-northern-triangle/p37286> (accessed June 13, 2016). **[Online]**

(b) Jeanne Park, "Europe's Migration Crisis," *Council on Foreign Relations Backgrounders*, September 23, 2015, <http://www.cfr.org/refugees-and-the-displaced/europes-migration-crisis/p32874> (accessed June 13, 2016). **[Online]**

(c) Eleanor Albert, "The China-North Korea Relationship," *Council on Foreign Relations Backgrounders*, February 8, 2016, <http://www.cfr.org/china/china-north-korea-relationship/p11097> (accessed June 13, 2016). **[Online]**

### 4. Points to Consider.

a. Thinking about Systems and Causes (**Hill and the Hill and Gerras readings**).

(1) What are the characteristics of complex adaptive systems (CAS)? What are the strategic implications of CAS?

(2) Why is systems thinking difficult? What is it about CAS that make comprehension of the system challenging?

(3) What is a cause? How can various causal perspectives help leaders intervene more effectively in complex systems?

(4) What organizational tools help leaders understand and apply the various causal perspectives?

b. Strategic Challenges of Complex Adaptive Systems (Backgrounder readings).

(1) Consider the attributes of complex adaptive systems. In what way is the issue described in the backgrounder a CAS?

(2) What is the current condition of this issue? Is it in an equilibrium? That is, how acceptable is the current condition, and what is the likely consequence of strategic inaction? How have governmental and international policies affected the development of this issue? Put differently, how did we reach the current condition?

(3) What are the possible future conditions for this issue? How do those conditions compare to the status quo? What are some acceptable future conditions? What are the most desirable conditions? What strategic interventions are necessary to provoke change? What are the risks associated with those interventions?

## ETHICAL REASONING

Mode: Seminar

SL-4-S

### 1. Introduction.

a. The profession of arms is a fundamentally moral endeavor based on trust and certified through character, competence, and commitment. This lesson is the first within the USAWC curriculum designed to assist senior leaders and their advisors in comprehending moral challenges and applying ethical reasoning at the strategic level to empower virtuous service, wise decision making, and stewardship of the profession of arms according to its values and traditions. As part of the enduring theme of professional ethics, lessons examine and evaluate: 1) the importance of the character of the strategic leader; 2) discretionary moral judgment within the profession; 3) moral aspects of strategic choices; 4) the just war tradition in the exercise of Landpower; 5) moral complexities in leading organizations at the strategic level; 6) and other areas.

b. This lesson introduces ethical terms, employs an applied ethical framework for moral reasoning, and evaluates moral tensions that exist in decision making at the strategic level. The lesson focuses primarily on the individual strategic leader, on his or her moral understanding, and on the use of an applied ethical framework.

c. Part one of this lesson introduces important ethical terms and concepts for leaders serving at the strategic level. How does morality as a social institution relate to ethics as an intellectual discipline? How should the strategic leader think about moral challenges that are black-and-white versus those that are morally gray? To help senior leaders resolve moral challenges in the profession of arms, this lesson provides one example of an ethical reasoning framework that uses five ethical lenses to offer varying moral perspectives. Individually these lenses argue that what is morally decisive is: the objective of the act (teleology), the nature of the act itself (deontology), the fitting use of resources (utilitarianism), the being of the actor (virtue ethics v. moral individualism), or the nature of the environment (moral objectivism v. moral relativism). The ethical reasoning process engages all five ethical lenses and recommends adjusting any strategy that loses sight of good ends, violates binding moral rules, wastes or fails to gain needed resources, compromises the virtue of the actor, or fails to properly account for the moral environment.

d. Part two of this lesson applies one example of an ethical reasoning framework to decision making within case studies that involve significant moral challenges.

e. Part three further explores the actor-focused ethical lens, offering two views for understanding senior leader morality. Bazerman and Tenbrunsel take the descriptive

approach of moral individualism. Individual morality is evolutionary and fragmentary; in emotionally charged decisions, the “want self” of desire often overrides the “should self” of reason. Pfaff and Whetham examine options and approaches to resolve ethical challenges in today’s complex environment. The community strengthens the moral character of its members by providing virtuous examples to follow, inculcating a proper spirit, and training members to do the right thing habitually. What insights do these two approaches offer regarding ethical reasoning and moral development for military senior leaders and advisers?

## 2. Learning Outcomes.

a. Comprehend important ethical terms and lenses, and related moral judgments that form an applied ethical framework for moral reasoning in the profession of arms.

b. Analyze moral challenges for resolution using an ethical reasoning process that includes: teleological, deontological, utilitarian, the actor’s moral agency, and the environmental ethical lenses.

c. Analyze how different concepts of moral agency affect how the profession of arms approaches ethical reasoning and moral development.

## 3. Student Requirements.

a. Tasks. Read all assigned materials to prepare for seminar dialog and case study moral analysis and evaluation, using the applied ethical framework.

### b. Required Readings.

(1) Jonathan E. Shaw, *Ethical Reasoning at the Strategic Level: An Applied Ethical Framework for the Profession of Arms*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, June 2015). **[Blackboard]**

(2) Jonathan E. Shaw, *St. Lô Case Study—Student Sheet*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, May 2015). **[Blackboard]**

(3) John L. Kallerson, *Joint Staff Case Study—Student Sheet*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, June 2016). **[Blackboard]**

### c. Focused Readings.

(1) Max H. Bazerman and Ann E. Tenbrunsel, “Why You Aren’t as Ethical as You Think You Are” in *Blind Spots: Why We Fail to Do What’s Right and What to Do about It* (Princeton: Princeton University Press, 2011), 61-76. **[Blackboard]**

(2) Tony Pfaff, "Resolving Ethical Challenges in an Era of Persistent Conflict," *Strategic Studies Institute* (Carlisle Barracks, PA: U.S. Army War College, April 2011). **[Blackboard]**

(3) David Whetham, "The Challenge of Ethical Relativism in a Coalition Environment," *Journal of Military Ethics* 7, no. 4 (December 2008): 302-313, in *Taylor&Francis* (accessed June 17, 2016). **Skip** "A Useful Test" on pages 309-310. **[Database]**

4. Points to Consider.

a. In what ways are strategic leader responsibilities and competencies moral in nature?

b. What are the strengths and limitations of each of the five ethical lenses, and how do these lenses together assist the strategic leader in resolving moral challenges?

c. How do different concepts of moral agency (intentionality, forethought, self-regulation, self-reflection)—derived from the prescriptive approach of virtue ethics or the descriptive approach of moral individualism—affect how the profession of arms approaches ethical reasoning and moral development?

d. How should a senior leader adjudicate tensions in military intervention or collaboration in joint, interagency, intergovernmental, and multinational environments where coalition partners hold moral commitments at odds with those of U.S. senior leaders on the ground?

## THE PROFESSION

Mode: Seminar

SL-5-S

### 1. Introduction.

a. Commissioning sources teach officer candidates they are preparing to join a profession, but a majority of young leaders lack the experience to fully consider the ramifications of defining officership as such. After many years of service, field-grade officers often view their professional status as axiomatic and no longer ask themselves fundamental questions about the status and health of the profession. Senior members of the profession will profit from reconsidering the theoretical basis of professions—and specifically the military profession—in light of practical experience and a deeper understanding of the demands of their work. More importantly, in an era of extended engagements, shrinking budgets, and the impact of a 24-hour news cycle on senior leaders and their decision space, our senior military leadership emphasizes the imperative of renewing our commitment to the profession of arms. The perspectives in which officers conceive their profession and their role(s) within the profession will inform their view of proper civil-military relations and will likely guide their behavior when interacting with elected leaders, appointed civilian superiors, and interagency peers at the highest levels. This lesson provides a broad overview of prominent theories and thinking about professions in general and the military profession in particular.

b. The Snider reading introduces students to many of the terms and tenets of specific conclusions about the military profession and the Army as a profession. **Snider introduces the students to Abbott and his positions on a profession.** This perspective looks at the tensions between professions and bureaucracies.

c. The Clark reading summarizes two of the best-known theories of officership and civil-military relations, theories emanating from Samuel Huntington and Morris Janowitz. Though first published in the Cold War era, these theories still form the basis that the majority of modern officers and civilian leaders learned in the past. It argues for a separation or division between military and civilian leader functions. Many scholars view them as timeless classics, but recently this model has been accused of failing in today's complex and politically-charged environment. Both authors remind us of what may be considered essential but is complicated in today's fast-paced, 24-hour news cycle world. Regardless, the theories provide fertile ground for conversation about the proper role of military officers in relation to elected leaders and in light of the Constitutional mandate and historical precedents for civilian control of the military.

d. The Cohen reading introduces a fresh thesis on the military-civilian relationship by looking at four portraits of past civilian strategic leaders and how they interacted with their military leaders. His thesis adds the perspective that states civilian leadership should be interacting constantly with military leaders and be actively involved in military decision-making and oversight in a model that has been called “the unequal dialogue.” What is the proper role of the military professional at the most senior levels of authority and responsibility? How do civilian leaders provide oversight and question military policies without micromanaging the military strategy to the point of negatively affecting operations? Is dissent ever an option in light of the Constitution? **The Rapp reading adds another perspective by including positions from Bett’s and Rapp’s perspectives on six realities Rapp identifies in today’s national-security policymaking with Bett’s position on point six.**

e. The focused readings will provide much food for thought and some great starting points for interesting seminar dialogue. The Kohn article discusses past leadership failures and the impact on negatively affecting the military profession in the future by leadership failures and the institutions response that may influence the professional status of the military.

## 2. Learning Outcomes.

a. Comprehend the concept of the military profession, including the basic concepts of professions and the dual nature of the Army as a hierarchical bureaucracy and a vocational profession.

b. Analyze the ways in which the military profession aligns with the mandates and responsibilities of other professions and the ways in which it differs or is unique.

c. Comprehend the history and implications of civil-military relations, including the constitutional concept of civilian control and the implications for and obligations of senior defense officials in the U.S. and other nations.

## 3. Student Requirements.

a. Tasks. Read the assigned materials carefully and be prepared to discuss them in seminar in light of the Learning Objectives above.

### b. Required Readings.

(1) Murf Clark, *Officership and Civil-Military Relations: A Brief Summary of Huntington and Janowitz*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, September 2010). **[Blackboard]**

(2) Don M. Snider, “The U.S. Army as a Profession” in *The Future of the Army Profession*, 2nd ed., ed. Lloyd Matthews (New York: McGraw-Hill, 2005), 13-21. **[Student Issue]**

(3) Eliot A. Cohen, "The Soldier and the Statesman," and "The Theory of Civilian Control," in *Supreme Command: Soldiers, Statesman, and Leadership in Wartime* (New York: The Free Press, 2002). **Read** 1-14 and **Scan** 225-248. **[Student Issue]**

(4) William E. Rapp, "Civil-Military Relations: The Role of Military Leaders in Strategy Making," *Parameters* 45, no. 3 (Autumn 2015): 13-26 in ProQuest (accessed June 17, 2016). **Review. [Database]**

c. Focused Reading.

Richard H. Kohn, "Tarnished Brass: Is the U.S. Military Profession in Decline?" *World Affairs* 171, no. 4 (Spring 2009): 73-83 in ProQuest (accessed June 17, 2016). **[Database]**

4. Points to Consider.

a. Why is reestablishing America's military as a profession so important now? Is this applicable only to America's military or are our Allies facing similar challenges?

b. What unique characteristics differentiate "professions" from other forms of work or employment? Does the military profession meet all the requirements to be considered alongside major professions such as physician, lawyer, or clergyman? How does it differ? How is it unique? Do you consider all ranks to be included in the "profession" or just officers or senior officers? What about senior service civilians? Are they professionals too?

c. What are the critical tasks that society needs the military to accomplish, that cannot be accomplished by other professions or organizations? What unique kinds of expertise does the military profession absolutely need to cultivate?

d. How should senior military leaders negotiate their professional tasks and jurisdiction with civilian leaders?

e. How does the strategic leader of the profession lead the profession? What frameworks help? What indicators trigger strategic decision-making and action?

f. From an historical perspective, how has the Army profession developed and what has the Army's jurisdiction(s) been? How might history help us understand the challenges we face today?

g. Are there tasks that society normally expects the military to cover, which would be more effectively pursued by non-military organizations? Can the military realistically shed those responsibilities? If so or if not, what are the professional implications of either condition?

h. Some argue that the time might be right to institute or create a joint profession. What are the merits or costs of this argument and what impact does your assessment have on the Services' expertise, jurisdiction, and/or legitimacy?

i. Is dissent an appropriate strategy for a professional leader? When is it appropriate? When is it not? How should it be approached?

## **INSTITUTIONAL AND INDIVIDUAL ETHICS**

Mode: Seminar

SL-6-S

### 1. Introduction.

a. As military and civilian leaders, we will encounter ethical challenges at many stages of our careers. As we rise in our organizations, the character of these challenges changes, and the impact, positively or negatively, increases. Some of these challenges are addressed in other courses, during which we focus on Just War Theory, international law, and national values.

b. In this lesson, we focus on the challenges, temptations, and inner trials associated with increasing levels of individual responsibility, privilege and autonomy coupled with institutional stewardship. This is part of the broad collection of ethical obligations and challenges that are unique to strategic leaders—those responsible for the long-term health of the profession they serve. We learned and experienced basic elements such as stewardship, responsibility and duty as junior officers, but that was before we experienced many challenges and observed even more. Now, as strategic leaders with decades of service and many data points to reflect upon, we are ready to revisit these foundational issues for our profession, but not at a basic level or from a theoretical perspective. Instead, this lesson focuses on the real requirements and practical challenges of public service and stewardship in the complex national security environment that informs your year of study.

c. As one prepares for senior command, staff, and advisory positions as a future strategic leader, this is the time to challenge yourself to continue the transition from focusing on your own development to focusing on the ethical development of our profession. You can examine how to appreciate the amplified impact of your decisions and to thinking strategically about the long-term implications of issues you choose to address, as well as those you choose to defer.

d. We offer a perspective on the ethical tensions of senior leadership and a warning of the lure of power and what people have historically compromised to obtain that power. You are challenged to examine the premise that one role of ethics in senior leadership is to help us consider the appropriate use of power. The articles for these readings can inform useful seminar dialogue as well as current situations in the DoD today.

e. Army Doctrine Reference Publication (ADRP) 1 provides the students with a formal definition and doctrinally describes the Army Profession and the Army Ethic. The document expands the discussion on the Army Profession's dual nature as a military

department of the U.S. Government and, more importantly, a military profession. Additionally, a quick scan will identify two mutually supportive communities of practice of the profession: the Profession of Arms (Active Component /Guard/Reserve) and the Army Civilian Corps. Specifically, chapters 2, 3 and 6 identify trust and stewardship as essential characteristics of the Army Profession. Overall, this document constitutes the Army's view of its culture and ethic while laying the groundwork for developing the moral identity of the Army Profession and its professionals.

## 2. Learning Outcomes.

- a. Analyze the unique and enduring role of integrity as an integral part of institutional stewardship.
- b. Understand the breadth of strategic leadership issues that have an ethical component as well as the power and perception of self-interest.
- c. Analyze the role of public trust to the military profession and the dynamics that strengthen or weaken that trust.

## 3. Student Requirements.

a. Tasks. Complete the required readings to prepare for seminar dialogue on the wide range of personal integrity issues and stewardship responsibilities inherent in the life of strategic leaders.

### b. Required Readings.

(1) C. S. Lewis, "The Inner Ring," 1944, *C.S. Lewis Society of California*, <http://www.lewissociety.org/innerring.php> (accessed June 17, 2016). **[Online]**

(2) Dean C. Ludwig and Clinton O. Longenecker, "The Bathsheba Syndrome: The Ethical Failure of Successful Leaders," *Journal of Business Ethics* 12, no. 4 (April 1993): 265-273, in ProQuest (accessed June 17, 2016). **[Database]**

(3) Leonard Wong and Stephen J. Gerras, "Lying to Ourselves: Dishonesty in the Army Profession," *Strategic Studies Institute* (Carlisle Barracks, PA: U.S. Army War College Press, February 2015). **[Blackboard]**

(4) U.S. Department of the Army, *The Army Profession*, Army Doctrine Reference Publication No. 1 (ADRP 1) (Washington, DC: Department of the Army, June 2015), [http://armypubs.army.mil/doctrine/DR\\_pubs/dr\\_a/pdf/adrp1.pdf](http://armypubs.army.mil/doctrine/DR_pubs/dr_a/pdf/adrp1.pdf) (accessed June 17, 2016). **Read Chapters 2, 3, and 6. [Blackboard]**

(5) Lee E. DeRemer, *Stewardship: What's In It for You?*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, July 2009). **[Blackboard]**

c. Focused Readings.

(1) Clay T. Buckingham, "Ethics and the Senior Officer: Institutional Tensions," *Parameters* 15, no. 3 (Autumn 1985): 23-32. **[Blackboard]**

(2) A.J. Bacevich and Lawrence F. Kaplan, "Generals versus the President: Eisenhower and the Army, 1953-1955," *National Security Studies* (Syracuse and Baltimore: Syracuse University and Johns Hopkins University, 1997). **[Blackboard – Limited Access]**

(3) Clark C. Barrett, *Finding "The Right Way": Towards an Army Institutional Ethic*, Strategy Research Project (Carlisle Barracks, PA: U.S. Army War College, March 22, 2012). **[Blackboard]**

4. Points to Consider.

- a. What are some ethical challenges that are unique to strategic leaders?
- b. What institutional tensions--written or unwritten--exist in your organization or profession, that tend to pressure people to violate their codes of ethics?
- c. How can we identify warning signs or triggers that make us wary of self-interest in a decision we are considering?
- d. How can strategic leaders improve the ethical culture and climate of their organizations or institutions?
- e. How can strategic leaders improve their ability to recognize the ethical challenges and address them successfully?
- f. Why do we continue to see high visibility ethical failures among nationally recognized political, military, governmental, corporate, or sports figures? What actions can be taken to prevent these situations?
- g. Are the identified principles of institutional stewardship useful? Are they complete? Would you propose others?
- h. How can rising leaders manage the accumulation of increasing power without being derailed by some of the lures of that same power?

## CREATIVE AND INNOVATIVE THINKING

Mode: Seminar

SL-7-S

### 1. Introduction.

Leadership at all levels involves tackling existing problems and anticipating those that may emerge to pose a threat to the organization and the attainment of its goals. Solutions to tough problems require creativity and innovation from members of an organization if it is to adapt and thrive in a competitive landscape. Creativity is thus required of individuals, groups, and leaders within organizations. The contemporary operational environment requires that our senior leadership be skilled in developing and applying creative strategies to problems that we are not even aware of in the complex, and ambiguous realm of the strategic environment. This lesson begins the examination of methodologies and processes that will enhance your individual creativity and learning to increase your effectiveness as a strategic thinker for this year and beyond. This lesson presents and asks you to apply various tools and techniques that you can use to develop your skills to generate new perspectives and novel solutions to problems. You will also learn the various roles involved to take an idea from creativity to implementation. Additionally, you will discover how to encourage a creative climate in your next organization.

### 2. Learning Outcomes.

- a. Describe the concepts of creativity and what helps or hinders creativity at the individual, group, and organizational levels.
- b. Explain the roles that are necessary to take an idea from creative thought to implementation.
- c. Analyze the role of leaders in fostering (or hindering) creativity in organizations.

### 3. Student Requirements.

#### a. Tasks.

(1) Complete the on-line Adaptability Portfolio. Similar to the Big Five personality assessment from the Self-Awareness lesson, instrument completion is voluntary. We encourage your participation, however, as the results enhance your awareness of preferred roles within a creative group. In the short term, this knowledge can help the seminar to better understand internal group processes during the academic year.

(2) Read your personal Adaptability Portfolio results and review your Big Five personality assessment of Self-Awareness Scale II (Strategic Leadership Feedback Program (SLFP)).

b. Required Readings.

(1) Charles D. Allen, *Creative Thinking for Senior Leaders*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, June 2014). **[Blackboard]**

(2) Diane F. Halpern and Heidi R. Riggio, "Review of Skills for Creative Thinking," in *Thinking Critically About Critical Thinking*, 4th ed. (Mahwah, NJ: Lawrence Erlbaum Associates, 2003), 214. **[Blackboard]**

(3) Joseph V. Anderson, "Weirder Than Fiction: The Reality and Myths of Creativity," *Academy of Management Executive* 6, no. 4 (1992). **[Blackboard]**

(4) Jeffery H. Dyer, Hal B. Gregersen, and Clayton M. Christensen, "The Innovators' DNA," *Harvard Business Review*, December 2009, 61-67. **[Instructor Handout]**

(5) Linda A. Hill et al., "Collective Genius," *Harvard Business Review*, June 2014. **[Instructor Handout]**

(6) Linda A. Hill, "How to Manage for Collective Creativity," October 28, 2014, *YouTube*, streaming video, 17:29, <https://www.youtube.com/watch?v=lmmtTHYU5GQ> (accessed June 7, 2016). **[Online]**

c. Focused Readings.

(1) Stanley McChrystal et al., "Leading like a Gardener," *Team of Teams: New Rules of Engagement for a Complex World* (New York: Portfolio/Penguin, 2015), 220-232. **[Blackboard – Limited Access]**

(2) Andrew A. Hill and Charles D. Allen, "Military Innovation through 'Brilliant Mistakes,'" *ARMY*, July 2014, 28-30. **[Blackboard]**

4. Points to Consider.

a. Under what conditions should you use the creative-thinking techniques? When would it be inappropriate?

b. What do my Self-Awareness Scale II and Adaptability Portfolio Instrument results tell me about my preferences with respect to creativity? How do they help/ limit my perceptions?

c. To what extent have I been required to employ creative thinking strategies in past assignments? Why was I successful in those contexts?

## MANAGING THE STRATEGIC ENVIRONMENT

Mode: Seminar

SL-8-S

### 1. Introduction.

a. The distinguishing characteristic of *strategic* leadership for national security professionals is the predominant requirement to understand and, where possible, influence the external environment--those facets outside of one's direct control that can significantly affect the current and future discretion of senior leaders and their organizations. Complementing this external focus, leaders at the strategic level must also consider forecasts of the future environment that inform current decision-making processes. This lesson, in combination with the next lesson on Scenario-based Forecasting, is intentionally designed to focus on the external and long-term. Information compiled by the National Intelligence Council introduce aspects of the external environment that can influence strategic discretion. Then, the associated lesson introduces a scenario-based forecasting process that organizations can use to help identify aspects of the future environment that might influence national security professionals and their organizations.

b. From a practical perspective, no organization can adequately "plan" without explicitly considering the external environment and the future--the context in which the plan will be implemented. Effective senior leaders "see the bigger picture" by continually scanning and assessing the external environment. They then interpret those changes to provide meaning and develop consensus around a potentially modified strategic direction. They then lead their organization in the implementation of change to better align with external opportunities and to prepare to counter emerging threats. What will the world look like in both the near- and long-term? What must strategic leaders do to lead organizations to adapt to meet these challenges? One of the critical components of your Army War College studies is realizing that your organization (whether you define "organization" as your unit, Service, Department/Ministry, and even your Nation) operates in an environment where others can exert significant influence and thereby reduce or enhance the professional discretion of leaders. Consequently, the focus of this lesson is the identification of both stakeholders and trends in the current and future external environment and then discussing the senior leader's role in interpreting and managing the information they provide. Our ability to anticipate, interpret, and act on that environment helps us to position our nations, our armed forces, and our professions for success.

## 2. Learning Outcomes.

- a. Understand the importance of environmental scanning for long-term organizational effectiveness.
- b. Analyze how emerging trends will affect the organizations you will lead.
- c. Analyze the roles and responsibilities of strategic leaders as they interpret and interact with entities in the external environment.

## 3. Student Requirements.

a. Tasks. Consider the application of the readings to senior leader responsibilities to prepare their organizations for success within its current and future strategic environments.

### b. Required Readings.

(1) National Intelligence Council, "Executive Summary," in *Global Trends 2030: Alternative Worlds* (Washington, DC: National Intelligence Agency, December 2012), <http://www.dni.gov/index.php/about/organization/global-trends-2030> (accessed June 13, 2016), i-xiv. **[Blackboard]**

(2) Murf Clark "The Strategic Leadership Environment," in *Strategic Leadership Primer*, 3rd ed., ed. Stephen J. Gerras (Carlisle Barracks: U.S. Army War College, 2010): 9-19, <http://www.carlisle.army.mil/orgs/SSL/dclm/pubs/slp3.pdf> (accessed June 13, 2016). **[Student Issue / Blackboard]**

(3) R. Craig Bullis, *An Interpretive Model of Managing the External Environment*, Working Paper (Carlisle Barracks: U.S. Army War College, June 2015). **[Blackboard]**

### c. Focused Readings.

(1) U.S. Joint Chiefs of Staff, "Introduction," and "The Future Security Environment 2035," *Joint Operating Environment (JOE 2035)* (Washington, DC: U.S. Joint Chiefs of Staff, July 14, 2016), 1-3 and 4-20. **[Blackboard]**

(2) John Kingwell, *Global Strategic Trends - Out to 2045*, 5th ed. (United Kingdom: Ministry of Defence, Strategic Trends Programme: Development, Concepts and Doctrine Centre, April 30, 2014), [https://www.google.com/?gws\\_rd=ssl#q=Global+Strategic+Trends+-+out+to+2045](https://www.google.com/?gws_rd=ssl#q=Global+Strategic+Trends+-+out+to+2045) (accessed June 16, 2016). **[Online] [Blackboard]**

#### 4. Points to Consider.

a. Some have argued that the defining component (and unique value) of strategic leaders is in: (1) scanning the external environment for opportunities and threats, and (2) interpreting those external factors and forces so as to position the organization for future success. To what extent do you agree/disagree with this assertion?

b. How does a leader ensure that critical knowledge of the external environment is considered in both individual and organizational decision processes?

c. What are the implications of the trends identified in the Global Trends report for the military profession?

d. What are the relationships and connections between visioning, environmental scanning, and planning for the future?

e. With finite resources (budgets, manpower, time, etc.) strategic leaders cannot plan for every possible future. How do/should strategic leaders prioritize which ones to address and at what relative levels of effort?

## SCENARIO-BASED FORECASTING

Mode: Exercise

SL-9-EX

### 1. Introduction.

a. This is the second of two lessons that focuses explicitly on the strategic leader's responsibility to consider the "big picture" by thinking outside of the organization. This lesson, however, integrates the notion of time, as senior leaders also have the responsibility to think long-term and position the organization for future success. As a follow-on to the previous lesson on managing the external environment, the objective of this lesson is to introduce a process that senior leaders can use to help forecast aspects of the environment that might influence national security professionals and their organizations. Planning activities at every level begin with some assumptions about the future--the context for which the organization is planning. This lesson provides a reasonable way to explicitly consider the threats and opportunities that the future provides.

b. This lesson introduces scenario-based forecasting as a methodology for anticipating and preparing for the future. The lesson builds on the previous lesson by considering the importance of alternative futures, identification of key forces and change drivers in our world, and scenario-based planning. Students will have an opportunity to engage in a scenario-based forecasting exercise that explores a range of alternative futures.

### 2. Learning Outcomes.

- a. Apply the scenario-based forecasting method to a specific national security issue.
- b. Evaluate the scenario-based forecasting method to explore alternative futures and, by extension, inform current activities of senior leaders and their organizations.

### 3. Student Requirements.

a. Tasks. Complete the required readings to prepare for seminar dialogue and an exercise on scenario-based forecasting. Apply scenario-based forecasting methodology to consider possible alternatives for the future and the corresponding national security issues.

b. Required Readings.

(1) "The Future Belongs to Those Who...a Guide for Thinking about the Future," *Institute for Alternative Futures*, (n.d.). **[Blackboard]**

(2) R. Craig Bullis and Thomas P. Galvin, *Scenario-Based Forecasting: A Primer*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, June 2015). **[Blackboard]**

(3) Charles Roxburgh, "The Use and Abuse of Scenarios," *McKinsey & Company*, November 2009, [http://www.mckinsey.com/insights/strategy/the\\_use\\_and\\_abuse\\_of\\_scenarios](http://www.mckinsey.com/insights/strategy/the_use_and_abuse_of_scenarios) (accessed June 13, 2016). **[Online]**

(4) Jonathan Ablett and Andrew Erdmann, "Strategy, Scenarios, and the Global Shift in Defense Power," *McKinsey & Company*, April 2013, [http://www.mckinsey.com/insights/public\\_sector/strategy\\_scenarios\\_and\\_the\\_global\\_shift\\_in\\_defense\\_power](http://www.mckinsey.com/insights/public_sector/strategy_scenarios_and_the_global_shift_in_defense_power) (accessed June 13, 2016). **[Online]**

c. Focused Readings.

(1) Paul Saffo, "Six Rules for Effective Forecasting," *Harvard Business Review*, July-August 2007. **[Instructor Handout]**

(2) James A. Dewar, "The Importance of 'Wild Card' Scenarios," [http://www.au.af.mil/au/awc/awcgate/cia/nic2020/dewar\\_nov6.pdf](http://www.au.af.mil/au/awc/awcgate/cia/nic2020/dewar_nov6.pdf) (accessed June 13, 2016). **[Blackboard]**

(3) Susan V. Lawrence, *U.S.-China Relations: Policy Issues* (Washington, DC: U.S. Library of Congress, Congressional Research Service, August 1, 2013). **[Blackboard]**

(4) Wayne M. Morrison, *China's Economic Rise: History, Trends, Challenges, and Implications for the United States* (Washington, DC: U.S. Library of Congress, Congressional Research Service, February 3, 2014). **[Blackboard]**

4. Points to Consider.

a. How is scenario-based forecasting valuable for strategic planning and decision making?

b. How do the key drivers, critical uncertainties, and potential wild cards inform or constrain leader discretion while forecasting the future?

c. With finite resources (budgets, manpower, time, etc.) strategic leaders cannot plan for every possible future. How do/should strategic leaders prioritize which ones to address and at what relative levels of effort?

d. What methods can strategic leaders apply to deal with significant surprises?

## ORGANIZATIONAL CULTURE AND LEADERSHIP

Mode: Seminar

SL-10-S

1. Introduction. Although one of the principal purposes of the USAWC is to instill in students an appreciation for the methods of formulating national security strategy for the DOD, an interesting conversation that habitually occurs between students and faculty centers around a realization that organizational culture has a significant impact on DOD's ability to change its strategy to align with the environment. Why did the Army resist letting go of horses and mules when mechanization of warfare with tanks and automobiles was clearly the future after World War I? Why did the Navy hold on to battleships well beyond their useful purpose? Why is the Air Force resisting the use of remotely piloted vehicles when they are demonstrating great capabilities during current operations across the globe? The answer to these questions centers around a concept called organizational culture. Some argue that concepts such as Mission Command and Operational Design may write checks that traditional military cultures will struggle to cash. As we head into our fifteenth year in Afghanistan and conduct a strategic re-balance to the Asia-Pacific region there has been much discussion about how the various military service cultures need to change to align with the contemporary and future operating environments. Despite these discussions, the military rarely delves deeply into the concept of organizational culture to take advantage of what the literature of organizational culture has to offer.

For instance, asserting that the Army needs to shift its culture to a more innovative, agile, and initiative-centric force is akin to positing that Americans need to lose weight. Almost everyone agrees with the assertion, but without significant, well-planned, and painful steps, neither of these goals will become a reality. Many organizations—public and private—face the same dilemma. The rank and file understand that something is wrong with the organizational culture and that it needs to change, but many leaders struggle with the role of the leader in this change process. This lesson will attempt to provide a theoretical and useful knowledge base about the role of the leader in assessing and changing organizational culture and then presents several organizational case studies on culture change to facilitate seminar discussions, to include some readings and observations concerning sexual assault in the military.

### 2. Learning Outcomes.

- a. Comprehend models of organizational culture and the power this brings to organizational understanding.
- b. Synthesize the relationships between cultures and subcultures.

c. Apply the primary embedding and reinforcing mechanisms to create and change the underlying assumptions that serve as the foundation for an organization's culture.

### 3. Student Requirements.

#### a. Required Readings.

(1) Leonard Wong, "Op-Ed: Changing the Army's Culture of Cultural Change," *Strategic Studies Institute* (Carlisle Barracks, PA: U.S. Army War College Press, May 16, 2014). **[Blackboard]**

(2) Stephen J. Gerras, Leonard Wong, and Charles D. Allen, *Organizational Culture: Applying a Hybrid Model to the U.S. Army*, Research Paper (Carlisle Barracks, PA: U.S. Army War College, November 2008). **[Blackboard]**

(3) Louis V. Gerstner, Jr., *Who Says Elephants Can't Dance? Leading a Great Enterprise through Dramatic Change* (New York: Harper Collins, 2003), 181-215. **(Read Chapter 20: "On Corporate Culture," pp. 181-188; Chapter 21: "An Inside-Out World," pp. 189-199; and Chapter 22: "Leading by Principles," pp. 200-215) [Student Issue]**

#### b. Focused Readings.

(1) Carl H. Builder, "The Five Faces of the Service Personalities," in *The Masks of War* (Baltimore: The Johns Hopkins University Press, 1989), 17-30. **[Student Issue]**

(2) Lisa Jackson, "The Real Secret of Google's Corporate Culture," *Corporate Culture Pros*, July 23, 2013, <https://www.corporateculturepros.com/the-real-secret-of-googles-corporate-culture/> (accessed June 7, 2016). **[Online]**

(3) Charles A. O'Reilly III and Jeffrey Pfeffer, "Unlocking the Hidden Value in Organizations," *Employment Relations Today* (Summer 2000): 63-80. **[Blackboard – Limited Access]**

### 4. Points to Consider.

a. What is culture and how does culture differ from climate?

b. How important is an understanding of culture for strategic leaders as they try to move their organization forward and align it with their assessment of the contemporary operating environment?

c. How do alternative models of organizational culture help us to better understand this phenomenon? To what extent can one really "manage" culture?

d. To what extent can subcultures be functional for military unit effectiveness? How do you distinguish if a subculture is becoming dysfunctional?

e. Which of the leader actions described (embedding and/or reinforcing mechanisms) have the greatest potential to influence the culture? Why?

f. What are the challenges of changing a culture in a public organization as compared to a private organization?

g. How do you know if your organizational culture is aligned with the external environment?

h. Does an understanding of organizational culture assist in comprehending and developing strategies to implement Mission Command and Design Theory?

i. How does our organization/service culture influence which domain we take a lead in? How does it influence which theory of war we adopt or use that informs our force development?

## LEADING INNOVATIVE ORGANIZATIONS

Mode: Seminar

SL-11-S

1. Introduction. Innovation is a constant part of organizational life, and its influence is felt everywhere in the strategic environment. Effective strategic leaders foster an environment in which innovation can occur. But how is this done? Strategy has been described as an alignment of ends, ways, and means; a narrow view of innovation would suggest that it primarily affects the last of these. Yet innovation is not a purely technological matter. Having a new gadget is nice, but what if the organization fails to adapt its processes to exploit the new technology's capabilities? In organizations with significant resources in research, development, and production (like the U.S. military), the main challenge in managing and leading innovation is seldom technical or scientific. Furthermore, military innovation occurs in training, doctrine, structure, etc. Failures to recognize or to adopt significant innovations are usually organizational—not technological—problems. The purpose of this lesson is to understand the organizational forces that enable or hinder innovation, and to explore what leaders can do to improve both the development and application of innovation, in general.

### 2. Learning Outcomes.

- a. Comprehend the character of innovation in the military context.
- b. Comprehend the enablers of—and barriers to—innovation in organizations.
- c. Analyze the role of leaders in fostering (or hindering) innovation in organizations through historical examples.

### 3. Student Requirements.

- a. Tasks. Read all required material in preparation for seminar dialogue.
- b. Required Readings.

(1) Gabriel Kasper and Stephanie Clohesy, "Intentional Innovation: How Getting More Systematic about Innovation Could Improve Philanthropy and Increase Social Impact," *W.K. Kellogg Foundation*, August 2008: 11-33. **[Blackboard]**

(2) Andrew Hill and Stephen Gerras, "Systems of Denial: Strategic Resistance to Innovation," *Naval War College Review* (Winter 2016). **[Blackboard]**

(3) Mary Tripsas and Giovanni Gavetti, "Capabilities, Cognition, and Inertia: Evidence from Digital Imaging," *Strategic Management Journal* 21, no. 10/11 (October - November 2000): 1147-1161, in JSTOR (accessed June 13, 2016). **[Database]**

(4) Michael Howard, "Men Against Fire: Expectations of War in 1914," *International Security* 9, no. 1 (Summer 1984): 41-57, in JSTOR (accessed June 13, 2016). **[Database]**

#### 4. Points to Consider.

a. What is the strategic importance of innovation? What is the role of the strategic leader with respect to innovation?

b. **Intentional Innovation (Kasper and Clohesy reading):**

(1) Consider the five stages of innovation outlined in the reading. To what extent do military organizations succeed or struggle in innovation in these different stages? Where, in your view, are the greatest obstacles to innovation in military organizations?

(2) Based on your understanding of the reading, what preliminary recommendations would you make to senior military leaders to foster innovation across the joint force?

c. **Systems of Denial and the Leadership Challenge of Innovation (Hill and Gerras reading):**

(1) Where does innovation occur in the military context? What is necessary in order for innovation to happen?

(2) It has been written that for the US military, innovation is primarily an organizational challenge, not a technological one. Do you agree? In what ways does innovation involve non-technological aspects of the organization?

(3) How does a leader identify the assumptions that underlie strategy, structure, processes, and culture? What is the relationship between these assumptions and innovation?

(4) What are the common organizational responses to information that contradicts dearly-held assumptions? How do these responses relate to innovation and learning?

(5) How do the "systems of denial" relate to the critical thinking framework? In what ways are they distortions of good analysis?

(6) Where do you see "systems of denial" at work in the military today?

(7) What tools are available to leaders to overcome these dysfunctional responses and change the assumptions that inhibit innovation? What can strategic leaders do to encourage the organization to challenge its assumptions?

d. Innovation in Context (Tripsas and Gavetti, Howard readings):

(1) What was Polaroid's theory of competition? That is, what was the core strategic assumption of the business? How did Polaroid's assumptions affect its strategy? Polaroid pioneered important innovations in digital photography. Why did it fail to exploit that technology?

(2) What lessons did the major European powers learn from the English and Japanese examples of offensive operations in the lead-up to the First World War? What *should* they have learned? What were the core assumptions that shaped the European interpretations of these events? Why was there resistance to adapting infantry tactics to the new technologies of the battlefield prior to WWI? What could a leader of the French, British, or German military have done to overcome this resistance to innovation?

(3) In what way do these cases demonstrate Stephen Jay Gould's assertion that "the facts never speak for themselves; they are read in light of theory"? What other common concepts do you see across these two cases (Polaroid and the cult of the offensive prior to WWI)? In what ways are the cases different? What parts of these stories accord with your own experiences of organizational responses to innovation? What parts differ with your own experiences?

## LEADING ORGANIZATIONAL CHANGE AND VISION

Mode: Seminar

SL-12-S

### 1. Introduction.

a. In previous lessons, we introduced the key responsibilities of strategic leaders. Our USAWC definition of strategic leadership refers to a process to influence culture, provide direction to achieve organizational goals, and posture the organization for future success in a complex and ambiguous environment. Former Army Chief of Staff, GEN Sullivan, suggested that strategic leaders have organizational roles to create the future, build teams, and manage complexity. The most difficult of these roles may be to envision the future and then lead organizational change in order to maintain relevancy.

b. By any standard, the forces driving change in the Army, the Department of Defense, and within the United States over the last two decades have been tremendous. Strategic leaders across many domains have acknowledged that major organizational change is difficult to achieve. Today's lesson will provide an internal look at organizations and discuss the value of vision as a means of bringing together internal constituencies for a common purpose. We will also present frameworks to understand and assess when change is needed as well as processes for creating change. Students will be offered insights on why organizational change is difficult and explore methods to facilitate change.

### 2. Learning Outcomes.

a. Evaluate the purpose, consequences, and pitfalls of communicating a future vision for an organization.

b. Analyze the framework for leading and managing strategic change, specifically the components of organizational change and the process by which organizations change.

c. Comprehend how organizational dynamics affect organizational change initiatives.

d. Analyze how and why change efforts often fail and how they may succeed.

### 3. Student Requirements.

a. Tasks. Read all required material in preparation for seminar dialogue.

b. Required Readings.

(1) John P. Kotter, "Transforming Organizations: Why Firms Fail," and "Successful Change and the Force That Drives It," in *Leading Change* (Boston: Harvard Business School Press, 1996), 3-31. **[Student Issue]**

(2) Charles D. Allen and Andrew A. Hill, *Vision*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, 2012). **[Blackboard]**

(3) W. Warner Burke, "Organization Change: Epidemics, Integration, and Future Needs," in *Organization Change: Theory and Practice* (Thousand Oaks, CA: Sage Publications, 2002), 273-295. **[Blackboard]**

(4) Chris Argyris, "How We Deal with Difficult Situations," in *Organizational Traps: Leadership, Cultural, Organizational Design* (New York: Oxford University Press, 2010), 11-24. **[Blackboard]**

(5) Charles D. Allen, ed., *General William E. DePuy: Preparing the Army for Modern War*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, May 6, 2010), 1-14. Note: This working paper is comprised of edited Chapters 14, 15, and 17 from Henry A. Gole's *General William E. DePuy: Preparing the Army for Modern War* (Lexington: University Press of Kentucky, 2008), 213-235, 237-274, and 293-298. **[Blackboard]**

c. Focused Readings.

(1) Ash Carter, Secretary of Defense, *Submitted Statement to the Senate Armed Services Committee on the FY 2017 Budget Request for the Department of Defense*, March 17, 2016, [http://www.armed-services.senate.gov/imo/media/doc/Carter\\_03-17-16.pdf](http://www.armed-services.senate.gov/imo/media/doc/Carter_03-17-16.pdf) (accessed June 7, 2016). **[Blackboard]**

(2) Chris Rotman, "Thought Leader Interview: Chris Argyris," interview by Karen Christensen, *Rotman Magazine*, Winter 2008, 10-13. **[Blackboard]**

4. Points to Consider.

a. How relevant are road maps (such as Kotter's or Burke's) for leading organizational change?

b. How important is understanding culture to a successful change effort? What are some important considerations of the link between change and culture?

c. What are some of the reasons that people resist change?

d. Scholars argue for the integration of personal and organizational visions. How do strategic leaders facilitate this alignment?

## COMMAND CLIMATE AND TEAM BUILDING

Mode: Seminar

SL-13-S

### 1. Introduction.

a. A unique aspect of strategic leadership is the responsibility to influence others through the climate of the organization as well as through the selection and development of members of your senior team. Strategic leaders have an inherent responsibility to understand the social system of their leadership team to ensure they properly manage and change how people work together to accomplish the goals of the organization. In 2004, TRADOC sponsored a study that looked at leadership in large Army units called *The Division Commander Study (A follow-up study was conducted in 2010)*. The study was a comprehensive evaluation of senior-leader responsibilities in the contemporary operational environment Operation Enduring Freedom (OEF) and Operation Iraqi Freedom (OIF). One of the main conclusions of the study was that successful division commanders “create a command climate that supports operational excellence and also motivates competent people to continue military service.”

b. Additionally, the study found that leaders need to pay as much attention to the development of interpersonal skills (the assessment, development, and maintenance of command climate and the intentional building of leadership teams) as military systems have placed on the development of technical and tactical skills. Some of you know how to do this instinctively. Nevertheless, very few of you have ever been exposed to the scientific approach of command climate and team building. The importance of this skill set has only increased in importance and difficulty in an operational and strategic environment that is much more multinational and intergovernmental. The military’s focus on Mission Command increases this emphasis, as does the Army’s specific focus on eliminating toxic leaders. Although difficult, the challenges of building and leading a team in this environment are not new or unique. The reading on *Eisenhower in North Africa* is included in this lesson to highlight the persistent challenges of leading a team at the strategic level. The intent of the current lesson is to increase your understanding of these two critical strategic-leadership competencies and, by doing so, make you a more effective strategic leader.

### 2. Learning Outcomes.

- a. Analyze the relationship between command climate and organizational outcomes.
- b. Comprehend the importance of team leadership at the strategic level and understand the internal and external functions of a team leader.

c. Analyze the relationships that leaders intentionally and unintentionally develop with subordinates and the implications of those relationships for team development and group processes.

### 3. Student Requirements.

#### a. Tasks.

(1) Read the required readings.

(2) Apply the theoretical discussions of team leadership to General Eisenhower's experiences in North Africa.

#### b. Required Readings.

(1) Steven M. Jones, "Improving Accountability for Effective Command Climate: A Strategic Imperative," *Strategic Studies Institute Monograph*, September 2003: 1-5 and 11-12. **[Blackboard]**

(2) Stephen J. Gerras and Murf Clark, *Effective Team Leadership: A Competitive Advantage*, Research Paper (Carlisle Barracks, PA: U.S. Army War College, August 2011). **[Blackboard]**

(3) Stephen J. Gerras, *2004 Division Commander Study and Leader-Member Exchange*, Research Paper (Carlisle Barracks, PA: U.S. Army War College, August 2008). **[Blackboard]**

(4) Carlo D'Este, "Ikus Africanus," in *Eisenhower: A Soldier's Life* (New York: Henry Holt and Company, Inc., 2002), 391-405. **[Blackboard]**

#### c. Focused Readings.

(1) Charles Duhigg, "What Google Learned From its Quest to Build the Perfect Team," *New York Times* (February 25, 2016), in ProQuest (accessed June 7, 2016). **[Database]**

(2) Robert M. Gates, "Mending Fences, Finding Allies," in *Duty: Memoirs of a Secretary at War* (New York: Knopf, 2014), 80-92. **[Student Issue]**

(3) Shane Harris and Nancy A. Youssef, "CENTCOM Embroiled in Climate of Fear," *The Daily Beast*, March 14, 2016, <http://www.thedailybeast.com/articles/2016/03/14/centcom-embroiled-in-climate-of-fear.html> (accessed June 7, 2016). **[Online]**

#### 4. Points to Consider.

- a. What is climate and how does it differ from culture?
- b. Does unit climate need to be properly measured and reported to have a substantial effect on readiness?
- c. Is there a relationship between climate and ongoing Army challenges with junior officer attrition?
- d. How important is “leader trustworthiness” in establishing a positive climate?
- e. Has OEF and OIF changed longstanding climate challenges across the military forces?
- f. Why is it so important that leaders of teams focus on both the task- and people-focused functions of the team?
- g. Can a team be agile if the leader is not?
- h. Can toxic leaders change?
- i. Is it more important to find a technically competent team member or a person with good teamwork skills when building a team?
- j. Can a leader really put everyone in their in-group?

## LEADING IN A MULTICULTURAL ENVIRONMENT

Mode: Seminar

SL-14-S

1. Introduction. The United States military has developed and implemented a number of policy and strategic outreach initiatives designed to enable greater demographic inclusion and become more representative of the society it serves while fulfilling its professional, functional imperatives effectively—meeting society’s security needs. As a result, today’s U.S. military is an incredibly diverse organization, and will become increasingly more diverse in the future given current demographic trends and operational requirements. Furthermore, as the military continues to operate more frequently with diverse interagency and coalition partners, diversity leadership clearly emerges as an important leader competency. Therefore, cultural competency is vital in the context of establishing organizational climates that value the contributions of all members, thereby enabling greater collective commitment to organizational outcomes guided by the functional imperatives needed to meet its national security requirements. This lesson expands on many of the concepts and theories associated with establishing effective organizational climates by specifically examining the challenge of leading and managing diverse organizations, as well as, organizations in multicultural environments. The lesson emphasizes the importance of continued senior leader commitment to diversity by characterizing diversity leadership as a core competency. It also examines relationship management and cultural interoperability in today’s complex military environment. Just because we are diverse, it doesn’t guarantee that we are great. All aspects of diversity must be managed in order for them to be positive attributes for the organization.

### 2. Learning Outcomes.

- a. Evaluate the importance of continued leader commitment to diversity.
- b. Analyze the challenges associated with leading diverse, multicultural organizations.
- c. Analyze relationship management and in a complex, multicultural environment.

### 3. Student Requirements.

- a. Tasks. Read the assigned readings and be prepared to discuss them in seminar.

b. Required Readings.

(1) Howard J. Ross, *Reinventing Diversity: Transforming Organizational Community to Strengthen People, Purpose, and Performance* (Lanham, MD: Rowman & Littlefield Publishers, 2011), 171-209. **Read** Chapter 9: “Developing Diversity Mastery,” Chapter 10: “It’s the System, Stupid!” and Chapter 11: “The Eight Basic Principles of Organizational Community.” **[Blackboard]**

(2) William Hardy, *Cultural Interoperability: Applying Social Categorization to Better Understand and Mitigate Cultural Friction in Multinational Operations*, White Paper (Fort Leavenworth, KS: Human Dimension Capabilities Development Task Force, January 2016), 2-31. **[Blackboard]**

c. Focused Readings.

(1) Elizabeth Mannix and Margaret A. Neal, “What Differences Make a Difference? The Promise and Reality of Diverse Teams in Organizations,” *Psychological Science in the Public Interest* 6, no. 2, October 2005, <http://psi.sagepub.com/content/6/2/31.abstract> (accessed June 7, 2016). **[Blackboard – Limited Access]**

(2) Military Leadership Diversity Commission, *From Representation to Inclusion, Diversity Leadership for the 21st Century* (Arlington, VA: Military Leadership Diversity Commission, March 15, 2011), xiii-xix. Read Summary. **[Blackboard]**

(3) Thomas P. Galvin, *Cultural ‘Terrain Map’ of the Services and the Joint, Interagency, Intergovernmental, and Multinational (JIIM) Environments*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, April 17, 2013). **[Blackboard]**

(4) George J. Woods, *Relationship Management in Today’s Coalition Environment: Lessons Learned from Afghanistan 2008-09*, Working Paper (Carlisle Barracks, PA: U.S. Army War College, 2010). **[Blackboard]**

(5) Thomas P. Galvin and Charles D. Allen, *How to Stop Doing Something: An Introduction to the Making and Breaking of (Bad) Habits*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, May 25, 2016). **[Blackboard]**

4. Points to Consider.

a. What is your notion of diversity? Does the word diversity represent something or someone, or does it represent a concept, or a set of ideas?

b. What does the word diversity mean to you as a senior leader in the context of organizational climate?

c. What does diversity leadership mean to you?

d. What does multicultural leadership mean to you?

e. How do we improve our cultural competence, thereby improving professional relationships in a multicultural environment?

f. Is the U.S. military great simply because we are more diverse than we have ever been? What aspects of diversity make us better? Which ones impede the organization if not managed properly?

## STRATEGIC DECISIONMAKING

Mode: Lecture/Seminar

SL-15-L/S

### 1. Introduction.

a. Strategic-level decisions have far-reaching consequences for any organization because they can involve the commitment of vast resources and lead to questionable outcomes. Such decisions are conducted in an environment characterized by complexity and ambiguity. Strategic decisions can involve political processes that cross multiple constituencies where perceptions of equity and concern about process are at least as important as notions of effectiveness and efficiency.

b. This lesson will examine various perspectives of decisionmaking at the organizational and strategic levels. The primary vehicle for our analysis of these concepts will be observations, insights, and conclusions on the strategic decisionmaking process of the U.S. commander-in-chief and the senior leaders of the military.

c. Strategic decisionmaking tends to be unstructured. The imperatives of the changing environment and the interplay of multiple stakeholders influence the response of leaders. Generally, there may be no predetermined and explicit set of ordered responses that exist in organizations. Our USAWC approach holds that strategic leaders can make or recommend decisions that are more insightful after exposure to multiple perspectives of decision making. Making sense of strategic decisions requires adding a different set of mental models to the traditional military decisionmaking approach that is so embedded at the tactical and operational levels.

d. Typically, USAWC students are trained to use the Military Decisionmaking Process (MDMP), which assumes a relatively linear approach will lead to the “best” solution. These steps of the MDMP have not changed significantly in the Army since the early 1900s. By appreciating alternatives to traditional models, students can develop a better understanding of the complex nature of strategic decision making. We suggest that an ability to adapt and move between various decisionmaking approaches will be helpful to the strategic leader.

### 2. Learning Outcomes.

a. Analyze how decisionmaking is different at the strategic level.

b. Evaluate decisionmaking models associated with strategic leadership in contrast with those at the tactical and operational levels of decision making.

c. Analyze key advantages and disadvantages of various approaches to decisionmaking.

### 3. Student Requirements.

#### a. Required Readings.

(1) Janine Davidson, "The Contemporary Presidency: Civil-Military Friction and Presidential Decision Making: Explaining the Broken Dialogue," *Presidential Studies Quarterly* 43, no. 1 (March 2013): 129-145, in ProQuest (accessed June 7, 2016). **[Database]**

(2) Richard D. Hooker, Jr., and Joseph J. Collins, "Reflections on Lessons Encountered," *Lessons Encountered: Learning from the Long War* (Washington, DC: National Defense University Press, September 2015), 401-419, <http://ndupress.ndu.edu/Portals/68/Documents/Books/lessons-encountered/lessons-encountered.pdf> (accessed June 7, 2016). **[Online]**

(3) Charles D. Allen, Breena E. Coates, and George J. Woods III, *Strategic Decisionmaking Paradigms: A Primer for Senior Leaders*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, 2012). **[Blackboard]**

#### b. Focused Readings.

(1) Daniel Kahneman, Dan Lovallo, and Olivier Sibony, "The Big Idea: Before You Make that Big Decision . . .," *Harvard Business Review*, June 2011, 51-60. **[Instructor Handout]**

(2) Chet Miller and R. Duane Ireland, "Intuition in Strategic Decision Making: Friend or Foe in the Fast-Paced 21st Century?" *Academy of Management Executive* 19, no. 1 (February 2005): 19-30. This reading examines the role of intuition or "gut feel" in executive decision making. **[Blackboard]**

(3) Cass R. Sunstein and Reid Hastie, "Making Dumb Groups Smarter: The new science of group decision making," *Harvard Business Review*, December 2014, 90-98. **[Instructor Handout]**

### 4. Points to Consider.

a. What is the nature of decisionmaking in a profession (in particular the national security and the military profession)? How does it differ from decisionmaking in large organizations and from professional decisionmaking at the tactical level?

b. From the required readings, how can we know what kind of decisionmaking process we should employ in a given strategic context?

c. In the course of over twenty years of military and public service, senior leaders tend to develop strong intuitive decisionmaking skills. How can one maximize the advantages of intuition in decisionmaking while minimizing its disadvantages?

## SENIOR LEADER COMMUNICATION

Mode: Seminar

SL-16-S

### 1. Introduction.

a. The *Strategic Leadership Primer* (pp. 32-34) indicates the interpersonal competencies of consensus building, negotiation, and communication are “the most important when leading organizations at the highest levels.” At the strategic level however, senior military leaders rarely (if ever) communicate as independent actors who are the sole creators and presenters of a message; rather, leaders at the strategic level must synchronize communications across a wide spectrum of players. **Unfortunately, much of the doctrine and guidance on strategic communication focuses on processes, and not enough on how to draft a good narrative, and from it draw a campaign-specific vision –a message that delivers the reason for communicating.**

After developing the vision and strategic direction for their organization(s), senior leaders determine which venues and opportunities offer the best chance for them to seed their message; they then rely on other organizational players to convey the message to internal and external audiences. Communicating a message with clarity and consistency is a complex endeavor--stakeholders inside or outside the organization may misinterpret, refuse to follow, or even deliberately sabotage the message. Senior leaders must deliberately manage the message and its distribution to energize organizational actors and stakeholders to deliver a synchronized, clear, and consistent message at the macro, meso, and micro levels that reaches all audiences and achieves the desired, enduring effects.

Senior leaders themselves serve a higher vision, oftentimes interpreting and applying strategic guidance from higher military or national security leaders (e.g., a military leader conveying strategic direction from his/her service chief). Senior leaders have an advisory role to play as well, offering invaluable feedback to national military and civilian leaders as well as the public on the effects (success, failure, improvements) of strategic policies and overall direction.

b. The purpose of this lesson is to comprehend and exercise how senior leaders synchronize a message--articulating a vision, strategic direction, and/or a strategic decision and distributing it through various means including the leader, organizational actors, internal and external stakeholders, and a network of third parties. This lesson considers how senior leaders develop a message, including determining the overall communications campaign plan and the audiences with which the senior leader will be personally involved. (USAWC offers other activities, like the public speaking elective, to help students develop personal communications skills).

c. This lesson addresses senior leader communications in two organizational contexts--deliberate (i.e., steady state or long-term) and during transformational change initiatives. Communications campaign plans will differ under each in terms of vision (desired future), organization narratives, themes, challenges, and development. During both organizational contexts, senior leaders potentially must deal with crises as they arise, which necessitates mid-course corrections to the ongoing communication campaign plans.

(1) **Communication campaigning** is the process of articulating, conveying, and sustaining vision, strategic direction, and/or strategic decisions. It is the strategic leader's responsibility to choreograph communication of information, priorities, and vision to internal and external audiences, as well as set conditions for organizational actors to internalize these messages and let them influence their actions. Effective deliberate communications offer strategic leaders optimal opportunity to inform decision makers, stakeholders, and critics of his/her advocated positions. Students will use readings and in-seminar exercises to put these processes into action.

(2) **Many** communication campaigns are associated with major organizational change efforts that re-define the identity and vision of the organization. As such, they are more complex than steady-state campaigns and require senior leaders to promote, defend, and adapt their message to the change efforts. Senior leaders can expect resistance to the change effort from internal members and external stakeholders alike. Addressing organizational resistance places a premium on developing a change vision that answers the following questions: why the change must occur, what must change in the near and long-term planning horizon, and what must remain the same?

(3) Crisis situations constitute special cases where the current narrative is in jeopardy. For steady-state campaigns, a crisis event can undermine the reputation and competitive advantage of the organization. Ineffective or errant messaging can shake stakeholder trust and organization credibility, even more so in today's rapid and volatile information environment. For transformational communication campaigns, a crisis event can threaten the pace of the change effort. In some cases, it can effectively dismantle previous efforts while in others; it can accelerate the need for rapid action. Although leaders at the strategic level must execute their crisis communications plans in a timeframe significantly compressed from that available during deliberate communications, both communication environments require leaders to use effective "phase 0" operations to build relationships and prepare the "battlespace", and then communicate in an ethically and professionally authentic manner to achieve communications success. In addition, leaders must then absorb the narratives spawned during the crisis to develop new, deliberate communications strategies. This lesson presents ideas and concepts to prepare for crises through readings and in-seminar exercises.

## 2. Learning Outcomes.

- a. Examine the senior leader knowledge, skills, and attributes necessary to effectively communicate at the strategic level.
- b. Analyze senior leader roles in determining, developing, and delivering effective strategic messages to internal and external audiences.
- c. Comprehend how senior leaders leverage organization communications processes to effectively manage crisis events.

## 3. Student Requirements.

### a. Required Readings.

(1) John P. Kotter, "Communicating the Change Vision," in *Leading Change* (Boston: Harvard Business School Press, 1996), 85-100. **[Student Issue]**

(2) Stephen J. Gerras, *Communication with External Audiences – A Stakeholder Management Approach*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, June 2010). **[Blackboard]**

(3) John Baldoni, "Developing the Leadership Message," in *Great Communication Secrets of Great Leaders* (New York: McGraw Hill, 2003), 27-37. **[Student Issue]**

(4) Alyson M. Teeter-Baker, "Constant Crisis: A Study of the U.S. Military's Crisis Communication Program," *Dissertations and Theses* (Master's thesis, San Jose State University, 2008), 4-10 in ProQuest (accessed June 7, 2016). **[Database]**

(5) Thomas P. Galvin and Charles D. Allen, *A Primer on Organizational Communication Campaigning*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, 2016). **[Blackboard]**

### b. Focused Readings.

(1) William E. "Kip" Ward, "Strategic Communication at Work," *Leader to Leader*, no. 59 (Winter 2011): 33-38. **[Blackboard- Limited Access]**

(2) Dana Eyre and James Littleton, "Shaping the Zeitgeist: Influencing Social Processes as the Center of Gravity for Strategic Communications in the Twenty-first Century," *Public Relations Review* 38, no. 38 (June 2012): 179-187. **[Blackboard - Limited Access]**

(3) Christopher Paul, "Challenges Facing U.S. Government and Department of Defense Efforts in Strategic Communication," *Public Relations Review* 38, no. 2 (June 2012): 188-194. **[Blackboard - Limited Access]**

(4) Neville Bolt, "Strategic Communications in Crisis," *The RUSI Journal* 156, no. 4 (2011): 44-53. **[Blackboard- Limited Access]**

4. Points to Consider.

- a. How do strategic level communications differ from public speaking?
- b. How can senior national security professionals communicate complex topics to broad audiences and what messages should they carry in person versus letting others in the organization carry and when?
- c. What is the proper balance of speed versus accuracy, if both cannot be simultaneously achieved?
- d. How can senior leaders control (ensure uniformity of) the message? Is "control" even possible? How do social media affect these dynamics?
- e. What must a strategic leader consider when developing and executing a strategic communication campaign plan?
- f. Are there any particular stakeholders with whom military leaders typically struggle in developing effective relationships? Why?

## NEGOTIATIONS

Mode: Lecture/Seminar

SL-17-L/S

1. Introduction. Strategic leadership requires the successful application of key conceptual, technical, and interpersonal competencies. At the most senior levels, conditions of lesser directive authority, higher interdependence, and conflicting or different interests, values, and cultures to solve complex problems requires differing skills and competencies. Most noteworthy among the interpersonal competencies are consensus building, negotiation, and communication (*Strategic Leadership Primer*). While each of these interpersonal competencies is a study in its own right, all three overlap. When applied effectively, and in concert, significant benefits can accrue. Skilled negotiation requires solid communication skills (verbal and nonverbal), and is often enhanced by effective consensus building. Additionally, the skilled negotiator successfully employs well-established psychological, interpersonal, and human relations principles. The essence of successful negotiating is communicating and convincing others that while you have clear interests and professional responsibilities with respect to an issue, you simultaneously convey a willingness to collaborate or derive options to meet their interests in seeking solutions to joint (mutual) problems. Negotiations involve two critical dimensions: substance and relationships. Negotiating one of the dimensions without considering the other is typically a recipe for an unsuccessful outcome. Skilled negotiators understand that the human dynamics of the negotiation process affect its outcome. They therefore carefully consider the second- and third-order effects of their proposals and strategies, which affect the way, or ways they choose to interact with their counterparts. With this in mind, the effective negotiator will make every reasonable effort to focus on interests rather than positions. At all times it is important to remember that skilled negotiators are not born. They are developed through study, skill development, and practice. This lesson prepares the student for negotiating by first providing some research-based concepts that, when applied, provide a framework for enhancing negotiating skills, and most probably, better agreements and solutions.

### 2. Learning Outcomes.

- a. Analyze key negotiation principles and concepts in the strategic environment.
- b. Comprehend the skills required for effective negotiating.
- c. Analyze how to prepare for, conduct, and assess effective negotiations.

### 3. Student Requirements.

#### a. Tasks.

- (1) Read as required and prepare for classroom participation.
- (2) Be prepared to discuss issues and considerations when conducting intercultural negotiations at the tactical, operational and strategic levels.
- (3) Attend the Bliss Hall Lecture given by Mr. Jeff A. Weiss, President of Lesley University in Cambridge, Massachusetts. Mr. Weiss is also the founder and former co-Director of the West Point Negotiation Project.

#### b. Required Readings.

(1) George J. Woods, *Some Terminology and Definitions Used in 'Negotiating' Circles*, Faculty Paper (Carlisle Barracks, PA: U.S. Army War College, July 2007).

**[Blackboard]**

(2) Roger Fisher and William Ury, *Getting to Yes: Negotiating Agreement Without Giving In*, 3rd ed. (New York: Penguin Books, 2011), 1-15, 43-57, 99-108, and 163-170. **Read** Chapter 1: "Don't Bargain Over Positions," Chapter 3: "Focus on Interests, Not Positions," Chapter 6: "What if They Are More Powerful," and Questions 5 and 6.

**[Student Issue]**

(3) Jonathan Hughes et al., "Negotiation Systems and Strategies," in *International Contract Manual* (Boston: Thomson Reuters/West, 2008), 1-32. **[Blackboard]**

### 4. Points to Consider.

- a. What constitutes the right conditions to negotiate? When is it not appropriate to negotiate?
- b. What are the advantages and disadvantages of negotiating from a position? Compare and contrast that with interest-based negotiation strategies.
- c. What protects a negotiator from making a "bad" deal?
- d. How can senior leaders enhance their negotiating competencies and outcomes?
- e. What interpersonal skills positively affect the senior leader's ability to negotiate? What, of those skills, do you already possess or might have to develop?
- f. What are the benefits in arriving at a joint (mutual) negotiated settlement? How does one get there?

## NEGOTIATIONS EXERCISE

Mode: Exercise

SL-18-EX

1. Introduction. Senior leaders negotiate on a regular basis. Often negotiations are informal and conducted in a “friendly” environment away from the table. Such negotiations may resemble little more than consensus building in a venue we call meetings. In other situations, negotiations may be more formal and may involve relationships between parties that are adversarial in nature. They may be bilateral or multilateral. Framing our challenges in negotiating, senior national security leaders must reconcile organizational interests, professional responsibilities, and societal needs. At any point across this spectrum, the senior leader or the decision maker’s representative must be prepared to employ effectively the interpersonal and negotiation skills required to further the interests of his/her organization, while considering those of other parties in the negotiation. This lesson will afford an opportunity to apply the negotiation principles set forth in the previous lesson. It also prepares the student for challenges and opportunities in future assignments. As with learning to swim, eventually there is no substitute for diving in and “splashing around”. The purpose of this exercise is not to transform the student into a Master Negotiator. Rather, it is an opportunity to apply basic tools of the trade to begin honing negotiation and interpersonal skills, while gaining a knowledge and experience base, which can be applied in tactical, operational, and strategic settings across a broad spectrum of situations and circumstances in the future.

### 2. Learning Outcomes.

- a. Apply the principles of negotiation (the seven elements framework) in an exercise format.
- b. Evaluate one’s own negotiation skills as reflected in the exercise.
- c. Evaluate examples of effective and ineffective negotiation.

### 3. Student Requirements.

a. Tasks. Read the instructions your Faculty Instructor will hand out for your negotiation role and be prepared to negotiate as part of a team or as an observer during the exercise.

#### b. Required Readings.

Read exercise materials distributed by your instructor. **[Instructor Handout]**

#### 4. Points to Consider.

a. How did the seven elements framework help in the preparation of your negotiation? How did it help you in the process of the negotiation? How did it help you assess the outcomes of your negotiation?

b. Was it more difficult to focus on positions or interests during this negotiation? Why?

c. What new information was discovered during the negotiation session and what effect did it have on the process?

d. What skills were employed that enhanced getting to yes? What skills detracted from arriving at a mutual solution? What can negotiators do when they reach an impasse?

e. How will the negotiation skills learned during the exercise enhance your effectiveness in meeting professional responsibilities in a strategic, joint, interagency, intergovernmental, or multi-national environment?

## STRATEGIC LEADERSHIP CAPSTONE EXERCISE

Mode: Exercise

SL-19-EX

### 1. Introduction.

a. This course is designed to encourage reflection, critical assessment, and consideration of issues that arise in a complex and ambiguous environment. The core courses provide opportunities for critical thinking and reflective learning, often culminating in an end-of-course exercise.

b. In the Strategic Leadership course exercise, you will apply material from previous lessons, integrating the course's concepts. At the start of the course, your faculty instructor assigned you to one of three study groups to examine a relevant strategic issue--either Mission Command, Talent Management, or Cost-Conscious Culture--and write a paper on that issue. In this lesson, you and your colleagues will work together to examine causes of and recommended solutions to complex, ill-structured problems.

c. In the first part of the exercise, you will work with students who examined the same issue assigned to you. Working as a group, you will develop a perspective on the problem that incorporates the work of your collective papers, assess the Department of Defense's approach to date, and make recommendations for change and improvement. Discussion should focus on points of strong agreement and strong disagreement, as well as on important unknowns.

d. In the second part of the exercise, you will brief another group in class, who will assume the role of strategic leaders responsible for making a decision based on your assessment and recommendations. In turn, you will play the role of a strategic leader and be briefed by another group. Discussion will focus on the basis for the assessments and recommendations. When portraying a strategic leader, seek to understand the analysis and process that led to the assessment and recommendations. Avoid being bogged down in feasibility concerns that are outside the scope of the course (finances, legislative authorities, etc.). Focus instead on how well the group members integrate course concepts of critical thinking, systems thinking, organizational culture, change, professional ethics, discretionary judgment, national security professionalism, and so on.

e. In both stages of the exercise, you will hear different perspectives on the same issue. Seize this opportunity to broaden your understanding of the dimensions and complexity of these issues. Seek to view these problems holistically, and to examine a wider range of solutions than you might consider on your own. The problems you have

analyzed are significant, strategic challenges for the Army and the military as a whole. Your hard work and success in this exercise can therefore have a real impact.

## 2. Learning Outcomes.

- a. Apply the unique aspects of leadership required at the strategic level.
- b. Analyze the role of the strategic leader in recognizing the need for change, developing and articulating a vision for change, and in designing and implementing effective, sustained change.
- c. Synthesize the strategic leadership competencies necessary to ethically and effectively succeed in a joint, interagency, intergovernmental, and multinational environment.
- d. Comprehend the role of strategic leaders as stewards of their profession.

## 3. Student Requirements.

a. Tasks. As previously instructed your paper is due **NLT 0830 on Wednesday, 19 October 2016**. Come to class with a one-page summary of the main points of your paper. What you thought helped explain the problem and how it led you to recommendations. Prepare to assimilate the various individual perspectives into a group assessment, brief the results of your group's analysis to the students assigned to the other study group, and evaluate the briefing other groups present to your study group. Your instructor will provide specific details on the conduct of the lesson in your seminar.

### b. Required Readings.

(1) In class, read or share the summaries of your group's papers.

#### (2) **Mission Command study group readings:**

(a) Martin E. Dempsey, *Mission Command* (Washington, DC: U.S. Joint Chiefs of Staff, April 3, 2012), [http://www.dtic.mil/doctrine/concepts/white\\_papers.htm](http://www.dtic.mil/doctrine/concepts/white_papers.htm) (accessed June 13, 2016). **[Blackboard]**

(b) Robert M. Gates, "United States Military Academy," speech, U.S. Military Academy, West Point, NY, February 25, 2011, <http://archive.defense.gov/Speeches/Speech.aspx?SpeechID=1539> (accessed June 13, 2016). **[Blackboard]**

(c) David McCormick, "Lean and Mean: Changing Attitudes and Behaviors in the Muddy Boots Army," in *The Downsized Warrior: America's Army in Transition* (NY: New York University Press, 1998), 117-156. **[Blackboard - Limited Access]**

(d) U.S. Department of the Army, *Mission Command*, Army Doctrine Publication 6-0 (Washington, DC: U.S. Department of the Army, May 2012, includes Change 2, March 12, 2014), 1-13, [http://armypubs.army.mil/doctrine/DR\\_pubs/dr\\_a/pdf/adp6\\_0.pdf](http://armypubs.army.mil/doctrine/DR_pubs/dr_a/pdf/adp6_0.pdf) (accessed June 13, 2016). **[Blackboard]**

(e) Eitan Shamir, "The Long and Winding Road: The US Army Managerial Approach to Command and the Adoption of Mission Command (Auftragstaktik)," *Journal of Strategic Studies* 33, no. 5, October 2010, <http://usawc.idm.oclc.org/login?url=http://dx.doi.org/10.1080/01402390.2010.498244> (accessed June 13, 2016). **[Online]**

(f) Ryan Riley, Josh Hatfield, and Tyler Freeman, *2013 Center for Army Leadership Annual Survey of Army Leadership (CASAL): Main Findings*, Technical Report 2014-01 (Fort Leavenworth, KS: Center for Army Leadership, Leadership Research, Assessment and Doctrine Division, April 2014), i-xi, 36-64, and 84-86, <http://usacac.army.mil/sites/default/files/documents/cal/2013CASALMainFindingsTechnicalReport2014-01.pdf> (accessed June 13, 2016). **[Blackboard]**

(g) Additional optional references can be found at: [http://usawc.libguides.com/mission\\_command](http://usawc.libguides.com/mission_command) (accessed June 13, 2016). **[Online]**

### (3) Talent Management study group readings:

(a) Phillip Brown, Hugh Lauder and David Ashton, "Introduction" and "War for Talent," *The Global Auction: the Broken Promises of Education, Jobs, and Incomes* (New York: Oxford University Press, 2011), 1-14 and 83-97. **[Blackboard – Limited Access]**

(b) World Economic Forum, *Global Talent Risk--Seven Responses* (Switzerland: World Economic Forum, 2011), [http://www3.weforum.org/docs/PS\\_WEF\\_GlobalTalentRisk\\_Report\\_2011.pdf](http://www3.weforum.org/docs/PS_WEF_GlobalTalentRisk_Report_2011.pdf) (accessed June 13, 2016). **[Online]**

(c) Casey Wardynski, David S. Lyle, and Michael J. Colarusso, *Towards a U.S. Army Officer Corps Strategy for Success: A Proposed Human Capital Model Focused Upon Talent* (Carlisle Barracks, PA: Strategic Studies Institute, April 2009), <http://www.strategicstudiesinstitute.army.mil/pdf/PUB912.pdf> (accessed June 13, 2016), 26. **[Blackboard]**

(d) David Barno and Nora Bensahel, "Can the U.S. Military Halt Its Brain Drain?" *The Atlantic*, November 5, 2015, <http://www.theatlantic.com/politics/archive/2015/11/us-military-tries-halt-brain-drain/413965/> (accessed June 13, 2016). **[Online]**

(e) Hudson Institute Panel, "Bleeding Talent: How the US Military Mismanages Great Leaders and Why It's Time for a Revolution," January 31, 2013, *YouTube*, streaming video, 1:37, <https://www.youtube.com/watch?v=6ZsOUaI5WPk> (accessed June 13, 2016). **[Online]**

(f) Ashton B. Carter, "Building the First Link to the Force of the Future," speech, George Washington University Elliott School of International Affairs, Washington, DC, November 18, 2015, <http://www.defense.gov/News/Speeches/Speech-View/Article/630415/remarks-on-building-the-first-link-to-the-force-of-the-future-george-washington> (accessed June 13, 2016). **[Blackboard]**

(g) *Bureau of Labor Statistics*, "Projections of occupational employment, 2014-24," December 2015, <http://www.bls.gov/careeroutlook/2015/article/projections-occupation.htm> (accessed June 13, 2016). **[Blackboard]**

(h) *Bureau of Labor Statistics*, "Projections of industry employment, 2014-24," December 2015, <http://www.bls.gov/careeroutlook/2015/article/projections-industry.htm> (accessed June 13, 2016). **[Blackboard]**

(i) *Bureau of Labor Statistics*, "Projections of the labor force, 2014-24," December 2015, <http://www.bls.gov/careeroutlook/2015/article/projections-laborforce.htm> (accessed June 13, 2016). **[Blackboard]**

(j) Aon Hewitt Corporate Paper, "Building the Right High Potential Pool: How Organizations Define, Assess, and Calibrate Their Critical Talent," January 2013, [http://www.aon.com/attachments/human-capital-consulting/2013\\_Building\\_the\\_Right\\_High\\_Potential\\_Pool\\_white\\_paper.pdf](http://www.aon.com/attachments/human-capital-consulting/2013_Building_the_Right_High_Potential_Pool_white_paper.pdf) (accessed June 13, 2016). **[Online]**

(k) Frederick Herzberg, "One More Time: How Do You Motivate Employees?", *Harvard Business Review*, January 2003. **[Instructor Handout]**

(l) Leo Shane III, "The Pentagon's 'Force of the Future' plan just got trashed in Congress," *Military Times*, February 25, 2016, <http://www.militarytimes.com/story/military/2016/02/25/senators-blast-personnel-reforms-nominee/80924888/> (accessed June 13, 2016). **[Online]**

(m) Stephen Gerras and Leonard Wong, "America's Army: Measuring Quality Soldiers and Quality Officers," April 13, 2016, <http://warontherocks.com/2016/04/americas-army-measuring-quality-soldiers-and-quality-officers> (accessed June 13, 2016). **[Online]**

(4) **Cost-Conscious Culture study group readings:**

(a) Todd Harrison, "The New Guns versus Butter Debate," *Center for Strategic and Budgetary Assessments*, May 24, 2010, <http://csbaonline.org/publications/2010/05/the-new-guns-versus-butter-debate/> (accessed June 13, 2016). **[Online]**

(b) Kori Schake, "Margin Call: How to Cut a Trillion from Defense," *Orbis* 56, no. 1, 2012, <http://www.sciencedirect.com/science/article/pii/S0030438711000834> (accessed June 13, 2016). **[Online]**

(c) Zach Huitink, *Beyond Business as Usual? Better Buying Power and the Prospects for Change in Defense Acquisition* (Syracuse, NY: Proceedings of the Eleventh Annual Acquisition Research Symposium, April 30, 2014), <http://oai.dtic.mil/oai/oai?verb=getRecord&metadataPrefix=html&identifier=ADA612561> (accessed June 13, 2016). **[Blackboard]**

(d) Thomas Mulczynski, "Mindful Spending: Cost Situational Awareness (CSA) to Maintain Combat Readiness," *Air Force Comptroller* 45, no. 1 (Spring 2012): 13-16, in ProQuest (accessed June 13, 2016). **[Database]**

(e) Edgar E. Stanton III, "Army Financial Management: Winning with a Cost Culture," *Army* 59, no. 10 (October 2009): 77-79, in ProQuest (accessed June 13, 2016). **[Database]**

(f) U.S. Department of Defense, "Pentagon Seeks to Establish 'Cost Culture,' Official Says," *US Fed News Service*, May 17, 2013, in ProQuest (accessed June 13, 2016). **[Database]**

(g) Deloitte, "The Path to Sustainability: Creating a Cost-conscious Government Culture," <http://www2.deloitte.com/content/dam/Deloitte/ca/Documents/insights-and-issues/ca-en-insights-issues-the-path-to-sustainability.pdf> (accessed June 13, 2016). **[Online]**

(h) U.S. Secretary of the Army Patrick J. Murphy, Acting, "Army Directive 2016-16 (Changing Management Behavior: Every Dollar Counts)," memorandum for Principal Officials of Headquarters, Department of the Army, Washington, DC, April 15, 2016. **[Blackboard]**

(i) Additional optional references. **[Blackboard]**

c. Writing Requirement.

(1) **Mission Command study group:**

(a) Why is Mission Command an issue of strategic level importance?

(b) Using concepts from the course, analyze why inculcating Mission Command presents a challenge to implement successfully?

(c) Use concepts from the course to offer recommendations, consistent with your analysis in (b), to successfully implement sustained change with regards to Mission Command.

**(2) Talent Management study group:**

(a) Why is Talent Management such a strategic imperative under this Secretary? What is its strategic importance?

(b) Using concepts from the course, analyze why implementing appropriate Talent Management response measures presents such a challenge to successfully achieve results?

(c) Use concepts from the course to offer recommendations, consistent with your analysis in (b), to successfully implement sustained change with regards to Talent Management.

**(3) Cost-conscious culture study group:**

(a) Why is establishing a cost-conscious culture an issue of strategic level importance to national security professionals?

(b) Using concepts from the course, analyze why inculcating a cost-conscious culture presents a challenge to implement successfully?

(c) Use concepts from the course to offer recommendations, consistent with your analysis in (b), to successfully implement sustained change with regards to creating a cost-conscious culture.

**4. Points to Consider.**

a. What key drivers in the environment (demographic, technological, legal, and/or political) warrant or prompt change?

b. What do you identify as the primary cause(s) of your assigned complex, ill-structured issue? What internal mechanisms or processes (cultural, ethical, professional, communications, climate, decision making) are aligned or misaligned that help or hinder implementation of solutions to your problem?

c. What vision informs change and how would change be implemented to meet professional responsibilities on society's behalf?

d. Who are the various stakeholders concerned about and influential over issues national security professionals have to consider and rectify? How will they be involved in the decision making and/or determination of the solutions? How will those decisions be communicated?

e. What key strategic leader competencies will be instrumental in understanding, assessing, and addressing solutions to the complex problems senior leaders of the national security profession face in meeting society's needs?

## **SECTION V – APPENDICES**

### **APPENDIX I**

#### **USAWC MISSION**

The USAWC educates and develops leaders for service at the strategic level while advancing knowledge in the global application of Landpower.

#### **USAWC INSTITUTIONAL LEARNING OUTCOME**

Our graduates are intellectually prepared to preserve peace, deter aggression and, when necessary, achieve victory in war. In pursuit of these goals, they study and confer on the great problems of national defense, military science, and responsible command.

Achieving this objective requires proficiency in four domains of knowledge:

- Theory of war and peace
- U.S. national security policy, processes, and management
- Military strategy and unified theater operations
- Command and leadership

And the ability and commitment to:

- Think critically, creatively, and strategically.
- Frame national security challenges in their historical, social, political, and economic contexts.
- Promote a military culture that reflects the values and ethic of the Profession of Arms.
- Listen, read, speak, and write effectively.
- Advance the intellectual, moral, and physical development of oneself and one's subordinates.

## APPENDIX II

### USAWC PROGRAM LEARNING OUTCOMES (PLOs)

The School of Strategic Landpower (SSL) establishes Program Learning Outcomes (PLO) that relate to critical fields of knowledge and appropriate jurisdictions of practice for our students to master. The core competence of our graduates is leadership in the global application of strategic landpower. The curriculum addresses the “great problems of national defense, military science, and responsible command.”

To accomplish its mission, SSL presents a curriculum designed to produce graduates who are able to:

PLO 1. Evaluate theories of war and strategy in the context of national security decisionmaking.

PLO 2. Analyze, adapt and develop military processes, organizations, and capabilities to achieve national defense objectives.

PLO 3. Apply strategic and operational art to develop strategies and plans that employ the military instrument of power in pursuit of national policy aims.

PLO 4. Evaluate the nature, concepts, and components of strategic leadership and synthesize their responsible application.

PLO 5. Think critically and creatively in addressing national security issues at the strategic level.

PLO 6. Communicate clearly, persuasively, and candidly.

## APPENDIX III

### SERVICE SENIOR-LEVEL COLLEGE JOINT LEARNING AREAS AND OBJECTIVES (JPME Phase-II)

SOURCE: The REP and DEP curricula address requirements for JLAs and JLOs derived from CJCSI 1800.01E, *Officer Professional Military Education Policy (OPMEP)*, May 29, 2015, Appendix E to Enclosure E.

#### 1. Learning Area 1 - National Strategies.

- a. Apply key strategic concepts, critical thinking and analytical frameworks to formulate and execute strategy.
- b. Analyze the integration of all instruments of national power in complex, dynamic and ambiguous environments to attain objectives at the national and theater-strategic levels.
- c. Evaluate historical and/or contemporary security environments and applications of strategies across the range of military operations.
- d. Apply strategic security policies, strategies and guidance used in developing plans across the range of military operations and domains to support national objectives.
- e. Evaluate how the capabilities and limitations of the U.S. Force structure affect the development and implementation of security, defense and military strategies.

#### 2. Learning Area 2 - Joint Warfare, Theater Strategy and Campaigning for Traditional and Irregular Warfare in a Joint, Interagency, Intergovernmental and Multinational Environment.

- a. Evaluate the principles of joint operations, joint military doctrine, joint functions (command and control, intelligence, fires, movement and maneuver, protection and sustainment), and emerging concepts across the range of military operations.
- b. Evaluate how theater strategies, campaigns and major operations achieve national strategic goals across the range of military operations.
- c. Apply an analytical framework that addresses the factors politics, geography, society, culture and religion play in shaping the desired outcomes of policies, strategies and campaigns.

d. Analyze the role of OCS in supporting Service capabilities and joint functions to meet strategic objectives considering the effects contracting and contracted support have on the operational environment.

e. Evaluate how strategic level plans anticipate and respond to surprise, uncertainty, and emerging conditions.

f. Evaluate key classical, contemporary and emerging concepts, including IO and cyber space operations, doctrine and traditional/ irregular approaches to war.

### 3. Learning Area 3 - National and Joint Planning Systems and Processes for the Integration of JIIM Capabilities.

a. Analyze how DoD, interagency and intergovernmental structures, processes, and perspectives reconcile, integrate and apply national ends, ways and means.

b. Analyze the operational planning and resource allocation processes.

c. Evaluate the integration of joint, interagency, intergovernmental and multinational capabilities, including all Service and Special Operations Forces, in campaigns across the range of military operations in achieving strategic objectives.

d. Value a joint perspective and appreciate the increased power available to commanders through joint, interagency, intergovernmental and multinational efforts.

e. Analyze the likely attributes of the future joint force and the challenges faced to plan, organize, prepare, conduct and assess operations.

### 4. Learning Area 4 - Command, Control and Coordination.

a. Evaluate the strategic-level options available in the joint, interagency, intergovernmental and multinational environment.

b. Analyze the factors of Mission Command as it relates to mission objectives, forces and capabilities that support the selection of a command and control option.

c. Analyze the opportunities and challenges affecting command and control created in the joint, interagency, intergovernmental and multinational environment across the range of military operations, to include leveraging networks and technology.

### 5. Learning Area 5 - Strategic Leadership and the Profession of Arms.

a. Evaluate the skills, character attributes and behaviors needed to lead in a dynamic joint, interagency, intergovernmental and multinational strategic environment.

- b. Evaluate critical strategic thinking, decisionmaking and communication by strategic leaders.
- c. Evaluate how strategic leaders develop innovative organizations capable of operating in dynamic, complex and uncertain environments; anticipate change; and respond to surprise and uncertainty.
- d. Evaluate how strategic leaders communicate a vision; challenge assumptions; and anticipate, plan, implement and lead strategic change in complex joint or combined organizations.
- e. Evaluate historic and contemporary applications of the elements of mission command by strategic-level leaders in pursuit of national objectives.
- f. Evaluate how strategic leaders foster responsibility, accountability, selflessness and trust in complex joint or combined organizations.
- g. Evaluate how strategic leaders establish and sustain an ethical climate among joint and combined forces, and develop/preserve public trust with their domestic citizenry.

## APPENDIX IV

### ENDURING THEMES

Elihu Root's challenge provides the underpinnings for enduring themes within the USAWC curriculum. The enduring themes stimulate intellectual growth by providing continuity and perspective as we analyze contemporary issues.

- Strategic Leadership and the exercise of discretionary judgment
  - Evaluate leadership at the strategic level (national security policy and strategy, especially in war)
  - Understand the profession's national security clients and its appropriate jurisdictions of practice
  - Evaluate leadership of large, national security organizations
  - Evaluate strategic thinking about the future (second- and third-order effects)
  - Analyze the framework for leading and managing strategic change, specifically the components of organizational change and the process by which organizations change
  
- Relationship of policy and strategy (relationship between ends, ways, and means)
  - Analyze how to accomplish national security aims to win wars
  - Analyze how to connect military actions to larger policy aims
  - Analyze how to resource national security
  - Evaluate international relations as the context for national security
  
- Instruments of national power and potential contributions to national security
  - Comprehend Diplomatic Power
  - Comprehend Informational power
  - Evaluate Military Power
  - Comprehend economic power
  
- Professional ethics
  - Evaluate the ethics of military operations (to include jus in bello and post bello)
  - Evaluate the ethics of war and the use of force (to include jus ad bello)
  - Evaluate the ethics of service to society (domestic civil-military relations)

- Civil-Military Relations
  - Evaluate relationships between military and civilian leadership
  - Evaluate relationships between the military and domestic society
  - Evaluate relationships between armed forces and foreign populations
  
- Instruments of war and national security
  - Joint: Evaluate the capabilities and domains of joint forces (especially land, maritime, air, space, cyber)
  - Interagency: Understand other U.S. government agencies and departments
  - Intergovernmental; Understand potential relationships with other national governments
  - Multinational: Understand potential relationships with armed forces or agencies of other nations/coalition partners
  
- History as a vehicle for understanding strategic alternatives and choices
  - Identify and analyze relevant historical examples of strategic leadership and strategic choices (across time and around the world)
  - Evaluate historical examples relevant to war and other national security endeavors

### **STRATEGIC LEADERSHIP ENDURING LANDPOWER THEME**

Mastery of the Army profession, its culture, expertise and jurisdictions of practice to include competition with other professions. Evaluate the nature of Landpower/Army leadership (mission command, persuasion).

# APPENDIX V

## CROSSWALKS

SL Lesson Crosswalk with PLOs		Program Learning Outcomes					
		PLO 1: Evaluate theories of war and strategy in the context of national security decisionmaking.	PLO 2: Analyze, adapt and develop military processes, organizations, and capabilities to achieve national defense objectives.	PLO 3: Apply strategic and operational art to develop strategies and plans that employ the military instrument of power in pursuit of national policy aims.	PLO 4: Evaluate the nature, concepts, and components of strategic leadership and synthesize their responsible application.	PLO 5: Think critically and creatively in addressing national security issues at the strategic level.	PLO 6: Communicate clearly, persuasively, and candidly.
Lesson							
SL-1-L/S	Intro to Seminar Learning/Self-Awareness	X	X	X	X	X	X
SL-2-S	Critical Thinking					X	X
SL-3-S	Systems Thinking			X	X	X	
SL-4-S	Ethical Reasoning				X	X	X
SL-5-S	The Profession				X	X	X
SL-6-S	Institutional and Individual Ethics				X	X	X
SL-7-L/S	Creative and Innovative Thinking				X	X	
SL-8-L/S	Managing the Strategic Environment	X	X	X	X	X	
SL-9-EX	Scenario-Based Forecasting		X	X	X	X	X
SL-10-S	Organizational Culture and Leadership		X		X	X	X
SL-11-S	Leading Innovative Organizations		X		X	X	
SL-12-L/S	Leading Organizational Change and Vision		X		X		X
SL-13-S	Command Climate and Team Building		X		X	X	X
SL-14-S	Leading in a Multicultural Environment				X	X	X
SL-15-L/S	Strategic Decisionmaking		X		X		
SL-16-S	Senior Leader Communication		X		X	X	X
SL-17-L/S	Negotiations				X	X	X
SL-18-EX	Negotiations Exercise				X	X	X
SL-19-EX	Capstone Exercise		X		X	X	X
AY17 SL Course Totals:		2	10	4	18	17	14

SL Lesson Crosswalk with JLAs		Joint Learning Areas																										
		JLA 1: National Strategies					JLA 2: Joint Warfare					JLA 3: National and Joint Planning Systems/Processes					JLA 4: Command, Control, Coordination			JLA 5: Strategic Leadership/ Profession of Arms								
Lesson	Joint Learning Area Objectives	a	b	c	d	e	a	b	c	d	e	f	a	b	c	d	e	a	b	c	a	b	c	d	e	f	g	
SL-1-L/S	Intro to Seminar Learning/Self-Awareness																				X							
SL-2-S	Critical Thinking	X																			X	X	X	X				
SL-3-S	Systems Thinking	X	X								X										X	X	X					
SL-4-S	Ethical Reasoning	X						X				X									X	X						X
SL-5-S	The Profession																				X	X		X		X	X	
SL-6-S	Institutional and Individual Ethics																				X	X				X	X	
SL-7-L/S	Creative and Innovative Thinking	X																			X	X	X					
SL-8-L/S	Managing the Strategic Environment	X						X		X						X					X		X	X				
SL-9-EX	Scenario-Based Forecasting	X								X						X					X		X	X				
SL-10-S	Organizational Culture and Leadership																				X	X	X	X	X	X	X	X
SL-11-S	Leading Innovative Organizations	X																			X	X	X	X				
SL-12-L/S	Leading Organizational Change and Vision																				X	X	X	X				
SL-13-S	Command Climate and Team Building																				X	X	X	X	X	X	X	X
SL-14-S	Leading in a Multicultural Environment					X						X							X	X				X		X		
SL-15-L/S	Strategic Decisionmaking	X																			X	X	X	X				X
SL-16-S	Senior Leader Communication																		X		X	X	X	X				X
SL-17-L/S	Negotiations																				X			X		X	X	
SL-18-EX	Negotiations Exercise																				X			X		X	X	
SL-19-EX	Capstone Exercise	X				X						X				X	X		X		X	X	X	X	X	X	X	X
AY17 SL Course Totals:		9	0	1	0	2	0	0	0	3	0	3	0	1	0	0	2	4	0	2	2	18	14	12	15	3	8	10

## APPENDIX VI

### SEMINAR CONTRIBUTION RUBRIC

<b>Seminar Contribution Standard</b>	
<b>Outstanding (5)</b>	Consistently exhibits sustained superior performance in seminar dialogue. Consistently offers insightful analysis, without prompting, which advances the dialogue. Comments demonstrate a depth of knowledge of the subject and assigned readings beyond that of peers and demonstrate active listening to other participants. Comes to the seminar prepared, often with notes and annotated readings, and frequently offers novel ideas which enhance learning. Consistently demonstrates the ability to synthesize material from previous lessons and personal experience which directly supports the lesson objectives. Consistently supports others. Respects ideas, feedback and diverse opinions. Avoids use of logical fallacies. For group leadership roles, chosen by the faculty instructor to lead and effectively led one of the seminar's assigned work groups during a Capstone lesson for the course or one or more of the contributing lessons where group work was assigned.
<b>Exceeds Standard (4)</b>	Performed above the standard in contributions during seminar dialogue. Consistently offers solid analysis, without prompting, which advances the dialogue. Comments reflect a deep knowledge of subject matter and assigned readings and demonstrate active listening to other seminar members. Comes to the seminar prepared, often with notes or annotated readings. Demonstrates the ability to synthesize material from previous lessons and personal experience which directly supports the lesson objectives. Rarely resorts to inaccurate assumptions, inferences, biases and heuristics. . For group leadership roles, effectively assumed an informal leadership role in group work assigned activities during the course. He/she helped structure the task and built consensus to achieve the group's assigned task. She/he voluntarily took the lead in summarizing the group's work in conveying his/her group's approach to the task for the benefit of the rest of the seminar.
<b>Meets Standard (3)</b>	Met the standard in contributions during seminar dialogue. Offers solid analysis without prompting. Comments reflect a solid knowledge of the subject matter and assigned readings and demonstrate active listening to other seminar members. Comes to the seminar prepared and offers insight and personal experience during seminar dialogue which contributes to group understanding of the lesson objectives. Occasionally exhibits use of logical fallacies and bias. For group roles, effectively contributed to group work in seminar by adding relevant ideas or recommendations to aid the group in accomplishing its assigned task(s).
<b>Needs Improvement (2)</b>	Participated in seminar dialogue. Offers some analysis, but often needs prompting from the seminar leader and/or others. Comments demonstrate a general knowledge of the material and assigned readings. Sometimes seems unprepared, with few notes and no marked/annotated readings. Actively listens to others, but does not offer clarification or follow-up to others' comments. Relies more upon personal opinion and less on the readings to support comments. For group roles, actively listened and, on occasion, offered relevant thoughts that assisted the group in accomplishing its assigned task.
<b>Fails to Meet Standards (1)</b>	Did not participate in seminar dialogue. Does not complete readings and is unprepared for seminar. Occasionally listens to others but appears uninterested in the classroom interaction. For group work, appeared uninvolved or uninformed in her/his ability to contribute the group's task.

## APPENDIX VII

### ORAL PRESENTATION RUBRIC

<b>Oral Presentation Standards</b>	
<b>Outstanding (5)</b>	Exceptional presentation in content, organization and delivery. The presenter succinctly summarized the key points of the article(s) conveying a deep understanding of the main points the author conveyed. Further, the presenter provided an exceptional critical analysis of the author's article that revealed biases, logical fallacies, alternative points of view, etc... Moreover, the presenter synthesized the key points of the article to the material or topics covered in that particular lesson and/or with other lessons in the course. He/she masterfully communicated that understanding to the audience in a logical and stimulating manner. Finally, the presenter displayed exceptional confidence in his/her delivery and ably responded to questions or comments offered by his/her colleagues.
<b>Exceeds Standard (4)</b>	Excellent presentation in content, organization and delivery. The presenter skillfully summarized the key points of the article(s) conveying a mature understanding of the main points the author conveyed. Further, the presenter provided an excellent critical analysis of the author's article that revealed biases, logical fallacies, alternative points of view, etc... Moreover, the presenter analyzed the key points of the article and applied them to the material or topics covered in that particular lesson. He/she succinctly communicated that understanding to the audience in a logical and compelling manner. Finally, the presenter displayed confidence in his/her delivery and/or adequately responded to questions or comments offered by his/her colleagues.
<b>Meets Standard (3)</b>	Strong presentation in content, organization and delivery. The presenter successfully summarized the key points of the article(s) conveying a strong understanding of the main points the author conveyed. Further, the presenter provided some critical analysis of the author's article that revealed some of the biases, logical fallacies, alternative points of view, etc... Moreover, the presenter applied some of the key points of the article to the material or topics covered in that particular lesson. He/she also adequately communicated that understanding to the audience in a logical manner. Finally, the presenter displayed adequate confidence in his/her delivery and/or responded to questions or comments offered by his/her colleagues.
<b>Needs Improvement (2)</b>	Fair presentation in content, organization, and delivery. The presenter summarized the key points of the article(s) conveying some understanding of the main points the author conveyed. Further, the presenter did not provide a critical analysis of the author's article that revealed biases, logical fallacies, alternative points of view, etc... Moreover, the presenter displayed some knowledge in relating the key points of the article to the material or topics covered in that particular lesson and/or integrated with other lessons in the course. He/she communicated that understanding to the audience in a haphazard manner and was uninspiring. Finally, the presenter lacked confidence in his/her delivery and/or was unable to respond sufficiently to questions or comments offered by his/her colleagues.
<b>Fails to Meet Standards (1)</b>	Poor presentation in content, organization, and delivery. The presenter incorrectly summarized the key points of the article(s) conveying little understanding of the main points the author conveyed. Further, the presenter did not attempt to provide a critical analysis of the author's article that revealed biases, logical fallacies, alternative points of view, etc... Moreover, the presenter lacked comprehension of how to connect the key points of the article to the material or topics covered in that particular lesson. He/she failed to communicate that understanding to the audience and was unorganized. Finally, the presenter displayed no confidence in his/her delivery and/or was unable to respond at all to questions or comments offered by his/her colleagues.

## APPENDIX VIII

### WRITTEN WORK RUBRIC

	Criteria	Outstanding (5)	Exceeds Standards (4)	Meets Standards (3)	Needs Improvement (2)	Fails to Meet Standards (1)
Content – 60% (failure to achieve a 3 in this category requires resubmission)	<b>Substantive Content</b> Focus on academic approach and quality of research.	The paper stands as an exemplar of excellence in written communication. It displays exceptional insight and creativity, able analysis, solid research, and precise documentation. Reflecting both depth and balance, it advances a thoughtful explication of a problem, question or subject area, and is an inviting, compelling read—one suitable for publication with only minor edits and polishing. Deftly synthesizes two or more course learning outcomes.	Impressive and clearly above the norm, the paper is insightful and responsive to the task, well researched, and ably documented. The writer has a strong ability to analyze, synthesize, and integrate material. The work exhibits clarity in thought and expression and reflects an accomplished and continuously developing command of language. Demonstrates an above average grasp of concepts, using reputable literature to support discussions. Correctly, integrates two or more course learning outcomes in the paper.	The paper is an acceptable and competent response to a writing opportunity: informative, somewhat persuasive, and includes some evidence grounded in research. Major points are clearly identified and appropriately developed, often with support from properly documented credible sources. The author displays a mature ability to gather information, address important issues, express ideas/arguments in appropriate language, accomplish a stated task, and accommodate the reader. Conveys clear understanding of at least one of the course learning outcomes.	The paper is weaker than it should be and possibly deficient in one or more salient respects. The content is weak or the reasoning and logic noticeably flawed. The absence of substantial material severely undercuts the ability to fashion a thoughtful and articulate paper. A manuscript characterized by minimal analysis, deficient insight, lack of evidence, inadequate research, and slipshod documentation “needs improvement.” Demonstrates fair grasp of concepts, Marginally supported with excessive reliance on quotations and Internet sources. Weak documentation of sources. Unclearly conveys a connection to the course learning outcomes.	The paper is more than simply weak or deficient—it misses the mark substantially. The content is superficial at best. Knowledge claims and observations are offered without research support and appropriate source documentation. Failure to submit a paper within the specified timeframe also “fails to meet standards.” Does not connect the paper to any of the course learning outcomes.
	<b>Critical Thinking</b> Evidence of analysis, synthesis, and evaluation.	Advances a thoughtful explication of a problem, question or subject. Challenges assumptions and creatively defends positions. Provides innovative solutions to problems.	Goes beyond mere grasp of essentials to incorporate evaluation, synthesis, and analysis in using sources and concepts. Challenges assumptions somewhat effectively. Identifies and solves problems and issues.	Displays a firm grasp of essentials to incorporate evaluation, synthesis, and analysis in using sources and concepts. Identifies and resolves problems and issues.	Compares and contrasts positions, concepts, and data; identifies contradictions and gaps and routinely resolves most issues and problems when presented with them. Pragmatically applies concepts and experience	Merely summarizes known information. Rarely displays detailed analysis or creative approaches to problem solving. Fails to apply concepts and experiences to practical uses.

	Criteria	Outstanding (5)	Exceeds Standards (4)	Meets Standards (3)	Needs Improvement (2)	Fails to Meet Standards (1)
Style – 20%	<b>Formatting</b> Following USAWC guidelines for citations and references.	All writing format, mechanics, in-text crediting, and foot- or endnote entries follow the AY17 CAD with no errors.	Almost all writing format, mechanics, in-text crediting, and foot- or endnote entries follow the AY17 CAD. A few errors may exist.	Most writing, in-text crediting, and reference page entries follow the AY17 CAD, but some minor format errors exist.	Writing and in-text crediting is generally sound; however, the paper does not adequately follow AY17 CAD. Multiple errors exist.	Not evident that the provisions of the AY17 CAD are understood or followed.
	<b>Grammar and Spelling</b> In this respect, it should be perfect!	No errors in grammar and spelling.	All grammar, syntax, spelling, and punctuation conform to the AY17 CAD. Some discrepancies exist, but not consistent patterns.	Most grammar, syntax, spelling, and punctuation conform to the AY17 CAD. Some noticeable discrepancies, some pattern errors exist.	Grammar, syntax, spelling, and punctuation somewhat conform to the AY17 CAD, but major noticeable discrepancies exist, including pattern errors.	Noticeable and distracting errors in grammar, syntax, spelling, and punctuation. Inattention to details and patterns of consistent errors are excessive.
	<b>Readability</b> Writing flows naturally and is readable, reflecting an academic tone of voice.	Resonates in smooth expository prose, using concrete imagery and pertinent examples. Language is erudite and direct without ostentation. Incorporates examples and sources with the context effortlessly.	Resonates in smooth expository prose. Language is direct and exhibits a command of the language. Incorporates examples and sources with the context with minimum effort.	Communicates in straightforward manner and academic voice. Language is usually understandable and includes examples and sources efficiently.	Writes clearly, but without flair. Language is usually understandable and includes examples and sources that fit the context. Sometimes uses contractions, slang, or jargon.	Writing is choppy, forced, or gilded. Examples and illustrations do not fit the context. Uses contractions, slang, or jargon, and reverts to statements of opinion and authorial intrusion.
Organization – 20%	<b>Organization</b> Work well organized with logical flow. Makes coherent sense.	Work is well organized, with coherent, unified paragraphs and seamless transitions. A clear statement of purpose, summary of research and doctrine, well-supported with compelling rhetorical argument, sound conclusions, and recommendations.	Work is well organized, with coherent, unified paragraphs, and effective transitions. A clear statement of purpose, and summary of research and doctrine. The argument is well supported and consistent with theory and research presented in the analysis. .	Work is generally well organized, in clear expository prose. There is a discernible introduction, main body, and conclusion. Transitions are generally effective in maintaining a logical flow of ideas.	Work is weakly organized, with no clear statement of problem or purpose and weak theory and argument. Conclusions are a mere summary of previous points. Transitions are somewhat weak or ineffective.	Work is disorganized and it makes an argument that is inconclusive and hard to follow. Prose is rambling and the rhetoric is unfocused. Conclusions are nonexistent or weak, merely repeating previous statements. Transitions are awkward or entirely absent.

*Assessment Guidance.* CBks Memorandum 623-1 details that assessment of written work centers on the Content, Organization, and Style of a paper with Content being paramount. A paper in which Content receives an assessment of Needs Improvement or Fails to Meet Standards cannot receive an overall assessment of Meets Standards—even if both Organization and Style were Outstanding.